QUEST TRAINING

Sanctions Compliance & Screening

Compliance, AML & Financial Crime · Banking & Finance · 5 Days · Classroom

OVERVIEW

Sanctions Compliance & Screening is a comprehensive professional training course designed to equip banking and financial professionals with the knowledge, governance principles, and practical skills required to establish, implement, and strengthen effective sanctions compliance and screening programs. As international sanctions regimes continue to evolve in response to geopolitical developments, financial crime risks, and regulatory expectations, financial institutions must maintain robust sanctions compliance frameworks to protect their operations, preserve their reputation, ensure regulatory compliance, and safeguard the integrity of the global financial system.Ð
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This course provides participants with a structured understanding of international sanctions frameworks, regulatory obligations, and industry best practices governing sanctions compliance. Participants will explore the principles of sanctions risk management, sanctions governance, customer and transaction screening, sanctions list management, beneficial ownership screening, trade finance controls, payment filtering, and risk-based compliance approaches. The program emphasizes how effective Sanctions Compliance & Screening supports enterprise risk management, anti-money laundering programs, financial crime prevention, and corporate governance.Ð
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The program also examines the operational components of sanctions compliance, including customer onboarding controls, Know Your Customer (KYC) integration, ongoing screening, transaction monitoring, sanctions investigations, escalation procedures, regulatory reporting, internal controls, governance responsibilities, and independent assurance. Participants will gain practical knowledge of designing effective screening systems, managing false positives, conducting sanctions investigations, and maintaining compliance with evolving international regulatory requirements.Ð
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Through practical workshops, real-world financial institution case studies, and interactive sanctions scenarios, participants will strengthen their ability to identify sanctions risks, evaluate compliance effectiveness, improve screening controls, and support executive decision-making. By the end of the course, participants will be equipped to enhance sanctions compliance programs, reduce regulatory and reputational risks, strengthen financial crime prevention, and support sustainable organizational resilience.

OBJECTIVES

- Analyze Sanctions Compliance & Screening principles and evaluate their implementation within banking and financial institutions by the end of the course.
- Develop comprehensive sanctions compliance frameworks aligned with international regulatory expectations and organizational objectives.
- Evaluate sanctions risks associated with customers, transactions, products, jurisdictions,

counterparties, and beneficial ownership structures.
- Apply customer screening, transaction screening, payment filtering, and ongoing sanctions monitoring procedures using internationally recognized best practices.
- Design effective sanctions screening methodologies that improve detection accuracy while reducing false positives.
- Improve sanctions governance through enhanced policies, internal controls, escalation procedures, and management reporting.
- Strengthen enterprise-wide sanctions compliance by integrating sanctions risk management with AML, KYC, and Financial Crime Risk Management programs.
- Implement sanctions investigation procedures, case management processes, and regulatory reporting requirements.
- Assess emerging sanctions risks arising from geopolitical developments, digital banking, financial technology, and cross-border financial services.
- Align Sanctions Compliance & Screening practices with Enterprise Risk Management, corporate governance, and international regulatory requirements before course completion.

WHO SHOULD ATTEND

This course is designed for Sanctions Compliance Managers, Compliance Managers, Financial Crime Risk Managers, Anti-Money Laundering (AML) Managers, Counter-Terrorist Financing (CTF) Specialists, Know Your Customer (KYC) Professionals, Customer Due Diligence Analysts, Financial Crime Investigators, Operational Risk Managers, Enterprise Risk Managers, Internal Audit Managers, Internal Control Managers, Governance Professionals, Regulatory Affairs Specialists, and professionals responsible for sanctions compliance within banks and financial institutions.Đ
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The program is equally valuable for Chief Compliance Officers, Chief Risk Officers, Executive Management Teams, Board Risk Committee members, Audit Committee members, Legal and Regulatory Professionals, Treasury Managers, Trade Finance Professionals, Payment Operations Managers, Digital Banking Managers, FinTech Compliance Specialists, Central Bank Professionals, Financial Regulators, Insurance Companies, Investment Firms, Payment Service Providers, and senior decision-makers responsible for regulatory compliance, governance, financial crime prevention, and enterprise-wide risk management.

LEARNING OUTCOMES

- By the end of this course, participants will be able to:
- Develop an integrated Sanctions Compliance & Screening framework aligned with international regulatory standards.
- Identify and assess sanctions risks across customers, transactions, products, jurisdictions, and business operations.
- Apply customer screening, payment screening, transaction filtering, and ongoing monitoring methodologies.
- Conduct effective sanctions investigations and manage sanctions-related case management processes.
- Evaluate beneficial ownership structures and sanctions exposure associated with complex customer relationships.
- Design governance structures, internal controls, and compliance procedures that strengthen sanctions risk management.
- Improve sanctions screening effectiveness while minimizing false positives and operational

inefficiencies.
• Prepare executive sanctions compliance reports and governance dashboards for senior management and boards.
• Assess emerging sanctions risks associated with digital banking, financial technology, virtual assets, and geopolitical developments.
• Develop a practical implementation roadmap to strengthen Sanctions Compliance & Screening, regulatory compliance, organizational resilience, and financial crime prevention.

COURSE OUTLINE

1. Course Outline:
2. Day 1: Foundations of Sanctions Compliance & Screening
3. Foundations of Sanctions Compliance & Screening
4. Principles and objectives of sanctions compliance
5. International sanctions frameworks and regulatory expectations
6. Governance structures and organizational responsibilities
7. Risk-based approach to sanctions compliance
8. Practical application: Conducting a sanctions risk assessment for a financial institution
9. Day 2: Customer and Transaction Screening
10. Customer and Transaction Screening
11. Customer screening methodologies
12. Beneficial ownership screening
13. Transaction screening and payment filtering
14. Watchlist management and ongoing monitoring
15. Practical application: Designing an effective sanctions screening process
16. Day 3: Investigations and Operational Controls
17. Investigations and Operational Controls
18. Sanctions alert investigation procedures
19. Managing false positives and escalation processes
20. Case management and regulatory reporting
21. Internal controls and operational effectiveness
22. Practical application: Investigating sanctions alerts and documenting compliance decisions
23. Day 4: Governance, Risk Management, and Emerging Challenges
24. Governance, Risk Management, and Emerging Challenges
25. Integrating sanctions compliance with AML, KYC, and Financial Crime Risk Management
26. Trade finance sanctions controls
27. Digital banking, FinTech, and virtual asset sanctions risks
28. Governance, assurance, and compliance monitoring
29. Practical application: Evaluating governance effectiveness and strengthening sanctions controls
30. Day 5: Building a High-Performance Sanctions Compliance Framework
31. Building a High-Performance Sanctions Compliance Framework
32. Strengthening sanctions governance and organizational culture
33. International best practices and regulatory developments
34. Continuous improvement of sanctions compliance programs
35. Performance measurement and executive reporting
36. Final workshop: Developing a comprehensive Sanctions Compliance & Screening implementation plan that includes sanctions risk assessment, customer and transaction screening, beneficial ownership verification, payment filtering, sanctions investigations, governance

enhancements, internal control improvements, executive reporting, regulatory compliance monitoring, and continuous improvement initiatives to strengthen organizational resilience, financial crime prevention, regulatory compliance, and sustainable business performance.

Register or Request More Information

Course page: http://localhost:3000/courses/sanctions-compliance-screening
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