

Position Description

Position Title	Risk & Compliance Manager	Date	April 2019
Reports to	CFO	Direct Reports	N/A
Department	Finance Business Development	Location	Brisbane CBD

COMPANY PROFILE

AAM Investment Group (AAMIG) is an Australian owned and operated provider of investment and asset management. AAMIG structure, issue, operate and manage investments across the agriculture supply chain. . Drawing on the team's knowledge and experience in these sectors, we strive to improve investment performance through operational and technological efficiencies and improved management. AAMIG is committed to providing a safe and healthy workplace for all staff, clients, and visitors to our facilities. All staff are required to contribute to and promote a continuous workplace health and safety culture

POSITION PURPOSE

The key purpose of the Risk & Compliance Manager is to lead all aspects of AAMIG and its subsidiaries, relating to the compliance and reporting obligations, governance across multiple entities and provide advice and training as required. Monitoring the delivery of contractual obligations and compliance requirements in accordance with various agreements across multiple funds, the Risk & Compliance Manager provides oversight on core legal compliance and governance, and multiple agreements.

KEY ACCOUNTABILITIES

- Manage the day-to-day compliance function partnering with various stakeholders and business units
- Review new business initiatives, operational procedures and major operational and systems changes from a regulatory perspective
- Develop, review and maintain compliance standards and policies
- Develop and or review agreements and establish systems to manage the Agreement.
- Monitor the management of the contractual obligations and agreements between AAMIG entities
- Advise and review content of marketing material, PDS, application forms, research reports, platform applications and other regulatory documents.
- Manage the company's licensing, registration regulatory reporting and timely submission of reports as required

KEY ACCOUNTABILITIES

- Provide assistance with the assessment of compliance issues
- Conduct regular reviews of business activities for adherence to regulatory requirements, internal policies and procedures
- Evaluate compliance with relevant regulations, identify issues and assess the impact of regulatory change
- Manage the compliance program including participating in regulatory risk assessments across AAMIG providing input into policies, performing training and designing and executing compliance desk reviews
- Interact with regulators including handling of regulatory enquiries, exams and investigations (ASIC/APRA), industry regulatory group interactions (ACSA/ASLA) and clients on due diligence matters
- Monitor and report compliance with all reporting obligations under the agreements including fund management, asset management, custodian, registry and other
- Oversee systems and processes to manage compliance, reporting, and management of breaches
- Maintain currency with the relevant laws and regulations, particularly those relating to our Australian financial services licence
- Assist in the development and continuous improvement regarding compliance and risk and report on issues
- Advise re Privacy Law related questions for Australia
- Represent Compliance at business and board governance and risk committees
- Prepare management and governance reports, including quarterly compliance reports to the board and develop and present compliance training

KEY RELATIONSHIPS

Internal	External
<ul style="list-style-type: none"> • Directors of AAMIG and the subsidiary entities • AAML Board of Directors • AAMIG Senior Management • Other head office Staff 	<ul style="list-style-type: none"> • Registry • Custodians • Legal Representatives • Auditors

KNOWLEDGE AND EXPERIENCE

Qualifications

Tertiary qualifications in Finance, Business/Law, Accounting or a relevant field

Experience

- A minimum of 7 years work experience in risk and compliance advisory in the financial services industry.
- A working knowledge of the Legislative requirements relating to Funds Management and AFS Licensing.
- Experience reporting and presenting when required to a Board and or Compliance Committee
- Experience dealing with regulators

Competencies and Skills

- Investment/Legal/Compliance background
- Solid understanding of regulatory compliance assurance experience
- Strong interpersonal skills with effective stakeholder management and the ability to negotiate at all levels
- Strong working knowledge of all relevant compliance regulations
- Demonstrated knowledge of risk and compliance management
- Have an interest in the ever-changing world of compliance legislation
- Have an ability to critically evaluate business processes and advise on improvements
- Demonstrated attention to detail with an inquisitive and analytical mindset
- Ability to proactively identify and analyse problems and propose practical solutions
- Demonstrated exceptional written and verbal communication and presentation skills
- Ability to manage competing priorities and plan work efficiently and effectively to meet tight deadlines
- Proficient in the use of technology and intermediate level user of Microsoft office Suite
- A willingness to work as part of the overall Team and to contribute to assisting in the business as required.

Position Description Approved by:

Position Title	Position Title (??)	Position Title (??)	Date Approved
CFO			

Position Description Accepted by:

Position Title	Incumbent Name	Signature	Date accepted
Risk & Compliance Manager			