





**Matt Plüss**

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## Qualifications & Memberships

- Graduate Diploma of Applied Finance and Investment, SIA
- Graduate Diploma of Financial Planning, SIA (RG146)
- Diploma of Financial Services, AFMA (RG146)
- Bachelor of Arts, Economics and Government, Sydney University

Matt is a banking, treasury and risk management specialist with more than 20 years of experience, working in financial markets, financial risk management and compliance functions in the corporate and banking sectors.

In his previous roles Matt was a corporate treasurer and implemented treasury risk management policies, hedging strategies, compliance and credit risk policies for both domestic and internationally listed companies. He has experience in managing syndicated facility negotiations, corporate finance, working capital programs and the implementation of risk management systems.

Matt also spent several years at ANZ in Global Markets Institutional Sales. He has extensive front office experience in foreign exchange, interest rates, commodities, structured investment products and risk management solutions.

Matt has worked across a wide range of industry sectors with particular experience in the banking and financial services industry.

## Engagement Experience

### Enforceable Undertakings

- Project lead for an ASIC Enforceable Undertaking as the Independent Expert to determine the appropriateness of the supervisory policies and procedures for a technology-focused proprietary trading firm.
- Independent Compliance Expert for an Australian Fund Manager under an ASIC Enforceable Undertaking reviewing policies, procedures and trading activities.

### Regulatory Engagements

- Led a regulatory review for a domestic bank's financial market division's front office operations to identify: behaviour that could compromise the integrity of a financial markets' benchmark, market misconduct, disclosure of confidential information and behaviour inconsistent with the bank's internal policies and code(s) of conduct.
- Independent Forensic Expert engagement and case reviews for the Commonwealth Bank Open Advice Review Program (OAR) (financial planning).
- Appointed by ASIC to undertake a review of personal advice client files for some of Australia's largest financial services licensees and their compliance to their obligations under the Corporations Act.

### Governance, risk and compliance

- Conducted a conflict of interest policy review for a major domestic retail bank financial markets division with respect to (s.912A(1)(aa) of the Corporations Act 2001 and ASIC's RG181.



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## Director

- Performed a review of a non-bank home loan lender to assess the company's risk appetite statement (RAS). Our work involved assessing the RAS to regulatory standards and alignment to the Board's risk appetite, strategic objectives, and business plans.
- Risk management framework reviews
- Financial services engagements also include: analysis of market financial market transactions for an Australian bank's offshore trading centres and corporate bond pricing anomalies for a market intermediary in response to regulatory enquiries.

### **Project management**

- Secondment - Remediation Manager and project lead managing an ASIC approved consumer remediation program for a listed ASX insurance provider.
- Acted as Project Manager in a forensic technology engagement for an Australian retail bank's response to the Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry.
- Project managed and assisted in the development of a response plan for a major energy supplier in preparation for a potential commission of review.

### **AML and gaming**

- Assessed the suitability of an international bidder for a major casino group. Our work involved reviewing the bidder's AML/CTF policies and compliance processes for the parent and related international operations and compliance to Australian regulatory standards and AML CTF rules.
- Part A AML Program reviews for an investment fund manager providing designated services under the AML Act.

### **Investigations**

- Led investigations into the leaking of confidential price sensitive information within a high profile listed ASX corporation and to external parties.
- Bribery and corruption investigation for an Australian listed company operating in a high risk offshore jurisdiction.