

Chapter 7

Sanctions and asset freezes

7.3 Further guidance

7.3.1

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FCTR contains the following additional material on sanctions and assets freezes:

- ■ **FCTR 8** summarises the findings of the *FSA*'s thematic review Financial services firms' approach to UK financial sanctions and includes guidance on:
 - Senior management responsibility (■ **FCTR 8.3.1G**)
 - Risk assessment (■ **FCTR 8.3.2G**)
 - Policies and procedures (■ **FCTR 8.3.3G**)
 - Staff training and awareness (■ **FCTR 8.3.4G**)
 - Screening during client take-on (■ **FCTR 8.3.5G**)
 - Ongoing screening (■ **FCTR 8.3.6G**)
 - Treatment of potential target matches (■ **FCTR 8.3.7G**)
- ■ **FCTR 15** summarises the findings of the *FCA*'s thematic review Banks' management of financial crime risk in trade finance and includes guidance on:
 - Sanctions Procedures (■ **FCTR 15.3.7G**)
 - Dual-Use Goods (■ **FCTR 15.3.8G**)