

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

Functional Area - 2a. Other Services on Enterprise Banking Operations and Support (for Large Corporations)

(Key Function – 2a.3 Investment Services Processing for Large Corporations)

Title	Process transactions related to global assets investment
Code	109244L4
Range	Execution of transactions related to global assets investment to address the needs of large corporate investors. This refers to the initial investment, transaction processing, maintenance, settlement, buying and selling services provided to institutional and corporate investors to invest in a variety of funds designed for different risk tolerances and investment objectives.
Level	4
Credit	3 (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>• Familiarize with theories and concepts related to investment, portfolio management and assets allocation in order to provide suitable suggestion to clients;</li> <li>• Demonstrate proficient knowledge in global asset investment by reviewing features of different kinds of global assets and identifying critical issues and regulatory requirements for the transactions processing.</li> </ul> <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Verify authenticity and accuracy of different documents submitted and identify additional information required in order to process the transactions;</li> <li>• Evaluate critically the profiles (e.g. nature, size), businesses and operations of institutional clients and design customized service package to facilitate their investment transactions;</li> <li>• Customize contracts and other documentation (e.g. confirmation letter) according to the specific terms and conditions of each global asset investment deal;</li> <li>• Follow through clients' instruction to process the investment transactions and ensure they are executed in a timely and precise manner.</li> </ul> <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Identify relevant regulatory requirements in different regions and internal guidelines of the bank and ensure the transactions are in compliance with the regulations;</li> <li>• Provide updated report and present relevant information to ensure clients have a clear and accurate understanding about the performance of the investment.</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Monitoring the investment transaction related to global assets to ensure the complete process (from application, account transactions to maintenance) is in compliance with different regulations and clients' requirements;</li> <li>• Provision of contracts and other documents to clients by customizing to the specific terms and conditions of the deal.</li> </ul>
Remark	