

FEE PROVISIONS (2009/2010) INSTRUMENT 2009

Powers exercised

- A. The Financial Services Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 99(1), (1B) and (2) (Fees);
 - (2) section 101 (Listing rules: general provisions);
 - (3) section 156 (General supplementary powers);
 - (4) section 157(1) (Guidance);
 - (5) section 213 (The compensation scheme);
 - (6) section 223 (Management expenses);
 - (7) paragraph 17(1) (Fees) of Schedule 1 (The Financial Services Authority); and
 - (8) paragraphs 1 (General), 4 (Rules) and 7 (Fees) of Schedule 7 (The Authority as Competent Authority for Part VI).
- B. The rule-making powers listed above are specified for the purposes of section 153(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 1 April 2009.

Amendments to the Handbook

- D. The Fees manual (FEES) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Fee Provisions (2009/2010) Instrument 2009.

By order of the Board
26 March 2009

Annex

Amendments to the Fees manual (FEES)

In this Annex, underlining indicates new text and striking through indicates deleted text, unless otherwise stated.

3 Annex 4 R Application fees in relation to listing rules

Part 1

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Part 2

Sponsor Application Fees	
Fee type	Fee amount
Application for approval as <i>sponsor</i>	€4,000 €15,000

3 Annex 5 R Document vetting and approval fees in relation to listing and prospectus rules

Part 1

Fee type		Fee amount
Transaction vetting fees Transaction vetting fees relate to specific events or transactions that an <i>issuer</i> might be involved in during the year.		
Eligibility	New applicants	€1,300 €1,430
Category 1	<i>Class 1 transactions</i> <i>Listing particulars</i> for Depository Receipts	€5,700 €6,270
Category 2	<i>Listing particulars</i> for <i>issuers</i> of <i>specialist securities</i>	€2,500 €2,750
Category 3	All other vetting only transactions	€2,500 €2,750

Category 4	<i>Supplementary listing particulars</i>	£500 <u>£550</u>
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Part 2

These fees relate to approval or vetting of the documents referred to in the second column of this table arising in relation to specific events or transactions that an *issuer, offeror* or *person* requesting admission might be involved in during the year.

Category 1	Equity <i>prospectus</i> Equivalent document referred to in <i>PR</i> 1.2.2R(2) or (3) or <i>PR</i> 1.2.3R(3) or (4) Depository Receipt <i>prospectus</i>	£5,700 <u>£6,270</u>
Category 2	Equity <i>registration document</i>	£4,000 <u>£4,400</u>
Category 3	Equity <i>securities note</i> and <i>summary</i> Summary document referred to in <i>PR</i> 1.2.3R(8)	£2,500 <u>£2,750</u>
Category 4	Non-equity <i>prospectus</i> or <i>base prospectus</i> (excluding drawdown <i>prospectus</i> or <i>base prospectus</i>) Equivalent document referred to in <i>PR</i> 1.2.2R(2) or (3) or <i>PR</i> 1.2.3R(3) or (4)	£2,500 <u>£2,750</u>
Category 5	Non-equity <i>registration document</i>	£1,750 <u>£1,925</u>
Category 6	Non-equity <i>securities note</i> and <i>summary</i> Summary document referred to in <i>PR</i> 1.2.3R(8)	£600 <u>£660</u>
Category 7	<i>Supplementary prospectus</i> <u>and any details produced in a document in relation to LR 16.3.6.</u>	£500 <u>£550</u>
Category 8	Drawdown <i>prospectus</i> or <i>base prospectus</i>	£600 <u>£660</u>

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4 Annex 5 R Periodic fees for designated professional bodies payable in relation to the period 1 April 2008 2009 to 31 March 2009 2010

Table. Fees payable by Designated Professional Bodies

Name of Designated Professional Body	Amount payable	Due date
The Law Society of England & Wales	£70,515 <u>£50,985</u>	30 April 2008 <u>2009</u>

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4 Annex 6 R Annex 6 Periodic fees for recognised investment exchanges and recognised clearing houses payable in relation to the period 1 April ~~2008~~ 2009 to 31 March ~~2009~~ 2010

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Part 1 – Periodic fees for UK recognised bodies

Name of UK recognised body	Amount payable	Due date
Euroclear UK & Ireland Limited	£261,000	30 April 2008
	<u>£244,500</u>	<u>2009</u>

ICE Futures Europe Ltd	£177,000	30 April 2008
	<u>£192,500</u>	<u>2009</u>

LIFFE Administration and Management	£274,500	30 April 2008
	<u>£300,000</u>	<u>2009</u>

LCH Clearnet Limited	£285,500	30 April 2008
	<u>£281,000</u>	<u>2009</u>

The London Metal Exchange Limited	£173,500	30 April 2008
	<u>£184,500</u>	<u>2009</u>

London Stock Exchange plc	£349,000	30 April 2008
	<u>£269,500</u>	<u>2009</u>

SWX Exchange Ltd <u>SWX Europe Ltd</u>	£69,500	30 April 2008
	<u>£77,000</u>	<u>2009</u>

EDX London Ltd	£52,000	30 April 2008

	<u>£48,000</u>	<u>2009</u>

PLUS Markets Plc	£75,000 <u>£77,000</u>	30 April 2008 <u>2009</u>

European Central Counterparty Limited	£250,000 <u>£125,000</u>	30 April 2008 <u>2009</u>

ICE Clear Europe Limited	£250,000 <u>£125,000</u>	30 April 2008 <u>2009</u>

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6 Annex 1 R Financial Services Compensation Scheme – Management Expenses Levy Limit

This table belongs to FEES 6.4.2R	
Period	Limit on total of all management expenses levies attributable to that period (£)
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1 April 2008 to 31 March 2009	£1,000,000,000 provided that £600,000,000 may be recovered in respect of <i>specific costs</i> relating to the declaration by the FSA on 27 September 2008 that Bradford & Bingley plc is <i>in default</i> only.
<u>1 April 2009 to 31 March 2010</u>	<u>£1,000,000,000</u>