

Technology and Operations > Trade Processing

Title	Execute trading confirmation matching
Code	106783L3
Range	Matching information from different parties in trades and provide confirmation. This applies to buy or sell of investments for private banking clients.
Level	3
Credit	3 (for reference only)
Competency	<p>Performance Requirements</p> <p>1. Understand buy / sell process</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Demonstrate basic understanding in the features of investment products (e.g. types of transactions, markets) in order to execute the tasks independently • Summarize the procedures and requirements of the investment process in order to identify actions to be taken <p>2. Conduct matching of information</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Receive buy or sell instructions from clients or their delegates, ensure the instructions are clear and properly documented • Review trade instruction from brokers / trade desks and match the information to instructions from clients • Affirm trades if the instructions match • Reject the trade in case of information mismatch and instruct brokers / trade desks on how to handle the mismatch • Input and update transaction information in systems after checking <p>3. Maintain professionalism</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Keep and maintain relevant documentations in accordance with applicable rules and regulations • Maintain confidentiality of clients' trade information
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Handling of affirmation / confirmation process in compliance with the bank's procedures and on time.
Remark	