

**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.3 Delivery of Investment Services to Large Corporate Clients)

Title	Provide recommendations on delivery of structured related investment services for large corporate clients
Code	109196L6
Range	Providing recommendations on investment plan of structured products. This applies to different kinds of structured investment products for enterprise clients usually with large amount of capital reserve for investment.
Level	6
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>• Understand different theories and concepts related to investment, portfolio management and assets allocation and apply the knowledge to provide suitable suggestion to clients;</li> <li>• Demonstrate professional knowledge in financial engineering by structuring sound solutions to satisfy clients' needs.</li> </ul> <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Analyse the business strategies and operations of the clients in order to identify their needs in structured products;</li> <li>• Anticipate future development in the operating environment faced by the clients' business and identify the possible impacts and financial implications;</li> <li>• Analyse the probability and severity of potential risks faced by the clients and identify suitable structured products in managing the risks.</li> </ul> <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Coordinate with product specialists to develop structured products tailored to the needs of clients;</li> <li>• Develop written or oral reports on financial needs analysis to facilitate clients' understanding and decision making in investment;</li> <li>• Demonstrate communication and interpersonal skills in order to obtain the trust of clients.</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Provision of investment plan on structured products. These should be based on evaluation on the business needs of clients, the features and risks of different structured products, etc.</li> </ul>
Remark	