APPENDIX ONE:
Job Description

POSITION TITLE:	Account Approval Officer
LOCATION:	Client Services, Head Office
REPORTS TO:	Client Records Team Leader

POSITION SUMMARY

The role of the Account Approval Officer is to ensure clients of Craigs Investment Partners (CIP) are onboarded in accordance with the Company's policies and procedures to ensure a consistently high standard of compliance with the requirements set down by the NZX Participant Rules and any legislation (both domestic and international) that may impact on the Company.

The primary role involves the approval of all new client accounts to ensure compliance with internal policy as well as performing surveillance functions and responding to queries from the CIP Advisory network.

The Account Approval Officer will also support CIP in mitigating any non-regulatory risks such as fraud and errors and generally ensuring that CIP is meeting consistent compliance standards across the business.

The position requires strong organization, administration and communication skills (both written and verbal).

KEY RESPONSIBILITIES

CLIENT ACCOUNT APPROVAL

- Review all new client accounts opened across CIPs businesses to ensure compliance with CIP AML/CFT and financial markets regulations and internal CIP policy;
- Confirm AML checks have been passed, static data captured accurately in CIP systems and client authorizations and other mandatory information provided;
- Communicate with the Client Records team or the relevant Adviser / Private Wealth Assistant to correct or obtain the necessary information in the event of any omissions, errors or for the clarification of data/documents;
- Approve and authorise all new client accounts prior to the commencement of trading activity;
- Ensure data integrity is maintained at a high and consistent standard across the network.

OTHER DUTIES

- Provide advice and support to CIP business areas on CIP AML/CFT requirements;
- Ensure regulatory changes are incorporated within CIP processes / procedures;
- Review processes and procedures;

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 Craigs Investment Partners' systems.
- Maintain the 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.
- Act professionally, ethically and work co-operatively and constructively within the framework of the company structure.
- Any other tasks as requested by your manager.

PERSON SPECIFICATION

Qualifications	• Tertiary qualification in a finance or business related discipline (desirable)
Knowledge/Experience	• Administration experience 2+ years • AML/CFT knowledge and experience is a pre-requisite • Financial services and/or Compliance experience
Key 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) • Self-starter with the ability to show initiative