
Overview

This unit is about the work of trade capture. It involves monitoring incoming electronic trade instructions, and repairing these when necessary. Any manual securities instructions must also be processed accurately, and asset set ups requested when required. Effective time management is key to this unit and all tasks must be monitored effectively to ensure that they are completed in a timely manner. You will need to gather and manage information effectively, efficiently, confidentially and ethically and pay attention to details that are critical to your work.

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Performance criteria

You must be able to:

- P1 Monitor instructions received electronically
- P2 Repair instructions, when necessary to ensure that these are complete and processed within required deadlines
- P3 Process manual securities instructions accurately, checking that clients' records are complete
- P4 Request asset set-ups, when required, to ensure all trades received can be processed and the department objectives achieved
- P5 Track the performance of each of your assigned tasks to ensure that they are operating efficiently and effectively
- P6 Ensure details of any problems or delays in processing instructions are reported promptly to the relevant authority
- P7 Record and report accurately all non-processed and held- over work daily
- P8 Comply with legal requirements, industry regulations, including ethical standards and health and safety, organisational policies and professional codes

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Knowledge and understanding

You need to know and understand:

- K1 The regulatory framework in relation to trade processing
- K2 The importance of accurate trade processing to your clients and to your company
- K3 The importance and how to demonstrate an understanding of:
 - K3.1 good attention to detail
 - K3.2 a desire for excellence
 - K3.3 a conscientious approach
 - K3.4 a proactive approach to your work
 - K3.5 using the discretion you are expected to apply in your job
 - K3.6 organising your work and focussing your attention to meet tight deadlines and client expectations
 - K3.7 working as a team member
 - K3.8 flexibility in getting your work done
 - K3.9 a strong client service ethic
- K4 The software used in your job
- K5 The reputational and operational risks associated with the work you do and how to avoid them
- K6 The departmental procedures you must follow
- K7 Your company's procedures for communicating with and reporting to other departments
- K8 The records you must keep and the timeframes within which you must report
- K9 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 take pride in delivering high quality work
2. You act within the limits of your authority
3. You work in a professional, cooperative and mutually supportive manner

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