

FSPIO11 – SQA Unit Code H5GX 04

Process corporate actions on behalf of investors



Overview

This unit is about monitoring corporate actions. It includes assessing their potential value and impact on the investor's holdings and arranging for investors to be provided with appropriate information. The unit also requires the individual to obtain and implement instructions from investors. You will need to use information and knowledge effectively, efficiently and ethically and pay attention to details that are critical to your work.

FSPIO11– SQA Unit Code H5GX 04

Process corporate actions on behalf of investors

Performance criteria

- You must be able to:*
- P1 Identify and investigate corporate actions using relevant market information
 - P2 Identify and assess the impact of corporate actions on holding and values
 - P3 Arrange for investors to be provided with clear information about corporate actions within set timescales.
 - P4 Monitor the progress of corporate actions and arrange for investors to be provided with further information, where appropriate
 - P5 Seek instructions from investors in relation to the information provided, where appropriate
 - P6 Arrange for instructions to be carried out in line with the investor's requirements
 - P7 Identify actual or potential instances of non-compliance with regulations and report them to the relevant authority, when appropriate
 - P8 Comply with legal requirements, industry regulations, including ethical standards and health and safety, organisational policies and professional codes

FSPIO11– SQA Unit Code H5GX 04

Process corporate actions on behalf of investors

Knowledge and understanding

You need to know and understand:

- K1 The regulatory framework for processing corporate actions and impact on your own work role
- K2 The structure of the investment market, including the role of your own organisation and external parties and organisations in the processing of corporate actions
- K3 The type and impact of corporate actions on investor assets and your own role in evaluating the impact of actions on assets
- K4 Organisational procedures for actioning investors instructions, including the authorisation procedures and ways of authenticating instructions
- K5 Your level of authority and personal responsibility for dealings with investors, key contacts and colleagues
- K6 The key contacts are within the partner organisations
- K7 How to establish and maintain effective relationships with stakeholders, including the use of interpersonal and communication skills and the concepts of quality service delivery
- K8 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

FSPIO11– SQA Unit Code H5GX 04

Process corporate actions on behalf of investors

Additional Information

Behaviours

1. You act within the limits of your responsibility
2. You explain things so others will understand
3. You make information available only to those who need it and have a right to it

FSPIO11– SQA Unit Code H5GX 04

Process corporate actions on behalf of investors

Developed by	Financial Skills Partnership
Version number	1
Date approved	September 2012
Indicative review date	September 2015
Validity	Current
Status	Original
Originating organisation	Financial Skills Partnership
Original URN	FSPIO11
Relevant occupations	Finance
Suite	Investment Operations
Key words	Investment operations; investment administration; investment market; investment data; market data; investments; investment performance; market performance; assets; unit trust; fund management; financial services; financial holdings; compliance; investors