



Internal Audit SOX

About us

Invast Global is a specialist multi-asset prime broker with offices in Sydney and Tokyo. The company specialises in providing innovative prime services to hedge funds, asset managers, proprietary trading firms, other brokerages and banks.

About the role

Internal Audit is an independent group established within Invast as a service to Management and to the Group Audit Committee of the Board of Directors.

Internal Audit is charged with independently assessing the adequacy and effectiveness of risk management, controls and governance processes. It may also perform consulting advisory services and special reviews as directed by the Group Audit Committee and Executive management.

Working closely and reporting directly to Group Head of Internal Audit, your key responsibilities will include:

- Maintaining the internal control framework and being responsible for continuous control monitoring, and, identifying any areas of weakness with a remit to improve and strengthen controls.
- You will help elevate the quality of the internal audit along with other advisory activities, including the timely delivery of the Assurance and Internal Audit program.
- Ensuring business compliance with agreed Board policies and the application of effective operational controls.
- Development of practical and effective mitigation strategies against control weaknesses and risks identified.
- Basic understanding of the 3 LOD model with practical experience of working in audit either at Big 4 firms or in Internal Audit function of a financial services company.
- Be a trusted partner to top management for providing audit assurance and advisory services through an unbiased, objective attitude, and an independent auditing function.

Level 27, Aurora Place, 88 Phillip Street, Sydney NSW 2000
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invast.com.au



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- Knowledge of and/or hands-on experience in full audit cycle activities comprising process walkthroughs, audit scoping and planning, design and operational effectiveness testing, audit issues writing, and follow-up.
- Keep oneself abreast of day to day functions of departments, change in business priorities, strategies, and regulatory requirements.
- Conduct Risk assessment of departments and regular monitoring activities in order to efficiently plan audit activities.
- Undertake system user access reviews.
- Other adhoc responsibilities as required.

Profile

- A Bachelors' Degree in Finance, Accounting, Economics, Business (CA or CFA advantageous) with a minimum of 3 years' experience in a similar role.
- Relevant work experience in control functions such as operations, risk control, compliance, finance can be considered in lieu of direct internal audit experience.
- Possess a strong understanding of processes and internal control frameworks (IT control environment advantageous).
- Prior experience with SOX/J-SOX compliance framework and testing of relevant controls preferred. Understanding of securities business, leveraged trading, and notably prime services business model. Advanced Excel and PowerPoint skills are a must.
- Exceptional time management skills and ability to achieve deadlines
- Energetic, engaging and motivated



INVAST GLOBAL
MULTI-ASSET PRIME BROKERAGE

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What's on Offer

If successful, you will work directly with senior stakeholders across finance and the wider business, and be exposed to valuable opportunities for long-term career progression.

The company's culture is regarded as the best in the business; diverse, accepting and inclusive.

How to apply

To apply for this role, apply now via SEEK! Include your resume and cover letter outlining why you're perfect for this role.

The application form will include these questions:

Which of the following statements best describes your right to work in Australia?

Have you completed a certified practising accountant (CPA) qualification?

How many years' experience do you have in an accounting role?

Which of the following Microsoft Office products are you experienced with?

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