

APPENDIX ONE:
Job Description



POSITION TITLE:	Equities Dealer
LOCATION:	Head Office, Tauranga
REPORTS TO:	Head of Equities Dealing

POSITION SUMMARY

Transacting retail client equity orders, received by the Craigs Investment Partner's (CIP) Investment Advisers, in an orderly and professional manner and in accordance with the NZX Rules and regulations, the Financial Markets Conduct Act 2013 and the Company's Code of Conduct.

KEY RESPONSIBILITIES

- Ensuring all client orders are correctly placed in the market and booked according to the client's Adviser's instructions and in line with the orders priority.
- Providing professional and timely market advice to aid Advisers in transacting their client's orders.
- Having knowledge of financial markets, appropriate NZX Rules and government legislation.

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 CIP systems.
- Follow company policy and process to ensure client information is protected against loss, unauthorised access, use, modification of disclosure.
- Maintain current knowledge of markets, research, appropriate NZX Rules and Government Legislation.
- At all times follow Company prescribed administrative processes and policies, including use of supporting systems.
- 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.
- Maintain the core competencies of the role as set down from time to time by the Company.
- 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">• Degree in Accounting, Finance, Economics, Commerce or Business• Accredited NZX Dealer
Knowledge/Experience	<ul style="list-style-type: none">• A fundamental understanding of marketing and trading• Intermediate knowledge of Microsoft product suite, including Excel.
Key Skills and Attributes	<ul style="list-style-type: none">• Excellent analytical, written and verbal skills• Strong attention to detail• Ability to make sound decisions in a pressurised environment• A structured and well organised approach to work with effective time management skills• Strong team player and customer focus