

Investment Operations Specialist.

Level 4 Professional Career Development Programme

To check if this programme is suitable for you, ask yourself the following questions:

- Would a professional in my role be expected to display the Knowledge, Skills and Behaviours detailed below?
- Will I have the opportunity to demonstrate the skills detailed below in my current role?
- Will completion of this programme help me to be more effective in my current role?

During the application process your Line Manager will be asked to confirm that this programme is relevant for your role. This is important, as completion of the programme and your professional accreditation relies on your ability to provide evidence that you've learned and applied the skills detailed below back at work.

Core Knowledge	Learning Outcomes
Industry and company understanding	Sound understanding of the structure of the Financial Services industry and in particular the role and purpose of markets and the process of investing; the role of the function in which you work; how this role relates to other functions within your department and to the wider business. Deeper knowledge of specific markets and supporting operational protocols as required by the employing organisation.
Regulatory and compliance	Sound understanding of the Financial Services regulatory framework and ethics, and the ability to apply relevant rules and principles to your own role and within your team. Able to identify and communicate risks to the relevant management or compliance personnel within the organisation.
Products	Sound understanding of the technical, investment and settlement characteristics of the main investment products, instruments, currencies and markets, including derivative instruments and complex products. Understand how an investment instrument or product is typically used within the industry and how it may meet specified client objectives.
Systems and Processes	Proficient in the IT skills, systems and processes required to deliver consistent outcomes. Aware of how these support and fit within the wider business and the sector. Understand the types of risks that may arise through operational activities, and how these risks can be mitigated. Can utilise complex processes and multiple systems as required.
Client Service and Relationships	Communicate effectively and professionally with clients, external counterparties and internal staff. Adhere to internal standards, market protocol and regulatory rules and principles for reporting purposes. Understand the relationships and service requirements between markets, clients and intermediaries.

If you have any questions about the programme, contact BPP:

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Skills and Behaviours	Learning Outcomes
Service delivery	Maintain a consistently high standard of service internally, towards clients and with intermediaries. Adhere to well defined timeframes, systems and processes. Consistently attentive to accuracy, detail and timeliness; meeting required risk, regulatory and governance requirements. Perform tasks which may be complex, specialised, or non-routine, such as bespoke (OTC) derivative settlement and margin calculations, monitoring and processing these complex transactions through to completion. Preparing management, investment performance or review reports for internal and external clients.
Communication	Adopt high quality written and verbal communication skills as appropriate for communicating with internal and external clients. Build positive relationships with clients and colleagues using sound interpersonal and influencing skills. Able to coach/train less experienced colleagues. Able to communicate and negotiate complex situations and issues that may arise.
Team working and collaboration	Consistently support colleagues and the wider business, collaborating to achieve results. Be aware of your role within the team, how your team fits within the business and how the team's decisions impact on others. Take a leadership role in the team when appropriate. Operate well under time pressure.
Ownership and Initiative	Take ownership for delivery in your area of responsibility, both for the core role and for developing and implementing changes. Be able to exercise autonomy and judgement within fairly broad parameters. Find effective ways to resolve issues. Escalate decisions and issues when necessary. Be capable of resolving complex issues that may involve other business areas.
Personal development	Proactively plan and record your own development; seek constructive feedback and incorporate within development plan; keep up to date with changes in all areas of the role; show commitment to the job and the industry.
Honesty and Integrity	Be truthful and sincere in your actions and do the right thing (even when it's difficult). Handle client information confidentially.
Adaptability	Be willing to accept changing priorities and work patterns when new jobs need to be done, or when requirements change.
Enthusiasm	Show drive and energy in your work, when things are going well and when challenges arise.

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