

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

TSC Category	Investment and Financial Management					
TSC	Trade Processing, Fund Settlement and Treasury Transaction Processing					
TSC Description	Demonstrate the ability to validate appropriate fund terms and transfers, monitor and review the smooth delivery of securities to buyers, perform settlement, rate verification, reconciliation and post-trade confirmation activities including reporting transactions that have not been cleared or are unusual					
TSC Proficiency Description	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
			FSE-BIN-3136-1.1	FSE-BIN-4136-1.1	FSE-BIN-5136-1.1	
			Execute fund term orders and transaction processing to monitor payments, unauthorised transactions and settlements	Set order execution processes, determine metrics for organisation reporting standards and verify financial market transactions	Establish frameworks and policies to operationalise processes, settle discrepancies and guard against unauthorised transactions	
Knowledge			<ul style="list-style-type: none"> • Fulfilment of obligations and risk minimisation • Settlement and clearance of payments processes • Order details necessary for confirmation • Tools and helpdesk systems to review backlog items • Data analytics tools • Financial reporting standards • Society for Worldwide Interbank Financial Telecommunication (SWIFT) system • Symptoms and patterns of unauthorised trading activities • Regulatory guidelines relevant to trading 	<ul style="list-style-type: none"> • Order execution processes and procedures • Verification processes of order details and fund terms • Reporting of transactions for various parties • Performance metrics for settlement • Service level agreements • Reconciliation and post-trade confirmation activities • Financial risks in transactions 	<ul style="list-style-type: none"> • Risk and compliance challenges associated with sales and trade orders • Best practices for operations and processes • Trade lifecycle components • Settlement and delivery regulations • Process optimisation opportunities • Scalability pre-requisites and reliability of technological systems • Regulatory guidelines relevant to trading 	
Abilities			<ul style="list-style-type: none"> • Assess client order details • Interpret and verify order instructions between parties 	<ul style="list-style-type: none"> • Determine, obtain and verify clients' purchase and sales orders • Evaluate orders and follow up on completion of trade orders 	<ul style="list-style-type: none"> • Formulate frameworks for acceptance of sales orders • Establish policies for timeframe of execution of trade orders 	

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			<ul style="list-style-type: none"> • Request clarification of information for relevant parties when necessary • Report trade and transaction discrepancies that have not been cleared or are unauthorised for escalation • Follow up to ensure documents are captured in relevant trading systems • Analyse confirmation and payment details to ensure accuracy • Investigate for financial risks in transactions performed by traders to guard against unauthorised transactions and excessive risk exposures • Perform rate reasonability reviews of portfolios to ensure that all transactions are executed and re-valued at prevailing market rates 	<ul style="list-style-type: none"> • Evaluate and reconcile trade orders between transaction parties • Analyse appropriate fund availabilities and record transfers • Disseminate the delivery of securities to buyers • Evaluate preparation of brokers' performance reports and central dealing unit's performance reports • Evaluate reports of brokers' and central dealing units' overall performance • Review transaction financial risk investigations • Verify rate reasonability reviews 	<ul style="list-style-type: none"> • Operationalise reconciliation of trade orders • Review trade order processes for identification of future improvements • Forecast necessary fund availabilities for organisation • Establish processes for counterparties to deliver and make payments based on settlement guidelines • Establish report preparation guidelines and timeline for delivery • Establish performance reporting criteria • Formulate strategies for rate reasonability and financial risk investigation processes • Review and align analyses and investigations performed in accordance with regulatory guidelines 	
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