

Principal, Participants Review

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: | Principal, Participants Review | As part of the Participants Review team, execute reviews to ensure that (non-financial) risks to ASX from participants are being appropriately mitigated through implementation by participants of the requirements of the relevant rule obligations. |
| Reports to: | Manager, Participants Review | |
| People Management: | N/A | |
| Budget: | | |
| Team: | Clearing Risk Policy and Management | |
| Date: | November 2021 | |
| Location: | Sydney, NSW | |
| Flexible Role: | Yes | |

What you’ll do:

- Execute the annual Participant Review Plan (the “Plan”) in line with the review framework and objectives
- Ensure issues/risks affecting execution of the Plan are escalated in a timely manner to the Manager, Participants Review
- Ensure referrals or requests for assistance with (unscheduled) Reactive reviews are escalated to the Manager, Participants Review for prioritisation within the Plan
- Ensure issues/risks/findings arising from executing the Plan are appropriately escalated and resolved
- Assist the Manager, Participants Review with evolving the Plan by identifying emerging risks as appropriate
- Initiate and lead change management projects
- Establish and maintain effective working relationship with key stakeholders - both internal (in particular Participants Compliance, Operations and Enterprise Compliance) and external (Participants and ASIC)
- Raise emerging risks with the Manager, Participants Review for assessment in the ERICA risk profile for Participants Review

What you’ve done:

- **You have developed and executed reviews to assess the operational/non-financial risk of external counterparties** in a wholesale financial markets environment in at least one of the following areas:

- **BCP/DR**
- **Compliance with regulatory obligations and/or Exchange rules**
- **Operational risk more generally**
- You have also developed a broad understanding of **financial products** (equities, bonds and derivative products) and the **financial markets** and the **settlement arrangements** for those products
- You have developed the maturity/personal skills to be an effective “**agent of change**”
- You are comfortable working a part of a small team with significant engagement with both **internal** and **external stakeholders**
- You have obtained a finance tertiary qualification and/or be CA or CPA qualified

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

- Knowledge of ASX markets, participants and operating rules

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

- Self-motivated and capable of displaying initiative
- Ability to plan, organise work and prioritise own workload
- Good communication skills, in particular the ability to explain technical subjects to non-experts both verbally and in writing
- Ability to develop effective working relationships across a range of internal and external stakeholders
- Ability to learn and adapt quickly to a changing environment or change in priorities
- Ability to manage detail whilst not losing sight of the bigger picture