

## compulsory jurisdiction – overview of general levy for 2003/04 and 2004/05

(this table is included for information only, and is part of the FSA's consultation paper CP208)

| industry block | description   | tariff basis  | proposed tariff rate<br>£ | 2003/04 tariff rate<br>£ | proposed minimum levy per firm<br>£ | proposed total<br>£ | 2003/04 total<br>£ | proposed contributions by block % | contribution by block % 2003/04 |
|----------------|---|---|---------------------------|--------------------------|-------------------------------------|---------------------|--------------------|-----------------------------------|---------------------------------|
| 1              | Deposit acceptors, mortgage lenders and administrators (excluding firms in block 14)  | Per relevant account  | 0.0069                    | 0.0125                   | 200                                 | £1,642,886          | £2,618,000         | 13.14%                            | 21.95%                          |
| 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          | 0.081                     | 0.116                    | 200                                 | £1,569,393          | £2,113,440         | 12.55%                            | 17.71%                          |
| 3              | Society of Lloyds   |   | n/a                       | n/a                      | n/a                                 | £47,266             | £88,060            | 0.38%                             | 0.74%                           |
| 4              | Firms that undertake insurance activities subject to both prudential and conduct of business regulation (long-term life insurers) (excluding firms in block 15) | Per £1,000 of relevant adjusted annual gross premium income | 0.093                     | 0.092                    | 100                                 | £4,654,804          | £4,522,000         | 37.24%                            | 37.91%                          |
| 5              | Fund managers (including those holding client money/assets and not holding client money/assets)   | Per £1,000 relevant funds under management                  | 0.00188                   | 0.00187                  | 100                                 | £805,275            | £880,600           | 6.44%                             | 7.38%                           |
| 6              | Operators, Trustees & Depositories of collective investment schemes   | Per £1,000 relevant annual gross income                     | 0.193                     | 0                        | 75                                  | £284,716            | £28,875            | 2.28%                             | 0.24%                           |
| 7              | Dealers as Principal  | Per relevant trader   | 0                         | 0                        | 75                                  | £16,950             | £35,100            | 0.14%                             | 0.29%                           |
| 8              | Advisory Arrangers, dealers or brokers holding and controlling client money and/or assets   | Per relevant approved person                                | 65                        | 35                       | 75                                  | £2,233,820          | £833,000           | 17.87%                            | 6.98%                           |
| 9              | Advisory Arrangers, dealers or brokers NOT holding and controlling client money and/or assets   | Per relevant approved person                                | 30                        | 20                       | 75                                  | £1,163,790          | £714,000           | 9.31%                             | 6.00%                           |
| 10             | Corporate Finance Advisors  | Per relevant approved person                                | 0                         | 0                        | 75                                  | £41,850             | £46,350            | 0.33%                             | 0.39%                           |
| 11             | NOT APPLICABLE IN 2004/05   |   | 0                         | 0                        | 0                                   | £0                  | £3,225             | 0.00%                             | 0.03%                           |
| 12             | NOT APPLICABLE IN 2004/05   |   |                           |                          |                                     |                     |                    |                                   |                                 |
| 13             | Cash Plan Health Providers  | Per £1,000 of relevant annual gross premium income          | 0                         | 0                        | 50                                  | £900                | £1,150             | 0.01%                             | 0.01%                           |
| 14             | Credit Unions   | Per £ gross assets  | 0                         | 0                        | 50                                  | £28,750             | £34,400            | 0.23%                             | 0.29%                           |
| 15             | Friendly Societies whose tax-exempt business represents 95% or more of their total relevant business  | Per £ relevant annual gross premium income                  | 0                         | 0                        | 50                                  | £9,600              | £9,350             | 0.08%                             | 0.08%                           |
|                |   |   |                           |                          | Total – all blocks                  | £12,500,000         | £11,927,550        | 100.00%                           | 100.00%                         |