

**Unit: IA1 Prepare and present investment market information to investors**

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**Overview**

This unit is about providing investors with periodic information, like routine statements, performance reports, fund values etc, and information requested by investors, 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.

As investment administration takes place within a regulatory framework, you must comply with legislation and regulation when carrying out all aspects of this unit.

***Outcomes of effective performance***

- IA1/O1 You identify investors' information needs accurately
- IA1/O2 You obtain appropriate information from relevant sources to meet investors' needs
- IA1/O3 You prepare information for investors which is complete, accurate and relevant to their needs
- IA1/O4 You present information in the required format and at the required times
- IA1/O5 You deal with queries from investors about the information provided promptly and to their satisfaction
- IA1/O6 You maintain the security and confidentiality of information at all times
- IA1/O7 You keep accurate and complete records or copies of information supplied to investors and store them in the appropriate location
- IA1/O8 You comply with legal requirements, industry regulations, organisational policies and professional codes

***Behaviours which underpin effective performance***

- IA1/B1 You gather and manage information effectively, efficiently and ethically
- IA1/B2 You analyse and structure information to develop knowledge that can be shared with investors
- IA1/B3 You articulate the assumptions made and risks involved in presenting information
- IA1/B4 You present information clearly, concisely, accurately and in ways that promote understanding
- IA1/B5 You encourage others to share information within the constraints of confidentiality
- IA1/B6 You carry out tasks with due regard to your organisation's policies and procedures, including those covering health and safety at work

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***Knowledge and understanding***

1. What the compliance and legal issues are in relation to the preparation and presentation of investor reports
2. What the different information needs are of different types of investors and how the presentation of information will differ according to their needs
3. What the organisational/departmental work processes and procedures are in relation to the production of investor information and reports, including the use of organisational IT systems
4. The key information relating to the market, for example, prices, yields, indices
5. What the organisational standards and conventions are for presenting reports and information both internally to the organisation and to outside bodies
6. What the main features are of key product types
7. The importance of effective investor relationships within all service delivery, including the relevance of the legal and regulatory framework for investors and other interested parties, as well as the business case for maintaining effective relationships
8. How to establish and maintain effective relationships with investors and interested parties, including the use of interpersonal and communication skills and the concepts of quality service delivery
9. What the different methods of communicating are and their appropriateness to a range of circumstances
10. What the employer house style and standards of communication are for both verbal and written communication
11. Client requirements and timetables
12. How your organisation's requirements relating to the application of codes, laws and regulatory requirements, including health and safety, impact on your activities