

**The process for imposing**

**monetary penalties for breaches**

 **of financial sanctions:**

**Consultation response form**

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| --- |
|  Name: Click here to enter text. |
| Organisation: Click here to enter text. |
|  [ ]  Please tick if you are responding on behalf an organisation   |
| Name of organisation (if applicable) Click here to enter text. |
| Address: Click here to enter text.Email: Click here to enter text. Telephone: Click here to enter text. |
| 1. Do these introductory sections give you enough information to understand the scope of the law on monetary penalties? [ ]  Yes [ ]  No

What else would be useful?Click here to enter text. |
| 1. What are your views on OFSI’s compliance and enforcement approach?

Click here to enter text. |
| 1. Is there anything else you would expect a compliance model to tackle?

 [ ]  Yes [ ]  No(if yes please explain what below)Click here to enter text. |
| 1. Do you understand our proposed case assessment approach?

 [ ]  Yes [ ]  No(if no please explain why below)Click here to enter text. |
| 1. What are your views on our proposed case assessment approach?

Click here to enter text. |
| 1. Does this guidance give you enough information to help you understand how a penalty is calculated?

 [ ]  Yes [ ]  No(if no please explain why below)Click here to enter text. |
| 1. OFSI will reduce the level of penalty if there is voluntary disclosure. What are your views on OFSI’s approach to this?

Click here to enter text. |
| 1. Is the process for imposing a penalty and making representations clear from this guidance? [ ]  Yes [ ]  No

(if no please explain why below)Click here to enter text. |
| 1. Do you understand the guidance on seeking a Ministerial review?

 [ ]  Yes [ ]  No |
| 1. What are your views on the process for seeking a Ministerial review?

 Click here to enter text.  |
| 1. Does this guidance clearly explain why and how OFSI will publish information on penalties imposed for breaches of financial sanctions regulations? [ ]  Yes [ ]  No

What are your views on the level of information OFSI will publish?Click here to enter text. |
| 1. Considering the document as a whole, does this guidance help you clearly understand OFSI’s approach to imposing monetary penalties?

Click here to enter text.  |
| Please e-mail this form to: OFSIConsultation@hmtreasury.gsi.gov.uk |

Or post to OFSI Consultation, HM Treasury, 1 Horse Guards Road, London SW1A 2HQ