

Technology and Operations > Client On-Boarding Processing

Title	Conduct documentation control for clients' accounts
Code	106790L3
Range	Maintaining and controlling documents related to private banking clients. This refers to documents required for different actions, e.g. on-boarding, trading, account closing, etc.
Level	3
Credit	3 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> <li>1. Understand documentation requirements                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Demonstrate a basic understanding in applicable regulations (e.g. KYC, AML) in order to interpret documentation requirements</li> <li>• Demonstrate a basic understanding in the documentation procedures and requirements of the bank in order to carry out the job independently</li> </ul> </li> <li>2. Maintain records and the filing systems                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Register documents received and indexing documents according to the bank document management system</li> <li>• Arrange for storage of documents (both hardcopies and softcopies)</li> <li>• Maintain the document database and produce logs / reports as required</li> <li>• Arrange for disposal of appropriate documents according to retention policies</li> <li>• Liaise with compliance units regarding account documentation issues and related matters</li> </ul> </li> <li>3. Handle request for documents                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Provides assistance to different parties in retrieving documents in the system</li> <li>• Produce reports in accordance with requests from different parties</li> <li>• Adhere to compliance to KYC policies, banks policies and service standards</li> </ul> </li> </ol>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Assessment criteria: Monitoring the document maintenance process to ensure required documents are kept and maintained properly.</li> </ul>
Remark	