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Level 3

Investment Operations Technician

Talent Development Programme

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Programme Overview

Welcome to the 18 month, Level 3, Investment Operations Technician programme.

FSTP have designed and developed a unique programme using our experience and expertise within financial services.

During the 18 month programme, employees will cover topics allowing them to develop skills and understanding of the world of financial services, regulation and compliance, financial products and services, building impactful relationships and providing excellent customer service.

Our Investment Operations Technician programme combines outstanding classroom training, dedicated workplace coaching and on the job experience to build the necessary skills, knowledge and behaviours to become a highly competent Investment Operations Technician professional. In addition participants will work towards a recognised professional qualification.

Awarding Body Partners

CISI
CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT

Standard	Investment Operations Technician
Qualification Level	3
Duration	Typically this programme will take 18 months to complete
Entry Requirements	• Have level 2 English and Maths or equivalent. • Have been a resident in the UK/EEA/EU for the last 3 years. • Be able to meet the programme modules through your job role.

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Programme Pathway

Below is a sample of career progression based on this apprenticeship with Financial Services.

Typical Job Roles

These are just a few examples of the typical job roles that would suit the level 3 Investment Operations Technician programme:

Professional Qualifications Available

CISI CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT

Chartered Institute of Securities and Investment

Investment Operations Certificate

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Modules

Module 1

Introduction to the World of Investment Operations

- The world of investment
- The industry's key players
- Fundamental Investment Principles
- regulatory process
  - The regulatory framework
  - How regulation impacts daily activities
  - Conduct Risk and Treating Customers Fairly

Module 5

Building Impactful Relationships

- The communication tool of persuasion
- The techniques of negotiation
- The power of questioning and listening
- Selling the benefit
- Gaining agreement
- Better relationships with your business
- Managing meetings

Module 2 & 3

Regulation Masterclass (Part 1 & 2)

-
- The Approved Persons Regime / SMCR
- The new Conduct of Business rules
- Financial crime issues including anti-money laundering and bribery
- Changes to the Client Asset Sourcebook
- Complaints and redress procedures
- Authorisation
- Permissions
- PRA/FCA approach to regulation
- Financial requirements

Module 6

Customer Service (Part1)

- Understand why customer service is important
- Identify different customers and their expectations
- Deal with difficult customers
- Identify "moment of truth"
- Examine how communication can be used to improve customer experience
- Understand what vulnerable customers are
- Understand above and beyond
- Complaints handling
- Develop confidence when speaking to customers

Module 4

Investment Products and Services

- CIS – NURS, UCITS and Services
- Private equity and Hedge products
- Wealth Management and segregated portfolio
- Wraps and supermarkets
- Life products
- Pension products
  - SIPP
  - SSAS

Exam Preparation

Session 1-6

- Full syllabus walk through
- Highlight areas of common issues for candidates
- Case studies aligned to business activity to amplify learning and application to real life scenarios post exam
- Example questions and mini exam included
- Access to practitioners and ability to ask questions of tutor

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Learner Journey

Each programme is designed to accommodate the needs of the learner, their job role and the business so the delivery schedule will reflect this. However, as an example of a learner journey throughout the Investment Operations Technician programme, we have shown a demonstrative timetable below.

Blended learning

Mentor Visit
An FSTP mentor will visit each participant on a regular basis to support in the workplace, alongside the participants internal support mechanisms, i.e. workplace manager and/or mentor.

Masterclasses
Industry experts will deliver face to face sector specific masterclasses and coaching sessions to provide opportunities to stretch and challenge.

E-learning
Each participant will have individual access to an e-learning environment where additional learning materials can be accessed.

Professional Qualification Resource Workbooks and Online access

Introduction Session

2 hour sessions monthly

Mentor Visits

End Point Assessment
Professional discussion and interview

Portfolio assessment

Months 1- 2

Months 3- 14

Months 15- 18

Investment Operations Technician Apprenticeship Certificate

Awarded!

Training
Introduction to the World of Investment Operations

Training
Regulation Masterclass

(Part 1)

Training
Regulation Masterclass (Part 2)

Training
Exam Preparation

Introduction to Securities

Training
Investment Products and Services

Training
Exam Preparation UK Regulation (CISI)

Training
Building Impactful Relationships

Training
Exam Preparation

Technical Module

Training
Customer Service

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20% off-the-job Training

Our programme is designed to help facilitate off the job earning, so we can support the candidates in confidently evidencing the 20% off the job training which is a requirement to have been completed within working hours.

Many employers find the demand for off the job training as worrying. However it doesn't need to be. See the table below for some suggestions of off the job training your apprentices can undertake.

Please do get in touch with any queries and a member of our team will be happy to help.

0203 178 4230

Activity	Example of valid off-the-job training
Classroom sessions / lecture	Block or day release
Workshops and masterclasses	Interactive workshops involving employers
Simulation exercises	Business models and gaming
Online learning	Online training modules and support materials
Shadowing	In work or new departments / locations
Coaching	Support from Line Managers/ colleagues
Industry visits	Within sector or outside of work roles

Please note the above examples are not an exhaustive list, so please contact us today to discuss further.

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Assessment

This programme consists of two main types of assessments:

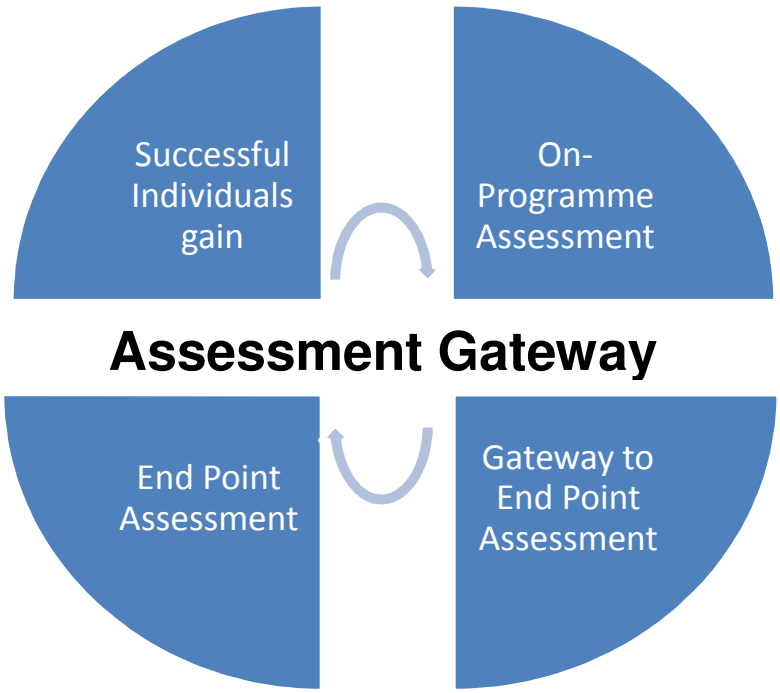
On-programme assessments

&

End point assessment (EPA)

The on-programme assessment will involve both yourself, (the employer) and FSTP (your training provider). This assessment will involve each apprentice developing a portfolio that demonstrates the learning and development activities with their application in the workplace.

The assessment is ongoing throughout the programme and apprentices will be provided 360-degree feedback throughout their development of the portfolio.



End Point Assessment

The first thing to note is that your chosen training provider can not deliver your end point assessment. This must be done through a totally separate organisation.

The choice of which End Point Assessment organisation you decide to use is yours but we can certainly offer guidance as to where you can find the details of approved organisations.

It is our aim to make sure that you work with an End Point Assessment organisation that supports your business, the apprentices and the job role, all to provide you with the confidence that the training and qualifications are best suited to your objectives.

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The future of training provision

FSTP we are using our industry knowledge and expertise to provide a range of apprenticeship programmes to the financial services industry that will provide the apprentices with the high standards of training and support that we currently provide to financials services professionals through our training and professional qualification support.

Developing your career with FSTP

Our Apprenticeship programmes are designed with career pathways in mind, taking professionals through GCSE level right up to attaining a degree level professional qualification.

With our expertise within financial services we aim to provide our apprentices with fundamental skills that will allow the high performing candidates to progress in multiple directions – depending on their career aspirations and development opportunities in your business.

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What are your next steps?

If you would like to find out more about our Level 3 Investment Operations Technician programme, then please contact us.

We would be happy to answer any questions you have about the apprenticeship training we can provide.

Speak to one of our team today!

Call:

0203 178 4230

Email:

info@fstp.co.uk

Website:

www.fstp.co.uk