

Technology and Operations > Trade Processing

Title	Monitor trade execution
Code	106781L4
Range	Monitoring execution process of trading. This applies to different types of transactions and orders for private banking client accounts.
Level	4
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> 1. Understand the execution process <p>Be able to:</p> <ul style="list-style-type: none"> • Summarize the procedures and requirements of the execution process in order to review the transaction records • Demonstrate basic understanding in applicable regulatory requirements (e.g. prohibited activities) in order to fulfill compliance requirements 2. Monitor the trading process <p>Be able to:</p> <ul style="list-style-type: none"> • Verify transactions to ensure accuracy and conformance to regulatory requirements • Identify and inform relevant parties in cases of trade discrepancies, errors or disputes • Carry out remedial actions for erroneous transactions • Ensure proper handling of client requests or enquiries 3. Comply to relevant regulations and internal procedures <p>Be able to:</p> <ul style="list-style-type: none"> • Ensure compliance to regulatory requirements and the bank's operation procedures during the execution process • Ensure data security and confidentiality during the execution process
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Monitoring of the transaction processes to ensure smooth and timely execution of trades in all platforms.
Remark	