

**APPENDIX ONE:**  
Job Description



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POSITION TITLE:	Client Data Administrator
LOCATION:	Head Office, Tauranga
REPORTS TO:	Cash Management Operations Manager

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## POSITION SUMMARY

Craigs Cash Management (CCM) is an integral part of the Craigs Investment Partners (CIP) product range as a full-service broker. CCM offers our clients convenient access to their funds and competitive returns on call and term deposits.

The primary purpose of the Client Data Administrator will be the remediation of client data from three separate systems which needs to be cleansed, organised and migrated to the new system as part of an upgrade.

Reporting to the Cash Management Operations Manager, the Administrator will also have the responsibility of data reconciliation as part of the migration process and will need to work closely with the other Cash Management Administrators, the project team and others within CIP to achieve a successful outcome. Attention to detail and a high degree of accuracy are essential when inputting data and client information, as are excellent client service skills when dealing with internal clients.

The Client Data Administrator will also provide support to the CCM Administrator responsible for the processing of Term Deposits requests, and to the Cash Management Administrator responsible for the opening and closing of Cash Management Accounts one day per week.

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## KEY RESPONSIBILITIES

- Cleanse, organise and migrate client data across three separate systems
- Reconciliation of client account data
- Liaison with other internal Cash Management team members, project team members, and Advisers / Assistants, to determine correct data.
- Client account data maintenance to remediate issues.

### CCM ADMINISTRATOR

- Process all new Term Deposits requests and check all details
- Process daily Term Deposits maturities across all banks and confirming amounts with said banks
- Opening and closing new accounts
- Action Journal Requests
- Client Account static data maintenance

### 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 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 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 manager.

## PERSON SPECIFICATION

Qualifications	<ul style="list-style-type: none"> <li>• University entrance</li> <li>• Tertiary qualification in a finance or business related discipline (desirable)</li> </ul>
Knowledge/Experience	<ul style="list-style-type: none"> <li>• Data Remediation experience (desirable)</li> <li>• Administration experience</li> </ul>
Key Skills and Attributes	<ul style="list-style-type: none"> <li>• Attention to detail and high level of accuracy</li> <li>• Excellent time management and organisational skills</li> <li>• Proven customer service skills</li> <li>• Strong written and verbal communication skills</li> <li>• Self-starter with the ability to show initiative</li> <li>• Microsoft Excel skills</li> </ul>

## NZX RULES REFERENCED WITH LEGISLATION AND POLICY

	<b>NZX PARTICIPANT RULE</b>	<b>LEGISLATION</b>	<b>CIP POLICY</b>
3.24	Market Participants – Information Barriers	Financial Markets Conduct Act 2013	Chinese Walls Policy
9.2	Client Advising – Required Client Information	Anti-Money Laundering and Countering the Financing of Terrorism Act 2009	Anti-Money Laundering
8.1	General Obligations - Conduct of Market Participants and Advisers	Code of Professional Conduct for Financial Advice Services	Code of Conduct
8.3	General Obligations - Confidentiality of Information	Privacy Act 2020 Code of Professional Conduct for Financial Advice Services	Code of Conduct Confidentiality Policy Privacy Policy
9.1	Client Advising - Duty of Care	Code of Professional Conduct for Financial Advice Services	Code of Conduct
15.10	General Trading Obligations - Conflict Management Procedures		Conflicts of Interest Policy Vulnerable Clients Policy
10.2	Trading - General Obligations - Market Manipulation	Financial Markets Conduct Act 2013	Code of Conduct Insider Trading Policy
15.6	General Trading Obligations - Suspected Insider Trading		
15.7	General Trading Obligations - Client Complaints	Code of Professional Conduct for Financial Advice Services	Complaints Handling and Disputes Resolution Policy
21.7	NZX Powers - Market Participants Obligation to Report	Protected Disclosures Act 2000	Whistle Blowing Policy Breach and Incident Policy
10.5	Trading - General Obligations – Prescribed Person Trading	Financial Markets Conduct Act 2013	Employee Trading 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.