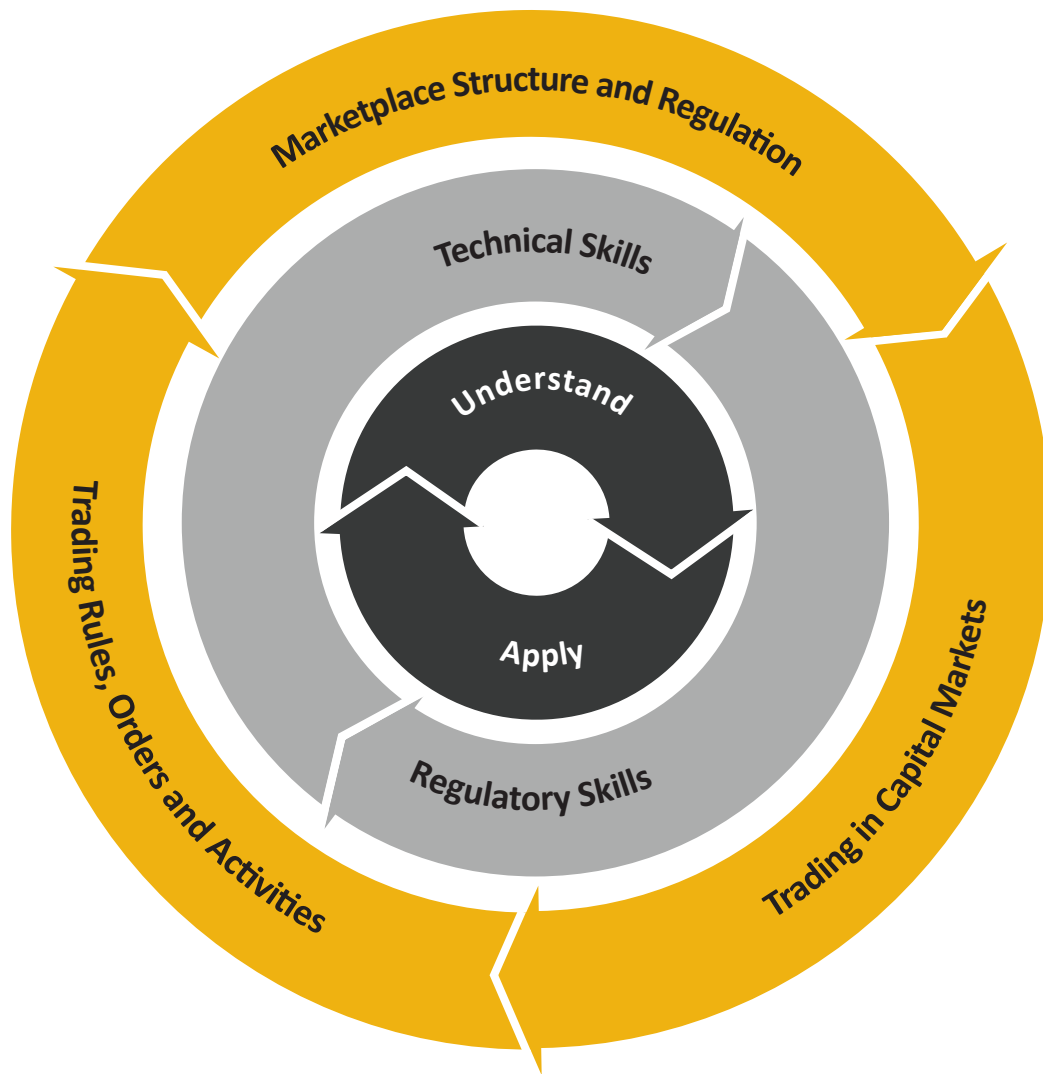


TRADER COMPETENCY PROFILE

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

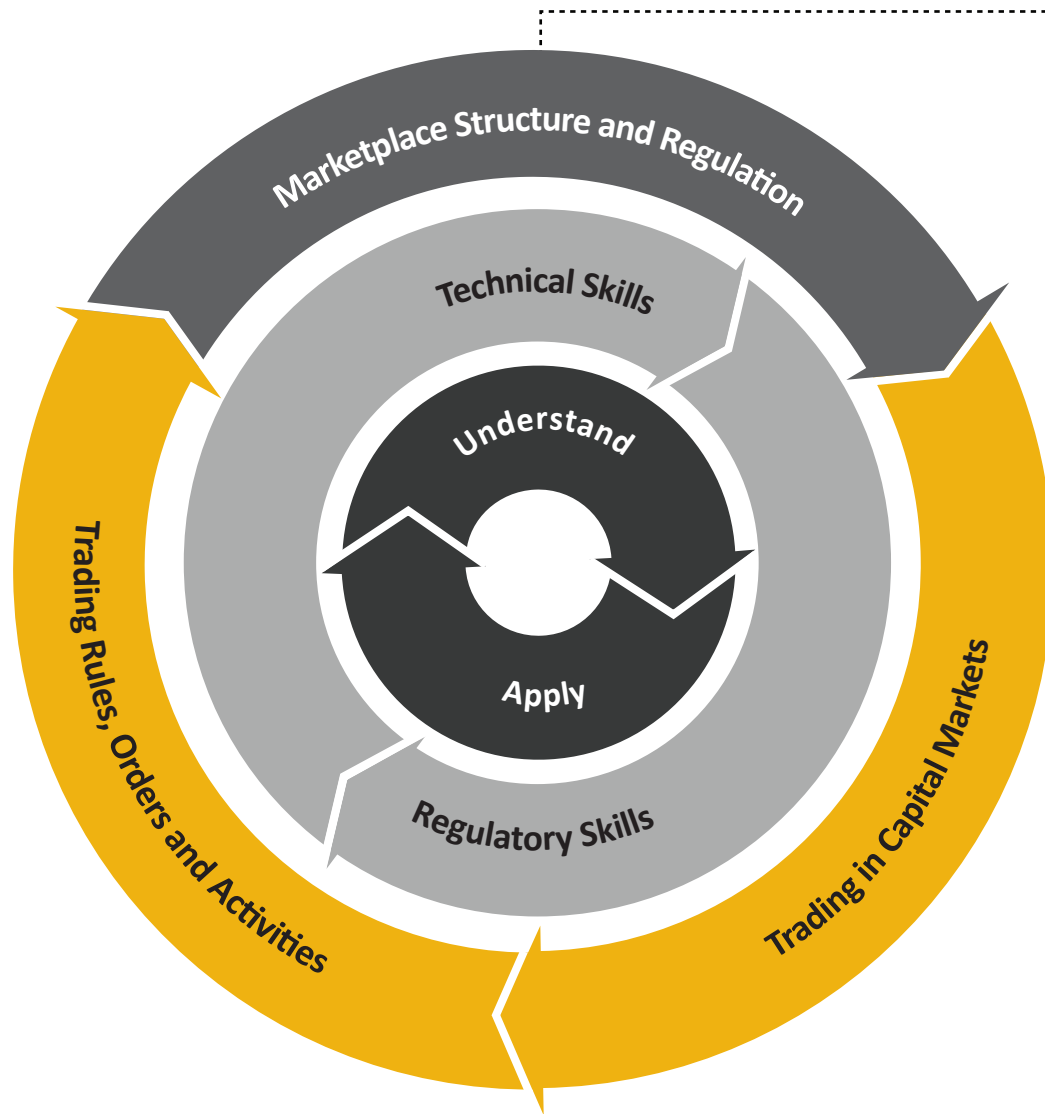
Please refer to [Appendix 5](#) to review the reference document for the Trader competency profile.



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1. Marketplace Structure and Regulation

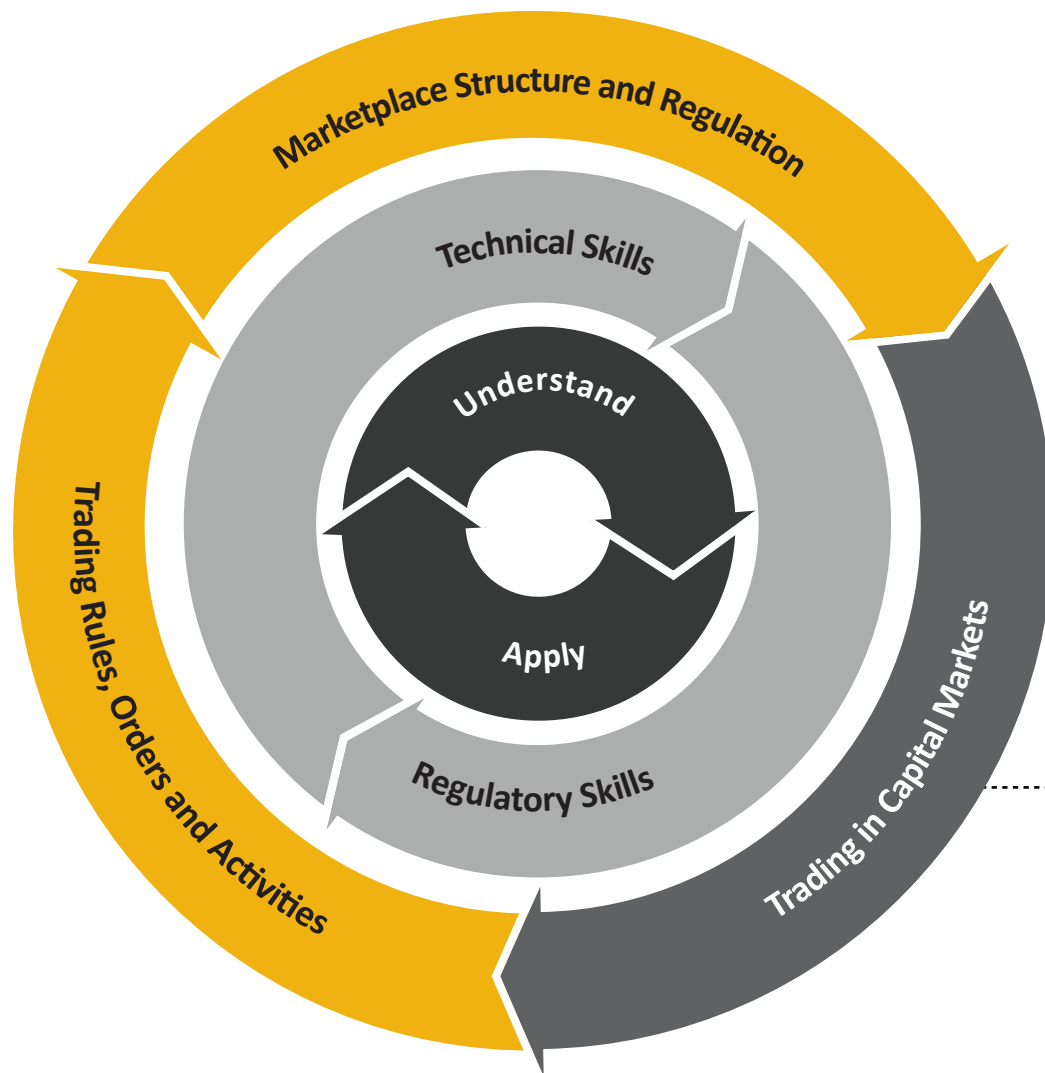
Understand and apply the following:

- I. Role of securities regulators and applicable laws
- II. Marketplaces
- III. Exchanges
- IV. Alternative Trading Systems (ATS)
- V. Clearing/settlement structures and functions

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2. Trading in Capital Markets

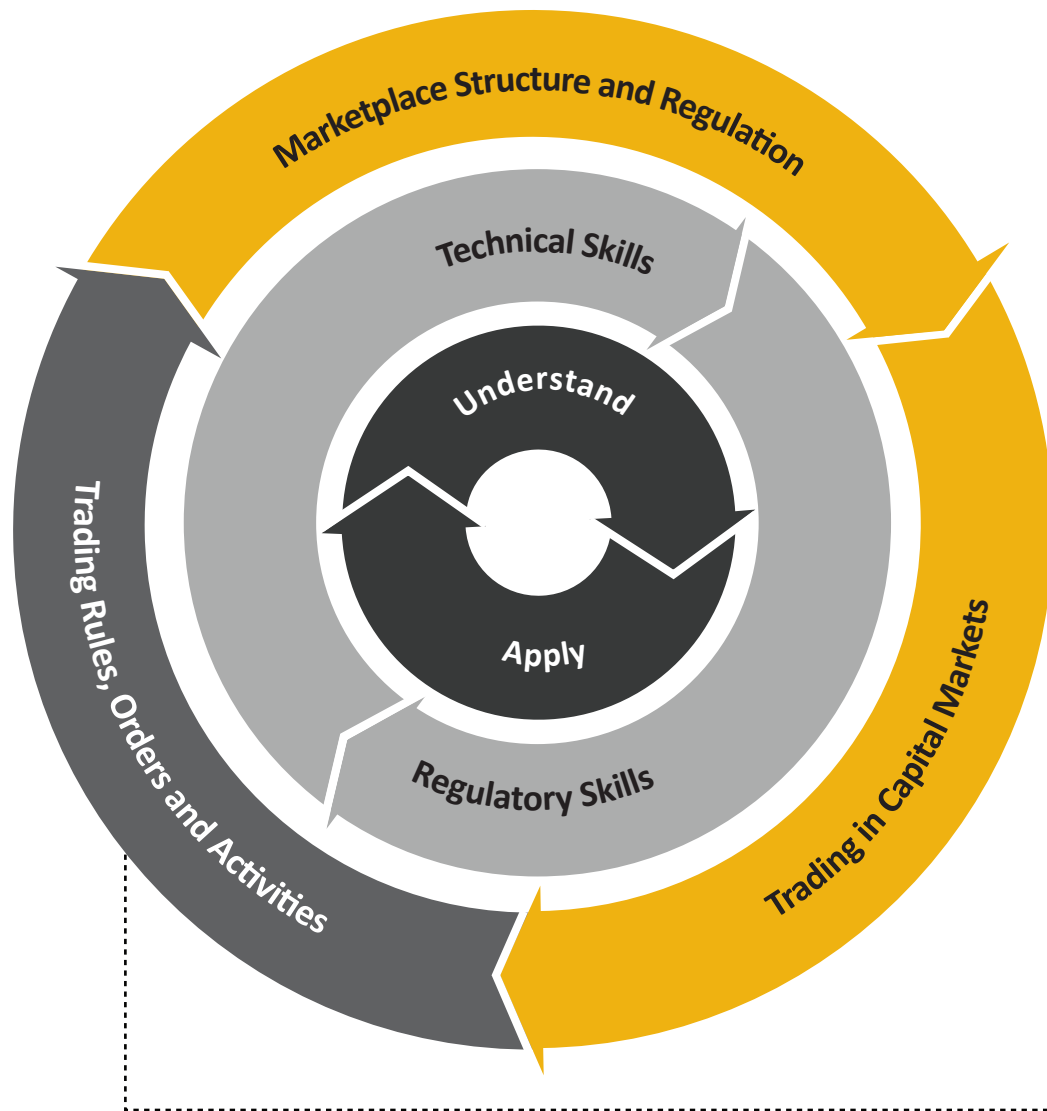
Understand and apply the following:

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

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3. Trading Rules, Orders and Activities

Understand and apply the following:

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