Training Course on Understanding Sanctions and Trade Restrictions

Professional Development Training Course Outline

Category	CEOs and Directors	**Duration**	10 Days
Base Fee	$3,000 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

Training Course on Understanding Sanctions and Trade Restrictions provides essential knowledge for navigating the intricate landscape of global **sanctions** and **trade restrictions**. In an increasingly interconnected and volatile geopolitical environment, businesses, financial institutions, and legal professionals face significant **compliance challenges** and **regulatory risks**. This program delves into the multifaceted aspects of **international sanctions regimes**, including their legal frameworks, practical implications, and the critical need for robust **compliance programs** to mitigate financial penalties, reputational damage, and legal repercussions.

Participants will gain a deep understanding of how various **sanctions programs** (e.g., **OFAC**, **EU sanctions**, **UN sanctions**) impact cross-border transactions, supply chains, and investment strategies. The course emphasizes a **risk-based approach** to **sanctions compliance**, equipping attendees with the tools to conduct thorough **due diligence**, implement effective **screening processes**, and develop resilient internal controls. Through real-world **case studies** and practical exercises, this training empowers professionals to proactively manage **sanctions risk** and ensure adherence to evolving international trade regulations, fostering **business resilience** and **ethical trade practices**.

Programme Curriculum

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Course Objectives

1. Understand the origins, purpose, and evolution of major international **sanctions regimes** (e.g., **UNSC resolutions**, **OFAC regulations**, **EU restrictive measures**).
2. Master the complexities of **export controls**, **import restrictions**, and other **trade barriers** in a dynamic global economy.
3. **Identify Sanctions Risk Indicators:** Develop keen analytical skills to recognize **red flags** and **high-risk scenarios** related to sanctioned entities, jurisdictions, and transactions.
4. Design and establish effective **sanctions compliance programs (SCP)**, integrating **best practices** and **industry standards**.
5. Apply advanced techniques for **customer due diligence (CDD)** and **third-party screening** to identify and mitigate sanctions exposure.
6. Learn to leverage cutting-edge **sanctions screening software** and **AI-powered compliance tools** for efficient and accurate checks.
7. Comprehend the intricacies of **asset freezes**, **blocked property**, and **financial sector sanctions** implications.
8. Analyze the effects of **sectoral sanctions** on specific industries like energy, finance, and technology.
9. Develop strategies to assess and manage **sanctions-related supply chain risks** and ensure **resilient operations**.
10. Formulate effective incident response plans for identifying, reporting, and remediating **sanctions violations**.
11. Understand the processes for applying for **OFAC licenses** and navigating various **sanctions exemptions**.
12. Analyze the impact of **geopolitical shifts** and emerging **sanctions trends** on global business operations.
13. Promote a strong **compliance culture** within organizations, emphasizing **ethical conduct** and adherence to **international law**.

Organizational Benefits

- Significantly reduce the likelihood of costly **sanctions violations**, financial penalties, and criminal charges.
- Safeguard organizational reputation and maintain trust with clients, partners, and regulatory bodies.
- Build a robust and defensible **sanctions compliance program**, demonstrating commitment to regulatory adherence.

- Streamline **due diligence** and **screening processes**, leading to improved operational efficiency and reduced manual effort.
- Gain a competitive edge by demonstrating superior **risk management** capabilities and ensuring uninterrupted international trade.
- Increase confidence in navigating complex **international trade laws** and **sanctions regulations**.
- Equip employees with the knowledge and skills to identify and escalate potential **sanctions risks**, fostering a proactive compliance environment.

Target Audience

1. Compliance Officers
2. Legal Counsel.
3. Financial Sector Professionals.
4. Trade and Export Managers
5. Risk Management Professionals
6. Supply Chain Professionals.
7. Business Owners and Senior Management.
8. Internal Auditors.

Course Outline

Module 1: Introduction to Sanctions and Trade Restrictions

- Defining **Sanctions** and their objectives (e.g., political, economic, human rights).
- Overview of key **international sanctions bodies** (UN, US, EU, UK).
- Distinction between **comprehensive** and **targeted sanctions**.
- The evolving landscape of **global trade restrictions** and **export controls**.
- **Case Study:** The impact of **UN sanctions** on a specific nation's economy and humanitarian efforts.

Module 2: US Sanctions: OFAC and Beyond

- In-depth analysis of the **Office of Foreign Assets Control (OFAC)** and its authority.
- Understanding **Specially Designated Nationals (SDN) List** and other restricted party lists.
- The concept of **secondary sanctions** and their extraterritorial reach.
- Navigating **OFAC licensing** and general licenses.
- **Case Study:** A company's multi-million dollar penalty for **OFAC violations** involving a sanctioned entity.

Module 3: EU Sanctions and UK Sanctions Regimes

- The **European Union's Common Foreign and Security Policy (CFSP)** and its sanctions implementation.
- Understanding EU designations and restrictive measures.
- Post-Brexit **UK sanctions regime** and its divergence from EU law.
- Compliance considerations for businesses operating across EU and UK jurisdictions.
- **Case Study:** An EU-based bank facing enforcement actions for failing to identify a sanctioned individual under **EU regulations**.

Module 4: United Nations and Multilateral Sanctions

- The role of the **UN Security Council (UNSC)** in imposing international sanctions.
- Implementation of **UN sanctions** by member states.

- Overview of other multilateral sanctions frameworks (e.g., G7).
- Challenges of harmonizing diverse **sanctions regimes**.
- **Case Study:** A global humanitarian aid organization navigating **UN sanctions** to deliver assistance in a conflict zone.

Module 5: Foundations of a Sanctions Compliance Program (SCP)

- The five pillars of an effective **Sanctions Compliance Program** (commitment, risk assessment, internal controls, testing, training).
- Developing a **risk-based approach** to sanctions compliance.
- Establishing clear **policies and procedures** for sanctions adherence.
- Designing an robust **internal control environment**.
- **Case Study:** An organization successfully revamping its **SCP** after a minor compliance lapse, avoiding major penalties.

Module 6: Sanctions Risk Assessment

- Conducting a comprehensive **sanctions risk assessment** tailored to your organization's profile.
- Identifying and evaluating **inherent risks** (e.g., geography, customers, products).
- Assessing the adequacy of existing **mitigating controls**.
- Quantifying and prioritizing **residual sanctions risk**.
- **Case Study:** A financial institution identifying its highest **sanctions risk** areas through a detailed risk assessment, leading to targeted control enhancements.

Module 7: Customer and Third-Party Due Diligence

- Implementing robust **Know Your Customer (KYC)** and **Customer Due Diligence (CDD)** processes for sanctions.
- Performing **Enhanced Due Diligence (EDD)** for high-risk customers and transactions.
- Conducting **Third-Party Due Diligence (TPDD)** on suppliers, partners, and intermediaries.
- Leveraging **beneficial ownership information** for comprehensive screening.
- **Case Study:** A manufacturing company uncovering a hidden link to a sanctioned entity through thorough **TPDD**, preventing a potential violation.

Module 8: Sanctions Screening Methodologies and Technologies

- Understanding different **sanctions screening methodologies** (batch, real-time, fuzzy logic).
- Evaluating and selecting appropriate **sanctions screening software** and platforms.
- Optimizing **screening parameters** to minimize false positives and false negatives.
- The role of **AI** and **machine learning** in enhancing screening accuracy.
- **Case Study:** A bank significantly reducing its **false positive rates** and improving efficiency by implementing an advanced **AI-driven screening solution**.

Module 9: Trade Restrictions and Export Controls

- Understanding the scope and application of **export controls** (e.g., dual-use goods, military items).
- Navigating **export control lists** and licensing requirements.
- Compliance with **import restrictions**, tariffs, and quotas.
- The role of **customs authorities** in enforcing trade restrictions.
- **Case Study:** An electronics company facing challenges in exporting sensitive technology due to evolving **export control regulations**.

Module 10: Financial Sanctions and Asset Freezes

- Legal implications of **asset freezes** and **blocked property** for financial institutions.
- Managing accounts and transactions involving **sanctioned individuals** or entities.
- Reporting obligations for **frozen assets** and blocked transactions.
- Interplay between **financial sanctions** and **Anti-Money Laundering (AML)** efforts.
- **Case Study:** A global bank effectively managing the freezing and reporting of assets belonging to a newly sanctioned individual.

Module 11: Sanctions in Specific Sectors

- **Energy Sector Sanctions:** Implications for oil, gas, and renewable energy industries.
- **Technology Sector Sanctions:** Restrictions on software, hardware, and services.
- **Maritime and Aviation Sanctions:** Risks related to vessel tracking and aircraft movements.
- **Cryptocurrency and Virtual Asset Sanctions:** Addressing emerging risks in digital finance.
- **Case Study:** A tech company adapting its product development and sales strategy due to **sectoral sanctions** on a key market.

Module 12: Sanctions Enforcement and Penalties

- Understanding regulatory expectations for **sanctions compliance**.
- Civil and criminal penalties for **sanctions violations**.
- The importance of **voluntary self-disclosure** and cooperation with authorities.
- Recent **enforcement actions** and key lessons learned.
- **Case Study:** An organization receiving a reduced penalty due to its proactive **self-disclosure** and remedial actions after a compliance breach.

Module 13: Emerging Trends in Sanctions and Trade Restrictions

- The rise of **cyber sanctions** and their impact on digital infrastructure.
- Focus on **human rights sanctions** (e.g., Magnitsky-style sanctions).
- The increasing use of **sanctions as a foreign policy tool**.
- Anticipating future **sanctions designations** and policy shifts.
- **Case Study:** A multinational corporation assessing the potential impact of new **human rights sanctions** on its global operations and supply chain.

Module 14: Sanctions Compliance Best Practices and Internal Controls

- Developing robust **internal controls** to prevent and detect violations.
- Implementing effective **training and awareness programs** for all employees.
- Regular **auditing and testing** of the sanctions compliance program.
- Managing **sanctions-related data** and record-keeping requirements.
- **Case Study:** A financial services firm implementing a comprehensive **internal audit** of its sanctions program, identifying areas for improvement.

Module 15: Incident Response and Remediation

- Establishing a clear **incident response plan** for potential sanctions breaches.
- Procedures for investigating and reporting suspected violations.
- Taking immediate **remedial actions** to address identified issues.
- Communicating effectively with **regulatory authorities**.
- **Case Study:** A company's swift and effective **incident response** to an identified **sanctions violation**, mitigating significant legal and reputational damage.

Training Methodology

This course employs a dynamic and interactive training methodology designed for maximum engagement and practical application. It combines:

- **Expert-led Lectures:** In-depth explanations of complex **sanctions laws** and **trade regulations** delivered by industry specialists.
- **Interactive Discussions:** Fostering peer-to-peer learning and sharing of experiences.
- **Real-World Case Studies:** Analyzing actual **sanctions violations** and successful compliance strategies to solidify understanding.
- **Practical Exercises and Workshops:** Hands-on activities including **sanctions screening simulations**, **risk assessment drills**, and **compliance program design exercises**.
- **Q&A Sessions:** Dedicated time for participants to address specific concerns and clarify concepts.
- **Group Activities:** Collaborative problem-solving scenarios to enhance practical skills.
- **Access to Resources:** Provision of comprehensive course materials, checklists, and relevant regulatory guidance.

Register as a group from 3 participants for a Discount

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Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	04 Dec 2026	Online	$2,000
23 Nov 2026	04 Dec 2026	Physical	$3,000
23 Nov 2026	04 Dec 2026	Physical	$6,000
23 Nov 2026	04 Dec 2026	Physical	$6,000
23 Nov 2026	04 Dec 2026	Physical	$12,000
23 Nov 2026	04 Dec 2026	Physical	$9,000

Start Date	End Date	Location	Price
23 Nov 2026	04 Dec 2026	Physical	$12,000
23 Nov 2026	04 Dec 2026	Physical	$12,000

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