APPENDIX ONE:
Job Description

POSITION TITLE:	Private Wealth Assistant
LOCATION:	Queenstown
REPORTS TO:	Support Manager

POSITION SUMMARY

With the aim of providing the best possible outcomes for Craigs Investment Partners clients, Private Wealth Assistants are required to assist Investment Advisers in the effective and efficient functioning of their advisory role. The position is a key client liaison role that includes transaction processing and the provision of administrative support to the adviser(s) and their clients.

KEY RESPONSIBILITIES

TRANSACTION PROCESSING AND ADVISER SUPPORT

CASH TRANSFERS

- Actioning client and adviser instructions
- Maintaining cash diary entries
- Confirming actions with clients

FX CONVERSIONS

- Actioning client and adviser instructions
- Confirming actions with clients

CORPORATE ACTIONS

- On instruction from the adviser, prepare client communications
- Prepare and manage mail merge and outward communications
- Track responses

NEW ISSUES / PLACEMENTS

- Entry of adviser bid level into CIPNI ahead of deadlines
- On instruction from the adviser, prepare client communications
- Track responses
- Process allocations

PORTFOLIO MAINTENANCE

- For new custodial clients with existing portfolios, manage the transfer of assets into CSL
- For broking clients, maintain portfolio holdings as required

ONE-OFF SALES

- Assisting one off clients to complete documentation and ID requirements

SUPPORT QUARTERLY PORTFOLIO REPORT PROCESS

- Maintain portfolio reporting data such as report constituents, report order, report recipients etc.
- Check new client reports are set up correctly ahead of quarterly run
- Instigate bulk approval of reports on instruction from the adviser

WEEKLY MEETING ORGANISATION

- Maintain own WIP and review with adviser(s) on a weekly basis or as and when required as priorities change

AGED DEBTORS

- Proactively assist advisers to review and maintain the daily Aged Debtor report. Provide solutions for adviser to approve.

ORDER ENTRY

- Where authorised and under adviser instruction, enter client market orders into the order entry system

KEY ADMINISTRATION FUNCTIONS

ACCOUNT OPENING

- Under supervision of the Adviser, gather client information and documentation to enable compliant account opening
- Assisting clients directly with account opening and form filling
- Ensure your work is undertaken in line with AML policy and procedures
- Maintain a strong understanding of compliance requirements and company policy

ONGOING DUE DILIGENCE

- Regularly review client files
- Ensure your work is undertaken in line with AML policy and procedures
- Identify opportunities for updating client information
- Accurate transfer of information to CRM

SUPPORT IPS PRODUCTION

- Tracking review dates for IPS renewals
- Assisting advisers to meet deadlines

PROPOSALS, PITCHES, REVIEWS AND PRESENTATIONS

- Assist advisers to prepare and generate documents as required

CRM CLIENT STATIC DATA MAINTENANCE

- Maintaining client relationship and role linkages (e.g. professionals, familial connections, referrers etc).
- Key client information, on-going due diligence

GENERAL INFORMATION DISTRIBUTION TO MAILING LIST

- Maintain event and information distribution lists such as News and Views

REGISTRY LIAISON, NZ, AUS AND GLOBAL

- As required for transaction processing e.g. CSN/ FIN
- Registry queries on holdings etc

TECHNOLOGY CHANGE AND TESTING

- Assist with system testing for new releases and new systems

CLIENT FACING

NON-ADVISORY TRANSACTIONS AND QUERIES

- The initial point of contact for non-advisory queries (i.e. transactions)
- Assisting management with appropriate scripts for dealing with typical non advisory client queries
- Complex non advisory client query resolution
- Preparation of free text communications for adviser review
- Promotion of consistency and best practice

CLIENT MEETINGS

- Arrange client meetings on behalf of advisers
- Attend client meetings where appropriate to assist with administration tasks
- Proactively assist advisers with preparation of client meetings
- Provide clients with car park instructions and any other requests such as what to bring if requested to do so

MAINTAIN BRANCH PHONE QUEUES

- Receiving all branch inbound calls and determining whether the calls can be dealt with by the Assistant (non-advisory) or need to be referred to an adviser
- Transferring calls or taking messages as and when required, ensuring the client receives the appropriate call back
- Contacting clients on behalf of adviser as and when requested
- Making outbound calls when required

WEB PORTAL SUPPORT

- Assist clients with web portal access and navigation

CLIENT FUNCTIONS

- Assist in client function organisation when required

- Venue booking, preparation of power point presentations, arranging and managing attendees and invitation lists if necessary

RECEPTION COVER

- Provide temporary cover to branch reception as required

OTHER TASKS

- Opening mail
- Filing
- Providing cover for other assistants
- General office / team contribution
- General housekeeping duties as required ensuring office area is in a presentable state
- Any other tasks as requested by your manager

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 Private Wealth Assistant 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
- 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

CRAIGS
INVESTMENT PARTNERS

PERSON SPECIFICATION

Qualifications	• Relevant qualification in finance, commerce or business desirable but not essential
Knowledge/Experience	• A minimum of one year's experience within financial services environment • Basic understanding of market terminology and knowledge of industry regulation • Experience in share registries process (NZ, Australia and overseas) • High level of aptitude for computer systems with an ability to understand complex IT systems • Good to excellent knowledge of the Microsoft product suite, including Dynamics (CRM)
Key Skills and Attributes	• Positive, professional and accommodating client service manner and attitude • Clear communicator • Able to prioritise and work to strict deadlines and work load pressures and manage distractions • Assist and contribute beyond immediate job description • Able to learn new skills quickly and embrace new technology and processes • Ability to understand and assimilate with complex IT systems • Able to understand and apply industry regulation • High level of numeracy and literacy • Professional phone manner