

**APPENDIX ONE:**  
Job Description



POSITION TITLE:	Senior Custodial Administrator
LOCATION:	Head Office
PEOPLE LEADER:	Custodial 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 trusting holding clients securities in trust. CSL collects incomes, maintains securities and ensures appropriate action is taken for corporate action events.

The Senior Custodial Administrator is responsible for providing end-to-end administration of the Custodial functions. The role is primarily responsible for liaising with Private Equity regarding assets, processing Evergreen funds, and engaging in continuous improvement and change initiatives. The role is also required to work with the Custodial Services Manager regarding custodial controls, team cross-training, and providing cover and support for complex matters as they may arise.

## WHAT I DO

- Complete multi-currency Unit Trust applications and redemptions.
- Liaise with Private Equity to complete unlisted Private Equity/Alternative assets applications.
- Process Evergreen Funds with information provided by New Issues.
- Manage the payment or receipt of funds in multiple currencies, booking contracts upon confirmation.
- Perform daily reconciliation to ensure all bookings and money are always accounted for.
- Provide guidance with general questions on processes required for broker transfers to new advisers and PWA's.
- Provide 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 filing, and answer all Adviser and PWA queries, in a timely manner.
- Engage in continuous improvement and change initiatives, e.g. identifying and delivering improvement initiatives, supporting user acceptance testing, training
- In conjunction with the Custodial Services Manager, ensure appropriate controls are in place to support the team and business, ensuring attestations are carried out in a timely and accurate manner.
- Mentor Custodial team members, assisting with cross training and providing back-up to other roles within the CSL team.
- Provide cover and support for the Custodial Manager, taking on responsibilities managing the workflow within the CSL team and providing an escalation point for any complex matters should they arise.

## BROKER TO BROKER TRANSFERS

- Complete Broker-to-Broker transfers to and from custodial accounts.
- Update Broker to Broker WIP Transfer master sheet as appropriate.

- Build and maintain relationships with External Custodian counterparties, Brokers, and agents (such as Citibank).
- Ensure understanding and adherence to 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.
- Recognise requirements for Quick sales and FIF reporting. Ensure correct opening dates and costs are used.
- Prepare transfer documents for Unit Trusts related to any broker transfers.
- Provide transfer guidance and advice, portfolio analysis to advisers and assistants. (Analysis of the assets, whether transferable or not).

## 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

Qualifications	<ul style="list-style-type: none"><li>• Relevant qualification in finance, commerce or business administration (desirable)</li></ul>
Knowledge/Experience	<ul style="list-style-type: none"><li>• 5+ years' experience within a financial services environment, preferably with a Custodian</li><li>• Understanding of market terminology, including financial instruments</li></ul>

	<ul style="list-style-type: none"> <li>• Experience in share registries process (NZ, Australia and International)</li> <li>• In-depth knowledge and understanding of asset classes and nature of the investments</li> </ul>
Key Skills and Attributes	<ul style="list-style-type: none"> <li>• High level of aptitude for computer systems with good working knowledge of the Microsoft product suite</li> <li>• Positive, professional and accommodating client service manner and attitude</li> <li>• Strong communication skills, both written and verbal</li> <li>• Proven to prioritise and work to strict deadlines and workload pressures</li> <li>• Curious to learn, with a willingness to become a subject matter expert</li> <li>• Ability to understand, demonstrate and share best practice</li> <li>• Ability to support and mentor within the team as required</li> <li>• Ability to learn new skills quickly and embrace new technology, systems and processes</li> <li>• Ability to identify and delivery continuous improvement initiatives</li> <li>• Able to understand and apply industry regulation</li> <li>• An understanding of the risk and consequences of errors, omissions or missed deadlines</li> <li>• High level of numeracy and literacy</li> <li>• Self-starter with the ability to show initiative</li> </ul>