

APPENDIX ONE:
Job Description



POSITION TITLE:	Compliance Assistant
LOCATION:	Compliance, Head Office
REPORTS TO:	Head of Compliance

POSITION SUMMARY

Compliance is a key role in the company monitoring the business against NZX Rules, legislation and providing internal controls to mitigate risk. Compliance also focuses on education and building employee awareness of industry requirements and regulations.

The role of the Compliance Assistant is to provide effective administrative support and to assist in the day to day running of the department. The position requires strong organization, administration and communication skills (both verbal and written).

KEY RESPONSIBILITIES

- Preparation of internal and external reporting.
- Maintenance of compliance registers and databases.
- Monitoring the firm's activities against NZX Participant Rules, group policy and industry best practices.
- Testing to ensure compliance with internal controls.
- Daily monitoring of trading activity.
- Review output from checks performed on CIP client base for AML purposes.
- Approval CIP Employee trading.
- Assist with implementation of new compliance requirements.
- Provide day-to-day support to the Compliance Team.
- Any other tasks as requested by your Manager or required from time to time by the industry regulators to meet compliance requirements.

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	<ul style="list-style-type: none">• Tertiary qualification in a finance or business related discipline (desirable)
Knowledge/Experience	<ul style="list-style-type: none">• Administration experience 3+ years (desirable)• Financial services experience (desirable)
Key Skills and Attributes	<ul style="list-style-type: none">• 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