

FEE PROVISIONS (2010/2011) INSTRUMENT 2010

Powers exercised

- A. The Financial Services Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 99 (Fees);
 - (2) section 101 (Part 6 rules: general provisions);
 - (3) section 156 (General supplementary powers);
 - (4) section 157(1) (Guidance);
 - (5) section 213 (The compensation scheme);
 - (6) section 223 (Management expenses);
 - (7) paragraph 17(1) (Fees) of Schedule 1 (The Financial Services Authority); and
 - (8) paragraphs 1 (General), 4 (Rules), and 7 (Fees) of Schedule 7 (The Authority as Competent Authority for Part VI).
- B. The rule-making powers listed above are specified for the purposes of section 153(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 1 April 2010.

Amendments to the Handbook

- D. The Fees manual (FEES) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Fee Provisions (2010/2011) Instrument 2010.

By order of the Board
25 March 2010

Annex

Amendments to the Fees manual (FEES)

In this Annex underlining indicates new text and striking through indicates deleted text.

3 Annex 5 R Document vetting and approval fees in relation to listing and prospectus rules

...

Part 2

These fees relate to approval or vetting of the documents referred to in the second column of this table arising in relation to specific events or transactions that an *issuer*, *offeror* or *person* requesting admission might be involved in during the year.

...		
Category 2	Equity <i>registration document</i>	£4,400 £3,520
...		

...

4 Annex 5 R Periodic fees for designated professional bodies payable in relation to the period 1 April ~~2009~~ 2010 to 31 March ~~2010~~ 2011

Table: ~~of Fees~~ fees payable by Designated Professional Bodies

Name of Designated Professional Body	Amount payable	Due date
The Law Society of England & Wales	£50,985 £34,545	30 April 2009 <u>2010</u>
...
...		

4 Annex 6 R Periodic fees for recognised investment exchanges and recognised clearing houses payable in relation to the period 1 April ~~2009~~ 2010 to 31 March ~~2010~~ 2011

...

Part 1 – Periodic fees for UK recognised bodies

Name of UK recognised body	Amount payable	Due date
Euroclear UK & Ireland Limited	£244,500 <u>£277,500</u>	30 April 2009 <u>2010</u>

ICE Futures Europe Ltd	£192,500 <u>£230,000</u>	30 April 2009 <u>2010</u>

LIFFE Administration and Management	£300,000 <u>£325,000</u>	30 April 2009 <u>2010</u>

LCH Clearnet Limited	£281,000 <u>£298,000</u>	30 April 2009 <u>2010</u>

The London Metal Exchange Limited	<u>£198,000</u>	30 April 2009 <u>2010</u>

London Stock Exchange plc	£269,500 <u>£261,000</u>	30 April 2009 <u>2010</u>

SWX Europe Ltd	<u>£77,000</u>	30 April 2009
	<u>£88,000</u>	1 September 2009
EDX London Ltd	£48,000 <u>£42,500</u>	30 April 2009 <u>2010</u>

PLUS Markets Plc	£77,000 <u>£97,500</u>	30 April 2009 <u>2010</u>
...
European Central Counterparty Limited	£125,000 <u>£163,500</u>	30 April 2009 <u>2010</u>
...
ICE Clear Europe Limited	£125,000 <u>£184,000</u>	30 April 2009 <u>2010</u>
...
...		

Part 2 – Periodic fees for overseas recognised bodies

Name of overseas recognised body	Amount payable	Due date
Cantor Financial Futures Exchange	£30,000	1 July 2009
...		
Any other <i>overseas investment exchange</i> recognised as such by a <i>recognition order</i> made in the period	£30,000 <u>£40,000</u>	30 days after the date on which the <i>recognition order</i> is made
Any other <i>overseas clearing house</i> recognised as such by a <i>recognition order</i> made in the period	£60,000 <u>£70,000</u>	30 days after the date on which the <i>recognition order</i> is made

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6 Annex 1 R Financial Services Compensation Scheme – Management Expenses Levy Limit

This table belongs to FEES 6.4.2R	
Period	Limit on total of all management expenses levies attributable to that period (£)
...	
1 April 2009 to 31 March 2010	£1,000,000,000

<u>1 April 2010 to 31 March 2011</u>	<u>£1,000,000,000</u>
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