

Technology and Operations > Trade Processing

Title	Transfer securities for clients' trading
Code	106786L3
Range	Delivery of securities following different types of transactions for private banking client accounts (e.g. purchases, sales, corporate actions, deposits, distributions or maturities, etc.). This applies to securities in both physical and book-entry forms.
Level	3
Credit	3 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> 1. Understand procedures on transferring securities <p>Be able to:</p> <ul style="list-style-type: none"> • Demonstrate basic understanding in different methods of securities transfer in order to identify actions to be taken • Outline procedures in transferring securities in order to carry out the job independently 2. Arrange movement of securities <p>Be able to:</p> <ul style="list-style-type: none"> • Review trade details of executed trade orders and match against clients' instructions • Review balances provided by clearing agents and ensure the amounts are correct • Obtain authorization for securities transfer • Liaise with internal departments regarding delivery / receipt of securities and ensure availability of securities on or before the designated settlement date • Monitor the physical transfer of assets, if necessary 3. Record of assets movement <p>Be able to:</p> <ul style="list-style-type: none"> • Document the details of all asset movements, deposits and withdrawals, e.g. date of transactions, description of assets, amount and reasons for withdrawal, etc. • Adjust values in the book entries of relevant depository accounts
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Delivery of securities to settle the trades in a timely and accurate manner.
Remark	