

APPENDIX ONE:
Job Description



POSITION TITLE:	Quality of Advice Assistant (QOAA)
LOCATION:	Auckland
REPORTS TO:	Quality of Advice Manager (QOAM)

POSITION SUMMARY

Role of Quality of Advice

QOA's overriding goal is to help advisers deliver a high standard of service to their clients, meet their regulatory obligations (in respect to advice) and to streamline the advice process to generate extra capacity for advisers so they can service a higher number of clients. The CIP Investment Advice Policy is QOA's central terms of reference.

As such, the key objectives for QOA are:

1. Monitor the quality of advice provided to clients by advisers, primarily through the following tasks;
 - a. Check and approve new client Investment Policy Statement (IPS) documents
 - b. Conduct regular spot checks of adviser client records
 - c. Undertake data interrogation on advice client data to check quality issues
2. Provide regular management reporting on quality of advice
3. Identify risk issues and escalate to Area Managers and/or Compliance as needed
4. Provide ongoing training and support to advisers on advice issues

QOAA's role in meeting these objectives

The QOA area is a small team and the QOAA is required to assist with all tasks as needed. The primary focus of the QOA Assistant is to review IPS documents and help with spot checks and other monitoring.

KEY RESPONSIBILITIES

QUALITY ASSURANCE *(approx. proportion of role, 75%)*

1. Check Investment Policy Statement (IPS) documents
2. Assist in the completion of spot checks
3. Run adviser monitoring reports
4. Assist with Adviser file investigations

ADVISER SUPPORT *(15%)*

5. Answer adviser and assistant queries and provide assistance as needed

ADMINISTRATION (10%)

6. Manage QOA group email box
7. Arrange adviser meetings and training sessions – take minutes, action points
8. Assist with the maintenance of the QOA Intranet Page

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 Company 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 your manager.

PERSON SPECIFICATION

<p>Knowledge/Experience</p>	<ul style="list-style-type: none"> • Degree qualified, ideally in relevant discipline (finance, economics, business) • Financial Planning Diploma or New Zealand Certificate in Financial Services • Ideally 5+ years in finance /advice sector
<p>Key Skills / Attributes</p>	<ul style="list-style-type: none"> • Understanding of Financial Advice Process • Portfolio management theory and best practice • Knowledge of financial markets • Knowledge of advice regulation in New Zealand • Communication skills – written and verbal • General IT skills (word, Power BI, databases, Web technologies) • Expert Excel user • Good attention to detail • Managing deadlines, efficiency