



## ASX Circular

Date: 29 January 2010

### Key topics

1. Compliance and Risk Fundamentals Workshop

### Reading List

Compliance Managers  
 Managing Directors  
 ACH Participants  
 Office Managers  
 Operations Managers (back office)  
 ASX Participants  
 Market Participants  
 ASTC Participants

### Contact

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## INVITATION – COMPLIANCE AND RISK FUNDAMENTALS FOR ASX, ACH & ASTC PARTICIPANTS

As previously foreshadowed, ASX Market Supervision ("ASXMS Compliance") together with the Australasian Compliance Institute ("ACI") has developed a compliance and risk workshop aimed at ASX, ACH and ASTC Participants.

This one day "Compliance and Risk Fundamentals for ASX, ACH and ASTC Participants" workshop will explore the fundamental elements of a Supervisory, Risk and Compliance framework and provide an overview of the applicable obligations of the ASX Operating Rule framework. Using practical application with case studies attendees will be engaged in increasing their awareness of strategic compliance initiatives to mitigate the emerging risks inherent in their business processes.

The ASX Markets Supervision Education and Research Program is fully funding several workshops to be held in February, March and April 2010 in Perth, Adelaide, Brisbane, Melbourne and Sydney. Dates as follows:

Perth: Wednesday 10 February; Thursday 11 February  
 Adelaide: Thursday 25 February  
 Brisbane: Friday 5 March  
 Melbourne: Monday 15 March; Wednesday 17 March; Thursday 18 March  
 Sydney: Monday 29 March; Thursday 15 April; Wednesday 21 April; Thursday 22 April; Thursday 29 April.

The workshops are only available to Participants of the ASX, ACH and ASTC and spaces are strictly limited for each session.

### Who is the course aimed at?

As this course is dealing with the fundamental elements of the Supervisory, risk and Compliance Frameworks the program is aimed at people who do not have a comprehensive knowledge of the Risk and Compliance tools but who are engaged in administering or performing delegated supervisory responsibilities such as:

- Team Leaders
- Compliance monitors and officers
- Staff who perform delegated Responsible Executive supervisory tasks
- Other officers of the firm who would benefit from understanding the obligations, design and supervision elements of the Participants framework.

### Course Structure

The program will be conducted over a single working day. Upon completing the program participants will be able to:

- Explain the obligations framework of the ASX, ACH and the ASTC Operating Rules
- Explain the role and obligations of the Responsible Executive
- Understand the processes in identification, evaluation and treatment of risks
- Identify key risk areas applicable to ASX, ACH and ASTC participations
- Describe how to structure a compliance program

- Understand the importance of a Compliance Culture
- Understand the principals of the Compliance and Risk standards
- Understand, design, implement and apply effective monitoring and control processes capable of preventing, detecting and remedying issues
- Understand use of strategic initiatives for preventative compliance

#### Continuing Education Points

Attendees will receive 8 structured compliance CPD points.

#### Registration and RSVP

Registration for the Perth and Adelaide workshops is currently open.

#### Perth:

Date: Wednesday 10 February OR Thursday 11 February 2010  
Time: 8.45am – 5.00pm  
Location: Mercure Hotel, Level 1 West Tour, Anglesea Room 2, 10 Irwin Street, Perth  
Logistics: All course materials will be provided. Morning tea, lunch and afternoon tea will be provided.

#### Adelaide:

Date: Thursday 25 February 2010  
Time: 8.45am – 5.00pm  
Location: Rendezvous Allegra Hotel, 55 Waymouth Street, Adelaide  
Logistics: All course materials will be provided. Morning tea, lunch and afternoon tea will be provided.

To participate you are required to register with the Australasian Compliance Institute (ACI) using the following link:

[http://www.compliance.org.au/www\\_aci/guests.asp?action=signup](http://www.compliance.org.au/www_aci/guests.asp?action=signup)

Please follow the prompts and include all details to allow ASX to verify your details with your Participant:

- Name
- Participant
- Role
- Work Phone Number
- Work email address

Whilst group bookings can be made manually via email to ACI, attention Maree Hurley at [Maree.Hurley@compliance.org.au](mailto:Maree.Hurley@compliance.org.au), please be advised places are strictly limited and participation may be restricted to a maximum number of attendees per Participant.

#### Enquiries:

Course details:  
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