

APPENDIX ONE:
Position Description



POSITION TITLE:	Custodial Administrator
LOCATION:	Head Office
PEOPLE LEADER:	Custodial Services Manager
TEAM:	Custodial, Operations

At Craigs (CIP) we are focused on helping our clients to achieve their financial goals and grow their wealth. We believe that where a client's financial future is concerned, our people are fundamental to achieving this. Our collective skills, knowledge and commitment means that we can provide the best possible outcomes for our clients.

Custodial Services Ltd (CSL) is an integral part of the Craigs Investment Partners (CIP) product range as a full-service investment advisory firm. CSL offers a full administration service, acting as a bare trustee, holding client's securities in trust. CSL collects incomes, maintains securities, and ensures appropriate action is taken for corporate action events. The Custodial Administrator is responsible for assisting and coordinating stock movements for existing CSL clients within agreed service levels, including managing stock movements into and out of CSL, and providing cover for reconciliations, trading, and new issues as well as general duties as required.

This role requires sound understanding of the financial services sector and accounting principles.

WHAT I DO

CUSTODIAL ADMINISTRATION

- Lodge physical stock into custody for NZX & ASX assets via the CSL Transfer spreadsheet.
- Assist with closing accounts, including the transfer of assets out of CSL and back into client's own name
- Assist with Broker-to-Broker transfers of stock in and out of custody.
- Process shunts between depositories
- Process Company Disclosures requests
- Process respective tax changes based on residency status & process resulting parent changes
- Liaise with the Portfolio Reporting team regarding any price/quantity/narration adjustments
- Transfer stock out of relevant accounts and into CIPs Relinquished Assets account. Accurately update the Relinquished Assets Register and communicate this to Private Wealth Assistants
- Ensure adherence to custodial policy and process documentation as appropriate, ensure procedures remain current

RECONCILIATIONS

- Perform the accurate reconciliation of all relevant NZ and foreign assets (listed and unlisted), ensuring discrepancies are identified, investigated and resolved in a timely manner.

START TRANSFERS

- Liaise with the Client Service Team to facilitate all transfers for the START products
- Process all START transfers in a timely manner
- Create an internal CSL Transfer spreadsheet to obtain the correct prices/narrations for AXYS & complete import

CSL Trading

- Assist with the processing of International Funds & Multi-currency Pie Unit Trust applications and redemptions in a timely manner.
- Provide cover for the CIPNI New Issues process.
- Processing of Evergreen funds through the International Fund Tool

GENERAL DUTIES AND RESPONSIBILITIES

- Operate within the parameters of the NZX rules and regulations, relevant legislation and CIP procedures and policies.
- Maintain a high level of competence with Craigs Investment Partners' systems.
- Follow company policy and process to ensure client information is protected against loss, unauthorised access, use, modification or disclosure.
- Maintain the core competencies as set down by the Company from time to time.
- Complete all Company educational requirements as required for the role as set by the Company.
- At all times follow Company prescribed administrative processes and policies, including use of supporting systems.
- Act professionally, ethically and work co-operatively and constructively within the framework of the Company structure.
- At all times act with integrity and treat clients fairly and respectfully.
- Any other tasks as requested by your manager.

WHAT I VALUE



At Craigs, we pride ourselves on creating an environment where our people feel they belong and can bring their best self to work and feel valued. We grow as a team and with our clients and are always looking to support our communities – both internal and external. Our values build the foundation of how we work and how we provide great outcomes for our people and clients.

WHAT I BRING

Knowledge/Experience	• Experience within a financial services or similar environment (Desirable) • High Volume Administration Experience • Understanding of market terminology and financial products, including Managed Funds and Private Equity • Understanding of financial instruments, including AML/CFT and FATCA • Prior experience as a custodian is highly advantageous
Key Skills and Attributes	• High level of aptitude for computer systems and the Microsoft product suite • Understanding of the risk and consequences of errors, omissions or missed deadlines • Positive, professional and accommodating client service manner and attitude • Strong communication skills, both written and verbal • Proven to prioritise and work to strict deadlines and workload pressures • Willingness to become a subject matter expert • Contribute to building the capability of other team members through training and mentoring • Ability to learn new skills quickly, embracing new technology, systems and processes • At all times demonstrate and share best practice • Able to understand and apply industry regulation • High level of numeracy and literacy