

vtct

Assessment Record

Learner name:

Learner number:

BU5D1

VTCT Level 5 Advanced Diploma in Financial Trading

601/8650/1

BU5D1F_v2



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 BU5D1 VTCT Level 5 Diploma in Financial Trading, which outlines the full qualification requirements and content.

This can be located under the documents tab on the BU5D1 VTCT Level 5 Diploma in Financial Trading webpage on www.vtct.org.uk.

Qualification title	VTCT Level 5 Advanced Diploma in Financial Trading
Ofqual qualification number	601/8650/1
VTCT product code	BU5D1
First registration date	1 April 2016
Age range	16-18, 19+
Total qualification time (TQT)	309
Guided learning for qualification	270
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 5 Advanced Diploma in Financial Trading, learners must achieve all mandatory units.

The guided learning (GL) hours required to achieve this qualification are 270.

Qualification structure

VTCT product code	Unit title	Level	GL	Ofqual unit number
Mandatory units				
UBU123	Financial markets and operations	5	108	Y/508/3793
UBU120	Financial products and associated risk	5	108	R/508/3176
UBU122	Financial trading techniques	5	54	T/508/3218



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				
UBU123				
UBU120				
UBU122				

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

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UBU123

Financial markets and operations

Learner name:

Learner number:

Y/508/3793

UBU123_v1



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 derivatives markets operate and how to analyse the market components	Portfolio reference
a. Analyse the types of market derivatives and asset classes in modern financial markets	
b. Explain how financial markets operate	
c. Explain the origins and operations of the financial futures market	
d. Analyse the advantages and disadvantages of trading futures contracts	
e. Analyse the components of a futures contract	
f. Explain underlying markets for bonds, equities, forex, commodities, indices and options	
LO2 Understand fundamental macro and micro economic analysis in relation to financial market trading	Portfolio reference
a. Explain the purpose of economics	
b. Explain the impact of economic supply and demand	
c. Explain economic variables and their interaction	
d. Explain management and solutions of the economy	
e. Analyse government policy and its implications on the economy and financial markets	
f. Explain monetary and fiscal policy of: <ul style="list-style-type: none">• U.S. Federal Reserve• European Central Bank• Bank of England	
g. Analyse key economic indicators and data release	
h. Summarise relevant economic history and its impact	



LO3 Understand technical analysis of financial market trading	Portfolio reference
a. Define financial technical analysis	
b. Explain the philosophy behind financial technical analysis	
c. Compare different financial technical analysis type charts	
d. Evaluate the advantages and disadvantages of market analysis, using various technical analysis indicators for chart overlays and momentum indicators	
e. Implement learned 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

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Assessment Record

UBU120

Financial products and associated risks

Learner name:

R/508/3176

Learner number:



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 operation of different types of bond trading and associated financial risk	Portfolio reference
a. Explain the different types of bonds in financial markets	
b. Explain bond futures, their function within financial markets and associated risks	
c. Explain how bond futures are priced and contributing factors	
d. Explain the relationship between bond futures yield and maturity	
e. Explain the operations of government bond yield curves	
f. Explain bond futures secondary markets	
g. Explain how government bond futures are traded	
LO2 Understand the operation of foreign exchange trading and associated risk	Portfolio reference
a. Summarise the features of the foreign exchange market	
b. Analyse how foreign exchange markets function and associated risk	
c. Analyse market influencing factors of the foreign exchange markets	
d. Compare different foreign exchange currency pairs and associated correlations	
e. Explain how foreign exchange is traded	
LO3 Understand the operation of the commodities market and associated risk	Portfolio reference
a. Summarise the features of the commodity market	
b. Analyse how commodity markets function and associated risk	
c. Analyse market influencing factors of the commodities futures market	
d. Compare and contrast different commodities futures correlations	
e. Explain how the commodities futures market is traded	



LO4 Understand the operation of options and potential risk	Portfolio reference
a. Compare the different asset class options	
b. Analyse the different options' contract strategies and associated risk	
c. Analyse advantages and disadvantages of options trading	
LO5 Understand the operation of Short Term Interest Rates (STIRS) and associated risk	Portfolio reference
a. Summarise the STIRS market and associated features	
b. Analyse the STIRS market function and associated risk	
c. Explain how STIRS futures are priced	
d. Explain how the STIRS futures markets are traded	
LO6 Understand the operation of index markets and associated risk	Portfolio reference
a. Explain why equity exists	
b. Explain the different types of equity	
c. Explain how equity is used within the financial markets	
d. Analyse how equities are valued	
e. Explain index markets	
f. Analyse various world index markets	
g. Analyse index futures components and pricing	
h. Explain how index futures are traded	



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UBU122

Financial trading techniques

Learner name:

Learner number:

T/508/3218

UBU122_v1



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 financial market data and trading patterns whilst understanding the greater macro and micro economic environment	Portfolio reference
a. Use trading techniques to identify overvalued and undervalued futures prices for a multitude of financial asset classes	
b. Analyse the price support and resistance levels which have been created by investor supply and demand	
c. Use analysis techniques to forecast short term trading opportunities and longer term investment opportunities	
LO2 Be able to trade a multitude of futures asset class products	Portfolio reference
a. Maintain a daily trading diary of market analysis, trade execution and reasoning behind trading decisions	
b. Devise a daily structured trading plan	
c. Apply trading techniques to financial products	
d. Calculate the profit and loss of trades whilst managing associated risk	
LO3 Understand both market psychology and individual trading psychology	Portfolio reference
a. Assess psychology and behaviour in trading	
b. Review own trading behaviour and produce a personal plan for improvement	

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