**Office of Financial Sanctions Implementation (OFSI)**

**Asset freeze licence application form**

This form should be used by individuals or entities seeking a licence from the [Office of Financial Sanctions Implementation](https://www.gov.uk/government/organisations/office-of-financial-sanctions-implementation) (OFSI) to allow an activity or transaction to take place that would otherwise be prohibited under asset freezing measures.

This form should be used for all licence applications relating to EU sanctions regimes (except the Al-Qaida (Asset Freezing) Regulations 2011), the Anti-terrorism, Crime and Security Act 2001, and the Counter-Terrorism Act 2008. Completed applications should be submitted to: ofsi@hmtreasury.gsi.gov.uk.

For licence applications relating to the Al-Qaida (Asset Freezing) Regulations 2011, and the Terrorist Asset-Freezing etc. Act 2010 (TAFA) in particular, you should instead write to OFSI setting out the full facts and details of the licence needed. In some cases a general licence may already be in place. The current list of extant general licences can be found [here](https://www.gov.uk/government/publications/counter-financing-of-terrorism-general-licenses). Our licencing policy on counter-terrorism matters can be found [here](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/250208/Terrorism_licensing_policy.pdf).

This form should not be used for export control licence applications or other non-asset-freeze matters.

The form has been developed with commercial arrangements in mind (i.e. sales of goods or services etc.). It can be adapted and used (for example) for gifts or humanitarian transactions where funds, goods or services are being donated. Whatever the nature of the proposed transaction, please provide as full an explanation as possible.

Licence applications can be legally and/or commercially complex, and in certain circumstances require clearance or prior notification internationally (e.g. at EU or UN level). Accordingly you should apply at least four weeks before a licence is needed and preferably even further in advance if practicable. You may wish to consider taking independent legal advice before applying for a licence.

OFSI can only issue a licence where there are grounds to do so. These grounds will be set out in the relevant legislation. In each application consideration should be given to the grounds on which the licence is sought and reference should be made to the relevant licensing ground as set out in the relevant legislation. Applications which do not do so will be returned with a request that a suitable licensing ground be added.

**PART 1 – UNDER WHICH REGIME IS THE LICENCE SOUGHT?**

|  |  |
| --- | --- |
| **Name of regime in respect of which a licence is sought (Egypt, Eritrea, etc.)** |  |
| **URGENCY****Please provide any details that may help us determine the urgency of the case (e.g. deadlines, impact on your business if a licence cannot be granted by a given date).**  |  |

**PART 2 – DETAILS OF THE LICENCE APPLICANT**

|  |  |
| --- | --- |
| **Date of application** |  |
| **Name of applicant**(Individual / Company Name etc.) |  |
| **Are you/is your company a “designated person” (that is, subject to an asset freeze), or owned or controlled by a designated person?** *If so, please provide details* | YES / NO |
| **Nature of business** |  |
| **Address** |  |
| **Contact Name** |  |
| **Telephone number** |  |
| **Email address** |  |

**PART 3 – ABOUT THE LICENCE SOUGHT**

|  |  |  |
| --- | --- | --- |
| **Licence required to release frozen funds or economic resources, or make them available, directly or indirectly, to or for the benefit of a designated person, to meet:-****PLEASE TICK WHICHEVER APPPLIES** **Note: Those grounds marked \* are licensing grounds only relating to the release of frozen funds. Funds or economic resources cannot be made available to listed persons under those licensing grounds.**  | Basic expenses of the designated person or his or her dependent family members |  |
| Reasonable professional fees and reimbursement of incurred expenses associated with the provision of legal services  |  |
| Fees or service charges for the maintenance of frozen funds or economic resources |  |
| Extraordinary expenses |  |
| \*Obligations due under a contract or agreement entered into, or an obligation which arose prior to the designation of the person or entity in question |  |
| \*Obligations arising in connection with certain judicial, administrative or arbitral liens, decisions or judgments  |  |
| Other (please specify, including relevant legislation reference) |  |
| **Specify the legal basis for licensing – see note 4 (i.e. the relevant EU Regulation, article and paragraph).** |  |
| **Please give the licence number(s) of any licence(s) already received by the applicant.** |  |

**PART 4 – OVERVIEW**

|  |  |
| --- | --- |
| **Briefly outline the transaction and your role in it. What is the prohibited act that the licence is for?** |  |

**PART 5 – DETAILS OF THE TRANSACTION(S) CONCERNED**

|  |  |
| --- | --- |
| **Date of contract.** |  |
| **Date of the intended transaction(s).** |  |
| **Description of funds, goods or services to be supplied or obtained.** |  |
| **Are the goods or services for humanitarian purposes (e.g. delivering or facilitating the delivery of assistance, including medical supplies, food, the provision of electricity, or other humanitarian purposes)?** | YES / NO (If ‘Yes’ please explain the humanitarian purpose fully) |
| **Value of the goods or services to be supplied or obtained.** |  |
| **Names of the parties to the contract.** | Seller / supplier |  |
| Buyer / customer |  |
| Agent / broker / other intermediary |  |
| **As far as you are aware, is the end user different to the contract customer?**  | YES / NOIf ”Yes”, please provide details of the end user (if known) |
| **As far as you are aware, is the end user a owned or controlled by a designated person?** | YES / NOIf ”Yes”, please provide details of the ownership or control |
| **Do you know or have reasonable suspicion that the funds, goods or services will be used by a designated person, or by a person acting on their behalf or at their direction, or by entities owned or controlled by them?** | YES / NOIf “Yes” who is the individual or entity? |
| **Dates of any transactions / shipments / payments already made.** |  |
| **Dates of any future transactions / shipments/ payments.** |  |

**PART 6 – BANKING DETAILS**

|  |  |
| --- | --- |
| **Method of payment (e.g. cash, cheque, bank transfer, confirmed or unconfirmed letter of credit, or other method).** |  |
| **The banks (including correspondent, intermediary and confirming banks, if applicable) through which payment will be made. Please provide a/c numbers if they are available.** | Correspondent bank |  |
| Intermediary bank |  |
| Confirming or advisory bank |  |
| **Are payment instructions/funds available for this transaction?** | YES / NO |

**PART 7 – Further details**

|  |  |
| --- | --- |
| **Please provide any additional background information or explanation it would be helpful for HM Treasury to have.** |  |

You may wish to submit electronically copies of document that support your application or help us to understand it. Please indicate below if additional documentation has been provided and list attachments.

|  |  |
| --- | --- |
| YES / NO |  |

NOTES

The form comprises the following parts:

* 1. **Part 1** asks for the name of the regime under which the licence is sought – this will be the regime under which sanctions otherwise apply. You should refer to any special factors effecting the urgency of your application here.
	2. **Part 2** asks for the details of the person on whose behalf the licence is sought and of a person to contact (who should be familiar with the transaction involved).
	3. **Part 3** is about the licence sought – the type of licence sought. Please note that OFSI can only issue a licence if there is a legal basis to do so. The grounds for issuing a licence are found in the EU Regulation imposing sanctions.
	4. **Parts 4 and 5** are about the transaction involved. Please make it clear if a transaction is a one-off or if it will be repeated. If regular or repeat payments are involved, please explain how often those payments will be made.
	5. **Part 6** is about the banking details of the transaction.
	6. **Part 7** provides the applicant with an opportunity to add any additional background. You should also attach and list any additional documents you are sending that will make it easier for OFSI to understand the application. For example, where a licence is sought on the basis that a contract was entered into before sanctions were imposed it is essential to provide a copy of that contract.

**Office of Financial Sanctions Implementation**

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