



Compliance and Risk Manager

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:

The Compliance and Risk Manager is responsible for supporting the Senior Risk and Compliance Partner for the Securities and Payments division in the implementation of the operational risk management strategy and promoting industry best practice across the Securities and Payments division.

The role is a risk management function within the Securities and Payments line of business and will be a central point of coordination for risk management and compliance activities, including promoting risk and compliance awareness, supporting projects and business initiatives from a risk perspective, assessing emerging and current risks, and applying best practice to practical business solutions.

As a change leader and influencer, you will assist in embedding a robust risk and compliance culture and ensure risk is considered in key operational decisions and process design.



What you will be doing:

- > Gain an in depth understanding of the end-to-end Clearing and Settlement Facilities Businesses and become a trusted advisor to the S&P Business teams on risk, compliance and control initiatives and improvements
- > Work with key stakeholders within Securities and Payments and across the ASX to further embed the Operational Risk Management and Compliance Frameworks
- > Support the delivery of risk and compliance reporting including external regulatory and audit requirements
- > Support management in maintaining rich data quality in ERICA, particularly in relation to risks, obligations, controls and Key Risk Indicators
- > Perform data analytics for input into business risk reporting
- > Encourage and facilitate effective use of risk management tools
- > Partner with the Enterprise Risk Management, Project Risk Management and Enterprise Compliance teams to deliver an integrated approach to risk and compliance

What you will bring:

- > Gained experience in Risk or Compliance related function preferably within the Financial Services Industry.
- > Gained experience in managing, monitoring and testing compliance
- > Developed an understanding of financial regulatory environments
- > Demonstrated the ability to build strong internal relationships
- > Conducted risk workshops and/or training
- > Management reporting
- > Ability to collaborate and work effectively across teams
- > Foster a culture of knowledge sharing
- > Critical thinking with an analytical approach
- > Demonstrate business acumen
- > Ability to collaborate and work with multiple stakeholders to deliver a common goal
- > Communication skills – excellent oral, written and presentation

Nice to have:

- > Understanding of different financial products
- > Experience in interaction at Executive management level of businesses
- > Broad understanding of project methodologies
- > Experience in influencing risk culture
- > Knowledge of BCP/disaster recovery frameworks
- > Strong Operations process related knowledge



- > SharePoint and Excel skills

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.