

compulsory jurisdiction – provisional general levy

This is expected to form part of the FSA's formal consultation, in January 2005, on fees and levies.

industry block	description	tariff basis	proposed gross tariff rate	proposed net tariff rate	2004/05 tariff rate	proposed minimum levy per firm	proposed gross total	proposed refund	proposed net total	2004/05 total	proposed net contribution by block	2004/05 contribution by block
			£	£	£	£	£	£	£	£	%	%
1	Deposit acceptors, mortgage lenders & administrators (excluding firms in block 14)	per relevant account	0.00450	0.00383	0.00690	100	1,115,111	-162,106	953,005	1,642,886	8.61%	13.14%
2	Firms that undertake insurance activities subject to prudential regulation only (excluding firms in blocks 13 & 15)	per £1,000 of relevant annual gross premium income	0.052	0.044	0.081	100	1,231,183	-178,980	1,052,203	1,569,393	9.51%	12.55%
3	Society of Lloyds		n/a	n/a	n/a	n/a	28,138	-4,090	24,048	47,266	0.22%	0.38%
4	Firms that undertake insurance activities subject to both prudential & conduct of business regulation (long term life insurers) (excluding firms in block 15)	per £1,000 of relevant adjusted annual gross premium income	0.110	0.094	0.093	100	4,620,518	-671,694	3,948,824	4,654,804	35.68%	37.24%
5	Fund managers (including those holding client money/assets & not holding client money/assets)	per £1,000 relevant funds under management	0.00100	0.00080	0.00255	100	542,139	-78,812	463,327	1,060,066	4.19%	8.48%
6	Operators, trustees & depositaries of collective investment schemes	flat fee	0	0	0	75	30,300	-4,405	25,895	29,925	0.23%	0.24%
7	Dealers as Principal	flat fee	0	0	0	50	12,400		12,400	16,950	0.11%	0.14%
8	Advisory arrangers, dealers or brokers holding and controlling client money and/or assets	per relevant approved person	105	90	65	90	3,008,985	-437,422	2,571,563	2,233,820	23.24%	17.87%
9	Advisory arrangers, dealers or brokers NOT holding and controlling client money and/or assets	per relevant approved person	30	25	30	50	1,117,760	-162,491	955,269	1,163,790	8.63%	9.31%
10	Corporate Finance Advisors	flat fee	0	0	0	50	28,450		28,450	41,850	0.26%	0.33%
11	NOT APPLICABLE IN 2005/06 AND 2004/05											
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13	Cash Plan Health Providers	flat fee	0	0	0	50	850		850	900	0.01%	0.01%
14	Credit Unions	flat fee	0	0	0	50	27,400		27,400	28,750	0.25%	0.23%
15	Friendly Societies whose tax exempt business represents 95% or more of their total relevant business	flat fee	0	0	0	50	3,800		3,800	9,600	0.03%	0.08%
16	Mortgage lenders, advisers & arrangers	flat fee	0	0	0	50	350,000		350,000	0	3.16%	
17	General Insurance mediation	flat fee	0	0	0	50	650,000		650,000	0	5.87%	
	total – all blocks						12,767,034	-1,700,000	11,067,034	12,500,000	100.00%	100.00%