

# Chapter 1

## Fees Manual

1.1 Application and Purpose

1.1.1

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- (1) FEES applies to all persons required to pay a fee or levy under a provision of the Handbook. The purpose of this chapter is to set out to whom the rules and guidance in FEES apply.
- (2) FEES 2 (General Provisions) contains general provisions which may apply to any type of fee payer.
- (3) FEES 3 (Application, Notification and Vetting Fees) covers one-off fees payable on a particular event for example:
  - (a) various application fees (including those in relation to authorisation, variation of Part 4A permission, registration as a CBTL firm, authorisation of a data reporting services provider and listing); and
  - (b) fees relating to designated credit reference agencies, designated finance platforms and certain notifications and document vetting requests.
- (4) FEES 4 (Periodic fees) covers all periodic fees and transaction reporting fees.
- (4A) FEES 4A relates to periodic fees for a TP person (including a supervised run-off firm) and special project fees for a CRO firm.
- (5) FEES 5 (Financial Ombudsman Service Funding) relates to FOS levies and case fees (in FEES 5.5B).
- (6) FEES 6 (Financial Services Compensation Scheme Funding) relates to the FSCS levy.
- (7) [deleted]
- (8) FEES 7A relates to the SFGB levy.
- (9) FEES 7B relates to the DA levy.
- (10) FEES 7C relates to the TPR SFGB levy.
- (11) FEES 7D relates to the TPR DA levy.

1.1.1A

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FEES App 1 Annex 1A applies to all persons required to pay a fee or any other amount to the FCA under the Unauthorised Mutuals Registration Fees Rules, as made by the Fees (Unauthorised Mutual Societies Registration) Instrument 2002 (FSA 2002/4) and amended from time to time. FEES App 1 Annex 5

		applies to all persons required to pay a fee for inspecting any document or documents on the Mutuels Register.
1.1.1B	G	■ FEES 9 (Payment System Regulator Funding) relates to <i>PSR fees</i> .
1.1.1C	G	[deleted]
1.1.1D	G	[deleted]
1.1.1E	G	■ FEES 12 (FOS ADR Levy) relates to the <i>FOS ADR levy</i> .
1.1.1F	G	<p>■ FEES Appendix 2 (Office for professional body anti-money laundering supervision fees) applies to the following <i>persons</i> required to pay fees to the FCA:</p> <ol style="list-style-type: none"> <li>(1) a <i>person</i> applying to become a professional body listed in Schedule 1 to the <i>Money Laundering Regulations</i>; and</li> <li>(2) professional bodies listed in Schedule 1 to the <i>Money Laundering Regulations</i>.</li> </ol>
1.1.1G	G	<p>■ FEES Appendix 3 (Fees payable by persons registered under the Money Laundering Regulations that are not cryptoasset businesses) applies to <i>persons</i> registered with the FCA under the <i>Money Laundering Regulations</i> that are not:</p> <ol style="list-style-type: none"> <li>(1) <i>authorised persons</i>, or</li> <li>(2) <i>cryptoasset businesses</i>, or</li> <li>(3) otherwise registered with the FCA.</li> </ol>
1.1.1H	G	■ FEES Appendix 4 (Fees payable by cryptoasset businesses registered under the Money Laundering Regulations) applies to <i>cryptoasset businesses</i> registered with the FCA under the <i>Money Laundering Regulations</i> .
		<b>Application</b>
1.1.2	R	<p>This manual applies in the following way:</p> <ol style="list-style-type: none"> <li>(1) ■ FEES 1, ■ 2 and ■ 3 apply to the fee payers listed in column 1 of the Table of application, notification and vetting fees in ■ FEES 3.2.7 R. <ol style="list-style-type: none"> <li>(a) [deleted]</li> <li>(b) [deleted]</li> <li>(c) [deleted]</li> <li>(d) [deleted]</li> <li>(e) [deleted]</li> </ol> </li> </ol>

(f) [deleted]

(g) [deleted]

(h) [deleted]

(i) [deleted]

(j) [deleted]

(k) [deleted]

(l) [deleted]

(m) [deleted]

(n) [deleted]

(o) [deleted]

(p) [deleted]

(q) [deleted]

(r) [deleted]

(s) [deleted]

(2) ■ FEES 1, ■ 2 and ■ 4 apply to:

(a) every *firm* (except an *ICVC*);

(b) every *authorised fund manager* of an *authorised unit trust* or *authorised contractual scheme*;

(c) every *ACD* of an *ICVC*;

(d) every *person* who, under the constitution or founding arrangements of a *recognised scheme*, is responsible for the management of the property held for or within the *scheme*;

(da) every *UK AIFM* of an *LTIF*;

(e) every *designated professional body*;

(f) every *recognised body*;

(g) under the Listing Rules every *issuer* of *shares*, *depository receipts* and *securitised derivatives*;

(h) under the Listing Rules (*LR*) every *sponsor*;

(i) under the Disclosure Guidance and Transparency Rules (*DTR*) every *issuer* of *shares*, *depository receipts* and *securitised derivatives*;

(j) every *fee-paying payment service provider*;

(k) every *fee-paying electronic money issuer*;

(l) every *issuer* of a *regulated covered bond*;

(m) every *small registered UK AIFM*;

(n) every *AIFM* notifying the *FCA* under regulation 57, 58 and 59 of the *AIFMD UK regulation* and every *AIFM* which has made such a notification;

(o) [deleted]

(p) a *data reporting services provider*.

(3) ■ FEES 1, ■ 2 and ■ 5 apply to:

- (a) every *firm* (except to the extent it is *bidding in emissions auctions*), *fee-paying payment service provider* and *fee-paying electronic money issuer* which is subject to the *Compulsory Jurisdiction of the Financial Ombudsman Service*; and
  - (b) every other *person* who is subject to the *Compulsory Jurisdiction* in relation to *relevant complaints*.
- (4) ■ FEES 1, ■ 2 and ■ 6 apply to:
  - (a) every *participant firm*;
  - (b) the *FSCS*; and
  - (c) the *Society*.
- (5) ■ FEES 1, ■ 2, ■ 7A (in relation to the *SFGB money advice levy* and *SFGB debt advice levy* only) and ■ 7B apply to:
  - (a) every *person* having a *Part 4A permission*;
  - (b) [deleted]
  - (c) [deleted]
  - (d) the *Society*;
  - (e) every *fee-paying payment service provider* except the Bank of England, government departments and local authorities;
  - (f) every *fee-paying electronic money issuer* except the Bank of England, government departments, local authorities, municipal banks and the National Savings Bank.
- (6) ■ FEES App 1 Annex 1A applies to every:
  - (a) *registered society*; or
  - (b) *sponsoring body*; or
  - (c) *person* who submits a proposal for the registration of a *registered society*;
 each as defined in ■ FEES Appendix 1.
- (7) ■ FEES 7A (in relation to the *SFGB pensions guidance levy* only) applies to *firms* referred to in ■ FEES 7A.1.2R.

The application statement at ■ FEES 1.1.2R (3) does not apply to ■ FEES 5.5B, ■ FEES 5 Annex 2R or ■ FEES 5 Annex 3R.

- (8) ■ FEES 7C (in relation to the *TPR SFGB money advice levy* and *TPR SFGB debt advice levy* only) and 7D apply to:
  - (a) *TP firms*;
  - (b) *TA EMI firms*;
  - (c) *TA PI firms*; and
  - (d) *TA RAISP firms*.
- (9) ■ FEES 7C (in relation to the *TPR FGB pensions guidance levy* only) applies to *firms* referred to in ■ FEES 7C.1.2R.

1.1.2A	R	<p>■ FEES 1 and ■ FEES 9 apply to:</p> <p>(1) <i>operators of regulated payment systems;</i></p> <p>(2) <i>operators of IFR card payments systems; and</i></p> <p>(3) <i>direct payment service providers.</i></p>
1.1.2B	R	[deleted]
1.1.2C	R	■ FEES 1 and 12 apply to <i>FOS Ltd.</i>
1.1.3	G	The application of ■ FEES 5.5B and ■ FEES 5 Annex 3R is set out in ■ FEES 5.5B.1R. The relevant provisions of ■ FEES 5 and ■ FEES 2 are applied to <i>VJ participants</i> by the <i>standard terms</i> (see ■ DISP 4).
1.1.3A	G	[deleted]
<b>Purpose</b> .....		
1.1.4	G	The purpose of this manual is to set out the fees applying to the <i>persons</i> set out in ■ FEES 1.