



# Principal Adviser, Listings Compliance (LM11163)

Sydney, New South Wales, Australia (Hybrid)

## ASX: Powering Australia's financial markets

### Why join the ASX?

When you join ASX, you're joining a company with a strong purpose – to power a stronger economic future by enabling a fair and dynamic marketplace for all.

In your new role, you'll be part of a leading global securities exchange with a strong brand. We are known for being a trusted market operator and an exciting data hub.

Want to know why we are a great place to work, visit our [careers page](#) to learn more.

### We are more than a securities exchange!

The ASX team brings together talented people from a diverse range of disciplines.

We run critical market infrastructure, with 1 in 3 people employed within technology. Yet we have a unique complexity of roles across a range of disciplines such as operations, program delivery, financial products, investor engagement, risk and compliance.

We're proud of the diversity of our organisation and the culture of inclusion that all our people help to build every day. Our employee-led groups are known for celebrating cultural and religious events, championing LGBTIQ+ inclusion, inspiring giving and volunteering, promoting gender equality, and wellbeing. We are an Employer of Choice for Gender Equality (WGEA) and a member of the Champions of Change Coalition for the advancement of gender equality in Australia.

### About the team:

Be a leader in the team that is responsible for the supervision of ASX's listed market. You will engage with listed entities and their advisers on the full range of legal and regulatory issues involved in their operations, transactions and governance. Bring your experience and judgement to decisions as a high performer in a fast-paced and collegiate environment with a strong work-life balance and a genuine sense of purpose.

Work within the team responsible for supervision of ASX's listed market. Our team's performance is critical to ASX's success in operating a market of the highest integrity and meeting the expectations of our customers and the wider Australian community.

### What you will be doing:

- > Communicate clearly and effectively with listed entities and their advisers.
- > Apply your experience and strong analytical, communication and interpersonal skills to advise and supervise a portfolio of listed entities. Oversee compliance by your listed entities with the Listing Rules



and related requirements, take action where appropriate, and assist other members of the team with complex or sensitive issues.

- > You will lead monitoring and enforcement actions and internal collaboration on a range of issues including continuous disclosure, capital raising and capital management, governance and integrity. You will also assess and advise on applications for admission to ASX's listed market.
- > Maintain strong processes for monitoring and enforcing ASX's rules, with proper regard to ASX's requirements, regulatory obligations and good risk management practices, and lead initiatives to keep those processes up to date and fit for purpose.
- > Contribute as a senior leader to a team culture of insight, enquiry and proactivity, effective communication and record-keeping, and continuous development and improvement.
- > Learn new skills and collaborate with other teams within ASX Compliance including enforcement, admissions, investment products and the transformation and operational performance team.

### What you will bring:

- > Senior Associate lawyer with experience in an ECM, public M&A, or corporate advisory practice area. Familiarity with listed entities, their operating environment and commercial drivers is essential. This role would be suited to a Senior Associate from a top tier law firm.
- > Demonstrated ability to analyse and assess complex corporate structures, governance and transaction documents and financial and similar reports for compliance with legal requirements.
- > Demonstrated strong oral and written communication skills, including the ability to communicate complex issues simply and clearly.
- > Demonstrated ability to counsel, influence and find solutions that meet key commercial objectives while ensuring that applicable legal and regulatory requirement and expectations are demonstrably satisfied.
- > Strong academic record.

### Nice to have:

- > Exposure to listed resources entities and JORC reporting
- > Experience or qualifications in accounting or financial disciplines

We make hiring decisions based on your skills, capabilities and experience, and how you'll help us to live our values. We encourage you to apply even if you don't meet all the criteria of this role. If you need any adjustments during the application or interview process to help you present your best self, please let us know.

At ASX Group, our diverse workforce is essential to build and maintain a fair and dynamic marketplace. We support flexible working and offer hybrid working options. Even if our roles are advertised as full-time, we encourage you to apply if you are interested in part-time or other flexible working arrangements.

We will arrange for successful candidates to have background checks, including reference and police checks completed as part of the on-boarding process.

***Recruitment Agencies: ASX does not accept any unsolicited agency resumes and will not be responsible for any fees related to unsolicited resumes.***