

Client Management, Advisory and Support > Solutions Delivery and Implementation

Title	Coordinate with different parties to implement client's investment decision
Code	106878L4
Range	Coordinating with different units of the bank for executing investment decision of clients. This applies to transactions on different types of products / services and to different segments of private banking clients.
Level	4
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> <li>1. Summarize the procedures for investment transactions                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Follow operation procedures for transacting different kinds of investment products in order to carry out client's instructions</li> <li>• Prepare and advise the investment instructions of clients in order to follow through the status</li> </ul> </li> <li>2. Handle trade orders from clients                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Inform clients regarding current quotes / prices for the products and agree on the buying or selling prices</li> <li>• Execute investment decisions for discretionary accounts</li> <li>• Obtain instructions and verify with clients to ensure accuracy</li> <li>• Conduct pre-trade due diligence checks and ensure the processes are in compliance with regulatory requirements and internal policies</li> <li>• Coordinate with relevant units in the bank to execute the instructions</li> <li>• Facilitate communication with dealing desk or product specialists on any special trade features / technical restrictions about the client order</li> </ul> </li> <li>3. Update status for the execution                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Follow up the process and resolve issues with client orders</li> <li>• Follow up the trade orders and report the status to clients</li> <li>• Inform clients of delivery obligations / settlement procedures for the trade executed</li> <li>• Keep and maintain required orders / transaction records and handle reporting to relevant parties</li> </ul> </li> </ol>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Execution of trade orders in coordination with different units of the bank. The execution should be accurate and in accordance with client's instructions.</li> </ul>
Remark	