

Chapter 3

Application, Notification and Vetting Fees

3.2 Obligation to pay fees

General

3.2.1 **R** A *person* in column (1) of the table in **■ FEES 3.2.7 R** as the relevant fee payer for a particular activity must pay to the *FCA* (in its own capacity or, if the fee is payable to the *PRA*, in its capacity as collection agent for the *PRA*) a fee for each application or request for vetting, or request for support relating to compatibility of its systems with *FCA* systems, or admission approval made, or notification or notice of exercise of a *Treaty right* given, or other matter as is applicable to it, as set out or calculated in accordance with the provisions referred to in column (2) of the appropriate table:

- (1) in full and without deduction; and
- (2) on or before the date given in column (3) of that table.

3.2.1A **R** A *person* must pay the fee in Categories A5 and A6 of **■ FEES 3 Annex 12R** for the first submission of a *document* to the *FCA* for approval or review in relation to a *significant transaction* or *super transaction*. As an exception to **■ FEES 3.2.1R**, after that fee is paid, Categories A1 to A4 of **■ FEES 3 Annex 12R** specify the fees a *person* must pay for any further *documents* submitted for approval or review in relation to the same transaction.

3.2.2 **G** If an application for a *Part 4A permission* (or exercise of a *Treaty right*) falls within more than one category set out in **■ FEES 3 Annex 1**, other than where one of the applications is an application under the *benchmarks regulation*, only one fee is payable. That fee is the one for the category to which the highest fee tariff applies. Where applications are made under the *benchmarks regulation*, a separate fee will be payable for this application. The relevant fee is set out in **■ FEES 3.2.7R**.

Method of payment

3.2.3 **R**

- (1) Unless (2), (3) or (4) applies, the sum payable under **■ FEES 3.2.1 R** must be paid by bankers draft, cheque or other payable order.
- (2) The *FCA* does not specify a method of payment for a *person* seeking to:
 - (a) become a *recognised body* or a *designated professional body*; or
 - (b) be added to the list of *designated investment exchanges* or *accredited bodies*.

- (3) The sum payable under ■ FEES 3.2.1 R by a *firm* applying for a variation of its *Part 4A permission* which is not an application for new *permission* solely in respect of one or more *credit-related regulated activities* (■ FEES 3.2.7 R(p)(1) or ■ FEES 3.2.7 R(p)(4) and, if applicable, ■ FEES 3.2.7 R(c)) must be paid by any of the methods described in (1) or by Maestro, Visa Debit or credit card (Visa/Mastercard/American Express only).
- (4) Unless ■ FEES 3.2.3A R applies, the sum payable under ■ FEES 3.2.1 R by a *firm* applying for a *Part 4A permission* in respect of *credit-related regulated activities* only or a variation of its *Part 4A permission* to add solely one or more *credit-related regulated activities* must be paid by Maestro, Visa Debit or credit card (Visa/Mastercard/American Express only).
- (5) [deleted]

3.2.3A R (1) If the fee payer (as specified in column (1) of ■ FEES 3.2.7 R) in relation to ■ FEES 3.2.3R (4) is:

- (a) unable to make a payment by credit or debit card; or
- (b) permitted to make a paper application rather than an online application for a *Part 4A permission* in respect of *credit-related regulated activities* only or a variation of its *Part 4A permission* to add a *credit-related regulated activity*;

the sum payable under ■ FEES 3.2.1 R can be paid by bankers draft, cheque or other payable order.

3.2.3B G If ■ FEES 3.2.3AR (1)(a) applies to a fee payer, that fee payer would be expected to notify the *FCA* of these circumstances in advance of making its payment (and, in any event, no less than 7 days before the date on which the application for a *Part 4A permission* or the variation of a *Part 4A permission* is made) unless such notification is impossible in the circumstances, eg, there is a sudden technological failure.

3.2.4 G The *FCA* expects that a *person* seeking to become a *recognised body* or a *designated professional body* or to be added to the list of *designated investment exchanges* or *accredited bodies* will generally pay their respective fees by electronic credit transfer.

3.2.5 G

- (1) The appropriate authorisation or registration fee is an integral part of an application for, or an application for a variation of, a *Part 4A permission*, authorisation, registration or variation under the *Payment Services Regulations* or the *Electronic Money Regulations*, registration under article 8(1) of the *MCD Order*, authorisation under regulation 7 of the *DRS Regulations* or verification under regulation 8 of the *DRS Regulations* or notification or registration under the *AIFMD UK regulation*.
- (b) Any application or notification received by the *FCA* without the accompanying appropriate fee, in full and without deduction (see ■ FEES 3.2.1 R), will not be treated as an application or notification

made, incomplete or otherwise, in accordance with section 55U(4), or 55H of the Act or regulation 5(3) or 12(3) of the *Payment Services Regulations* or regulation 5 or 12 of the *Electronic Money Regulations* or regulation 11(1) and 60(a) of the *AIFMD UK regulation*, regulation 7(2) of the *DRS Regulations* or article 9 of the *MCD Order*.

(c) Where this is the case, the FCA will contact the applicant to point out that the application cannot be progressed until the appropriate fee has been received. In the event that the appropriate fee, in full and without deduction, is not forthcoming, the application will be returned to the applicant and no application will have been made.

(2) With the exception of *persons* seeking to become a *designated professional body*, all applications, notifications, requests for vetting or admission approval will be treated as incomplete until the relevant fee is fully paid and the FCA will not consider an application, notification, request for vetting or admission approval until the relevant fee is fully paid. *Persons* seeking to become a *designated professional body* have 30 days after the designation order is made to pay the relevant fee.

3.2.6 **G** Fees paid under this chapter are not refundable.

3.2.7 **R** **Table of application, notification, vetting and other fees payable to the FCA**

Part 1: Application, notification and vetting fees		
(1) Fee payer	(2) Fee payable (£)	Due date
(a) Any applicant for <i>Part 4A permission</i> (including an <i>incoming firm</i> applying for <i>top-up permission</i>) whose fee is not payable pursuant to sub-paragraph (zza) of this table	<p>(1) Unless (2), (3) or (4) applies, in respect of a particular application, the highest of the tariffs set out in FEES 3 Annex 1 part 1 which apply to that application.</p> <p>When both (A) and (B) apply, 50% of the tariff payable under (1):</p> <p>(A) the application only involves a simple change of legal status as set out in FEES 3 Annex 1 part 6; and</p> <p>(B) the application is:</p> <p>(i) a straightforward case under paragraph 2(d) or 3(g) of FEES 3 Annex 1;</p> <p>(ii) a moderately complex case under paragraph 2(e) or 3(h) of FEES 3 Annex 1; or</p>	On or before the application is made

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	<p>(iii) a <i>limited permission</i> case under paragraph 3(i) of FEES 3 Annex 1.</p> <p>(3) If the applicant applies for registration under article 8(1) of the <i>MCD Order</i> at the same time as applying for a Part 4A permission, the fee payable is the higher of:</p> <p>(i) the fee otherwise payable in (1) or (2); and</p> <p>(ii) the fee payable in FEES 3 Annex 10AR.</p> <p>(4) No fee is payable if the applicant satisfies the criteria set out in FEES 4 Annex 2BR(5)(a).</p>	
<p>(aa) A person who makes an application under section 24A of the Consumer Credit Act 1974 which meets the conditions of article 31 (Applications for a standard licence where no determination made before 1 April 2014) of the Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) (No 2) Order 2013 (the "relevant application")</p>	<p>As (a) above less any amount paid to the Office of Fair Trading in relation to the relevant application.</p>	<p>Within 30 days of the date of the invoice.</p>
<p>(b) Any <i>Treaty firm</i> that wishes to exercise a <i>Treaty right</i> to qualify for <i>authorisation</i> under Schedule 4 to the <i>Act</i> (Treaty rights) in respect of <i>regulated activities</i> for which it does not have an <i>EEA right</i>, except for a firm providing <i>cross border services</i> only</p>	<p>(1) Where no certificate has been issued under paragraph 3(4) of Schedule 4 to the <i>Act</i> the fee payable is, in respect of a particular exercise, set out in FEES 3 Annex 1, part 4</p> <p>(2) Where a certificate in (i) has been issued no fee is payable</p>	<p>On or before the notice of exercise is given</p>
<p>(c) Any applicant for a certificate under article 54 of the Regulated Activities Order</p>	<p>2,000</p>	<p>On or before the application is made</p>

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(d) Applicants for an <i>authorisation order</i> for, or recognition under section 272 of the <i>Act</i> of, a <i>collective investment scheme</i>	FEES 3 Annex 2R, part 2	On or before the application is made
(da) Applicants for the authorisation of an <i>AIF</i> as a <i>UK ELTIF</i>	FEES 3 Annex 2R, part 2A	On or before the date the application is made
(e) The <i>management company</i> of a scheme making a notification under section 264 of the <i>Act</i>	FEES 3 Annex 2R, part 3	On or before the date the application is made
(ea)	FEES 3 Annex 2 R, part 4	On or before the date the notification is made
(i) An <i>AIFM</i> (other than a <i>UK AIFM</i> or an <i>EEA AIFM</i> with a <i>branch</i> in the <i>UK</i>) notifying the <i>FCA</i> of its intention to market an <i>AIF</i> in the <i>UK</i> under regulation 57 of the <i>AIFMD UK regulation</i>		
(ii) An <i>AIFM</i> notifying the <i>FCA</i> of its intention to market an <i>AIF</i> in the <i>UK</i> under regulation 58 or 59 of the <i>AIFMD UK regulation</i>		
(eb) An applicant for registration on the register of <i>small registered UK AIFM</i> which the <i>FCA</i> is required to maintain under regulation 10 of the <i>AIFMD UK regulation</i>	£750	On or before the date the application is made
(f) Any <i>person</i> seeking an order under section 326(1) of the <i>Act</i> to become a <i>designated professional body</i> .	10,000	30 days after the order is granted
(g) Any applicant for recognition as a <i>UK recognised body</i> :	FEES 3 Annex 3, part 1	On or before the date the application is made
(i) under section 287 of the <i>Act</i> ; or		
(ii) under regulation 2(1) of the <i>RAP regulations</i>		
(ga) [deleted]		

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(h) Any applicant for recognition as an <i>ROIE</i> under section 287 or section 292 of the Act	FEES 3 Annex 3, part 2	On or before the date the application is made
(i) [deleted]		
(j) [deleted]		
(k) [deleted]		
(l) [deleted]		
(m) [deleted]		
(n) Applicants to be added to the list of <i>designated investment exchanges</i>	50,000	On or before the date the application is made
(o) In relation to a <i>BI-PRU firm</i> , either:	(1) Unless (2) applies, FEES 3 Annex 6.	Where the firm has made an application directly to the <i>FCA</i> , on or before the date the application is made, otherwise within 30 days after the <i>FCA</i> notifies the <i>firm</i> that its <i>EEA parent's Home State regulator</i> has requested assistance.
(i) a <i>firm</i> applying to the <i>FCA</i> for permission to use one of the <i>advanced prudential calculation approaches</i> listed in FEES 3 Annex 6 R (or <i>guidance</i> on its availability), including any future proposed amendments to those approaches or (in the case of any application being made for such permission to the <i>FCA</i> as <i>EEA consolidated supervisor</i> under the (transposing parts of the <i>BCD</i> and <i>CAD</i> , as applicable under article 95(2) of the <i>EU CRR</i>)) any <i>firm</i> making such an application ; or	(2) (a) Unless (b) applies a <i>firm</i> submitting a second application for the permission or <i>guidance</i> described in column (1) within 12 months of the first application (where the fee was paid in accordance with (1)) must pay 50% of the fee applicable to it under FEES 3 Annex 6, but only in respect of that second application	
(ii) in the case of an application to a <i>Home State regulator</i> other than the <i>FCA</i> for the use of the Internal Ratings Based approach and the <i>Home State regulator</i> requesting the <i>FCA's</i> assistance in accordance with the <i>Capital Requirements Regulations 2006</i> (transposing parts of the <i>BCD</i> and <i>CAD</i> , as applicable under article 95(2) of the <i>EU CRR</i>), any <i>firm</i> to which the <i>FCA</i> would	(b) No fee is payable by a <i>firm</i> in relation to a successful application for a permission based on a minded to grant decision in respect of the same matter following a complete application for <i>guidance</i> in accordance with prescribed submission requirements. (c) No fee is payable where the <i>Home State regulator</i> has requested the assistance described in paragraph (o)(ii) of column 1 except in the cases specified in FEES 3 Annex 6.	

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<p>have to apply any decision to permit the use of that approach.</p> <p>(oa) Either:</p> <p>(i) a <i>firm</i> applying to the <i>FCA</i> for permission to use one of the internal approaches listed in FEES 3 Annex 6A (or <i>guidance</i> on its availability), including any future proposed amendments to those approaches or (in the case of any application being made for such permission to the <i>FCA</i> as consolidating supervisor under the <i>EU CRR</i>) any <i>firm</i> making such an application; or</p> <p>(ii) in the case of an application to the consolidating supervisor other than the <i>FCA</i> for the use of the IRB approach and the consolidating supervisor requesting the <i>FCA</i>'s assistance in accordance with the <i>EU CRR</i>, any <i>firm</i> to which the <i>FCA</i> would have to apply any decision to permit the use of that approach.</p> <p>(p) A <i>firm</i> applying for a variation of its <i>Part 4A permission</i> whose fee is not payable pursuant to sub-paragraph (zza) of this table</p>	<p>(1) Unless (2) applies, FEES 3 Annex 6A.</p> <p>(2) (a) Unless (b) applies a <i>firm</i> submitting a second application for the permission or <i>guidance</i> described in column (1) within 12 months of the first application (where the fee was paid in accordance with (1)) must pay 50% of the fee applicable to it under FEES 3 Annex 6A, but only in respect of that second application.</p> <p>(b) No fee is payable by a <i>firm</i> in relation to a successful application for a permission based on a minded to grant decision in respect of the same matter following a complete application for <i>guidance</i> in accordance with prescribed submission requirements.</p> <p>(c) No fee is payable where the consolidating supervisor has requested the assistance described in paragraph (oa)(ii) of column 1.</p> <p>(1) Unless (2), (2A), (3), (3A), (3B), (3C), (3D) or 3(E) applies, if the proposed new business of the <i>firm</i> would fall within one or more activity groups specified in Part 1 of FEES 4 Annex 1AR not applicable before the application, the fee is 50% of the highest of the tariffs set out in FEES 3 Annex 1R which apply to that application.</p> <p>(2) Subject to (2A) below, if the <i>firm</i>'s application includes an</p>	<p>Where the <i>firm</i> has made an application directly to the <i>FCA</i>, on or before the date the application is made, otherwise within 30 days after the <i>FCA</i> notifies the <i>firm</i> that its <i>EEA</i> parent's consolidating supervisor has requested assistance.</p> <p>On or before the date the application is made</p>

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application for a *Part 4A permission* to carry on a new *credit-related regulated activity*, the fee is 50% of the highest of the tariffs set out in FEES 3 Annex 1R

that would be payable under (1) above or, if higher, 50% of the highest of the tariffs set out in FEES 3 Annex 1R

that would be payable in relation to the new *credit-related regulated activity* .

(2A) If an applicant which already has a *Part 4A permission* to carry on a *credit-related regulated activity* exclusively applies for a *Part 4A permission* to carry on a new *credit-related regulated activity*, that is specified in Part 3 of FEES 3 Annex 1R

in the straightforward category (or if it exclusively applies for a number of such *permissions*), the fee is £250.

(3) If the *firm* is in the A.1 fee-block at the date of the application and the variation involves adding any of the *regulated activities of meeting of repayment claims or managing dormant account funds (including the investment of such funds)*, the fee is 50% of the fee in FEES 3 Annex 1 R that applies to that application

(3A) If the applicant had a *limited permission* prior to the application to vary its *Part 4A permission*, 100% of the highest of the tariffs set out in FEES 3 Annex 1R

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which apply to that application.

(3B) If the applicant has a *limited permission* and its application exclusively relates to another *limited permission*, the fee is 0

(3C) If the applicant applies for registration under article 8(1) of the *MCD Order* at the same time as it applies for a variation of its *Part 4A permission*, the fee is the highest of the fees set out in FEES 3 Annex 10AR and the amount otherwise payable in (1), (2), (2A), (3), (3A) or (3B), or (4).

(3D) No fee is payable if the applicant satisfies the criteria set out in FEES 4 Annex 2BR(5)(a).

(4) In all other cases, other than applications by *credit unions*, the fee payable is 250 for *firms* which are not, or are not seeking to become, a *PRA-authorized person*, and 125 for *firms* which are, or are seeking to become, a *PRA-authorized person*, unless the variation involves only the reduction (and no other increases) in the scope of a *Part 4A permission* in which case no fee is payable.

(3E) The fee is 12,500 if the *firm* applying:

(i) is an *MTF operator* and the proposed new business of the *firm* is to be an *OTF operator*; or

(ii) is an *OTF operator* and the proposed new business of the *firm* is to be an *MTF operator*.

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<p>(pa) A person who makes an application under section 30(1) of the Consumer Credit Act 1974 which meets the conditions of article 33 (Variations at request of licensee where no determination made before 1 April 2014) of the Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) (No 2) Order 2013 (the "relevant variation application")</p>	<p>As (a) or (p) above, less any amount paid to the Office of Fair Trading in relation to the relevant variation application.</p>	<p>Within 30 days of the date of the invoice.</p>
<p>(q) [deleted]</p> <p>(r) [deleted]</p>		
<p>(s) In the case of an <i>insurance business transfer scheme</i>, a transferor.</p> <p>Note - for the purpose of this paragraph an <i>insurance business transfer scheme</i> consists of a single transferor and a single transferee. Where however such a scheme is part of a single larger scheme, that larger scheme is treated as a single <i>insurance business transfer scheme</i>. If an <i>insurance business transfer scheme</i> includes more than one transferor in accordance with this paragraph, the transferors are liable to pay the fee under column (2) jointly.</p>	<p>Either (1) or (2) as set out below:</p> <p>(1) In the case of an <i>insurance business transfer scheme</i> involving <i>long term insurance business</i>, 9,250; or</p> <p>(2) in the case of an <i>insurance business transfer scheme</i> not involving <i>long term insurance business</i>, 5,000.</p>	<p>On or before any application is made for the appointment of a person as an <i>independent expert</i>.</p>
<p>(t) [deleted]</p> <p>(u) [deleted]</p> <p>(v) [deleted]</p> <p>[deleted]</p> <p>(x)[deleted]</p>		

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(y) An applicant for authorisation as an <i>authorised payment institution</i> under regulation 5 of the <i>Payment Services Regulations</i>	<p>The highest of the tariffs set out in FEES 3 Annex 8 which apply to that application.</p> <p>Where an application only involves a simple change of legal status as set out in FEES 3 Annex 1 Part 6, the fee payable is 50% of the tariff that would otherwise be payable in FEES 3 Annex 8R.</p>	On or before the date the application is made.
(ya) An applicant for registration as an account information service provider under regulation 17 of the <i>Payment Services Regulations</i> .	<p>FEES 3 Annex 8R, paragraph (2)(i).</p> <p>Where an application only involves a simple change of legal status as set out in FEES 3 Annex 1 Part 6, the fee payable is 50% of the tariff that would otherwise be payable in FEES 3 Annex 8R.</p>	On or before the date the application is made.
(z) An application by a <i>small payment institution</i> for authorisation as an <i>authorised payment institution</i> because regulation 16 of the <i>Payment Services Regulations</i> applies	The highest of the tariffs set out in FEES 3 Annex 8R which apply to that application.	On or before the date the application is made.
(za) An applicant for registration as a <i>small payment institution</i> under regulation 13 of the <i>Payment Services Regulations</i>	FEES 3 Annex 8R, paragraph (1). Where an application only involves a simple change of legal status as set out in FEES 3 Annex 1 R Part 6, the fee payable is 50% of the tariff that would otherwise be payable in FEES 3 Annex 8R.	On or before the date the application is made.
(zb) An <i>authorised payment institution</i> applying to vary its authorisation under regulation 5 of the <i>Payment Services Regulations</i> .	(1) If prior to the variation the <i>authorised payment institution</i> is authorised to carry on any one or more of the payment services falling within paragraph (f), (g) or (h) of Part 1 of Schedule 1 to the <i>Payment Services Regulations</i> and the <i>authorised payment institution</i> is applying to extend its authorisation to include any one or more of the payment	On or before the date the application is made.

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services in (a) to (e), the fee is 50% of the highest of the tariffs set out in FEES 3 Annex 8R which apply to that application.

(2) Where the *authorised payment institution* already has authorisation to provide *payment services* within any one or more of paragraphs (a) to (e) of Part 1 of Schedule 1 to the *Payment Services Regulations* and wishes to add one or more other services in (a) to (f);

the fee payable is £250 irrespective of the number of *agents* it has.

(3) Where the *authorised payment institution* already has authorisation to provide *payment services* within any one or more of paragraphs (a) to (f) of Part 1 of Schedule 1 to the *Payment Services Regulations* and wishes to add one or both of the services in (g) and (h) the fee payable is £750, irrespective of the number of *agents* it has.

(4) In cases where the variation involves only the reduction (and no increases) of the types of *payment services* to be carried on after the variation, no fee is payable.

(zc) A *small payment institution* applying to vary its registration under regulation 13 of the *Payment Services Regulations*

(1) The fee is 50% of the tariff set out in FEES 3 Annex 8R, paragraph (1).

(2) In cases where the variation involves only the reduction (and no increases) of the types of *payment services* to be carried on after the variation, no fee is payable.

On or before the date the application is made.

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(zd)		[deleted]
(ze) Any <i>person</i> to which the Special Project Fee for restructuring applies under FEES 3 Annex 9.	Special Project Fee for restructuring in accordance with FEES 3 Annex 9 .	30 days of the date of the invoice.
(zf) [deleted]		
(zg) An applicant for authorisation as an <i>authorised electronic money institution</i> under regulation 5 of the <i>Electronic Money Regulations</i> .	The amount set out in FEES 3 Annex 10 R. Where an application only involves a simple change of legal status as set out in FEES 3 Annex 1 R Part 6, the fee payable is 50% of the tariff that would otherwise be payable in FEES 3 Annex 10 R.	On or before the date the application is made.
(zh) An applicant for registration as a <i>small electronic money institution</i> under regulation 12 of the <i>Electronic Money Regulations</i> .	The amount set out in FEES 3 Annex 10 R. Where an application only involves a simple change of legal status as set out in FEES 3 Annex 1 R Part 6, the fee payable is 50% of the tariff that would otherwise be payable in FEES 3 Annex 10 R.	On or before the date the application is made.
(zi) An application by a <i>small electronic money institution</i> for authorisation as an <i>authorised electronic money institution</i> because regulation 16 of the <i>Electronic Money Regulations</i> applies.	The amount set out in FEES 3 Annex 10 R.	On or before the date the application is made.
(zj) An <i>authorised electronic money institution</i> applying to vary its authorisation under regulation 8 of the <i>Electronic Money Regulations</i> .	(1) Subject to (2) below, the fee is 50% of the tariff for an <i>electronic money institution</i> authorisation application set out in FEES 3 Annex 10R. (2) Where the <i>authorised electronic money institution</i> applies to vary its permission so as to be able to provide one or both of the payment services in paragraphs (g) and (h) of Part 1 of Schedule 1 to the <i>Payment Services Regulations</i> the fee payable is £750.	On or before the date the application is made.

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(zk) A <i>small electronic money institution</i> applying to vary its registration under regulation 12 of the <i>Electronic Money Regulations</i> .	The amount set out in FEES 3 Annex 10 R.	On or before the date the application is made.
(zl) An applicant for recognition as an <i>accredited body</i> .	2,500	On or before the date the application is made.
(zm) An <i>issuer</i> applying for registration of a <i>regulated covered bond</i> .	(1) Unless (2) or (3) applies, 45,000. (2) In the case of a proposed <i>covered bond</i> or <i>programme</i> where the assets in the <i>asset pool</i> will consist primarily of UK residential mortgages, 25,000. (3) No fee is payable if the <i>issuer</i> satisfies the criteria set out in FEES 4 Annex 2BR(5)(b).	On or before the date the application is made.
(zn) An <i>issuer</i> who proposes to make a material change to the contractual terms of a <i>regulated covered bond</i> under RCB 3.5.4 D.	(1) Unless (2) applies, 6,500. (2) No fee is payable if the <i>issuer</i> satisfies the criteria set out in FEES 4 Annex 2BR(5)(c).	On or before the date the notification under RCB 3.5.4 D is made.
(zo) In the case of <i>persons</i> in respect of which the <i>FCA</i> has given notice of its intention to take, or appoint a competent person to take, any steps under CONRED 2.5.12R, either: (i) a <i>Firm</i> (as defined in CONRED 2.1.1R(1)); or (ii) a <i>person</i> falling within CONRED 2.1.2R(1).	An amount equal to: (1) a sum determined by the number of hours, or part of an hour, taken by the <i>FCA</i> in relation to work conducted in taking steps under CONRED 2.5.12R recorded on the <i>FCA</i> 's systems, multiplied by the rate in FEES 3 Annex 9 (11)R; or (2) any amount invoiced to the <i>FCA</i> by a competent person in relation to any work carried out by that competent person in connection with its appointment by the <i>FCA</i> under CONRED 2.5.12R.	Within 30 days of the date of the invoice.
(zp) A <i>person</i> in respect of which the <i>FCA</i> has given notice of its intention to itself appoint a <i>skilled person</i>	Any amount invoiced to the <i>FCA</i> by a <i>skilled person</i> in relation to any work carried out by that <i>skilled person</i>	Within 30 days of the date of the invoice.

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to provide it with a report pursuant to section 166(3)(b) of the Act and SUP 5.2.	in connection with its appointment by the FCA pursuant to section 166(3)(b) of the Act.	
(zq) A person in respect of which the FCA has given notice of its intention to itself appoint a skilled person to collect or update information pursuant to section 166A(2)(b) of the Act.	Any amount invoiced to the FCA by a skilled person in relation to any work carried out by that skilled person in connection with its appointment by the FCA pursuant to section 166A(2)(b) of the Act.	Within 30 days of the date of the invoice.
(zr) [deleted]		
(zs) Applicant for FCA permission for an agreement to be enforced under section 28A(3)(a) and/or money paid or property transferred under and agreement to be retained under 28A(3)(b) of the Act	<p>(1) If the application is for permission for an agreement to be enforced under section 28A(3)(a) of the Act and for permission for money paid or property transferred under an agreement to be retained under section 28A(3)(b) of the Act, the fee is £3,500 per type of agreement specified in the application.</p> <p>(2) If the application is for permission for an agreement to be enforced under section 28A(3)(a) of the Act only, the fee is £3,500 per type of agreement specified in the application.</p> <p>(3) If the application is for permission for money paid or property transferred under an agreement to be retained under section 28A(3)(b) of the Act only, the fee is £3,500 per type of agreement specified in the application.</p> <p>Where there are a number of agreements of the same type, only one fee is payable in respect of those agreements. A number of agreements are of the</p>	On or before the date the application is made.

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	same type when those agreements are entered into on the same terms and conditions.	
(zt) An applicant for registration in the <i>Financial Services Register</i> under article 8(1) of the <i>MCD Order</i> .	<p>Unless (1), or (2) applies, the fee as set out in FEES 3 Annex 10A.</p> <p>(1) If the applicant is applying for a <i>Part 4A permission</i> at the same time as it applies for registration under article 8(1) of the <i>MCD Order</i>, the fee payable in row (a), column (2) paragraph (3) of this Table.</p> <p>(2) If the applicant is applying for a variation of a <i>Part 4A permission</i> at the same time as it applies for registration under article 8(1) of the <i>MCD Order</i>, the fee payable in row (p), column 2 paragraph (3)(c) of this Table.</p>	On or before the application is made.
(zu) Any person to which the Designated Credit Reference Agencies and Finance Platform Fee applies under FEES 3 Annex 10B.	Designated Credit Reference Agencies and Finance Platform Fee in accordance with FEES 3 Annex 10B.	Within 30 days of the date of the invoice.
(zv) Any firm that meets the test in FEES 3 Annex 10C(1)R(1) (PPI campaign fees).	The amount set out in FEES 3 Annex 10C(1) R(2).	Within 30 days of the date of the invoice.
(zw) An applicant for authorisation under regulation 7 of the <i>DRS Regulations</i> , or the operator of a <i>trading venue</i> seeking verification of their compliance with Title V of <i>Mi-FID</i> under regulation 8 of the <i>DRS Regulations</i> or an applicant for variation of an authorisation under regulation 12 of the <i>DRS Regulations</i> .	<p>Either (1), (2), or (3) applies as set out below:</p> <p>(1) If the applicant is applying for permission to operate one <i>data reporting service</i>, 5,000.</p> <p>(2) If the applicant is applying for permission to operate more than one <i>data reporting services</i>, 50% of the fee at (1) for each additional service plus the fee at (1).</p> <p>(3) If the applicant is applying for variation of an authorisation, 50% of the fee at (1)</p>	On the date the application is made.

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<p>(zx) (1) Unless (2) applies any <i>person</i> applying to connect to the <i>market data processor system</i> to make <i>transaction reports</i> directly to the FCA under <i>MiFIR</i>.</p> <p>(2) If a <i>person</i> has previously applied as stated in (zx)(1) above and has been connected then no further fee is payable for any further such applications.</p>	<p>for each additional service.</p> <p>1) Unless (2) applies, 20,000.</p> <p>(2) Any <i>incoming data reporting services provider</i> will pay 80% of the fee at (1).</p>	<p>On the date the application is made</p>
<p>(zy) (1) Subject to (2) and (3) below, any <i>person</i> applying to connect to the <i>market data processor system</i> to provide <i>markets data (other than transaction reports)</i> under <i>MiFID</i> and <i>MiFIR</i>.</p> <p>(2) If a <i>person</i> has previously applied as stated in (zy)(1) above and has been connected then no further fee is payable for any further such applications in relation to reporting the same data.</p> <p>(3) If a <i>person</i> has previously applied as stated in (zy)(1) above and makes a further application in relation to the provision of different data then a separate fee is payable for such application.</p>	<p>(1) Unless (2) applies, 10,000.</p> <p>(2) Any <i>incoming data reporting services provider</i> authorised by another <i>EEA State</i> will pay 80% of the fee at (1).</p>	<p>On the date the application is made.</p>
<p>(zz) an applicant for registration under regulation 14 of the <i>Risk Transformation Regulations</i> as a <i>protected cell company</i>.</p>	<p>500</p>	<p>On or before the date the application is made.</p>
<p>(zza) An application for authorisation as a <i>regulated benchmark administrator</i>.</p>	<p>The highest of the applicable tariffs set out in FEES 3 Annex 1R.</p> <p>Where an applicant intends to <i>administer benchmarks</i> falling into</p>	<p>On the date the application is made.</p>

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	different complexity groupings, it will pay one fee only, for the highest category applied for. If, once authorised, a <i>regulated benchmark administrator</i> notifies the FCA of its intention to administer other/additional <i>benchmarks</i> no further application fee is payable (even if the other/additional benchmark falls into a higher complexity category).	
(zzb) An application for recognition of an administrator in accordance with article 32 of the <i>benchmarks regulation</i> .	5,000	On the date the application is made.
(zzc) An application for endorsement of a <i>benchmark</i> or family of <i>benchmarks</i> in accordance with article 33 of the <i>benchmarks regulation</i> .	1,500	On the date the application is made.
(zzd) applications for <i>claims management companies</i>	(1) £1,200 for <i>claims management companies</i> with annual turnover of up to and including £1,000,000; and (2) £10,000 for <i>claims management companies</i> with annual turnover of over £1,000,000. <i>Firms</i> which already have <i>Part 4A permissions</i> and are applying to vary their permissions will receive a 50% reduction in the relevant fee.	On the date the application is made.
(zze) An application for authorisation as a <i>third party verifier</i>	(1)Unless (2) applies, 1,500. (2) <i>Firms</i> which already have <i>Part 4A permissions</i> will not receive a 50% reduction in the authorisation fee.	On the date the application is made.
Part 2: UKLA fees		
(1) Fee payer	(2) Fee payable	(3) Due date

Part 1: Application, notification and vetting fees		
(a)	FEES 3 Annex 12R	Within 30 days of the date of the invoice.
<p>(i) An <i>issuer</i> which has not made public its annual financial report before the latest time specified in DTR 4.1.3 R.</p> <p>(ii) An <i>issuer</i> which has not made public its half-yearly financial report before the latest time specified in DTR 4.2.2 R (2).</p>		
(b) An applicant for approval as a <i>sponsor</i> .	FEES 3 Annex 12R	On or before the date the application is made.
(c) For the purposes of the <i>listing rules</i> :	FEES 3 Annex 12R	On or before the date that relevant <i>document</i> is first submitted to the FCA.
<p>(i) an <i>issuer</i> requesting approval of a <i>document</i> arising in relation to a specific event or transaction, which is not a <i>significant transaction</i> or a <i>super transaction</i>; or</p> <p>(ii) an <i>issuer</i> or <i>person</i> applying for eligibility for <i>listing</i> of its <i>securities</i>.</p>		
(d) Under the <i>prospectus rules</i> , an <i>issuer</i> or a <i>person</i> requesting approval or review of a <i>document</i> arising in relation to a specific event or transaction, which is not a <i>significant transaction</i> or a <i>super transaction</i> .	FEES 3 Annex 12R	On or before the date that relevant <i>document</i> is first submitted to the FCA.
(e) An <i>issuer</i> requesting the approval or review of a <i>document</i> in connection with a <i>super transaction</i> .	FEES 3 Annex 12R	On or before the date that relevant <i>document</i> is first submitted to the FCA.
(f) An <i>issuer</i> requesting the approval or review of a <i>document</i> in connection with a <i>significant transaction</i> .	FEES 3 Annex 12R	On or before the date that relevant <i>document</i> is first submitted to the FCA.
(g) A person who requests the FCA's approval of a <i>document</i> that includes a <i>mineral expert's report</i> and who is a fee payer under one or more of the	FEES 3 Annex 12R	On or before the date that relevant <i>document</i> is first submitted to the FCA.

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categories (c), (d), (e), and (f) above must additionally pay a fee under this category.		
(h) An applicant for approval as a <i>primary information provider</i> .	FEES 3 Annex 12R	On or before the date the application is made.

[**Note:** Guidance on how a *firm* liable to pay a fee under both rows (s) and (ze) of this table for the same transaction should expect to be treated is set out in ■ FEES 3 Annex 11 G.]

3.2.7A **R**

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