

Senior Analyst



Key purpose of the role

Protecting the reputation and integrity of Australia's capital markets

Team	Number of reports
Enforcement	N/A
Manager	Location
Senior Manager, Enforcement	Bridge Street, Sydney With a hybrid office and work-from-home model
Relationships	Special requirements
Routinely interact with key internal teams such as Listings Compliance and Surveillance, as well as external stakeholders such as listed entities and ASIC.	N/A



Your Team

ASX's Enforcement team is a specialised unit within the broader ASX Compliance team which combats misconduct and breaches of the ASX Listing Rules and Operating Rules, as well as proactively identifying emerging threats to the integrity of ASX's markets.



Your responsibilities

- Identify, investigate, analyse and recommend action to respond to suspected breaches of the Listing Rules by listed entities
- Contribute to ASX's Listing Rule enforcement strategy by identifying and actioning steps to address patterns of behaviour in the market that could undermine the stated purpose or intent of the Listing Rules
- Prepare bespoke, well-researched query letters, 'show cause' letters and ASIC referrals
- Contribute to the design of new data driven approaches to Listing Rule monitoring and enforcement
- Perform targeted and in-depth reviews of listed entities
- Proactively identify listed entities whose operations or financial condition may not meet Listing Rule requirements
- Assist in the assessment and investigation of complaints and tip-offs alleging misconduct or non-compliance by listed entities
- Assist the Senior Manager, Enforcement as required in enforcement actions against participants in ASX markets and clearing and settlement facilities



Your experience and qualifications

Must have

- A tertiary qualification in business/commerce, finance, law, or other related field
- Experience in one or more of the following: equity research; equity trading; capital advisory; corporate law; investigative accounting / auditing; investor relations; or other market-facing financial services compliance (as a guide – 4+ years' experience)
- A good understanding of the continuous and periodic disclosure obligations of listed entities under the Listing Rules and Corporations Act
- Excellent drafting skills
- Excellent investigative, research and analytical skills
- An enquiring mind; healthy scepticism; and decisiveness
- Unquestionable integrity, objectivity and fairness

Nice to have

- CFA, CA or CPA highly regarded; or other subject matter expertise such as geology or biotechnology
- An understanding of insider trading, market manipulation, and / or fundraising provisions of the Corporations Act
- An understanding of various stakeholders' interactions with the ASX markets (e.g. institutional investors, brokers and analysts, retail investors, journalists, corporate advisors), and their differences

ASX values

We put the market first

We stand up for what's right

We achieve more together

We drive positive change