Technology and Operations > Trade Processing

Title	Perform trading transactions booking
Code	106782L4
Range	Processing transactions for private banking client accounts. This applies to different types of products and transactions for private banking clients
Level	4
Credit	4 (for reference only)

Competency	Performance Requirements
	1. Demonstrate understanding in investment products
	    Be able to:
	• Summarize the procedures and requirements of the execution process in order to process the trade accurately
	• Demonstrate basic understanding in the features of investment products (e.g. types of transactions, markets) in order to process the transactions independently
	• Demonstrate basic understanding in applicable regulatory requirements (e.g. prohibited activities)in order to fulfill compliance requirements
	2. Place buy / sell orders
	    Be able to:
	• Obtain current quotes and prices for the investment products
	• Verify the accuracy of the buying or selling instructions
	• Place trade orders
	• Monitor trades and update relevant parties regarding the status of the transactions
	3. Comply to relevant regulations and internal procedures
	    Be able to:
	• 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	The integral outcome requirements of this UoC are: • Processing transactions accurately to ensure compliance requirements are met and executed within cut-off times
Remark	