

**COMPLAINTS SOURCEBOOK (TRANSITIONAL INFORMATION
REQUIREMENT) INSTRUMENT 2002**

Powers exercised

- A. The Financial Services Authority amends the Complaints sourcebook in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (the “Act”):
- (1) section 138 (General rule making power);
 - (2) section 156 (General supplementary powers); and
 - (3) section 234 (Funding).
- B. The provisions of the Act relevant to rules and listed above are specified for the purpose of section 153(2) of the Act (Rule-making instruments).

Commencement

- C. This instrument comes into force on 1 March 2002.

Amendment of DISP

- D. The Complaints sourcebook is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Complaints Sourcebook (Transitional Information Requirement) Instrument 2002.

By order of the Board

21 February 2002

Annex

In the Transitional Provision Table, add the following additional row:

7	<i>DISP</i> 5.5.1R	R	<p>(1) This transitional provision applies to every <i>firm</i> which falls within any of <i>industry blocks</i> 1, 2, 4, 5, 8, 9, 10 and 12 set out in Table 2 to these transitional provisions, unless it is exempt under <i>DISP</i> 1.1.7R (Exemption).</p> <p>(2) Unless it has already done so, a <i>firm</i> must provide the <i>FSA</i> as soon as reasonably practicable, and in any event by the end of May 2002, addressed for the attention of the Finance and Business Planning Department, with a statement of the total amount of <i>relevant business</i> (measured in accordance with the appropriate tariff base) which it conducted, as at or in the year to 31 December 2001 as appropriate, for each of the <i>industry blocks</i> referred to in (1).</p> <p>(3) If a <i>firm</i> cannot provide a statement of the total amount of <i>relevant business</i> for any relevant <i>industry block</i> by the end of May 2002 under (2)(b), it must provide the best estimate of the amount of <i>relevant business</i> that it conducted.</p>	01.3.02 - 31.5.02	Not yet made
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After the Transitional Provisions table, add the following new table:

2 Table Fee tariffs for industry blocks

Industry Block	Tariff Base
1-Deposit acceptors	Number of accounts relevant to the activities in <i>DISP</i> 2.6.1R
2-Firms that undertake insurance activities, subject to prudential regulation only (excluding firms in blocks 13 & 15)	Relevant annual gross premium income
3-Society of Lloyd's	Flat fee
4-Firms that undertake insurance activities, subject to both prudential and conduct of business regulation (long term life insurers) (excluding firms in block 15)	Relevant adjusted annual gross premium income
5-Fund managers (including those holding client money/assets and not holding client money/assets)	Relevant funds under management
6-Operators, Trustees and Depositaries of collective investment schemes	Flat fee
7-Firms dealing as principal	Number of relevant traders
8-Advisory arrangers, dealers or brokers (holding or controlling client money and/or assets)	Number of relevant approved persons (controlled functions 21, 22, 24, 25, 26)
9-Advisory arrangers, dealers or brokers (not holding or controlling client money and/or assets)	Number of relevant approved persons (controlled functions 21, 22, 24, 25, 26)
10-Corporate finance advisers	Number of relevant approved persons (controlled function 23)
11-Execution-only arrangers, dealers or brokers	Flat fee
12-Advisory only firms	Number of relevant approved persons (controlled functions 21, 22, 24, 25)
13-Cash plan health providers	Flat fee
15-Friendly Societies whose tax-exempt business represents 95% or more of their total relevant business	Flat fee

3 Table

The industry blocks in Table 2 are the same as the equivalent activity groups set out in part 7 of *SUP* 20 Ann 1R.

Where the tariff base in the table is defined in similar terms as the tariff base for the equivalent activity group set out in part 7 of *SUP 20 Ann 1R*, it must be calculated in the same way as that tariff base except that it takes into account only the *firm's relevant business*.