

APPENDIX ONE:
Job Description



POSITION TITLE: Client Services Administrator - Trading

LOCATION: Head Office, Tauranga

REPORTS TO: Client Services Manager

POSITION SUMMARY

The key purpose of this role is the management and execution of the functional duties required to release client orders to the market and ensure that all orders are correctly fulfilled and booked in accordance with the client's instructions.

The role requires a knowledge of the financial markets, listed and unlisted securities and competence across all systems used to place, book and confirm client trades.

KEY RESPONSIBILITIES

- Monitoring and ensuring that all security pricing and FX rates in the product platform are current and correct.
- Monitoring and ensuring that all asset data in the product platform is accurate, liaising with the CIP Asset Services Team as required to ensure that any asset changes and/or new Investment Options are updated correctly on platform.
- Monitoring the product 'house' accounts and investigating any large or unusual/unexpected short or long positions.
- Reviewing any unauthorised investment templates and ensuring these are remediated as required.
- Review orders at entered only status, ensuring these are remediated as required.
- Performing the Cash Balance run.
- Reviewing the Order Authority Queue and liaising with Compliance as required to ensure any issues or delays are resolved.
- Clearing the House positions.
- Liaising with the bank and/or the CIP Settlements Team to purchase/sell all required foreign currency and the entering of these transactions into the product platform.
- The placing of Managed Fund orders either via electronic files or emailed requests, ensuring that the appropriate confirm files are received and any file errors are immediately investigated.
- The releasing of all equity orders via Iress.
- Performing checks to ensure that no orders remain at a 'Ready for Market' status following the release to market and remediating any issues as required.
- The placing, processing and maturing of Term Deposits.

- The monitoring of all outstanding orders and investigation into any booking delays.
- Ensuring that all manual trades are sent to the correct providers and order confirmation data is entered manually in the NZXWT platform.
- Ensuring that all contract notes have been produced and provided to clients.
- Follow up with advisers regarding portfolio with outstanding fees
- Review the System Notifications Inbox daily
- Ensuring all procedural documents are maintained and current.

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 or 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"> • Relevant tertiary qualification preferred, either Finance, Business or Administration
Knowledge/Experience	<ul style="list-style-type: none"> • Preferably 3+ years of experience in financial services • Knowledge and experience working with NZ superannuation schemes
Key Skills and Attributes	<ul style="list-style-type: none"> • Excellent time management and organisational skills • Proven customer service skills • Strong written and verbal communication skills • High level of accuracy and attention to detail • Self-starter with the ability to show initiative • Intermediate Microsoft Office user