

Compliance Adviser

ASX Position Description

ASX “All Roles Flexible”

ASX offers mutually beneficial flexible working arrangements.
We recognise that employees need to balance work and personal lives.

ASX Opportunity Snapshot		What’s On Offer
Role:	Compliance Adviser	Oversee compliance of a portfolio of listed entities with the Listing Rules with a focus on a particular sector and: <ul style="list-style-type: none"> • help to protect the integrity and reputation of the ASX market by delivering effective compliance outcomes • enhance the standing of ASX as a listing venue by assisting your listed entities to comply with their obligations under the Listing Rules in a timely manner
Reports to:	Manager Compliance Sydney	
People Management:	N/A	
Budget:	N/A	
Team:	Listings Compliance	
Date:	November 2018	
Location:	Sydney, NSW	
Flexible Role:	Yes	

What you’ll do:

- Oversee compliance of a portfolio of listed entities with the Listing Rules with a focus on a particular sector such as resources / information technology and telecommunications / health and biotechnology
- Help protect the integrity and reputation of the ASX market by diligently:
 - reviewing announcements and periodic filings made by your listed entities for compliance with the Listing Rules
 - identifying potential disclosure issues and administering price query and aware letters, facilitating trading halts and voluntary suspensions, and recommending to your manager the imposition of mandatory suspensions, as required
 - assessing draft documents lodged by your listed entities for review under the Listing Rules for conformity with ASX requirements
 - assessing applications by your listed entities for approvals or waivers under the Listing Rules for conformity with ASX policy
 - investigating allegations or complaints of non-compliance by your listed entities
 - identifying, escalating and resolving any potential breach of the Listing Rules by your listed entities
 - conducting ad hoc or periodic reviews into compliance with particular Listing Rule requirements
 - identifying any potential significant breach of the Corporations Act or Listing Rules for referral to ASIC
 - communicating and co-operating with ASIC on matters of shared regulatory concern in a professional and timely manner
- Enhance the standing of ASX as a listing venue by assisting your listed entities to comply with their obligations under the Listing Rules in a timely manner, including:

- responding promptly and in a helpful and courteous manner to Listing Rule enquiries by your listed entities and their advisers
- diligently reviewing draft documents lodged by your listed entities for review under the Listing Rules
- diligently processing applications by your listed entities for approvals or waivers under the Listing Rules
- working co-operatively with colleagues in the Market Announcements Office to process market announcements by your listed entities in a timely manner
- working co-operatively with colleagues in Listings Operations to process corporate actions, requests for trading halts and suspensions for your listed entities in a timely manner
- working co-operatively with colleagues in the Market Surveillance team to assess market activity for potential listing rule disclosure issues and other market integrity issues
- Develop a good knowledge of the Listing Rules and their application
- Develop a good understanding of the role of equity markets, including capital raisings, mergers and acquisitions, corporate restructures and other corporate activities
- Develop the ability to analyse complex corporate transactions for compliance with the Listing Rules
- Develop the ability to understand and analyse financial reports for compliance with the Listing Rules
- Develop your knowledge of the sector allocated to you
- Assist other members of Listings Compliance in the performance of their functions, as and when needed
- Undertake any other work assigned to you by your Manager

What you've done:

- A tertiary qualification in law, accounting, finance, business, economics or related disciplines
- Relevant industry or professional experience

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

- Some knowledge of the Listing Rules
- Good negotiating and influencing skills
- Good presentation skills

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

- Good oral / written communication skills
- Able to work effectively and co-operatively in a team environment
- Able to manage the pressure of urgent matters and competing priorities
- An enquiring mind and the determination to push back when information or explanations provided by listed entities appear inadequate
- Unquestionable integrity
- Objectivity and fairness
- An eye for detail and a concern for quality