

Suitability matrix Brokerage Bureau

Rating scale

1 = basic theoretical knowledge

2 = practical competencies

3 = broad competencies used in practice

L = broker's or investment advisor's licence

	Management of BM					Minimum required level					collective responsibility
	Director of BM	Vice-Director of BM for advisory and management	Vice-Director of BM for institutional sales	Vice-Director of BM for capital markets	Vice-Director of BM for private banking offer	Director of BM	Vice-Director of BM for advisory and management	Vice-Director of BM for institutional sales	Vice-Director of BM for capital markets	Vice-Director of BM for private banking offer	
Substantive knowledge and skills											
Knowledge of the supervised brokerage activity in BM						3	3	3	3	3	at least 3
Accounting and reporting						1	1	1	1	1	at least 1
Risk management						2	1	1	1	1	at least 1
Compliance and internal audit						2	2	2	2	2	at least 2
Technologies and IT security						1	1	1	1	1	at least 1
Knowledge of capital markets						2	2	2	2	2	at least 2
Regulatory environment						2	1	1	1	2	at least 1
Strategic planning						1	1	1	1	1	at least 1

minimum amount of time for performing a function in the management of BM (% of FTE)	90	80	80	25	25
declared amount of time for performing a function in the management of BM (% of FTE)					