



POSITION DESCRIPTION AXA NZ

(Version 1.0 Created 02/2010)

POSITION TITLE:	Investment & Compliance Analyst	Last Modified
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Functional Unit:	AXA Global Investors	Division/Team:	AXA Global Investors
POSITION CODE: <i>(completed by HR)</i>		GRADE 1-9 /PACKAGED: <i>(completed by HR)</i>	
PURPOSE OF POSITION:	Responsible for investment support, investment compliance analysis and general assistance to Head of Operations to enable AXA Global Investors investment team to operate effectively.		
REPORTING TO (POSITION TITLE):	DIRECT		INDIRECT
	<ul style="list-style-type: none"> ▪ Head of Operations 		<ul style="list-style-type: none"> ▪ Portfolio Manager ▪ Currency & Liquidity Manager
NO. OF REPORTS:	DIRECT		INDIRECT
	<ul style="list-style-type: none"> ▪ None 		<ul style="list-style-type: none"> ▪ None
KEY RESPONSIBILITIES: <i>(include financial responsibilities)</i>	Investment Support		
	<ul style="list-style-type: none"> ▪ Ensuring securities and portfolio positions held are accurately reflected in the funds management system (HiPortfolio). This includes: <ul style="list-style-type: none"> ▪ processing purchases, sales and maturities of forward foreign exchange contracts, money market securities, bonds, exchange traded funds and unit trust securities. ▪ maintaining securities held in the system (e.g. coupon payments, rate resets, principal pass-throughs and forward foreign exchange currency rolls). ▪ Monthly reconciliation of the HiPortfolio holdings with the Custodian (State Street) records. ▪ Assisting in the portfolio valuation process. 		
	Investment Compliance		
	<ul style="list-style-type: none"> ▪ Running daily compliance on AXA GI portfolios ▪ Collating and analyse monthly compliance reports received from external fund managers and prepare compliance sign off report ▪ Preparing monthly PIE compliance monitoring reports for Wholesale Unit Trusts (WUT's) ▪ Updating Investment Dispensation Report monthly and as required ▪ Performing other Compliance related duties as allocated by Head of Operations 		
Operations			
<ul style="list-style-type: none"> ▪ Updating quarterly ISDA FUM for various counterparties ▪ Performing other Operations related duties as allocated by Head of Operations 			
Other Responsibilities			
<ul style="list-style-type: none"> ▪ Processing investment management fee accruals and invoices ▪ Other tasks and projects as assigned from time to time 			

KEY MEASURES: <i>(include financial targets)</i>	Working Relationships	
	<ul style="list-style-type: none"> Works closely on a day-to-day basis with Head of Operations Works closely on a day-to-day basis with Portfolio Manager and Currency & Liquidity Manager and other members of the AXA GI investment team 	
DECISION MAKING RESPONSIBILITY:	<ul style="list-style-type: none"> Effective investment support to meet the expectations of the AXA GI investment team Competency in the completion compliance & operational duties 	
	<ul style="list-style-type: none"> Responsible for managing daily work flow and deliverable priorities versus internal and external key stakeholder expectations Exercise initiative and discretion within the bounds of delegated authorities 	
KEY INTERNAL & EXTERNAL CUSTOMERS:	KEY CUSTOMER	PURPOSE OF RELATIONSHIP
	<ul style="list-style-type: none"> <i>Head of Operations, AXA Global Investors</i> <i>AXA Global Investors investment team – Portfolio Manager and Currency & Liquidity Manager</i> 	<ul style="list-style-type: none"> <i>Reports directly to this position</i> <i>Reports indirectly to the positions providing investment support</i>
TECHNICAL COMPETENCIES:	<ul style="list-style-type: none"> Working knowledge of HiPortfolio is preferred Reasonable level of proficiency with Excel Good numerical and analytical skills An understanding of financial instrument valuations Effective written and verbal communication skills Good attention to detail 	
EXPERIENCE & QUALIFICATIONS:	<ul style="list-style-type: none"> Degree qualified preferable but not necessary Minimum 2-3 years Middle / Back Office experience and/or minimum 2-3 years compliance experience or an aptitude for compliance and investment related work Well developed interpersonal skills with the ability to develop rapport and credibility with internal and external customers Proven ability to work in confidence across highly sensitive materials Experience working in a team-oriented, collaborative environment 	

**LEADERSHIP
LEVEL:
SELF LEADERSHIP**

LEADERSHIP BEHAVIOURS FOR SELF LEADERSHIP LEVEL:

BUILD TO GROW

Strategic vision

- Understands operational expectations for own role and team
- Initiates action in order to achieve agreed goals
- Demonstrates knowledge of AXA products and services related to own role

Building capability

- Recognises areas for self improvement
- Takes accountability to actively seek development opportunities that will contribute to high performance

FOCUS ON CUSTOMER

- Has an understanding of the competitors and the industry
- Meets and strives to exceed internal and external customer requirements
- Adjusts work priorities to achieve customer needs
- Takes accountability for customer needs and builds rapport with customer

CATALYSE HIGH PERFORMANCE

Team leadership

- Contributes to and supports the achievement of team goals
- Takes accountability to achieve agreed goals within timeframe required
- Understands the responsibilities of team and how role relates with team members and other teams

Change leadership

- Supports and understands organisational decisions and change
- Positively accepts change

SHARE TO SUCCEED

- Actively assists team members and supports other teams where possible
- Accepts individual differences
- Seeks to contribute to team discussion and support outcomes
- Readily shares information with others at the time of receiving knowledge

LEAD THROUGH ACTIONS

Results orientation

- Strives for high performance
- Identifies problems and strives to understand primary cause
- Identifies areas for improvement that can support high performance

Living through AXA values

- Understands and supports AXA values