

FSPIO01- SQA Unit Code H5GL 04

Prepare and present investment market information to stakeholders



Overview

This unit is about providing investors with periodic information, like routine statements, performance reports, fund values etc, and information requested by stakeholders, for example about their holdings or their financial position with regard to payment of transactions etc. These may be general enquiries or specific queries. You may need to obtain information from a variety of sources, including desk research and from other parties such as unit trust managers, investment managers or custodians. It is important that you check the information you obtain and provide for accuracy and that you store it securely. You must comply with legislation and regulation when carrying out all aspects of this unit. You will need to gather and manage information effectively, efficiently and ethically and pay attention to details that are critical to your work.

FSPIO01- SQA Unit Code H5GL 04

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Performance criteria

- You must be able to:*
- P1 Identify stakeholders' information needs accurately and obtain appropriate information from the relevant sources to meet their needs
 - P2 Prepare information for stakeholders which is complete, accurate and relevant to their needs
 - P3 Present information in the required format and at the required times
 - P4 Deal with queries from stakeholders about the information you have provided, promptly and to their satisfaction
 - P5 Maintain the security and confidentiality of information at all times
 - P6 Keep accurate and complete records or copies of information supplied to stakeholders and store them in the appropriate location
 - P7 Comply with legal requirements, industry regulations, including ethical standards and health and safety, organisational policies and professional codes

FSPIO01- SQA Unit Code H5GL 04

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Knowledge and understanding

You need to know and understand:

- K1 Compliance and legal issues when preparing and presenting market information to stakeholders
- K2 How the presentation of information will differ according to the needs of different types of stakeholder
- K3 Your organisation's processes and procedures for producing market information to stakeholders
- K4 The key information relating to the market, for example, prices, yields, indices
- K5 Organisational standards and conventions for presenting information both internally to the organisation and to outside stakeholders
- K6 The main features are of key product types
- K7 The importance of effective stakeholder relationships within all service delivery
- K8 How to establish and maintain effective relationships with stakeholders, including the use of interpersonal and communication skills and the concepts of quality service delivery
- K9 What the different methods of communicating are and their appropriateness to a range of circumstances
- K10 Your organisation's house style and standards for both written and verbal communication
- K11 How your organisation's requirements relating to the application of codes, laws and regulatory requirements, including ethical standards and health and safety, impact on your activities

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Additional Information

Behaviours

1. You analyse and structure information to develop knowledge that can be shared with investors
2. You present information clearly, concisely, accurately and in ways that promote understanding

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