APPENDIX ONE:
Job Description

POSITION TITLE:	Private Wealth Assistant
LOCATION:	New Plymouth
REPORTS TO:	Support Manager – North Island

POSITION SUMMARY

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 and PAS/PBS 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

- 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

GENERAL DUTIES

- Opening mail
- Filing
- Providing cover for other assistants
- General office / team contribution

COMPANY POLICY, COMPLIANCE, FMCA AND NZX REGULATION

- 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.
- 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.
- Act professionally, ethically and work co-operatively and constructively within the framework of company and branch structure.
- Providing cover for other Assistants and any other administrative function; this includes reception cover as required.
- General housekeeping duties as required ensuring office area is in a presentable state.
- Any other tasks as requested by your manager.

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