

Sanctions & Trade Compliance: OFAC, EU & UK Requirements

Duration: 5 Days

Language: en

Course Code: IND09-119

Objective

By the end of this course, participants will be able to:

- Understand the structure and scope of OFAC, EU, and UK sanctions regimes.
- Identify sanctions risks across customers, transactions, goods, and geographies.
- Implement effective sanctions screening, due diligence, and escalation processes.
- Manage licences, exemptions, and reporting obligations.
- Design and maintain a practical sanctions compliance programme.
- Respond to breaches, investigations, and enforcement actions effectively.

Audience

This programme is ideal for:

- Compliance Officers and Risk Managers.
- Trade Compliance and Export Control Professionals.
- Legal Counsels and Regulatory Affairs Teams.
- Banking, Financial Crime, and AML Professionals.
- Supply Chain, Logistics, and Procurement Managers.
- Executives overseeing international operations and cross-border trade.

Training Methodology

The course combines instructor-led briefings, regulatory analysis, practical scenarios, and case-based discussions. Participants work through sanctions screening exercises, transaction assessments, and compliance design templates aligned with global best practices.

Summary

This intensive and practice-oriented programme equips professionals with the knowledge and tools required to manage international sanctions and trade compliance across **OFAC (US), EU,** and **UK regimes**. The course focuses on real-world application—helping organisations identify sanctions risks, implement effective controls, and respond to regulatory changes with confidence.

Participants will learn how sanctions frameworks operate, how to conduct screening and due diligence, manage licences and exemptions, and design compliance programmes that withstand regulatory scrutiny. Through case studies and scenarios, the programme bridges legal requirements with operational execution across trade, finance, logistics, and compliance functions.

Course Content & Outline

Section 1: Global Sanctions Frameworks – Foundations & Scope

- Purpose and objectives of international sanctions.
- Overview of sanctions authorities: OFAC, EU, UK (HMT/OFSI).
- Types of sanctions: comprehensive, sectoral, targeted, secondary sanctions.
- Key differences and overlaps between US, EU, and UK regimes.
- Understanding jurisdiction, extraterritorial reach, and enforcement powers.

Section 2: Sanctions Risk Identification & Screening

- Sanctions risk assessment methodologies.
- Screening customers, counterparties, vessels, aircraft, and beneficial owners.
- Understanding ownership, control, and aggregation rules.
- Screening transactions, goods, services, and payment flows.
- Managing false positives and escalation protocols.

Section 3: Trade Compliance, Licensing & Due Diligence

- Export, import, and re-export compliance considerations.
- Licensing regimes, general licences, and exemptions.
- Enhanced due diligence for high-risk jurisdictions and sectors.
- Managing third-party risks: agents, distributors, and intermediaries.
- Recordkeeping and audit trail requirements.

Section 4: Sanctions Controls, Governance & Incident Management

- Designing a sanctions compliance programme (policies, procedures, controls).
- Roles and responsibilities across compliance, legal, finance, and operations.
- Monitoring regulatory updates and managing change.
- Responding to sanctions breaches and potential violations.
- Internal investigations, disclosures, and regulator engagement.

Section 5: Enforcement Trends, Case Studies & Best Practices

- Recent OFAC, EU, and UK enforcement actions and lessons learned.
- Common compliance failures and how to avoid them.
- Managing sanctions in mergers, acquisitions, and partnerships.
- Integrating sanctions compliance with AML, KYC, and trade controls.
- Building a resilient, future-ready sanctions compliance framework.

Certificate Description

Upon successful completion of this training course, delegates will be awarded a Holistique Training Certificate of Completion. For those who attend and complete the online training course, a Holistique Training e-Certificate will be provided.

Holistique Training Certificates are accredited by The CPD Certification Service (CPD), and are certified under ISO 9001 and ISO 29993 standards.

CPD credits for this course are granted by our Certificates and will be reflected on the Holistique Training Certificate of Completion. In accordance with the standards of The CPD Certification Service, one CPD credit is awarded per hour of course attendance. A maximum of 50 CPD credits can be claimed for any single course we currently offer.

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Tags

Global Sanctions Frameworks, Sanctions, Trade Compliance

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