

SANCTIONS RISK MANAGEMENT AND SANCTIONS INVESTIGATION

Course objectives:

The course is designed for both lines of defense within sanctions compliance and intended to bring together the full scope of sanctions compliance employees on a single training platform so that the first line defense gets a taste of what it is to be working on the second line of defense and deciding on tough matters and the second line of defense can get to know the experience of the first line at other organizations!

Target groups:

1st line of defense (e.g. payment screening teams who do real time payment screening) for the purpose of providing an overall comprehension of the global sanction regimes with a focus on the role of the real time screening well as providing practical know-how regarding sanctions investigation methods while performing payment screening.

2nd line of defense (e.g. sanctions officers and analysts) for the purpose of providing a more in-depth comprehension of the global sanction regimes with a focus on escalated sanctions hits analysis and monitoring controls as well as providing practical know-how regarding sanctions 2nd line investigation methods while ensuring overall sanctions compliance that encompasses onboarding, transactions post-monitoring and a broad spectrum of sanctions incidents and situations.

When:

From 10:00 – 15:00. The next date to be confirmed. Usually the training starts at 10.00 and finishes between 15.00-15.15. There is a 30 min. lunch break and 2 short 10 minutes coffee breaks. The total resting time does not exceed 1 hour.

Course takeaways:

The course is structured in a way that allows to combine sanctions theory with immediate practical examples under each course section as well as give the participants the necessary skill package for independent application in their daily operations diminishing their dependence from highly qualified sanctions officers of the respective organization in everyday situations. Every participant will receive a certificate attesting to the attendance after taking the apprehension test.

Course details:

Length: **6 academic hours**

Limitations: Maximum 25 participants*

Costs: **EUR 80** (+ VAT if applicable)

* Provided the minimum required participation rate is met.

COURSE CONTENTS**

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| 1. Retrospective glimpse at sanctions | 9. Management of financial sanctions |
| 2. Current trends and developments | 10. Management of trade related sanctions |
| 3. Modus operandi of global sanctions regimes | 11. Payment data structure and contents |
| 4. EU and US sanctions regimes comparison | 12. Payment field specific indicator detection |
| 5. Sanctions ownership and control specifics | 13. Sanctions post-monitoring methods |
| 6. Listed and related persons analysis techniques | 14. Proper documentation of investigations |
| 7. Sanctions compliance program guidance | 15. Real time screening case studies |
| 8. Activities targeted by sanctions regimes | 16. Post-monitoring case studies |

** Contents depict the overall lines along which the course is organized, slight adjustments are possible.