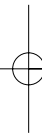


appendix A

general levy table

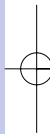
This table is included for information only and is part of the FSA's consultation paper 119 (CP119) which can be found on the FSA website.



industry block	general levy			supplementary levy		
	tariff rate(£)	min levy	block total	tariff rate	min levy	block total £ contribution by block
1	£0.01573 (Per relevant account)	£250	£3,060,100	£0.0018 (Per relevant account)	£29	£354,000 21.72%
2	£0.1593000 (Per £1000 relevant annual gross premium income)	£250	£2,515,769	£0.0184 (Per £1000 relevant annual gross premium income)	£29	£291,000 17.87%
3	N/A	N/A	£201,100	N/A	£23,000	£23,000 1.43%
4	£0.0980000 (Per £1000 relevant adjusted annual gross premium income)	£100	£5,011,049	£0.013000 (Per £1000 relevant adjusted annual gross premium income)	£12	£580,000 35.59%
5	£0.00132000 (Per £1000 relevant funds under management)	£100	£951,915	£0.000015 (Per £1000 relevant funds under management)	£12	£111,000 6.76%
6	£0 (Per £ relevant annual gross income)	£100	£32,600	N/A (Per £ relevant annual gross income)	£12	£3,767 0.23%
7	£100 (Per relevant trader)	£100	£163,000	£12 (Per relevant trader)	£12	£19,000 1.16%
8	£362 (Per relevant approved person)	£362	£668,487	£42 (Per Relevant Approved Person)	£42	£77,210 4.75%
9	£203 (Per relevant approved person)	£203	£1,290,688	£23 (Per relevant approved person)	£23	£150,000 9.17%
10	£100 (Per relevant approved person)	£100	£30,400	£12 (Per relevant approved person)	£12	£3,511 0.22%
11	£0 (Per £ relevant annual commission or fee income)	£100	£20,400	N/A (Per £ relevant annual commission or fee income)	£12	£2,357 0.14%
12	£105	£105	£88,956	£12 (Per relevant approved person)	£12	£10,274 0.63%
13	£0 (Per £ relevant annual gross premium income)	£50	£1,250	N/A (Per £ relevant annual gross premium income)	£6	£144 0.01%
14	£0 (Per £ gross assets)	£50	£31,900	N/A (Per £ gross assets)	£6	£3,686 0.23%
15	£0 (Per £ relevant annual gross premium income)	£50	£12,300	N/A (Per £ relevant annual gross premium income)	£6	£1,421 0.09%
Total - all blocks			£14,079,914			£1,630,370 100.00%

appendix B

case fees



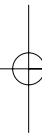
Case fee (Compulsory Jurisdiction)

Standard case fee	£360
Special case fee	£720

See chapter 5.6 (case fees) of the FSA Handbook, Module DISP, for the definitions of standard case fees and special case fees.

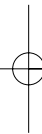
appendix C

voluntary jurisdiction tariff



Financial Ombudsman Service Industry Block and Business Activity	Tariff base	Tariff rate	Minimum levy	Establishment rate	Minimum levy	Case fee
1V Mortgage lenders and administrators	Number of relevant accounts	£0.01573	£250	£0.0018	£29	£360
2V Firms undertaking insurance activities subject only to prudential regulation	Relevant annual gross commission income	£0.1593 per £1,000	£250	£0.0184 per £1,000	£29	£360
3V Intermediaries	Relevant annual gross commission or fee income	Nil	£200	Nil	£23	£360
4V Firms falling into neither of the above categories	Relevant annual gross premium income	Nil		Nil		£720

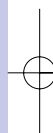
appendix D
forecast 2001/02
and budget 2002/03
expenditure



	Actual 6 months to 31/10/01 £m	Budget 2001/02 £m	Forecast 2001/02 £m	Budget 2002/03 £m
Staff and staff-related costs	9.5	19.6	19.4	19.9
Professional fees	0.3	0.5	0.5	0.5
IT running costs	0.3	0.6	0.6	0.5
Premises and facilities	1.6	3.3	3.5	3.5
Other costs	0.2	0.4	0.4	0.5
Depreciation	1.0	2.1	2.1	2.6
Operating costs	12.9	26.5	26.5	27.5
Financing costs	0.4	1.1	1.1	0.7
Total costs	13.3	27.6	27.6	28.2
Case closures		38,500	38,500	40,000
Unit cost*		£688	£688	£688
<i>*Unit cost is calculated before financing charges</i>				

appendix E

funding



4.2.12R The following rules in DISP 5 apply (subject to DISP 4.2.13R) to VJ participants as part of their agreement to be subject to the Voluntary Jurisdiction as if they were authorised firms, but subject to the variations stated in each case.

(1) DISP 5.4.6R (general levy) subject to substituting the words 'Voluntary Jurisdiction' for 'Compulsory Jurisdiction';

(2) DISP 5.4.8R (calculation of general levy);

(3) DISP 5.5.1R (information) subject to substituting the words 'FOS Ltd' for 'FSA';

(4) DISP 5.6.1R (standard case fee);

(5) DISP 5.6.6R (special case fee);

(6) DISP 5.7.5R and DISP 5.7.6R (supplementary levy for establishment costs);

(7) DISP 5.8.1R to DISP 5.8.6R and DISP 5.8.8R and DISP 5.8.9R (payment);

(8) DISP 5.9.1R and DISP 5.9.2R (joining the Financial Ombudsman Service);

(9) DISP 5 Ann 1R (fees payable).