

APPENDIX ONE:
Job Description



POSITION TITLE: Senior Legal Counsel

LOCATION: Head Office

REPORTS TO: General Counsel

At Craigs Investment Partners (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.

The Senior Legal Counsel role has a primary responsibility to provide high quality, outcome and commercially focussed legal advice and manage legal risk across the CIP Group's businesses, relationships, products, services and processes. The Senior Legal Counsel will work closely with the General Counsel and support all areas of the business to analyse and manage legal, regulatory, financial, contractual and reputational risk exposures to achieve successful outcomes for clients and business stakeholders while protecting the CIP Group's interests.

WHAT I DO

- Provide or manage the provision of sound, practical, timely and cost effective legal advice and services on a wide range of legal areas (financial services, property, managed investment schemes, employment, regulation, governance, commercial, M&A, corporate, procurement, information and digital technology, marketing and intellectual property) to effectively manage legal risk in advancing CIP's goals and strategic objectives.
- Analyse, assess and advise on novel, complex and significant relevant legal and commercial issues and risks.
- Communicate succinct outlines of relevant legal issues, risks, rationales and solutions (both verbally and in written form).
- Work with executives, senior managers and a wide range of other internal stakeholders to manage, mitigate and reduce the CIP Group's legal, business, reputational and commercial risks.
- Provide advisory and transaction support in relation to CIP's wealth management, investment banking advice and custody businesses while ensuring CIP's commercial, legal and regulatory objectives in these areas are met and balanced appropriately.
- Work closely with CIP's compliance and risk management functions, in relation to regulatory engagement initiatives and to ensure the CIP Group's risk profile and risk management strategies are robust and effective.
- Provide legal input for new business initiatives and products/services.
- Develop and collaborate on client facing contractual solutions/materials and manage contractual negotiations for commercial, retail and wholesale client initiatives.
- Assist the CIP Group with legal support in respect of drafting, reviewing and negotiating a wide range of contracts and agreements relevant to the CIP business.
- Collaborating with CIP's procurement function and other business stakeholders in respect of RFPs and subsequent contract review and negotiation, with a particular focus on digital procurement initiatives.
- Critically assess opportunities and challenges arising from legal and regulatory change relevant to the operation of the CIP Group and its products and services, including legislative changes, potential impacts and assistance with legal advice on strategies, interpretation, submissions, opportunities, implementation and training.
- Assist with legal support for M&A transactions, strategic relationships, insurance and banking programmes.
- Responsible for managing, reviewing and updating contract and client agreement precedents (retail and wholesale).

- Support CIP's managed investment schemes due diligence, offer documentation, processes, governance, conduct, risk reviews and legal sign-offs.
- Review of CIP Group marketing material - advertising (all mediums), collateral, communications, product documentation website and social media platforms.
- Provide input into relevant CIP Group policies and procedures.
- Support CIP's corporate governance function in relation to Companies Act requirements, CIP Group board, subcommittee and shareholder matters.
- Assist CIP's investment bank stakeholders with drafting and reviewing corporate mandates, legal opinions and underwriting agreements.
- Management of external legal engagements and the provision of external legal advice, where required.
- Provide legal support to CIP's property team in relation to agreements to lease, deeds of lease and construction contracts.
- Work closely with and support the General Counsel in respect of a wide range of projects and legal initiatives across the CIP Group.

GENERAL DUTIES AND RESPONSIBILITIES

- Operate within the parameters of the NZX rules and regulations, relevant legislation (particularly the Financial Markets Conduct Act 2013, Financial Markets Conduct Regulations 2014 and Companies Act 1993) and CIP's policies and procedures.
- Maintain a high level of competence with respect to CIP's systems and technology.
- Strictly follow and enforce CIP's policy and processes to ensure client information is protected against loss, unauthorised access, use, modification or disclosure.
- Maintain the core legal competencies relating to the role as set by CIP and the New Zealand Law Society from time to time.
- Complete all of CIP's mandatory learning and educational requirements as required for the role as set by CIP from time to time.
- At all times follow CIP's prescribed administrative and regulatory policies and processes, including use of IT systems and prescribed persons trading.
- Act professionally, ethically and work co-operatively and constructively within the framework of the CIP Group structure.
- At all times act with integrity and treat clients and colleagues fairly and respectfully.
- Any other tasks as requested by your manager.

WHAT I VALUE

Our Values



We are
stronger
together



We
strive for
excellence



We put
people
first



We do
what's
right

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"> • Law degree • Admitted as barrister and solicitor • Eligible for NZ Law Society Practising Certificate
Knowledge/Experience	<ul style="list-style-type: none"> • Demonstrated relevant legal experience (+10 years PQE). • Significant knowledge and legal experience in financial services, marketing, managed investment schemes, M&A, regulation, property, commercial, procurement (particularly digital technology), corporate and corporate governance and intellectual property law. • Experience working in financial services across wholesale and retail business units (preferably capital raisings, capital markets, broking, financial advice, wealth management and fund management sectors). • Relevant experience at recognised law firm or in-house legal roles
Key Skills and Attributes	<ul style="list-style-type: none"> • Demonstrated delivery of quality legal solutions and advice in a timely and effective manner • Commercial / business acumen • Excellent communication skills, with the ability to communicate effectively at all levels of the business • Strong influencing, relationship management, and stakeholder management skills • Proven ability to prioritise and balance competing demands • Excellent time management with the ability to work autonomously, under pressure, managing multiple priorities and deliverables • Proactive, team player