

APPENDIX ONE:
Position Description



POSITION TITLE:	Head of Quality of Advice
LOCATION:	Auckland/Tauranga (negotiable depending on candidate)
PEOPLE LEADER:	Head of Private Wealth & Markets
TEAM:	Quality of Advice, Private Wealth

At Craigs (CIP) we are focused on helping our clients to achieve their financial planning 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 Quality of Advice (QoA) team is responsible for delivering our advice framework to our advisers to ensure we are delivering the highest quality outcomes for clients.

The Head of Quality of Advice is accountable for management and leadership of the QoA team and for providing investment advice expertise to advisers and the broader organisation. The role is responsible for ensuring that the investment advice our clients receive is of the highest quality, meet regulatory requirements pragmatically, and is delivered in the most efficient way possible. The role is a key contributor to organisational decision-making and you build strong, collaborative relationships with advisers and other business units, recognising Advisory as the key internal client. The role is also the custodial for the Craigs Investment Advice Policy and represent Quality of Advice as a value-adding and enabling function.

WHAT I DO

ADVISER ENABLEMENT

- Lead the development and maintenance of internal advice guidelines, and best-practice CPD material.
- Ensure advisers are supported through high-quality training workshops, and resources that promote compliant and client-focused advice.
- Oversee the creation and maintenance of client-facing advice documentation to ensure clarity, consistency, and compliance.
- Champion a supportive, practical approach that enables advisers to deliver high-quality advice efficiently and confidently.

ADVICE OVERSIGHT & MONITORING

- Provide overall leadership and accountability for the monitoring of advice.
- Ensure the CIP advice framework complies with regulatory requirements, internal advice policies, and the six-step advice process.
- Oversee the assessment of advice to ensure it meets minimum standards or suitability, effectiveness, and record-keeping.
- Identify systemic issues and ensure appropriate remediation and continuous improvement actions are implemented.
- Act as a trusted escalation point for all advice related matters.

PROCESS ENHANCEMENT & CONTINUOUS IMPROVEMENT

- Drive continuous improvement of the advice process to create efficiencies while maintaining high quality and compliant standards, including exercising pragmatic judgement for client facing documents and decision making.
- Optimise advice processes based on the Company's strategic objectives, adviser feedback, operational insights, and industry best practices.
- Identify opportunities to improve tools, workflows, and documentation that support the end-to-end advice journey.
- Ensure improvements are practical, scalable, and embedded across the organisation.

ADVICE INSIGHTS & REPORTING

- Provide leadership over the delivery of clear, user-friendly, and actionable advice insights.
- Ensure dashboards and management reporting effectively support informed decision-making at organisational and adviser level.

LEADERSHIP & CULTURE

- Lead and develop the QOA function, setting clear direction and priorities aligned to the operating model.
- Foster a culture of accountability, professionalism, and continuous improvement.
- Balance regulatory rigor with a pragmatic, adviser-focused mindset.

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 CIPs' 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.

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 our clients.

WHAT I BRING

- **Qualifications**
 - A relevant degree in finance, commerce or business
- **Knowledge**
 - Extensive expertise in investment advice, NZ regulatory frameworks, and advice quality standards.
- **Experience**
 - 10 years+ experience within advice, financial markets or quality-focused functions.
- **Skills**
 - Commercially adept, with the ability to ensure compliance with regulatory requirements in a pragmatic and client friendly manner
 - Effective communicator, in both verbal and written forms
 - Adopts a collaborative approach to working with a range of stakeholders at a senior level
 - Well-developed project and business process management skills
- **Attributes**
 - Proven ability to translate regulatory and policy requirements into practical, workable guidance.
 - Highly developed analytical, communication, and stakeholder engagement skills.