

**SKILLS FRAMEWORK FOR FINANCIAL SERVICES  
TECHNICAL SKILLS AND COMPETENCIES (TSC) REFERENCE DOCUMENT**

<b>TSC Category</b>	Business Development and Strategy Management					
<b>TSC</b>	Ethical Culture					
<b>TSC Description</b>	Foster strong ethical standards in accordance with the ethical principles, financial markets code of conduct, and market practices					
<b>TSC Proficiency Description</b>	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>Level 4</b>	<b>Level 5</b>	<b>Level 6</b>
			<b>FSE-PVE-3004-1.1-1</b>	<b>FSE-PVE-4004-1.1-1</b>	<b>FSE-PVE-5004-1.1-1</b>	
			Uphold ethical standards during performance of individual duties and responsibilities	Uphold ethical standards of the team	Foster ethical culture of the organisation and advocate ethical standards	
<b>Knowledge</b>			<ul style="list-style-type: none"> <li>• Relevant ethics pronouncements</li> <li>• Relevant code of professional conduct and ethics</li> <li>• Types of threats to compliance</li> <li>• Ethical principles, financial markets code of conduct, and market practices</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant ethics pronouncements</li> <li>• Relevant code of professional conduct and ethics</li> <li>• Role of self and team in providing information about the social and environmental performance of an organisation</li> <li>• Ethical principles, financial markets code of conduct, and market practices</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant ethics pronouncements or code of professional conduct and ethics</li> <li>• Role of staff and business in providing information about the social and environmental performance of an organisation</li> <li>• Ethical principles, financial markets code of conduct, and market practices</li> </ul>	

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<p><b>Abilities</b></p>			<ul style="list-style-type: none"> <li>• Demonstrate an understanding of ethical principles, financial markets code of conduct, and market practices, and how it protects the integrity of the financial market conduct for financial market practitioners</li> <li>• Uphold and comply with the relevant ethics pronouncements or code of professional conduct and ethics during performance of individual duties and responsibilities</li> <li>• Identify threats to compliance with the principles of the relevant code of professional conduct and ethics</li> <li>• Resolve ethical dilemmas through understanding of ethical principles when engaging clients</li> <li>• Demonstrate sound judgement in applying and upholding the high ethical standards expected of financial market practitioners when conducting financial market activities</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor transactions in compliance with the relevant ethics pronouncements or code of professional conduct and ethics</li> <li>• Apply safeguards to eliminate the identified threats or to reduce them to an acceptable level</li> <li>• Comply with the relevant ethics pronouncements or code of professional conduct and ethics during performance of individual duties and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>• Lead and direct team in order to set the tone at the top within the organisation</li> <li>• Evaluate effectiveness of safeguards applied</li> <li>• Uphold compliance to principles of the relevant code of professional conduct and ethics</li> <li>• Establish standards for ethical values, attitudes and behaviours</li> <li>• Develop plans to negate occurrence of ethical breaches</li> </ul>	
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