

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	Maintain investment services related to transactions records
Code	109247L3
Range	Provision of record keeping services to maintain investment transactions of large corporate accounts, including account opening, renewal, withdrawal, account closing, complex investment applications and resolving queries.
Level	3
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"> • Demonstrate basic knowledge in investment transactions management by processing and maintaining transactions record of large corporate accounts which fulfil work requirements and clients' expectations; • Understand features and operational procedures of different complex investment services in order to carry out the record maintenance job effectively. <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Authenticate and verify clients' instruction to renew an investment plan or make changes to a foreign currency investment contract in accordance with the bank and / or the product vendors' specific requirements; • Gather the data of transactions accurately and dispatch customers' confirmation in accordance with the bank's requirements; • Maintain and update documents related to different transactions (e.g. confirmation statements, contracts, payment notes and etc.); • Take proper actions to ensure all required information is recorded in the database accurately. <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Prepare reports or statistics regarding performance of the portfolio to the bank and customers according to standardized templates; • Provide relevant information to customers on a regular basis or when customers have any enquiries; • Regularly update the transactions record and keep the bank and clients informed about the performance of their plans.
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Updated and maintain accurate records of complex investment transactions of large corporate clients and ensure they can be retrieved from a systematic database of the bank by relevant parties conveniently; • Compilation of reports on the performance of the investment portfolio for the bank and clients regularly; • Reports and data related to customers' investment transactions are properly stored in the database or custody of the bank;

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	<ul style="list-style-type: none">• Clients' query is identified, interpreted and resolved by using relevant information and supporting resources.
Remark	