APPENDIX ONE:
Position Description

CRAIGS INVESTMENT PARTNERS

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 arranging stock movements for existing CSL clients within agreed service levels, as well as coordinating stock movements in and out of CSL. This role requires sound understanding of the financial services sector and accounting principles.

WHAT I DO

BROKER TO BROKER TRANSFERS

- Contact for exiting Broker-to-Broker transfers to and from custodial accounts.
- Build and maintain relationships with External Custodian counterparties and Brokers.
- Understanding legal aspects of the requests that involve Change of Entities, i.e. Trusts, Estate distributions.
- Prepare paperwork and instructions for all exchanges for broker-to-broker transfers to/from custodial accounts.
- Maintain client positions when confirmations received using CSL S/Sheet and Workspace processes.
- Recognising requirements for Quick sales and for FIF reporting purposes. Ensuring correct opening dates and costs are used.
- Prepare transfer documents for Unit Trusts related to any broker transfers 'out'.
- Provide transfer guidance and advice, portfolio analysis to advisers and assistants. (Analysis of the assets, whether transferable or not).
- Problem solving and providing solutions in relation to broker transfers to Global Custodians – Australia, UK, US and other clients no longer able to use the services of CIP.
- Instruct CCM regarding transfer of cash balances and/or prepare journals for cash transfers between account ledgers.

TRANSITIONS 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

OTHER ADMINISTRATION DUTIES

- Maintain Broker to Broker Transfer master sheet.
- Answer all Adviser and PWA queries in a timely efficient manner.
- Provide guidance with general questions on processes required for broker transfers to new advisers and PWA's.
- Advice on transferring stock between entities – especially when related to broker to broker transfers.
- Providing regular updates to advisers where Broker transfers are in progress.
- Maintain notes in CRM when account is transferred out and making sure all items are clear and account is closed.
- Complete all filing in a timely manner.
- Contribute to the Me He Te (standard operating procedures) manual as required.
- Liaise with external registries, auditors, and other teams as required.
- Ensure adherence to custodial policy and process documentation as appropriate, ensure procedures remain current.
- Support cross-training and cover for other roles in the team as required.

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 of 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 • Able to maintain a high level of accuracy for administrative tasks • High attention to detail

NZX RULES REFERENCED WITH LEGISLATION AND POLICY

The NZX Participant Rules can be found electronically at the following address -

https://www.nzx.com/regulation/nzx-rules-guidance/participant-guidance

CIP policies can be found on the Staff Intranet.