

**Specification of Competency Standards**  
**for the Banking Industry**  
**Unit of Competency**

Functional Area - 1a. Other Services on Enterprise Banking Service Delivery (for Large Corporations)  
(Key Function – 1a.1 Institutional Banking Services)

Title	Manage third-party depository transactions for securities and futures trading companies
Code	109193L5
Range	Managing the account transaction process for securities and futures trading companies. This applies to transactions on third-party depository to corporate investors.
Level	5
Credit	4 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Knowledge in the Subject Area</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Demonstrate professional knowledge in services related to institutional clients by applying it to formulate suitable products to satisfy securities and futures trading companies' needs;</li> <li>• Understand regulatory standards governing the third-party depository transactions of financial institutions and based on that to identify the impacts on the bank's offering of institutional banking products;</li> <li>• Possess knowledge on up-to-date information related to the development of the banking industry and changing customer profiles in institutional banking in order to re-evaluate the bank's positioning and identify areas for improvement.</li> </ul> <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Identify and obtain the necessary information from the securities and futures trading companies' clients in an accurate manner;</li> <li>• Analyse the unique needs and requirements on securities and future trading companies in order to customize services to them;</li> <li>• Oversee the execution of the depository transaction according to the client's instructions in an accurate and professional manner;</li> <li>• Manage the different kinds of risks (e.g. counter-party risks) associated with the transaction and identify possible solutions to mitigate the risks.</li> </ul> <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Manage third-party depository transactions with an aim to address genuine needs of securities and futures trading company clients and provide sound solutions.</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Managing the third-party depository transactions for securities and futures trading companies. These should be based on analysis on the unique needs of the corporate investors and monitoring of the whole transaction process.</li> </ul>
Remark	