

APPENDIX ONE:
Job Description



POSITION TITLE:	Operations Assurance Support
LOCATION:	Head Office, Tauranga
REPORTS TO:	Operations Assurance Manager

POSITION SUMMARY

The Operations Assurance Support role is primarily tasked with assisting the Operations Assurance, Onboarding and Client Services Teams by providing support across a range of administration functions to ensure the relevant Craigs Investment Partners (CIP) procedures, policies and requirements are maintained.

Reporting to the Operations Assurance Manager, the position requires strong organisational, administration and communication skills (both written and verbal) and a high level of accuracy and attention to detail.

KEY RESPONSIBILITIES

- Perform quarterly verification checks of all client tax information numbers (TINs) to ensure they are complete and accurate for Common Reporting Standards and Foreign Account Tax Compliance (FATCA) reporting.
- Activate new Portfolio Services added to existing trading entities, ensuring all required documentation is correct and compliant.
- Review all bank account changes report for compliance.
- Manage all 'Returned Mail' accounts.
- Action Wholesale Certificates.
- Load new adviser codes and actioning changes to adviser codes.
- Manage office supplies stock and place orders.
- Mail collection/delivery to and from head office and distribution.
- Maintain and update the Institution Client Register.
- Maintain the Unclaimed Assets and Monies Register.
- Maintain the Rabobank Register.
- If/when required, communicate in a professional manner with both internal and external clients in relation to existing record

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 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.
- Any other tasks as requested by management.

PERSON SPECIFICATION

Qualifications	<ul style="list-style-type: none"> • Tertiary qualification in a finance or business (desirable)
Knowledge/Experience	<ul style="list-style-type: none"> • Administration experience 3+ years (desirable) • Financial services experience (desirable) • Strong focus on delivering a high level of customer service
Key Skills and Attributes	<ul style="list-style-type: none"> • Excellent time management and organisational skills • Excellent communication skills (both written and verbal) with the ability to communicate in a professional manner with both internal and external clients • High level of accuracy and attention to detail • Intermediate/Advanced? Microsoft Office user (Word, Excel and PowerPoint) • Self-starter with the ability to show initiative • Excellent interpersonal skills