

**Unit: IA9 Process Trades (Global Settlement)**

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**Overview**

This unit relates to the role of supervising systems and processes that enable investment administration to run efficiently, effectively and profitably. As with many other aspects of investment administration, compliance is an important aspect of performance. In this instance, the supervisor is expected to ensure that the systems facilitate compliant administration. Problem solving is also important in the performance of this unit as the supervisor is expected to investigate and resolve problems in relation to systems and processes for investment administration. The supervisor is also expected to recommend changes and improvements as part of ongoing review processes and where problems and difficulties have been experienced during the implementation and operation of systems and processes.

***Outcomes of effective performance***

- IA9/O1 You monitor instructions received electronically
- IA9/O2 You repair instructions, when necessary to ensure that clients' records are complete
- IA9/O3 You process manual securities instructions accurately, checking that clients' records are complete
- IA9/O4 You request asset set-ups, when required, in order to ensure all trades received can be processed and the department objectives achieved
- IA9/O5 You track the performance of each of your assigned tasks in order to ensure that they are operating efficiently and effectively

***Behaviours which underpin effective performance***

- IA9/B1 You record and report all non-processed and held-over work accurately and daily
- IA9/B2 You process all transactions and tasks accurately and within deadlines
- IA9/B3 You apply departmental procedures accurately
- IA9/B4 You scrutinise all transactions thoroughly and transmitted to other relevant services and departments within set timeframes
- IA9/B5 You ensure client satisfaction by effective and timely liaison with client services and internal departments
- IA9/B6 You obtain positive feedback from client services and other relevant departments
- IA9/B7 You report promptly any deviations from company benchmarks

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***Knowledge and understanding***

1. The importance of transaction processing to your clients and to your company
2. The importance and how to demonstrate an understanding of:
  - i. Good attention to detail
  - ii. A desire for excellence
  - iii. A conscientious approach
  - iv. A proactive approach to your work
  - v. Using the discretion you are expected to apply in your job
  - vi. Organising your work and focussing your attention to meet tight deadlines and client expectations
  - vii. Working as a team member
  - viii. Flexibility in getting your work done
  - ix. A strong client service ethic
3. The software used in your job
4. Your company's clients and their need for accurate transactions processing
5. The reputational and operational risks associated with the work you do and how to avoid them
6. What to look for to check that benchmarks are observed
7. The departmental procedures you must follow
8. Your company's procedures for communicating with and Reporting to client services and other departments
9. The records you must keep and the timeframes within which you must report
10. How your organisation's requirements relating to the application of codes, laws and regulatory requirements, including health and safety, impact on your activities