

# Retail Financial Services (Investment Administration) NVQ

This NVQ is for experienced service providers and supervisory-level personnel working in an investment administration environment.

- Course duration: 3 – 6 months
- Assessed through observation, discussion, workplace evidence and written worksheets
- Supported by e.learning and optional in-company workshops

To achieve the NVQ, candidates must complete *seven* units in total; *three* mandatory units and *four* optional units. At least *two* units must be completed from group E.

## Level 3

<b>Mandatory: Core competencies</b>
■ Develop yourself to improve and maintain workplace competence
■ Develop productive working relationships in a financial services environment
■ Ensure your own compliance with financial services regulation
<b>Group E – Investment Administration</b>
■ Prepare and present investment market information to investors
■ Establish and maintain investor details and records
■ Reconcile investment market transaction and investor accounts
■ Maintain the custody of assets on behalf of the investor
■ Arrange the settlement of transactions
■ Measure the performance of investments
■ Establish the price of assets and investments/units
■ Supervise investment administration systems and processes
■ Process Trades (Global Settlement)
<b>Group H – Financial Services Customer Care</b>
■ Organise the delivery of reliable customer service
■ Plan, organise and control customer service operations
■ Provide customers with specialised assistance
■ Improve the customer relationship
<b>Group I – Leadership and Management</b>
■ Provide learning opportunities for colleagues
■ Provide leadership for your team
■ Allocate and monitor the progress and quality of work in your area of responsibility
■ Recruit, select and retain colleagues
■ Ensure compliance with legal, regulatory, ethical and social requirements
<b>Group J – Financial Services Sales</b>
■ Contribute to the development of new products and services
■ Sales activity planning
■ Develop and deliver professional sales presentations
■ Develop and maintain business relations with financial services introducers
■ Process financial service sales support administration for agencies

### Highlights

- 60 – 90 minutes per week study & preparation time
- Assessed in the workplace by experienced assessors