

**APPENDIX ONE:**  
Position Description



POSITION TITLE:	[Assistant] Fixed Income Dealer
LOCATION:	Head Office, Tauranga
PEOPLE LEADER:	Fixed Income Team Leader
TEAM:	Fixed Income

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 Fixed Income team is responsible for the domestic fixed income asset class, the Australian Over the Counter execution and booking, and output from the Fixed Income Desk. The [Assistant] Fixed Income Dealer [Assistant Dealer] has responsibilities which extend across both the primary and secondary market for debt products. A key part of the role is to assist in the management of new debt offers being offered to the network, this includes liaison with advisers and internal HO teams, ensuring approval to bid is obtained and bids placed, then ensuring allocations are fully booked out. In time the Assistant Dealer will also be responsible for executing secondary market orders (including using the Facilitation Portfolio where appropriate) and providing back-up for daily pricing.

In addition, this the Assistant Dealer may have a requirement to contribute relevant material for the monthly publication, Collective Insights, our premium client publication, News & Views, various research papers and individual bond summaries (ERNIES), both for internal adviser use and for clients. The Fixed Assistant Dealer will work closely with the rest of the Fixed Income team with the goal of delivering the best outcome to clients as well as assisting with projects as required.

Over time, the role may transition into a Dealer position, subject to NZX accreditation permitting trades to be executed on both NZX (in accordance with NZX Regulation) and in the Over the Counter market.

## WHAT I DO

- Monitor and, where possible, execute client orders placed on NZFI. Trading may occur on the NZX Debt Market or the over-the-counter market depending on where the best client outcome can be obtained. Trades must be made in accordance with the NZX regulations.
- Provide information on new offers to advisers.
- Work with the team sharing responsibility for the booking out orders for new offers and reconciling to allocations.
- As necessary enter the daily pricing and publish the daily and monthly summary sheets
- Provide advisers with information on liquidity of bonds in the over-the-counter market
- Ensure the classification process criteria remains relevant and is reviewed regularly
- Assisting advisers build FI portfolios targeted at meeting core/supplementary and niche guidelines

- Ensure good competency with the internal systems for amendments, reversals impacting clients and external counterparties
- Assist with formal adviser education on calls and at workshops
- 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 of the role 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 People Leader
- 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/nzx-rules-guidance/participant-guidance>

CIP policies can be found on the Staff Intranet.

## WHAT I VALUE

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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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- Qualification/s
  - Degree in Accounting, Finance, Economics, Commerce or Business
  - Accredited NZX Dealer
- Knowledge and Experience
  - A fundamental understanding of marketing and trading
  - Intermediate knowledge of Microsoft product suite, including Excel.
- Skills and Attributes
  - 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