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FEES TP 1
Transitional Provisions

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional Provision	(5) Transitional Provision: dates in force	(6) Handbook provision: coming into force
1.	FEES 3.2.7 R(p)	R	[expired]		
2.	FEES 4 Annex 1 R Part 3, Activity group A9 (operators, trustees and depositaries of collective investment schemes)	R	[expired]		
3.	FEES 4 Annex 1 R Part 3, Activity group A2		[expired]		
4.	FEES 4 Annex 1 R, Activity Group A.2		[expired]		
5.	[deleted]				
6.	FEES 6.3.1 R	R	The *FSCS* must not impose a *specific costs levy* or a *compensation costs levy* on a *Northern Ireland credit union* if that levy relates to a *claim* against a *relevant person* that was in *default* before *credit unions day*.	From 31 March 2012 indefinitely	For *Northern Ireland credit unions* 31 March 2012
7. [FCA]	FEES 7	R	[expired]		

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FEES TP 2
Transitional provisions relating to changes to the FSCS levy arrangements taking effect in 2007/8 and in 2008/9

2.1 Treatment of balances as at 1 April 2008 [expired]

2.2 Split of business between life and pensions intermediation and investment intermediation [expired]

2.3 Incorrect information [expired]

2.4 Allocation of recoveries

2.4.1 R Any recoveries made by the *FSCS* after 31 March 2008 in relation to *protected claims* compensated prior to 1 April 2008, the costs of which were allocated to the relevant contribution group in place at the time, must be credited to the *sub-class* in place after 31 March 2008 to which the costs of the *protected claim* would have been allocated had it been compensated after that date, or if relevant, in accordance with FEES 6.3.20 R.

2.4.2 R *FEES* TP 2.4.1R does not apply to the extent that it is inconsistent with the *compensation transitionals order*.

2.5 Interpretation

2.5.1 R In FEES TP 2 'contribution group' means one of the groups of participant firms within a sub-scheme in existence prior to 1 April 2008 set out in FEES 6.5.7 R at the time, being groups that carried on business of a similar nature, to which *compensation costs* and *specific costs* were allocated in accordance with FEES 6.4 and FEES 6.5 in force at the time. Sub-scheme means one of the sub-schemes to which *FSCS* allocated liabilities for *compensation costs* prior to 1 April 2008, as described in FEES 6.5.7 R at the time.

2.5.2 R For the purpose of FEES 6.5.13 R as it applies with respect to the *financial year* of the *compensation scheme* beginning on 1 April 2008:

(1) references in FEES 6.5.13 R to *sub-classes* must be read as references to *sub-classes* to which *firms* will belong after 31 March 2008; and

(2) (where *FEES* TP provides for the tariff base for a *sub-class* to be calculated by reference to a contribution group prior to that date) FEES 6.5.13 R (1) must be read as also including a requirement for the supply of the necessary information in relation to that contribution group.

2.5.3 R The amendments made to FEES 6.5.16 R by the Fees Manual (FSCS Funding) Instrument 2007 only have effect before 1 April 2008 for the purpose of the *financial year* of the *compensation scheme* beginning on 1 April 2008.

2.5.4 G FEES 6 Annex 2 R and FEES 6 Annex 3 R (*classes*, *sub-classes* and tariff bases) are brought into force for the purpose of *FEES* TP and FEES 6.5.13 R in November 2007. However they do not have any other effect until 1 April 2008.

2.6 Past defaults

2.6.1 G The changes made to the levy *rules* made by the Fees Manual (FSCS Funding) Instrument 2007 apply to any levy made after 31 March 2008. This is so even if:

(1) the claim against the *firm in default* arose or relates to circumstances arising before that date; or

(2) the *firm* was *in default* before that date.

(3) [deleted]

2.7 Transitional provisions for changes to relieving provisions [expired]

2.8 Effect of the tariff base changes for the financial year beginning on 1 April 2009 before that date [expired]

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FEES TP 3
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Fees Manual

FEES TP 4
Transitional provisions relating to information requirements following changes to FEES 4 or 5

4.1		**Effect of changes to FEES 4 or 5 in relation to the supply of information to the** ***appropriate regulator***
4.1.1 [FCA] [PRA]	R	This *rule* applies where any *rule*, or amendment to a *rule*, in FEES 4 or FEES 5 ("a FEES rule") has been made but will only come into force in relation to a future financial year of the *appropriate regulator* or *Financial Ombudsman Service* ("the future year"), as the case may be.
4.1.2 [FCA] [PRA]	R	Unless another *rule* expressly disapplies this *rule*, a FEES rule has immediate effect for the supply of information under FEES 4.4 or FEES 5.4 in relation to that future year.
4.1.3 [FCA] [PRA]	R	A reference in this *rule* to an *appropriate regulator* or *Financial Ombudsman Service* financial year is a reference to the 12 *months* ending 31 March.

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FEES TP 5
Transitional Provisions relating to the Special Project Fee for Restructuring

5.1	**Special Project Fee for Restructuring applicable to circumstances before 1 July 2010**	
5.1.1 [FCA] [PRA]	R	This *rule* relates to the changes to FEES 3 Annex 9 (Special Project Fee for restructuring) made by the Fees (Special Project Fee For Restructuring) (Amendment) Instrument 2010. It deals with a trigger event that occurred or started before 1 July 2010 (an "old trigger event") but which was of a type that was only brought into the definition of trigger event by that instrument. A trigger event means a circumstance or event of a type set out in paragraphs (2) or (6) of that Annex (events or circumstances that trigger liability for the Special Project Fee for restructuring).
5.1.2 [FCA] [PRA]	R	An old trigger event is still a trigger event and thus triggers liability for the fee. However any regulatory work conducted before 1 July 2010 as a consequence of an old trigger event is not taken into account for the purposes of the calculation of the fee (including the floor in paragraph (8)(a) of FEES 3 Annex 9). Likewise any fees and disbursements invoiced to the *appropriate regulator* in respect of services performed for the *appropriate regulator* in relation to assisting the *appropriate regulator* in performing such regulatory work are not included to the extent that the invoice relates to the period before 1 July 2010.
5.1.3 [FCA] [PRA]	G	For example, say that a *firm* goes into administration before 1 July 2010. Say that the administration did not come within the list of events that triggered liability for the fee before 1 July 2010. The fee is still potentially payable. However the fee will not cover work carried out by the *appropriate regulator* before 1 July 2010. The same applies even if the administration started before 1 June 2009, when the fee first came into force.

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FEES TP 7
Transitional provisions relating to changes to the FSCS levy arrangements taking effect in 2013/14

7.1	R	As at 31 March 2013, the *FSCS* must: (1) allocate any surplus or deficit in the balance of an *FSA* activity group in respect of *base costs*, to the account of the corresponding *FCA* activity group as listed in FEES 4 Annex 1A R as at 1 April 2013; and (2) take that surplus or deficit (so allocated) into account when calculating the amount to be levied under FEES 6.4.5 R in respect of the *financial year* of the *compensation scheme* commencing on 1 April 2013.
7.2	R	For the purpose of FEES 6.5A.6 R, 'FEES 4 Annex 1A R' must be read as 'FEES 4 Annex 1 R' (as it was in force immediately before 1 April 2013) until the *regulatory costs* arising from the activity group in FEES 4 Annex 1A R have been determined. The *FSCS* may recalculate the liabilities once the *regulatory costs* arising from the activity group in FEES 4 Annex 1A R have been determined and credit or debit *participant firms* as appropriate.

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FEES TP 8
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FEES TP 9
Transitional arrangements in relation to amendments introduced by the Compensation Sourcebook (Investments by Large Unincorporated Associations and Certain Large Partnerships) Instrument 2013

9.1	**Introduction**	
9.1.1	G	*FEES* TP 9 deals with transitional arrangements relating to the calculation of *annual eligible income* under FEES 6.5.13 R in the light of the introduction of the Compensation Sourcebook (Investments by Large Unincorporated Associations and Certain Large Partnerships) Instrument 2013, which came into force on 13 December 2013 (the "Instrument").
9.1.2	G	The definition of *annual eligible income* allows for it to be calculated in one of two ways from annual income: "(a) only include such annual income if it is attributable to business conducted with or for the benefit of *eligible claimants* and is otherwise attributable to compensatable business ["Method (a)"]; or (b) include all such annual income".
9.2	**Scope**	
9.2.1	R	*FEES* TP 9 applies to a participant firm providing a statement to the *FSCS* in accordance with FEES 6.5.13 R: (a) in respect of the *participant firm*'s financial year ended in the year to 31 December 2013; and (b) which was a member of class C2, D1 and/or D2 in 2013; and (c) which states its total amount of business in relation to those classes based on a calculation of its *annual eligible income* using Method (a).
9.3	**Firms whose financial years end in the period 1 January 2013 to 12 December 2013**	
9.3.1	G	A *participant firm*, whose financial year ended in the period 1 January 2013 to 12 December 2013, does not need to include in its calculation of *annual eligible income* the annual income attributable to business conducted with or for the benefit of *eligible claimants* who only became *eligible claimants* as a result of the Instrument.
9.4	**Firms whose financial years end in the period 13 to 31 December 2013**	
9.4.1	R	A *participant firm*, whose financial year ended in the period 13 to 31 December 2013, may calculate its *annual eligible income* by any of the following methods: (a) include the annual income attributable to business conducted with or for the benefit of *eligible claimants* who only became *eligible claimants* as a result of the Instrument; (b) do not include the annual income attributable to business conducted with or for the benefit of *eligible claimants* who only became *eligible claimants* as a result of the Instrument; or (c) include only that part of the annual income attributable to business conducted with or for the benefit of *eligible claimants* who became *eligible claim-*

ants as a result of the Instrument that is attributable to the period from 13 December 2013 to the end of the *participant firm's* financial year.

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FEES TP 10
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FEES TP 11
Transitional Provisions for the Benchmarks Order 2015

11.1	**Introduction**			
11.1.1	G	(1)		FEES TP 11 deals with transitional arrangements for *firms* that will *administer specified benchmarks* by operation of the "Benchmarks Order 2015".
		(2)		The "Benchmarks Order 2015" is the Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2015 (SI 2015/369)
11.1.2	R	FEES TP 11 remains in force until all fees in FEES TP 11.2 have been paid in full.		
11.2	**Exceptional fee**			
11.2.1	R	FEES TP 11.2 applies to a *firm* which:		
		(1)		is treated as having its *permission* varied to include *administering a specified benchmark* under article 4 of the Benchmarks Order 2015; or
		(2)		meets the following criteria:
			(a)	its *permission*, before 1 April 2015, included *administering a specified benchmark*;
			(b)	on 1 April 2015, it is administering more than one *specified benchmark*; and
			(c)	it is not a *firm* in FEES TP 11.2.1R(1).
11.2.2	R	A *firm* in FEES TP 11.2.1R is treated as if:		
				it had applied to carry on "*administering a specified benchmark*" under FEES 3.2.7R(ga)(ii) on 1 April 2015; and
				its due date for the payment of the relevant fee is 30 days after 1 April 2015.

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FEES TP 13
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FEES TP 14
Transitional provisions relating to FEES 4 for benchmark administrators and recognised investment exchanges

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
14.1	FEES TP 4.1.2R and FEES 4.4	R	FEES TP 4.1.2R does not apply to changes to the requirements in *FEES* on *benchmark administrators* and *recognised investment exchanges* made by the Fees (Miscellaneous Amendments) (No 9) Instrument 2017. These amendments will have immediate effect for the supply of information under FEES 4.4 in relation to the *fee year* beginning 1 April 2017 and ending 31 March 2018.	From 1 April 2017	1 April 2017
14.2	FEES 4.4.2R	R	For the year ending 31 December 2016, rather than having to provide the *FCA* with the information required under FEES 4.4.1R within two *months* of the date specified as the valuation date in Part 5 of FEES 4	From 1 April 2017	1 April 2017

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
			Annex 1AR *benchmark administrators* and *recognised investment exchanges* are required to submit this information by 18 June 2017.		

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FEES TP 15
Transitional Provisions for the MiFID II Order

15.1 Introduction

15.1.1 G FEES TP 15 deals with transitional arrangements for applicants applying for *permissions* as introduced by the MiFID II Order.

15.2 Interpretation

15.2.1 R The "MiFID II Order" is the Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2017 (SI 2017/488).

15.2.2 G The MiFID II Order makes amendments to the Financial Services and Markets Act 2000 (Regulated Activities) Order (SI 2001/544) to transpose parts of *MiFID*.

The MiFID II Order was brought into force on 1st April 2017, and enables the *FCA* to determine applications made under it.

15.3 Application

15.3.1 R (1) FEES TP 15.4.1R applies:

(a) to a *person* who:

(i) makes an application to the *FCA* for a *Part 4A permission* or an application for a variation of a *Part 4A permission* other than under article [15] of the MiFID II Order; and also

(ii) makes an application to the *FCA* for a *Part 4A permission* or an application for a variation of a *Part 4A permission* under article 15 of the MiFID II Order;

(b) where

(i) applications under FEES TP 15.3.1R(1)(a)(i) and FEES TP 15.3.1R(1)(a)(ii) are made on the same date; or

(ii) an application under FEES TP 15.3.1R(1)(a)(i) is made before an application under FEES TP 15.3.1R(1)(a)(ii); and

(c) either:

(i) the applications under FEES TP 15.3.1R(1)(a)(i) and FEES TP 15.3.1R(1)(a)(ii) are made on the same date; or

(ii) an application under FEES TP 15.3.1R(1)(a)(i) is made before an application under FEES TP 15.3.1R(1)(a)(ii), where the following two conditions apply:

(A) a draft of the application described in FEES TP 15.3.1R(1)(a)(ii) is received by the *FCA* before the date the MiFID II Order came into force; and

(B) the applicant confirmed that the draft application can be treated as a formal application on or after the date that the MiFID II Order came into force.

15.3.2 G FEES TP 15.4.1R does not apply to *dual regulated firms* which are *authorised* or have applied to become *authorised* by the *PRA*.

15.4 Calculation of fees payable under FEES 3.2.1R

15.4.1	R	Where this *rule* applies, the fee payable under FEES 3.2.1R in respect of the application described under FEES TP 15.3.1R(1)(b) is any positive amount that results from the following calculation: (1) the fee payable under the application described under FEES TP 15.3.1R(1)(a)(ii); LESS (2) the fee paid for the application described under FEES TP 15.3.1R(1)(a)(i).
15.5	**Transitional provisions: dates in force**	
15.5.1	R	FEES TP 15 will remain in force until 3 January 2018.

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FEES TP 16R
Transitional Provisions for Market Data Processor System Connectivity Fees

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
16.1	FEES 3.2.7R Part 1 (1) (zx) and 1(1) (zy)	R	Where a *person* has applied to connect to the *market data processor system* prior to [3 July 2017] the on-boarding fees as described in FEES 3.2.7R Part 1 (1) (zx) and 1(1) (zy) are payable in respect of the application and are due within 15 workings days of 3 July 2017.	From 3 July 2017	3 July 2017

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FEES TP 17R
Transitional provisions relating to the Payment Services Regulations 2017 and Electronic Money Regulations 2011

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional Provision	(5) Transitional Provision: dates in force	(6) Handbook provision: coming into force
Interpretation					
1.	FEES TP 17R	R	In these transitional provisions: (1) References to the Payment Services Regulations 2017 are to the Payment Services Regulations 2017 (SI 2017/752); and (2) references to the Electronic Money Regulations 2011 are to the Electronic Money Regulations 2011 (SI 2011/99) as amended by the Payment Services Regulations 2017.	From commencement	8 December 2017
Fees for authorisation and registration applications submitted prior to 13 January 2018					
2.	FEES 3 Annex 8	R	If, prior to 13 January 2018, an applicant: submits an application for authorisation as an authorised payment institution under regulation 5 of the Payment Services Regulations 2017, the fee for that application will be the highest of the tariffs in (i) and (ii) below which apply to that application. (i) where the applicant is applying to provide the payment services in paragraph(s) (f) (money remittance) and/or (g) (payment initiation services) and/or (h) (account information services) of Part 1 of Schedule 1 to the Payment Services Regulations 2017 the fee is £1,500. (ii) where the applicant is applying to provide the payment services in any one or more of the following paragraph(s) of Part 1 of Schedule 1 to the Payment Services Regulations 2017, namely: (a) (enabling cash to be placed on payment account and all operations required for operating a payment account);	From 8 December 2017 until 13 January 2018	N/A

			(b) (enabling cash withdrawals from a payments account and all operations required for operating a payment account); (c) (execution of direct debts, payment transactions executed through a payment card or similar device, credit transfers); (d) (execution of payment transactions where the funds are covered by a credit line for the payment service user); (e) (issuing payment instruments or acquiring payment transactions) the fee is £5,000. This fee is due on or before the date the application is made.		
3.	FEES 3 Annex 8	R	Where an applicant submits an application for authorisation as an authorised payment institution under regulation 5 of the Payment Services Regulations 2017 prior to 13 January 2018 and that applicant intends to use agents there will be a fee of £3 for each agent registered with the *FCA* at the time of application. This fee is in addition to any fee due under FEES TP 17R(2)	From 13 October 2017 until 13 January 2018	N/A
4.	FEES 3 Annex 8	R	If, prior to 13 January 2018, an applicant submits an application to be registered as an account information service provider under regulation 17 of the Payment Services Regulations 2017 the fee for this application will be £1,500. This fee is due on or before the date the application is made.	From 13 October 2017 until 13 January 2018	N/A
5.	FEES 3 Annex 8	R	If, prior to 13 January 2018, an applicant submits an application for registration as a small payment institution under regulation 13 of the Payment Services Regulations 2017 the fee for that application will be £500. This fee is due on or before the date the application is made.	From 13 October 2017 until 13 January 2018	N/A
6.	FEES 3 Annex 8	R	Subject to paragraph 11 below, if, prior to 13 January 2018, an applicant submits an application to vary: (i) its authorisation under regulation 5 of the Payment Services Regulations 2017; or (ii) its registration under regulation 13 of the Payment Services Regulations 2017	From 8 December 2017 until 13 January 2018	N/A

			the fee is 50% of the highest of the tariffs set out in FEES TP17 which apply to that application. 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. If a fee is payable this fee is due on or before the date the application is made.		
Fees for re-authorisation and re-registration					
7.	FEES 3 Annex 8	R	Where a *person* is treated as having made an application under regulation 150(4) of the Payment Services Regulations 2017 the fee for this application will be £750. This fee is due on or before the date the application is treated as having been made.	From 13 October 2017 until 13 April 2018	N/A
8.	FEES 3 Annex 8	R	Where a *person* makes an application under regulation 151(2) of the Payment Services Regulations 2017 the fee for this application will be £250. This fee is due on or before the date the application is made.	From 13 October 2017 until 13 October 2018	N/A
9.	FEES 3 Annex 10	R	Where a *person* makes or is treated as having made an application for re-authorisation under regulation 78A of the Electronic Money Regulations 2011 the fee for this application will be £750. This fee is due on or before the date the application is made or is treated as having been made.	From 13 October 2017 until 13 April 2018	N/A
10.	FEES 3 Annex 10	R	Where a *person* makes or is treated as having made an application for re-registration under regulation 78A of the Electronic Money Regulations 2011 the fee for this application will be £250. This fee is due on or before the date the application is made or is treated as having been made.	From 13 October 2017 until 13 October 2018	N/A
Fees for variation of authorisation applications submitted prior to 13 January 2018					
11.	FEES 3 Annex 8	R	If, prior to 13 January 2018, an applicant submits an application to vary its authorisation under regulation 5 of the Payment Services Regulations 2017 so as to be able to provide one or both of the payment services in paragraphs (g) (payment initiation services) and (h) (account information services) of Part 1 of Schedule 1 to those Regulations, the applicant will be required to pay an additional fee within one month of 13 January 2018. That addi-	From 8 December 2017 until 13 January 2018	N/A

			tional fee is the difference in the fee payable at the date of the application and the fee payable for such an application made on or after 13 January 2018.		
12.	FEES 3 Annex 10	R	If, prior to 13 January 2018, an applicant: submits an application to vary its authorisation under regulation 8 of the Electronic Money Regulations 2011 so as to be able to provide one or both of the payment services in paragraphs (g) (payment initiation services) and (h) (account information services) of Part 1 of Schedule 1 to Payment Services Regulations 2017, the applicant will be required to pay an additional fee within one month of 13 January 2018. That additional fee is the difference in the fees payable at the date of the application and the amount payable for such an application made on or after 13 January 2018.	From 8 December 2017 until 13 January 2018	N/A

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FEES TP 17A
Transitional provisions for fees relating to benchmark administrators

(1)	(2) Material provision to which transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
17A.1	FEES 3.2.7R Part 1 (1) (zza) and FEES 3 Annex 1R	R	Where a *person*: (a) has authorisation to carry on the *regulated activity* of *administering a specified benchmark* (in accordance with article 63O(1)(b) of the *Regulated Activities Order*) on 29 June 2018; and (b) applies for authorisation to carry on the *regulated activity* of *administering a benchmark* specified in article 63S of the *Regulated Activities Order* on or after 29 June 2018, the application fee payable in respect of its application (b) above, as set out in FEES 3 Annex 1R, will be discounted by the amount paid in respect of its initial ap-	From 29 June 2018	29 June 2018

(1)	(2) Material provision to which transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
			plication under (a). If the fee payable in respect of application (b) is lower than that which was paid for the application made in respect of (a), no refund is available.		
17A.2	FEES 4 Annex 1AR, FEES 4 Annex 2AR and FEES 4 Annex 11AR	R	These rules as in force from 29 June 2018 apply to a *person* who has *authorisation* to carry on the *regulated activity* of *administering a specified benchmark* (a *benchmark administrator*) as if a reference in these *rules* to a *regulated benchmark administrator* were a reference to a *benchmark administrator* until that *person* becomes *authorised* under the *benchmarks regulation*, or ceases to be *authorised* as a *benchmark administrator*.	From 29 June 2018	29 June 2018

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FEES TP 18
Transitional provisions relating to changes to the FSCS levy arrangements taking effect in 2018/19

(1)	(2)	(3)	(4)	(5)	(6)
	Material to which the transitional provision applies		**Transitional provision**	**Transitional provision: dates in force**	**Handbook provisions coming into force**
Reporting requirements					
18.1	FEES 6.5.13R	R	For the purposes of statements provided by *participant firms* under FEES 6.5.13R before 1 April 2018 and with respect to the *financial year* of the *compensation scheme* beginning on 1 April 2018, references in FEES 6.5.13R to *classes* must be read as references to *classes* to which *firms* will belong after 31 March 2018; and references to tariffs must be read as references to tariffs as in force after 31 March 2018.	From 30 October 2017 to 31 March 2018	1 April 2018
Managing investments in relation to structured products					
18.2	FEES 6 Annex 3AR	R	Any reference to *managing investments* in FEES 6 Annex 3AR shall not include *managing investments* in relation to *structured deposits* before 1 April 2018.	From 3 January 2018 to 31 March 2018	1 April 2018
Matters arising before 1 April 2018					
[18.3 to follow from 1 April 2018]					
18.3	The changes made to FEES 6 by the Financial Services Compensation Scheme (Funding and	R	The changes in column (2) apply to any levy made after 31 March 2018. This is so even if: (1) the claim against the *relevant person*	From 1 April 2018 indefinitely	1 April 2018

	Scope) Instrument 2017		or *successor* in *default* arose or relates to circumstances arising before that date; or (2) the *relevant person* or *successor* was in *default* before that date.		
2017/18 financial year: compensation levies					
18.4	FEES 6.3.1R(3), 6.1.6G, and 6.1.14G	R	In relation to an interim *compensation costs levy* within the 2017/18 financial year of the *compensation scheme*, the *FSCS* must take into account the *FSCS*'s expenditure in respect of *compensation costs* expected in the period until 30 June 2018 instead of expenditure expected in the periods in the provisions in column (2).	From 23 February 2018 to 31 March 2018	Already in force
2018/19 financial year: levies and levy limits					
18.5	FEES 6.3.1R(3), 6.1.6G and 6.1.14G	R	In relation to a *compensation costs levy* for the 2018/2019 financial year of the *compensation scheme*, the *FSCS* must take into account: (1) the *FSCS*'s expenditure in respect of *compensation costs* expected between 1 July 2018 and 31 March 2019; or, if greater (2) 75% of one third of the *compensation costs* expected in the 36 *months* following 1 April 2018, instead of expenditure expected in the periods in the provisions in column (2).	From 1 April 2018 to 31 March 2019	Amended from 1 April 2018
18.6	FEES 6.3.5R, 6.5A.1R, 6.5A.4R, 6.5A.5R, 6 An	R	In the 2018/19 financial year of the *compensation scheme*, the maximum ag-	From 1 April 2018 to 31 March 2019	Amended from 1 April 2018

	nex 2R, and 6 Annex 5R		gregate amount of *compensation costs* and *specific costs* that may be allocated to a particular *class*, whether directly or (where relevant to that *class*) through the *retail pool*, is: (1) 75% of the amount of the limit for each *class* as set out in FEES 6 Annex 2R; and (2) for *FCA provider contribution classes*, 75% of the amount of the *retail pool* levy limit for each *class* as set out in FEES 6 Annex 5R.		
18.7	FEES 6.3.1R(3), 6.1.6G and 6.1.14G, 6.3.5R, 6.5A.1R, 6.5A.4R, 6.5A.5R, 6 Annex 2R, and 6 Annex 5R	R	TP 18.5 and 18.6 do not apply in respect of levies imposed on the debt management claims *class*.	From 1 April 2018 to 31 March 2019	From 1 April 2018 to 31 March 2019
18.8	FEES 6.7.-1R	R	FEES 6.7.-1R does not apply to levies imposed in the 2018/2019 financial year of the *compensation scheme*.	From 1 April 2018 to 31 March 2019	Amended from 1 April 2018

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FEES TP 19
Transitional provisions relating to statements provided by participant firms before 1 April 2019 with respect to the FSCS 2019/20 financial year

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provisions coming into force
19.1	FEES 6.5.13R	R	For the purposes of statements provided by *participant firms* under FEES 6.5.13R before 1 April 2019 and with respect to the *financial year* of the *compensation scheme* beginning on 1 April 2019, references in FEES 6.5.13R to *classes* must be read as references to *classes* and *categories* to which *firms* will belong after 31 March 2019; and references to tariffs must be read as references to tariffs as in force after 31 March 2019.	From 2 May 2018 to 31 March 2019	1 April 2019

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FEES TP 19A
Transitional provisions relating to the payment of fees in 2019/20, taking effect on 14 March 2019

These transitional provisions will apply to **professional body supervisors** only for the 2019/2020 **fee year**.

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
19A.1	FEES App 2.3.9	R	The fees payable for the 2019/2020 fee year, will be calculated based on the data submitted by a **professional body supervisor** for the 2018/2019 fee year.	From 14 March 2019	14 March 2019

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FEES TP 20
Transitional provisions relating to the Temporary Permissions regime for Claims Management Companies, taking effect on 1 January 2019

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
	Periodic fee transitional provisions				
20.1	FEES TP 20	G	(1) This transitional provision applies to *claims management companies*. (2) *Claims management company* is defined in the *Glossary* as a *person* carrying on a *regulated claims management activity* in *Great Britain*. (3) *Regulated claims management activity* is in turn defined as comprising various individual *regulated activities* which are defined in the *Glossary* by reference to the *regulated activities* in articles 89G to 89M of the *Regulated Activities Order*. All of the *Glossary* definitions above come into force on 1 January 2019. (4) The *regulated activities* in articles 89G to 89M of the *Regulated Activities Order* were added to the *Regulated Activities Order* by the *Claims Management Order*. That Order comes into force for most purposes on 1 April 2019. However, it came into force on 29 November 2018 for various purposes including: (a) for the purpose of enabling the *FCA* to make *rules*, give guidance, impose requirements, make directions, and approve *rules*; (b) for the purpose of enabling the *scheme operator* to	1 January 2019	1 January 2019

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
			do various things including making *rules* and standard terms. (5) That means that, for the purposes of the definition of *claims management company* and the related *Glossary* definitions (including the definitions of *regulated claims management activity* and the related *regulated activities*) in this instrument, the references to the *Regulated Activities Order* are references to that Order as amended by the *Claims Management Order*.		
20.2	FEES 4 Annex 1A	R	*Claims management companies* registering for temporary permission must pay the periodic fee for the 2019/20 year within 14 days of the date of the invoice, which will be issued following registration. The periodic fee for 2019/20 will be calculated from the *firm's* annual turnover. "Turnover" means the sum of the amounts paid to, or received by, a *claims management company* in respect of *regulated claims management activities*, including: (a) charges, commission, the share of any compensation, fees and subscriptions; (b) the monetary value of any services received by the *claim management company* where it makes no payment for those services or where the payment received is worth less than the monetary value of the services; and (c) the monetary value of any advertising in respect of the *claims management company* that it has not paid for out of funds referred to in sub-paragraphs (a) and (b). "Annual turnover" means: (d) the *claims management company's* turnover for the 12 *months* to 30 November 2017; or	1 January 2019	1 January 2019

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
			(e) if the business did not trade for the full 12 *months* to 30 November 2017, the estimated turnover for the 12 *months* to 30 November 2018; or (f) where the application for authorisation by the Claims Management Regulator was made on or after 30 November 2017, the estimated turnover for the 12 *months* to 30 November 2018. *Firms* must also notify the *FCA* of any turnover arising from business in Scotland, or business conducted under section 75 of the *CCA*.		
	Transitional provision for FOS general levy				
20.3	FEES 5.7.1	R	*Claims management companies* applying for authorisation for the 2019/20 financial year must pay the *FOS general levy* on or before the later of 1 April 2019 and 30 calendar days after the date when the invoice is issued by the FCA. The general levy for claims management companies will be calculated at £50 plus £3.00 per £1,000 of annual income. "Income" is defined in FEES 5 Annex 4R and means the sum of the amounts paid to, or received by, a *claims management company* in respect of *regulated claims management activities*, including: (a) charges, commission, the share of any compensation, fees and subscriptions; (b) the monetary value of any services received by the *claims management company* where it makes no payment for those services or where the payment received is worth less than the monetary value of the services; and (c) the monetary value of any advertising in respect of the *claims management company* that it has not paid for	1 January 2019	1 January 2019

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
			out of funds referred to in sub-paragraphs (a) and (b). "Annual income" means: (d) the *claims management company's* turnover for the 12 *months* to 30 November 2017; or (e) if the business did not trade for the full 12 *months* to 30 November 2017, the estimated turnover for the 12 *months* to 30 November 2018; or (f) where the application for authorisation by the Claims Management Regulator was made on or after 30 November 2017, the estimated turnover for the 12 *months* to 30 November 2018. *Firms* must also notify the *FCA* of any turnover arising from business in Scotland, or business conducted under section 75 of the *CCA*.		
	Joining the Financial Ombudsman Service				
20.4	FEES 5.8.1	R	For *claims management companies* applying for authorisation in the 2018/19 financial year, this rule does not apply to those *firms* which have paid in full upon registration but are not authorised until part way through the *financial year*.	1 January 2019	1 January 2019

Transitional provisions relating to changes to the FSCS levy arrangements taking effect in 2019/20

FEES TP 20A
Transitional provisions relating to changes to the FSCS levy arrangements taking effect in 2019/20

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provisions coming into force
20A.1	The changes made to FEES 6 by the Financial Services Compensation Scheme (Funding Review) Instrument 2018	R	The changes in (2) apply to any levy made after 31 March 2019. This is so even if: (1) the claim against the *relevant person* or *successor in default* arose or relates to circumstances arising before that date; or (2) the *relevant person* or *successor* was *in default* before that date.	From 1 April 2019 indefinitely	1 April 2019
20A.2	FEES 6.3.19R FEES 6.3.20R	R	**Allocation of recoveries** Any recoveries made by the *FSCS* after 31 March 2019 in relation to *protected claims* , the costs of which were allocated prior to 1 April 2019 to a *class* in place at the time, including, if relevant, through the *retail pool* in place at the time, must be credited to the corresponding *class* in accordance with the following table: **_Class_ in place before 1 April 2019** — **Corresponding _class_** B2 (General Insurance Distribution) — *Class* 1 (General Insurance Distribution Claims) H (Insurers – general	From 1 April 2019 indefinitely	1 April 2019

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision		(5) Transitional provision: dates in force	(6) Handbook provisions coming into force
			con-tribution)			
			C2 (Life distribution and pensions intermediation)	*Class* 2 (Investment Intermediation Claims)		
			D2 (Investment intermediation)			
			G (Insurers – life contribution)			
			D1 (Investment provision)	*Class* 3 (Investment Provision Claims)		
			E2 (Home finance intermediation)	*Class* 4 (Home Finance Intermediation Claims)		
			I (Home finance provision)			
			K (Debt management claims)	*Class* 5 (Debt Management Claims)		
			F (deposit acceptor's contribution)	*Class* 6 (Deposit acceptors' contribution)		
20A.3	FEES 6.3.14R	R	**Allocation of surplus/deficit** The *FSCS* must allocate any surplus or deficit in a *class* in place on 31 March 2019 to the corresponding class in FEES TP 20A.2R.		From 1 April 2019 indefinitely	1 April 2019
20A.4	FEES 6.3.17R	R	**Management of funds** In relation to *classes* C2 and D2 as existing before 1 April 2019, where: (1) the *FSCS* has used money, in accordance with FEES 6.3.17R, held to the credit of one of the above *classes* (the creditor class) to pay *compensation costs* or *specific costs* attributable or alloc-		From 1 April 2019 indefinitely	1 April 2019

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provisions coming into force
			ated by way of levy to the other of those *classes* (the debtor class); and (2) on 31 March 2019 the creditor class is not yet reimbursed by the debtor class; the *FSCS* must ensure that the debtor class pays interest to the creditor class under FEES 6.3.17R(2)(b) for the period up to 1 April 2019 and no later.		

Transitional provisions relating to FSCS levy arrangements from 1 April 2019 or, if later, from exit day as defined in the European Union (Withdrawal) Act 2018

FEES TP 21
Transitional provisions relating to FSCS levy arrangements from IP completion day

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provisions coming into force
21.1	The changes made to FEES 6 by the Exiting the European Union: High Level Standards (Amendments) Instrument 2019	R	The changes in column (2) apply to any levy made after IP completion day. This is even if: (1) the *claim* against the *relevant person* or *successor in default* arose or relates to circumstances arising before that date; or (2) the *relevant person* or *successor* was *in default* before that date.	From *IP completion day*, indefinitely	*IP completion day*

Transitional provisions relating to FSCS levy arrangements for TP firms from 1 April 2019 or, if later, exit day

FEES TP 22
Transitional provisions relating to FSCS levy arrangements for TP firms from IP completion day

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
22.1	FEES 6.5.9R	R	The *rule* referred to in column (2) does not apply to *TP firms*.	From *IP completion day*, indefinitely	*IP completion day*
22.2	FEES TP 22.1R	G	FEES TP 22.1R means that a *TP firm* that becomes a *participant firm* part way through a *financial year* of the *compensation scheme* will be required to pay a share of a *compensation costs levy* and a *specific costs levy*.		
22.3	The changes made to FEES 6 by the Exiting the European Union: Temporary Permission and Financial Services Contracts Instrument 2019	R	The changes in (2) apply to any levy made after *IP completion day*. This is so even if: (1) the *claim* against the *relevant person* or *successor in default* arose or relates to circumstances arising before that date; or (2) the *relevant person* or *successor* was *in default* before that date.	From *IP completion day*, indefinitely	*IP completion day*

Transitional provisions relating to FSCS levy arrangements for TP firms from 1 April 2019 or, if later, exit day

FEES TP 23
Transitional provisions for a data reporting services provider that was an incoming data reporting services provider prior to IP completion day

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
23.1	FEES 4 Annex 11R Part 5 G.25	R	Where: (1) a *data reporting services provider* was deemed to be authorised under the *DRS Regulations* by regulation 12A of those regulations; (2) the *data reporting services provider* has paid the periodic fee specified in FEES 4 Annex 11R Part 5 G.25 in full for the period from 1 April 2021 to 31 March 2022; and (3) following payment of that fee, a *UK company* in the same *group* as the data reporting services provider becomes authorised under regulation 7 of the *DRS Regulations*, the *UK company* will not be required to pay a fee under FEES 4 Annex 11R Part 5 G.25 for the period from 1 April 2021 to 31 March 2022.	From 1 April 2021	1 July 2021

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Schedule 1
[to follow]

Sch 1 G
[to follow]

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Schedule 2
[to follow]

Sch 2 G
[to follow]

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Schedule 3
[to follow]

Sch 3 G
[to follow]

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Schedule 4
Powers exercised

Sch 4.1 G
[deleted]

Sch 4.2 G
[deleted]

Sch 4.3 G
[deleted]

Sch 4.4 G
[deleted]

Sch 4.5 G
[deleted]

Sch 4.5

[**Note**: certain rules in *FEES* are made exclusively by the *FOS Ltd*. A list of those rules is set out in ■ FEES 5.1.2AG.]

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Schedule 5
[to follow]

Sch 5 G
[to follow]

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Schedule 6
Rules that can be waived

Sch 6.1 G
As a result of section 138A of the *Act* (Modification or waiver of rules) the *FCA* has power to waive all its *rules*, other than *rules* made under section 137O (threshold condition code), section 247 (Trust scheme rules), section 248 (Scheme particular rules), section 261I (Contractual scheme rules) or section 261J (Contractual scheme particulars rules) of the *Act*.