



Position Description

Title: Adviser, Issuers Reports to: Manager Issuers Location: Perth Employment Type: Full-time	
Organisation Structure Division: Markets Supervision Business Unit: Issuers Team: Issuers Perth	Dimensions (E.g. Budget, number of Direct / Indirect reports) N/A
<u>Role Purpose</u> <p>The Adviser is primarily responsible for a portfolio of listed companies' compliance with ASX listing rules. This involves effective real time monitoring of and dealing with continuous disclosure and other obligations in the ASX listing rules including:</p> <ul style="list-style-type: none"> • Ensuring that media reports concerning ASX listed companies are monitored and that appropriate action is taken before market open to support an informed market. • Ensuring financial announcements of ASX listed companies are reviewed to ensure that they are consistent with the listed company's own forecasts or what might be reasonably expected, given the company's previous performance in other financial statements for the previous corresponding period and if there is a significant discrepancy, ensuring that appropriate action is taken. • Ensuring that all ASX listed company announcements are reviewed promptly and that sufficient information is provided to facilitate a fair and informed market. • Providing advice and support to listed companies and their advisers by telephone or in meetings in relation to compliance with ASX listing rules, including analysing proposals and recommending and processing waiver applications, or where appropriate, changes to ASX listing rules. • Processing new listing applications including reviewing proposals for admission by entities to be listed from an ASX compliance perspective, liaising with the company and its advisers making recommendations in relation to the application and liaising within ASX in relation to the operational aspects of the listing <p>The Adviser is also expected to participate in and contribute to</p> <ul style="list-style-type: none"> • Review of compliance with listing rule 3.19A – directors' interest notices • Insider Trading Programme with surveillance • Application of JORC code requirements • Ensuring compliance with reporting codes than form part of the listing rules • Policy development • Complaints handling procedures • Monthly reporting of supervisory activity • Education programmes for listed companies <ul style="list-style-type: none"> • The Adviser is accountable on a day-to-day basis to the Manager, Issuers (and the Assistant Manager). The Adviser operates with autonomy in relation to day-to-day activities and is expected to consult with the 	

Assistant Manager or Manager or General Manager where issues are unique or complex by reference to the circumstances, the parties involved or the listing rule policy or precedent involved. The scope of the Adviser position will be commensurate to skills and experience

<u>Key Accountabilities:</u>	<u>Percentages:</u>
<p>Supervisory activities</p> <ul style="list-style-type: none"> Monitoring compliance, with the Listing Rules particularly Listing Rule 3.1, reviewing company announcements identifying and taking appropriate action in relation to Listing Rule issues. Particularly important to act quickly and appropriately in situations where market integrity and reputation may be at risk. Review of documentation submitted by listed entities for approval. Advice to listed entities on the operation of the listing rules 	40%
<p>Listed entity activities</p> <ul style="list-style-type: none"> Ensure that proposals from listed companies are processed quickly and effectively including collaborating 	20%
<p>New listing</p> <ul style="list-style-type: none"> Consider and analyse listing applications within expected time frames 	
<p>Customer focus/Account Management</p> <ul style="list-style-type: none"> Managing the relationship with companies and their advisers to ensure that effective communications are created and maintained so as to influence decision making toward compliance. Managing complaints received from ASX Customer Service 	20%
<p>Project Management</p> <ul style="list-style-type: none"> Strategy objectives, policy, training, presentations 	10%
<p>Teamwork</p> <ul style="list-style-type: none"> Information sharing - support the team by providing input where required in relation to both technical and non technical issues Participate in staff engagement activities, development and training programs 	5%

Performance Measurement
To be agreed

Experience / Knowledge	
<p>Essential</p> <ul style="list-style-type: none"> • Relevant tertiary qualification in commerce, law, economics or other business related field • Capability in establishing and maintaining customer relationships that facilitate effective communications • Basic accounting/financial management knowledge. • General knowledge of the operation of financial markets. 	<p>Desirable</p> <ul style="list-style-type: none"> • SIA qualifications • Knowledge of the implementation of information technology in the finance industry • Knowledge of how the Australian and international financial markets operate • Good knowledge of the latest trading technology solutions • Experience within ASX or in an Analyst, Accounting or Legal role • Proven background and knowledge of the financial services industry • Experience and demonstrated capabilities in establishing and maintaining customer relationships that facilitate effective communications • General knowledge of Australian Corporations Law
Key Competencies	
<ul style="list-style-type: none"> • Oral and written communication skills. • Research and analysis skills. • Skills analysis of financial and associated company reports. • Decision making skills • Time management skills • Computer skills (Microsoft suite of products) • Public speaking experience and capability • Experience in financial markets or with listed companies • Ability to identify and manage risk 	
Personal Attributes	
<ul style="list-style-type: none"> • Teamwork • Effective communication • Customer effectiveness • Planning and organising work • Broad based analytical thinking • Concern for quality • Problem solving • Diligence • Self management • Initiative • Analytical • Effective Judgement 	