APPENDIX ONE:
Position Description

POSITION TITLE:	Operations Assurance Administrator
LOCATION:	Head Office, Tauranga
PEOPLE LEADER:	Operations Assurance Manager
TEAM:	Operations Assurance, 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.

The Operations department work across the core operational functions of Craigs to support the wider business and products; with teams covering Custodial, Asset Services, Portfolio Reporting, Portfolio Fees, New Issues, Cash Settlements, Security Settlements, Onboarding, Operations Assurance and Client Services.

As an Operations Assurance Administrator I ensure that accounts meet CIP's best practice standards and regulatory obligations. My role includes the review of client static data changes and I support CIP in mitigating any non-regulatory risks such as fraud and errors and generally ensure that CIP is meeting consistent compliance standards across the business. I also prepare and file data for Common Reporting Standard (CRS) and Foreign Account Tax Compliance Act (FATCA) reporting, and as required, facilitate the closure of Craigs Investment Partners Cash Management accounts within the agreed Service Level Agreement (SLA) timeframes.

WHAT I DO

- Review static data has been captured accurately in CIP systems and client authorisations and other mandatory information has been provided
- Communicate with the relevant Adviser / Private Wealth Assistant to correct or obtain the necessary information in the event of any omissions, errors or for the clarification of data/documents
- Ensure data integrity is maintained at a high and consistent standard across the network
- Manage Wholesale and Eligible Investors certificate approval and maintenance
- Prepare and file data for Common Reporting Standard (CRS) and Foreign Account Tax Compliance Act (FATCA) reporting
- Facilitate the closure of Craigs Investment Partners Cash Management accounts withing the agreed Service Level Agreement (SLA) timeframes.

GENERAL DUTIES AND RESPONSIBILITIES

- Review processes and procedures and ensure any regulatory or CIP policy changes are incorporated into CIP procedures
- Demonstrate the Craigs' values every day and encourage, support and enable my colleagues to do so as well
- Operate within the parameters of the NZX rules and regulations and CIP procedures and policies.
- Maintain a high level of competence with Craigs Investment Partners' systems.
- Maintain the core competencies as set down by the firm from time to time.
- Complete all Company educational requirements as required for the role as set by the Company.

- Act professionally, ethically and work co-operatively and constructively within the framework of the company structure.
- 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 our clients.

WHAT I BRING

- Tertiary qualification in a finance or business related discipline (desirable)
- Previous administration experience
- AML/CFT knowledge and experience (essential)
- Financial services and/or Compliance experience
- Excellent time management and organisational skills
- Strong written and verbal communication skills
- High level of accuracy and attention to detail
- Intermediate Microsoft Office user (Word, Excel and PowerPoint)
- Self-starter with the ability to show initiative

NZX RULES REFERENCED WITH LEGISLATION AND POLICY

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

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

CIP policies can be found on the Staff Intranet.