

**APPENDIX ONE:**  
Position Description



POSITION TITLE:	Compliance and Risk Analyst
LOCATION:	Head Office
PEOPLE LEADER:	Head of Compliance and Risk
TEAM:	Compliance and Risk

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.

Compliance & Risk perform the critical function within Craigs of ensuring the company adheres to its regulatory and legislative obligations, while implementing the firm's risk management framework. Building employee awareness throughout CIP to foster a continually strengthening Compliance and Risk culture is pertinent to Craigs' values and drives best client outcomes.

The role of the Compliance and Risk Analyst is to monitor and report on business activities to ensure legislative and policy compliance undertaking analysis, reporting and recommendations within the established frameworks.

#### WHAT I DO

- Provide support to the business as they navigate the daily touch points of legislation, NZX Participation Rules, Regulations and Risk management ensuring that we promote a positive compliance and risk culture across Craigs.
- Maintenance of Compliance and Risk registers and databases.
- Client screening, customer transaction monitoring and analysis, including high risk clients.
- Perform real time monitoring of trading alerts raised by the Dealing Desk, escalating high priority alerts to Senior Compliance & Risk Analyst, or the Head of Compliance & Risk.
- Monitoring of insider trading, including reviewing research notes for any material changes and escalation as required.
- Management of Prescribed Persons including regular trading and reviews.
- Provide support to Craigs DIMS product by ensuring compliance with our DIMS licence obligations.
- Conduct Compliance Assurance Programme (CAP) reviews by testing the control's design and operation of processes and procedures performed by the various business units.
- Collaborate with internal stakeholders to revise compliance policies and procedures ensuring alignment with external regulatory requirements.
- Following breaches or complaints undertake investigations, collating evidence to analyse and report findings to senior management.
- Operate within the parameters and keep updated with the NZX Rules, relevant legislation and regulations and Craigs policies and procedures.

- Any other tasks as requested by Senior Analysts or Compliance and Risk Managers.
- Act professionally, confidentially, ethically and work co-operatively and constructively within the framework of the company structure to assist employees in understanding rules and regulations that affect our business.
- Demonstrate the Craigs' values every day and encourage, support and enable my colleagues to do so also.

## 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
  - Tertiary qualification in a finance or business-related discipline
- Knowledge and Experience
  - Financial services and administrative experience with at least three years in a compliance, audit or risk position
  - Understand the duties and requirements of the Financial Markets Conduct Act, the Code of Professional Conduct for Financial Services, Privacy Act, and AML/CFT Act.
  - Understand New Zealand and international financial services regulations
- Skills and Attributes
  - 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)
  - Working knowledge of Smartsheet and SharePoint
  - Self-starter with the ability to show initiative

- Proactive and inquisitive
- The ability to be flexible to handle change in a dynamic environment

## 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.