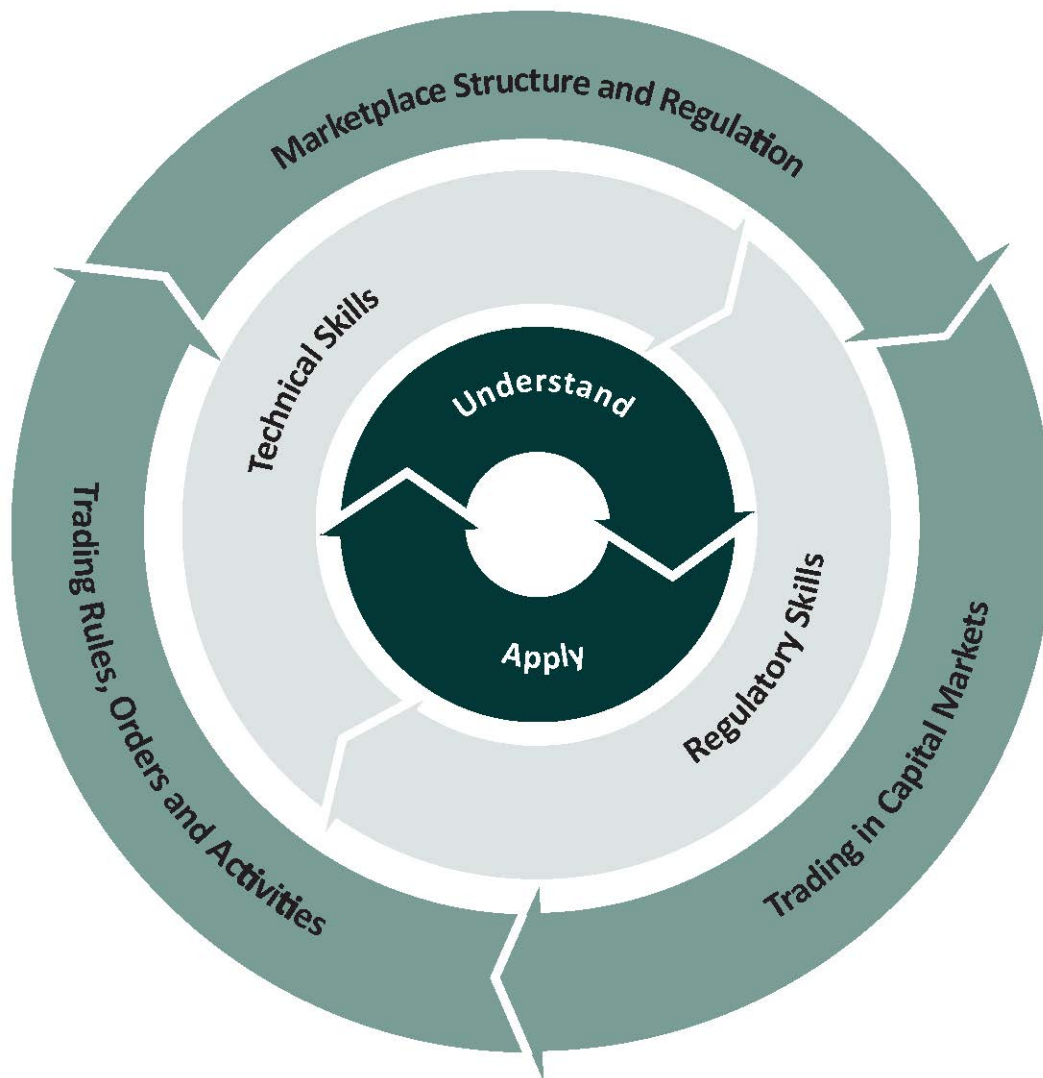


TRADER COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Trader from a regulatory perspective. It captures the general knowledge, behaviours and skills they need to have and apply to support the oversight, compliance, and requirements of their role.

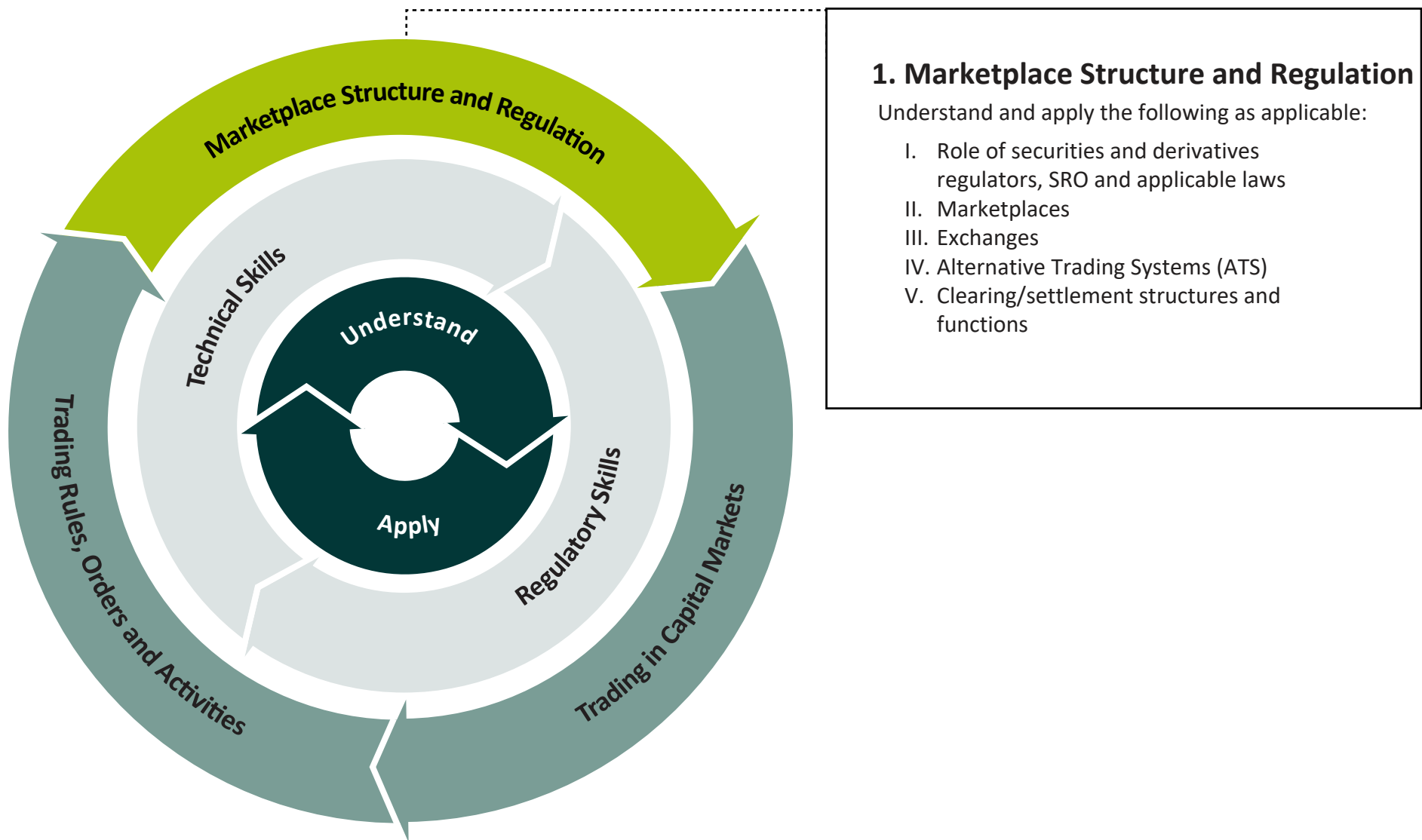
Please refer to [Appendix 17](#) to review the reference document for the Trader competency profile.



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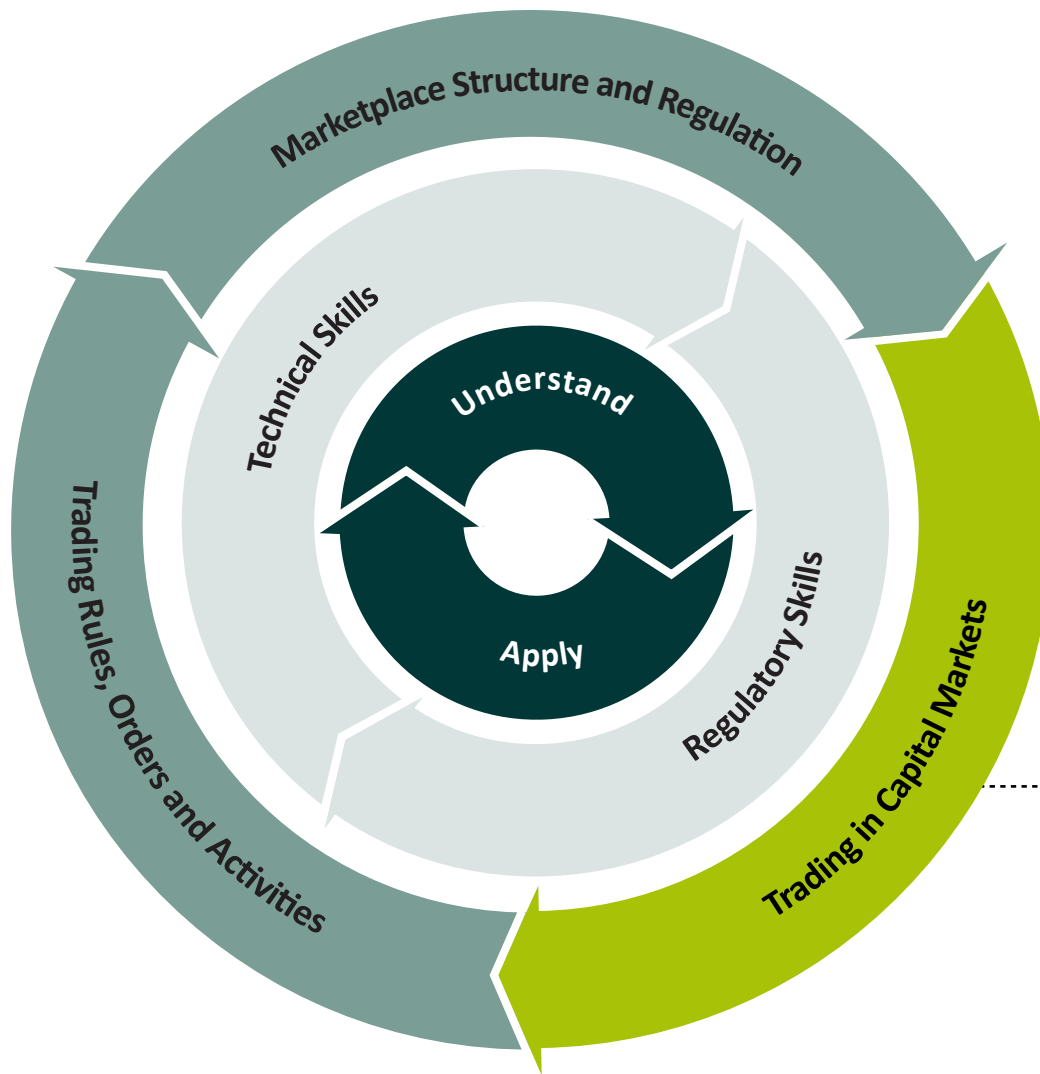
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2. Trading in Capital Markets

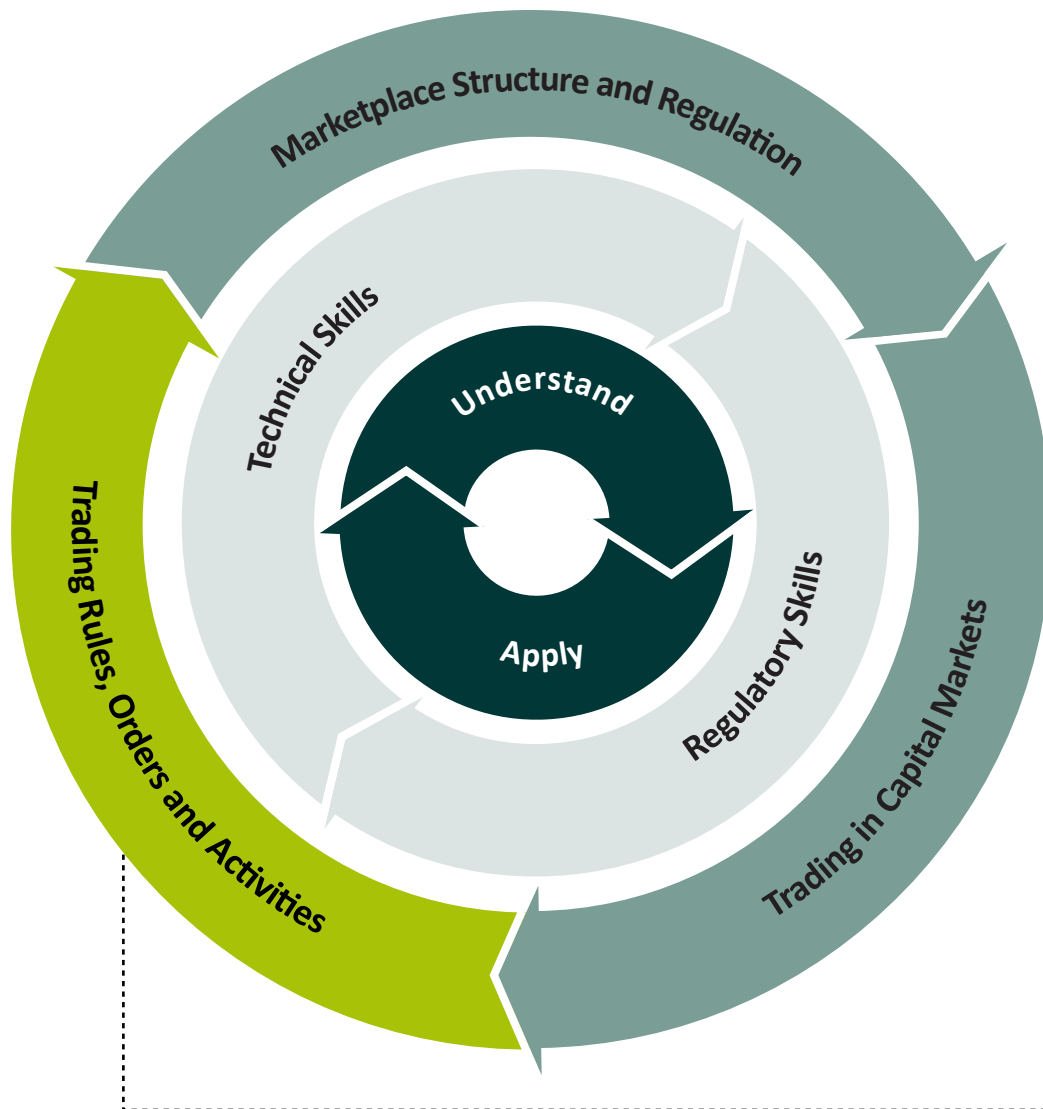
Understand and apply the following as applicable:

- I. Capital formation and market trading
- II. Trade desk function, supervision and compliance
- III. Role of Traders
- IV. Trade execution
- V. Orders and product features
- VI. Ethics, conflicts of interest and confidentiality

TRADER COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Trader from a regulatory perspective. It captures the general knowledge, behaviours and skills they need to have and apply to support the oversight, compliance, and requirements of their role.

Please refer to Appendix 17 to review the reference document for the Trader competency profile.



3. Trading Rules, Orders and Activities

Understand and apply the following as applicable:

- I. Universal Market Integrity Rules (UMIR)
- II. Gatekeeping
- III. Best execution
- IV. Marketplace operations and trading processes