

# Chapter 1

## Fees Manual

## 1.1 Application and Purpose

### 1.1.1

**G**

- (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 Mutuals Register.

**1.1.1B** **G** ■ FEES 9 (Payment System Regulator Funding) relates to *PSR fees*.

**1.1.1C** **G** [deleted]

**1.1.1D** **G** [deleted]

**1.1.1E** **G** ■ FEES 12 (FOS ADR Levy) relates to the *FOS ADR levy*.

**1.1.1F** **G** ■ FEES Appendix 2 (Office for professional body anti-money laundering supervision fees) applies to the following *persons* required to pay fees to the FCA:

- (1) a *person* applying to become a professional body listed in Schedule 1 to the *Money Laundering Regulations*; and
- (2) professional bodies listed in Schedule 1 to the *Money Laundering Regulations*.

**1.1.1G** **G** ■ FEES Appendix 3 (Fees payable by persons registered under the Money Laundering Regulations that are not cryptoasset businesses) applies to *persons* registered with the FCA under the *Money Laundering Regulations* that are not:

- (1) *authorised persons*, or
- (2) *cryptoasset businesses*, or
- (3) otherwise registered with the FCA.

**1.1.1H** **G** ■ FEES Appendix 4 (Fees payable by cryptoasset businesses registered under the Money Laundering Regulations) applies to *cryptoasset businesses* registered with the FCA under the *Money Laundering Regulations*.

**Application**

**1.1.2** **R** This manual applies in the following way:

- (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.
  - (a) [deleted]
  - (b) [deleted]
  - (c) [deleted]
  - (d) [deleted]
  - (e) [deleted]

- (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* 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 ■ FEES 1 and ■ FEES 9 apply to:

  - (1) operators of regulated payment systems;
  - (2) operators of IFR card payments systems; and
  - (3) direct payment service providers.
- 1.1.2B R [deleted]
- 1.1.2C R ■ FEES 1 and 12 apply to *FOS Ltd.*
- 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 *VJ participants* by the *standard terms* (see ■ DISP 4).
- 1.1.3A G [deleted]
- Purpose**  
G The purpose of this manual is to set out the fees applying to the *persons* set out in ■ FEES 1.