Broking Services
Hands-on investing

NZX Firm

AN INTRODUCTION TO INVESTING WITH US

Broking Service

Hands-on investing;
for the active investor.

“I believe we can help you be wealthier because we have built our business around understanding people, as well as the numbers.”

We help New Zealanders build their wealth. That’s been our focus since we opened over 30 years ago.

Our business has changed in many ways since I started in 1997, as a result of both growth and the ever evolving investment landscape. The one thing that has remained consistent this entire time is our focus on our clients’ investment needs.

Our clients are at the heart of Craigs Investment Partners and I believe that’s what makes us different. Our firm is owned by over 130 employees alongside our strategic partner Deutsche Bank. This makes our commitment to deliver superior service personal.

Our four business divisions; private wealth, investment banking, institutional equities and funds management work with the same vision in mind - to provide high quality investment services tuned to the unique needs of our clients.

This is all underpinned by our key strengths; our talented team of research analysts, our engine room of compliance, administration and reporting professionals and our investment banking team involved in some of the country’s largest corporate transactions.

Whether you are a large corporate, trust or someone wanting to invest for your own or your children’s future we can offer you expert investment advice and personal service through your Investment Adviser.

By choosing to be a client of Craigs Investment Partners, you can expect a high standard of expertise, knowledge, and ability.

But what really sets us apart is that you have your own dedicated Investment Adviser, who will help you choose precisely the right combination of services suitable for you now and in the future.

For us, your wealth is personal.

Frank Aldridge

Managing Director

Broking Service

With access to our specialist expertise and objective, research-based advice, you are in complete control; you choose the securities to invest in and you manage your own portfolio.

We offer a broking service for New Zealand and international markets, as well as foreign exchange and cash management services. We can buy and sell listed and unlisted securities, fixed income securities, equities, private equity, foreign exchange, exchange traded funds, and closed-ended funds.

Through your investment adviser, you have access to our specialist expertise and objective, research-based advice on securities you are considering. You can assess how well they fit into the portfolio strategy you have decided to follow.

Once you have made your decisions, your adviser can execute your transactions.

Add-on services

Cash Management

Our complementary multi-currency interest bearing cash management service will give you electronic settlement of your transactions. Making and receiving payments is simple and efficient.

Investment Administration Service

You can choose to add our Investment Administration Service to your Broking Service. Let us look after the paperwork and administrative action affecting your portfolio while you focus on investment decisions. We will provide you with six-monthly portfolio reports and an annual tax report. You can access your investments online or via the Craigs Investment Partners Mobile App.

	Broking Service	Investment Administration Service
Research		
• Objective advice and holdings research	Yes	Yes
• Strategy reports	-	Yes
• Investment committee reviews	-	Yes
• News & Views publication	Yes	Yes
Complete Administration		
• Processing of applications	-	Yes
• Executing purchases and sales	Yes	Yes
• Processing corporate actions	-	Yes
Reporting		
• Six-monthly performance and transactional reporting	-	Yes
• Annual tax reporting	-	Yes
Cash Management		
• Seamless transaction	Optional	Optional

Broking and Investment Administration Service is a Class Service and is not personalised financial advice.

Investment Administration Service

Our Investment Administration Service combines our broking service with our custody service. It is suitable for clients who want to actively control their investments and decision making, whilst we look after the administration.

Access to Research and Resources

As an Investment Administration Service client you will have access to our extensive range of research, strategy reports and our News & Views publication via our website and mobile app. You can also keep up to date with global markets through our dynamic charting and access your holdings reports along with virtual portfolios, watchlists and alerts.

Seamless Transactions

We process and settle your trades efficiently through Craigs Investment Partners Cash Management Accounts. Your interest bearing Cash Management Account provides flexible investing for your cash funds held in New Zealand dollars and a range of foreign currencies.

Our custodian can facilitate smooth settlement as you are not required to hold physical certificates of your international securities, enabling you to execute timely trades.

Complete Administration

Your investment portfolio is administered on your behalf by Custodial Services Limited (CSL), a wholly owned subsidiary of Craigs Investment Partners Limited. Acting as a bare Trustee, CSL currently administers approximately $14.5 billion* in funds on behalf of over 20,000 beneficial holders.

CSL will look after all the administration for you. This includes processing applications, executing any purchases and sales on instruction from your Craigs Investment Partners adviser, processing

*as at 31 October 2018

corporate actions, reconciling your investments and handling the paperwork.

Independence and Governance

The Board of CSL includes independent directors. CSL is subject to control and financial audits undertaken by an independent auditor.

Portfolio and Transaction Reporting

A detailed six monthly report ensures you are regularly kept up-to-date with your investments so you can have the information on hand to make informed decisions. You can also access reporting via our website or mobile app to view daily valuations of individual holdings.

Your investment adviser can work with you to determine the right reporting solutions to suit.

Annual Tax Reporting

At the end of your nominated tax year, we provide you with a consolidated tax statement to help you manage your tax obligations. This includes details of any income you have received (in all currencies), imputation credits, resident withholding tax and other relevant information as required by your tax adviser for Inland Revenue Department returns.

Investment Administration Service is a Class Service and is not personalised financial advice.

Brokerage and Investment Administration Service Fees

Investment Administration Service

There is no establishment fee for the Investment Administration Service and no charges for transferring existing investments to Custodial Services.

A quarterly management fee is calculated on the value of the portfolio at the end of each quarter. This fee is for the administration of your portfolio and the regular reporting provided by your investment adviser and Custodial Services.

Quarterly management fees are generally fully tax-deductible for most clients, making the Investment Administration Service very cost effective. We advise you to check with your tax adviser/ accountant to confirm your particular situation.

Market value of funds	IAS annual service fee
Up to $250,000	0.35% (minimum of $350)
Incremental funds between $250,000 and $750,000	0.30%
Incremental funds between $750,000 to $2.5 million	0.20%
Incremental funds greater than $2.5 million	By negotiation

The annual service fee shown is not subject to GST.

Brokerage

Brokerage charges will apply to new securities added to your portfolio or sold.

Fee Payment

Any charges are automatically deducted from available funds in your Craigs Investment Partners Cash Management Account.

“We were handling our investments ourselves, but felt we were missing out. With Craigs we have an adviser to call, and it is really straightforward. Transactions are efficient and book work is in order, traceable and well recorded.”

Ray / Hunua

Broking and Investment Administration Service Client

To learn more about our Investment Administration Service visit craigsip.com/IAS.

Speak with one of our advisers, we’ll do the rest.

No matter how much or how little experience you have with investing, one of our qualified investment advisers can help you make the most of our services.

Our experienced investment advisers have helped more than 50,000 clients with their investments: individuals, families, trusts, and businesses; investors with high net worth, and those just starting out. We’re right beside you on your journey, so let’s get started.

Call us on 0800 272 442
or email invest@craigsip.com

“Our team of research specialists are dedicated to providing insightful and timely information to ensure clients can make more informed investment decisions.”

Mark Lister, Head of Private Wealth Research

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Investments are subject to risk and not guaranteed. Adviser Disclosure Statements are available on request and free of charge. *Images of client testimonials have been changed for privacy reasons.*
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