

Client Management, Advisory and Support > Account Management and Servicing

Title	Handle matters related to documentation of client information
Code	106859L3
Range	Inputting and maintaining client information. This applies to different kind of information related to private banking clients.
Level	3
Credit	3 (for reference only)
Competency	<p>Performance Requirements</p> <p>1. Understand requirements for client data management</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Interpret the KYC and other relevant regulations in order to understand documentation requirements on client information</li> <li>• Understand the data management policy of the bank in order to keep and maintain the required documentation of clients</li> </ul> <p>2.1. Record client information</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Input client information into relevant database and updated when necessary</li> <li>• Verify information inputted in the database to ensure accuracy and currency</li> <li>• Review client accounts and documents, escalate when there is any noticeable change in client's account behavior or irregularities</li> </ul> <p>2.2. Retain accounts documents</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Document and maintain records of relevant documents, e.g. client's instructions, transactions records, investment mandates, etc.</li> <li>• Verify the accuracy and authenticity of documents</li> <li>• Ensure all the correspondence and documents is recorded in the database</li> </ul> <p>3. Maintain professionalism</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Ensure security of client information by observing policies related to IT security</li> <li>• Ensure confidentiality of client information by observing relevant regulatory requirements (e.g. data privacy) in different regions</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Inputting and maintaining client information in relevant database in an accurate and efficient manner.</li> </ul>
Remark	