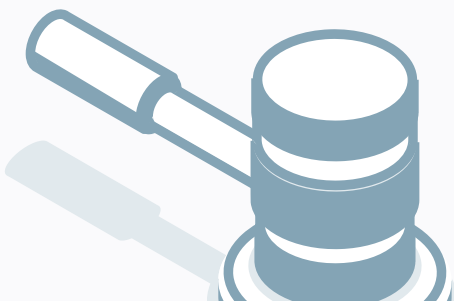




How to apply for legal funding

Your handy guide





About Balance Legal Capital

- We are an independent litigation funder HQ'd in London, with a Sydney office.
- Founded in 2015, we are FCA-regulated, managing over £300M in UK-based funds allocated to us by reputable financial institutions, university endowments, family offices and pension funds.
- We provide capital to businesses, groups of individuals, law firms, and insolvency professionals on a non-recourse basis* to meet costs of legal proceedings that we believe have merit. If the case wins or settles, we take a return from the proceeds.
- If the case loses, adverse costs are covered by ATE insurance policies we fund as part of the case investment. We have access to preferred pricing.
- **INDEPENDENCE** – unlike some of our competitors, we have full authority to make investment decisions.
- **SPEED & EXPERTISE** – we are experienced ex-litigators, so we do most case diligence in-house. Our Investment Committee meets every 2 weeks, so we can make decisions quickly.

Our investment focus

- We fund cases in the UK, Australia, Canada, Hong Kong, Singapore, Offshore and other common law jurisdictions.
- We fund commercial cases and collective actions.
- We do NOT fund cases in the USA, continental Europe, non-English language or non-common law cases.
- We do NOT fund investment treaty claims, clinical negligence/personal injury cases, family or patent disputes.
- Cases must have:
 - recoverable damages of at least £20M
 - a funding requirement of at least £2M (a funding-to-damages-ratio of at least 1:10)

Our funding process



*to the extent permitted by applicable law.

The Agreements

1. Litigation Funding Agreement

Sets out terms of funding and rights and obligations of the parties.

2. Priorities Agreement

Sets out the order of priority in which payments will be made to the claimant and other stakeholders from any proceeds.

3. Auxiliary agreements

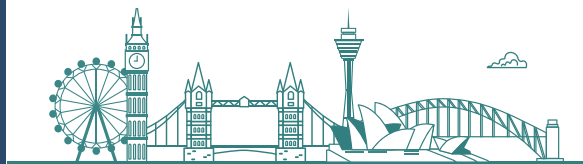
As required (e.g. retainers, ATE insurance policies, security).

ALF

ILFA

Balance is a Funder Member of the Association of Litigation Funders, the International Legal Finance Association, and the Australian Association of Litigation Funders.

Balance is regulated and authorised by the Financial Conduct Authority.



Our Wish List

Here's the key material we like to see when considering a funding request. We appreciate that not all of it will be applicable or available yet, but you should still get in touch for that initial chat.

1. A [Case Overview](#) - see panel to the right →
2. Any advice provided (by solicitors or counsel) on merits, quantum or enforcement risk/strategy
3. A costs budget (in Excel) by phase through to recovery (with underlying assumptions), and an estimate of opponent's costs
4. Legal team retainers / fee proposals
5. ATE policy (if any)
6. Expert reports (analysis of quantum, or other expert advice)
7. Any defendant asset reports (particularly for cases with enforcement risk)
8. Key court / tribunal orders
9. Statements of case & key inter-party correspondence
10. Key evidence - witness statements, expert reports, contracts

Case Overview

A Case Overview note prepared by the solicitors helps us to quickly understand the key issues and strategy and to assess the legal team we are being asked to support. An effective Case Overview should cover:

Claim

- The parties, places of incorporation
- Governing law, forum
- Chronology / factual background
- Key claims and likely defences, and strengths/weaknesses of each
- Key evidence required to prove claims
- Key concerns (e.g. limitation, jurisdiction, evidence, causation, quantum, counterclaims, procedural issues) and how these will be addressed
- Prospects of success at trial and ultimate recovery
- Current status of claim and estimated timetable to hearing and recovery

Compensation (Quantum)

- Breakdown of quantum, and prospects of recovery for each category of loss
- Expert evidence required (if already obtained, include summary of findings)
- Strengths and weaknesses of defendant's likely position on quantum

Client

- Place of incorporation. Key people (central witnesses, decision-makers) and their objectives
- Case team – solicitors, counsel, experts
- Strategy / Objectives
- Reasons for seeking third-party funding, involvement of other funders if any

Defendant(s) / Opponent(s)

- Place of incorporation, location of assets and any enforcement strategy
- Legal team
- Likely defence strategy
- Settlement levers / opportunities, detail on any "WP" offers or discussions

Costs & Funding Requirement

- Case budget and assumptions
- Detail on legal team fee arrangements, including on any risk-share on fees
- Funding requirement
- Estimate of opponent's costs
- Security for costs or ATE requirements (including quotes obtained, if any)

Key UK Contacts



Robert Rothkopf
Managing Partner

M. +44 7971 974 480
D. +44 203 950 0432

robert.rothkopf@balancelegalcapital.com



Oliver Hayes
Partner

M. +44 7769 692 284
D. +44 203 950 0434

oliver.hayes@balancelegalcapital.com



Jeremy Humm
Investment Director

M. +44 7436 876880
D. +44 204 551 2859

jeremy.humm@balancelegalcapital.com



Lindsay Woods
Investment Manager

M. +44 7865 534697
D. +44 204 551 2879

lindsay.woods@balancelegalcapital.com



Kylie Ansbro
Partner

M. +44 7921 064097
D. +44 203 950 0435

kylie.ansbro@balancelegalcapital.com



Leisa Barry
Office Manager

D. +44 203 514 5116

leisa.barry@balancelegalcapital.com

Your strategic and financial ally in litigation.

Balance Legal Capital LLP is a limited liability partnership registered in England and Wales, registered number OC401304, registered office at 25 Southampton Buildings, London WC2A 1AL.

Balance Legal Capital LLP is authorised and regulated by the Financial Conduct Authority (UK), firm reference number 828421.

Copyright - Balance Legal Capital LLP - 2025