

# Manager, Participants Compliance

## ASX Position Description

<b>ASX “All Roles Flexible”</b>		
ASX offers mutually beneficial flexible working arrangements. We recognise that employees need to balance work and personal lives.		
<b>ASX Opportunity Snapshot</b>		<b>What’s On Offer</b>
<b>Role:</b>	Manager, Participants Compliance	<p>As Manager within the Participants Compliance Team, you will be responsible for overseeing participant’s compliance with the relevant operating rules of the ASX, ASX24 markets and the ASX Clear, ASX Settlement and Austraclear facilities by:</p> <ul style="list-style-type: none"> <li>• Helping to protect the integrity and reputation of those markets and facilities by delivering effective compliance outcomes;</li> <li>• Managing a team of compliance advisers responsible for the assessing participants compliance with the Operating Rules; and</li> <li>• Professionally and efficiently assisting participants to comply with their obligations under the Operating Rules</li> </ul>
<b>Reports to:</b>	General Manager, Participants Compliance	
<b>People Management:</b>	Yes	
<b>Team:</b>	Participants Compliance	
<b>Date:</b>	October 2018	
<b>Location:</b>	Sydney, NSW	
<b>Flexible Role:</b>	Yes	

### What you’ll do:

As a Manager, you will contribute to the work of the Participants Compliance team by:

- leading and managing a team of advisers to deliver agreed strategic compliance priorities
- managing the compliance relationship between the ASX Group and its participants
- continuing to develop and implement frameworks, processes and initiatives that reflect current and emerging approaches to risk and compliance to ensure ASX meets its regulatory obligations
- managing the assessment process of applications for admission as a participant for conformity with ASX’s requirements
- leading and managing activities to ensure:
  - the application of the Operating Rules and decision-making is both consistent and of a high standard;
  - all investigations into allegations or complaints of non-compliance with the Operating Rules are appropriately managed;
  - monitoring and identification activities are carried out appropriately;
  - enquiries into all suspected contraventions of the Operating Rules are initiated and analysed appropriately;

- all identified breaches of the Operating Rules are treated with appropriate regulatory response including referral to Enforcement and, where applicable referral to regulatory agencies; and
- participants' incidents are managed effectively and efficiently.
- identifying emerging risks and developing regulatory responses to assist ASX meet its regulatory obligations
- leading regulatory policy and business initiatives that support the integrity and reputation of the ASX markets
- designing and implementing educational programs to support a strong risk and compliance culture
- overseeing the communication and co-operation activities with regulatory bodies on matters of shared regulatory concern

#### **What you've done:**

- Significant relevant industry or professional experience providing you with:
  - a detailed understanding of the role and workings of financial markets and clearing and settlement facilities
  - a detailed understanding of participants systems, operations and connectivity models
  - sophisticated knowledge and practical application of compliance and risk methodologies
  - the ability to critically analyse information to assess compliance with regulatory obligations
- Management roles with demonstrated leadership capabilities
- A tertiary qualification in law, accounting, finance, business, risk management and compliance, economics or related disciplines

#### **And if you've got some of this, even better:**

- Experience in drafting and considering policy and rule changes
- Experience in designing and implementing education initiatives for optimal learning outcomes
- Data analytics expertise
- Demonstrated change management skills
- Audit experience

#### **What you need to enjoy and be good at for this role:**

- Demonstrated leadership skills and ability to guide behavioural standards
- Be an excellent communicator, both written and orally
- Able to manage the pressure of urgent matters and competing priorities
- Superior influencing skills and the ability to manage difficult conversations
- Demonstrated decisiveness
- Be solution driven
- Have an enquiring mind and the determination to push back when information or explanations appear inadequate
- Strong relationship management skills and a high level of discretion
- Have an excellent attention to detail and a concern for quality
- Objectivity and fairness
- Unquestionable integrity