

**APPENDIX ONE:**  
Position Description



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POSITION TITLE:	Institutional Trade Support
LOCATION:	Auckland
PEOPLE LEADER:	Head of Institutional Equities - Auckland
TEAM:	Institutional Equities -Sales

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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 Institutional Trade Support is an operational role with the Institutional Equity Group responsible for the timely booking, reporting and settlement of Equity trades and products. This role is to support the booking and reporting requirements and to provide assistance to the Equity Trading Desk.

#### WHAT I DO

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##### **Desk Assistant**

- Provide basic analytical support for quarterly board reports, Provide ad-hoc support to clients and the team as required

##### **Bookings**

- Daily processing of all bookings and production of contract notes
- Ensure all market trades are booked, Cancel and rebook trades when requested
- Process all currency bookings
- Reconcile all appropriate accounts and check exception reports, Investigate any errors and report P&L
- Ensure all House account positions are accurate
- Meeting all client-reporting requirements on a timely basis using /email/IRESS/OASYS etc.
- Set up new accounts
- Reconcile commission rebates and invoices, liaise with overseas offices for bookings and reporting
- Complete static data updates in back office system
- Ensure all NZX regulations are complied with

##### **Automation & Trading Systems**

- Take ownership of automation and process improvement initiatives across the desk, identifying and building solutions that reduce manual workflows and improve operational efficiency
- Proactively identify opportunities to streamline and automate manual tasks within the trading environment
- Assist in the implementation of critical desk infrastructure, including Execution Management Systems
- Develop proficiency with trading and settlement systems including IRESS, IOS+, Xstream, and Bloomberg

- Provide support for client connectivity issues

**General**

- Maintain and follow standard settlement instructions, KYI, and anti-money laundering documents in accordance with legislative and compliance requirements
- Assist in national and local projects
- Maintain Procedure Manuals

**General Duties and Responsibilities**

- Operate within the parameters of the NZX rules and regulations and CIP procedures and policies.
- Maintain a high level of competence with CIP systems.
- Maintain current knowledge of markets, research, appropriate NZX Rules and Government Legislation.
- 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 company and branch structure.
- Maintain the core competencies of the role as set down from time to time by the Company.
- Any other tasks as requested by your manager.
- Demonstrate the Craigs' values every day and encourage, support and enable my colleagues to do too.

NZX RULES REFERENCED WITH LEGISLATION AND POLICY

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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.

WHAT I VALUE

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**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 our clients.

## WHAT I BRING

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- Qualifications
  - Degree in Accounting, Finance, Economics, Commerce, or IT
- Knowledge and experience
  - A basic understanding of financial markets and trading
  - Knowledge of trading systems highly advantageous
- Skills
  - Excellent analytical, written and verbal skills
  - Strong attention to detail
  - Ability to make sound decisions in a pressurised environment
  - A structured and well organised approach to work with effective time management skills
  - Strong team player and customer focus
  - Competent and genuine interest in IT elements of the trading environment