

Legal and Compliance > Compliance Monitoring and Control

Title	Comply with the bank's compliance standard during job execution
Code	106670L3
Range	Maintain high professional standards in work by observing the bank's internal guidelines, relevant regulations and code of conduct. This applies to all kinds of jobs-related tasks/behaviors.
Level	3
Credit	3 (for reference only)
Competency	<p>Performance Requirements</p> <p>1. Understand professional standards of a banking practitioner Be able to:</p> <ul style="list-style-type: none"> • Understand the banking environment and the relevant banking regulations (e.g. anti-money laundering, KYC) to ensure compliance • Understand the bank's internal guidelines and code of conduct governing the investment behaviors, corruption, conflicts of interests, etc. to ensure compliance • Understand the standards of the bank thus the expectations on their behavior and act accordingly <p>2. Act accord to the standards Be able to:</p> <ul style="list-style-type: none"> • Identify how the internal standards or external regulations may affect the execution of tasks • Act according to the stated guidelines of the bank and report to supervisors whenever there is doubt • Attend relevant training to ensure compliance with the bank's guidelines
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Knowledge in banking related regulations, internal guidelines and code of conduct and their application to job is demonstrated. • Observance to all relevant regulations, internal guidelines and code of conduct without any breaching behaviors.
Remark	