



VTCT

Assessment Record

Learner name:

Learner number:

BU3D1

*VTCT Level 3 Diploma in Financial
Trading*

603/0696/8



Qualification at a glance

This is an Assessment Record which should be used to record the results of **summative assessments** and other requirements attached to this qualification. The Assessment Record should be completed by assessors to confirm that the learner has achieved all mandatory units. Confirmation that all qualification requirements have been met is recorded here.

This Assessment Record must be used alongside the Qualification Specification BU3D1 VTCT Level 3 Diploma in Financial Trading, which outlines the full qualification requirements and content.

This can be located under the documents tab on the BU3D1 VTCT Level 3 Diploma in Financial Trading webpage on www.vtct.org.uk.

Qualification title	VTCT Level 3 Diploma in Financial Trading
Ofqual qualification number	603/0696/8
VTCT product code	BU3D1
First registration date	1 November 2016
Age range	16-18, 19+
Total qualification time (TQT)	167
Guided learning for qualification	122
Assessment	This qualification will be assessed by an internally assessed portfolio of evidence. All assessment criteria in the three mandatory units must be evidenced to achieve this qualification.
Entry requirements	There are no formal entry requirements for this qualification set by VTCT; it is recommended that learners have an interest in the financial services sector and hold a Maths GCSE at Grade A-C or higher. Centres should conduct initial assessments to ensure learners are capable of producing evidence to the required standard.



Qualification structure

To be awarded the VTCT Level 3 Diploma in Financial Trading, learners must achieve all mandatory units.

The guided learning (GL) hours required to achieve this qualification are 122.

Qualification structure

VTCT product code	Unit title	Level	GL	Ofqual unit number
Mandatory units				
UBU124	Financial market forces and their effects on the financial markets	3	40	T/615/3231
UBU125	Financial asset classes, underlying markets and back office functions	3	40	A/615/3232
UBU126	Foundation financial trading strategies	3	42	F/615/3233



Achievement record

This should be completed by assessors to confirm that the learner has achieved a pass in all mandatory units. Completion of additional qualification requirements including the portfolio of evidence should also be confirmed here.

Unit Achievement

Unit code	Date achieved	Learner signature	Assessor initials	IQA signature (if sampled)
Mandatory units				
UBU124				
UBU125				
UBU126				

Assessor		Learner	
Signature		Signature	
Date		Date	
IQA (if sampled)		EQA (if sampled)	
Signature		Signature	
Date		Date	



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UBU124

Financial market forces and their effects on the financial markets

T/615/3231

UBU124



Assessment criteria

Learners must complete the assessment requirements related to this unit.

Learners must produce a portfolio of evidence which contains assessed evidence covering all the assessment criteria in this unit.

Assessment criteria

In order to pass this unit, learners must achieve all criteria.

LO1 Understand how economic market forces relate to financial markets	Portfolio reference
P1 - Explain the purpose of economics	
P2 - Define the financial market	
P3 - Explain the impact of economic supply and demand on financial markets	
P4 - Describe key fundamental economic indicators and their effects on financial markets	
P5 - Describe a variety of World Governments economic policies, and implications on the economy and financial markets	
LO2 Understand how world Government monetary policies effect global markets	Portfolio reference
P6 - Define monetary policy	
P7 - Describe how monetary policy affects global economies	
P8 - Describe the effectiveness of World Government monetary policies	
LO3 Understand the foundations of how derivatives markets operate and evaluate financial market components	Portfolio reference
P9 - Describe the varying types of asset classes in modern financial markets	
P10 - Explain the advantages and disadvantages of varying asset classes	
P11 - Explain correlations between trading financial products	



LO4 Understand foundation level technical analysis of financial market trading	Portfolio reference
P12 - Define financial technical analysis	
P13 - Compare and contrast various technical analysis indicators	
P14 - Use technical analysis techniques for both short term trading and long term investment strategies	

<i>Assessor</i>	<i>Learner</i>
Signature	Signature
Date	Date
<i>IQA (if sampled)</i>	<i>EQA (if sampled)</i>
Signature	Signature
Date	Date



Notes - Please use this space if required



VTCT

Assessment Record

UBU125

*Financial asset classes, underlying
markets and back office functions*

A/615/3232

UBU125



Assessment criteria

Learners must complete the assessment requirements related to this unit.

Learners must produce a portfolio of evidence which contains assessed evidence covering all the assessment criteria in this unit.

Assessment criteria

In order to pass this unit, learners must achieve all criteria.

LO1 Understand the fundamental operations of derivative markets	Portfolio reference
P1 - Define a derivatives market	
P2 - Describe varying derivative markets and associated risk	
P3 - Define what the futures market is and how it operates	
P4 - Define the options market	
LO2 Understand underlying markets	Portfolio reference
P5 - Define an underlying market	
P6 - Explain how underlying market relates to derivative products	
LO3 Understand how financial markets and global exchanges operate, along with the functions of clearing houses	Portfolio reference
P7 - Explain the role and function of global exchanges	
P8 - Compare global exchanges with the OTC (Over The Counter) market	
P9 - Explain the operations of clearing houses	
P10 - Explain how margining systems work	
P11 - Explain back office procedures for managing risk	

Assessor	Learner
Signature	Signature
Date	Date
IQA (if sampled)	EQA (if sampled)
Signature	Signature
Date	Date



VTCT

Assessment Record

UBU126

*Foundation financial trading
strategies*

F/615/3233

UBU126_v2



Assessment criteria

Learners must complete the assessment requirements related to this unit.

Learners must produce a portfolio of evidence which contains assessed evidence covering all the assessment criteria in this unit.

Assessment criteria

In order to pass this unit, learners must achieve all criteria.

LO1 Be able to analyse basic financial market data and trading patterns, whilst evaluating and understanding economic market forces	Portfolio reference
P1 - Use trading techniques to identify fair market value for a multitude of financial asset class products	
P2 - Analyse price support and resistance levels which have been created by market forces	
P3 - Use analysis techniques at a foundation level to forecast short-term trading opportunities and longer term investment opportunities	
LO2 Be able to implement a multitude of trading strategies for speculating and risk mitigation	Portfolio reference
P4 - Apply a variety of trading analytical techniques to financial products	
P5 - Calculate the profit and loss of trades, whilst managing associated risk	
LO3 Be able to follow a trading structure and work independently in reviewing own trading psychological behaviour	Portfolio reference
P6 - Maintain a daily trading diary of market analysis, trade execution and reasoning behind trading decisions	
P7 - Devise a daily structured trading plan	
P8 - Produce a personal plan for improvement	
P9 - Independently review own trading behaviour	



<i>Assessor</i>		<i>Learner</i>	
Signature		Signature	
Date		Date	
<i>IQA (if sampled)</i>		<i>EQA (if sampled)</i>	
Signature		Signature	
Date		Date	



Notes - Please use this space if required