**APPENDIX ONE:**
Job Description

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| POSITION TITLE: | Client Onboarding Administrator |
| LOCATION: | Head Office, Tauranga |
| REPORTS TO: | Onboarding Team Leader |

## POSITION SUMMARY

The role of the Client Onboarding Administrator (COA) is to:

- Facilitate the on-boarding of all new clients on behalf of Investment Advisers and Assistants
- Update and/or maintain the static data of existing client records
- Implement change, driven by changes to regulatory or legislative requirements and/or enhancements to the client information capture process

This role is primarily tasked with ensuring client accounts are opened and maintained in accordance with regulatory and legislative requirements, in line with Craigs Investment Partners (CIP) procedures and policy.

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

- Receive and review completed Client Agreements and supporting documentation;
- Input all data from the Client Agreement and scanning supporting documentation into the Client Record Management (CRM) system;
- Communicate any omissions, errors, or clarification of data/documents to the Adviser / Private Wealth Assistant so they can correct or obtain the necessary information;
- Submit new accounts to Compliance for approval;
- Maintain changes to the static data of existing client records in the CRM system;
- Maintain a consistent and high standard of data integrity;
- If/when instructed to do so, communicate in a professional manner with external clients in relation to existing records.

## 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

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| Qualifications | • Tertiary qualification in a finance or business (desirable) |
| Knowledge/Experience | • Administration experience 3+ years (desirable)<br>• Financial services experience (desirable)<br>• Strong focus on delivering a high level of customer service (preferred) |
| Key Skills and Attributes | • Excellent time management and organisational skills<br>• Excellent communication skills (both written and verbal) with the ability to communicate in a professional manner with both internal and external clients<br>• High level of accuracy and attention to detail<br>• Intermediate Microsoft Office user (Word, Excel and PowerPoint)<br>• Self-starter with the ability to show initiative<br>• Excellent interpersonal skills |