

FSIU Pre-Designation Legal Fees General Licence Reporting
2024/09GL Part A Prior Obligation fees

Section 1 – Basic Information

1a Law Firm(s) / Counsel(s) [add boxes as required]

| |
|---------------------|
| Name: |
| Address: |
| Email: |
| Telephone: |
| Head of Compliance: |
| Regulator: |

| |
|---------------------|
| Name: |
| Address: |
| Email: |
| Telephone: |
| Head of Compliance: |
| Regulator: |

1b Designated Person(s) (DP) Represented

| |
|--|
| |
|--|

1c Group ID of DP Represented

| |
|--|
| |
|--|

1d Case Description

| |
|----------------------------|
| [including relevant dates] |
|----------------------------|

Section 2 - Fees

2a Fees

| |
|------------------------------|
| Total Fees Incurred (in \$): |
| Total Hours: |
| Date range: |
| Fees for Remaining Work: |
| Total Hours: |
| Date range: |

2b Brief fees or refresher fees

| |
|-------------------------|
| Total Incurred (in \$): |
| Date range: |

2c Engagement Letter

Provide unredacted engagement letter

2d Payment route including date received

Section 3 – Prior Obligation Conditions

3a Please confirm the legal fees being claimed under this General Licence was for work that commenced before the DP in question was designated:

Name:

Date:

Role:

Signature.....

3b Please confirm no payment was made to a Designated Person whether directly or indirectly:

Name:

Date:

Role:

Signature.....

Financial Sanctions Implementation Unit

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