



**INNOVATION
IS KEY TO
GROWTH**

March 2021

ARK Investment Management Is Hiring: **Compliance Manager – Trading and Investment Management**

Who We Are:

ARK is a global investment manager focused solely on investing in disruptive innovation that is changing the way the world works. Majority Owner, Catherine D. Wood, founded ARK in 2014 on the belief that innovation is key to growth. Rooted in over 40 years of experience, ARK aims to identify large-scale investment opportunities in the public markets resulting from technological innovations centered around genome sequencing, robotics, artificial intelligence, energy storage, and blockchain technology.

ARK manages and sub advises long-only global public equity portfolios across a variety of investment vehicles, including a suite of exchange traded funds (ETFs), mutual funds, and separately managed accounts. Our investments are backed by an open research ecosystem designed to identify innovations with the potential for long-term growth.

As of December 31, 2020, the firm managed approximately \$58.2 billion assets.

ARK is committed to ensuring equal employment opportunities for all employees and strives to maintain an environment free of discrimination based on race, color, religion, gender, national origin, ancestry, age, disability, genetic information, military or veteran status, marital status, sexual orientation, gender identity, citizenship, or any other protected category or characteristics as defined by federal, state or local laws. If you want to learn more, visit our [“Philosophy”](#) page to understand how ARK differs from traditional investment firms. We also encourage you to meet the [ARK team](#) and follow us on twitter.

What You Will Do:

Primarily, the successful candidate will work closely with the Corporate Counsel/Chief Compliance Officer and assist in the day-to-day administration of the compliance program as it relates to trading, investment management and reporting requirements.

Compliance Manager Responsibilities:

- Provide real-time trading advice across all of the firm’s business units, and assess compliance/regulatory risk in the ARK’s trading processes;
- Conduct daily trade surveillance system monitoring (pre and post trade) and issue resolution in partnership with the trading desk;
- Review and interpret client/investment vehicle restrictions for surveillance system monitoring;
- Maintain firm’s restricted list (control room activities) and act as primary point of contact for broker dealer counterparties on items such as “over the wall” crossings;
- Coordinate analyses and reporting on Exchange Traded Fund (“ETF”) creation and redemption unit activity and any required monthly regulatory filings;
- Oversee broker dealer counter-party management inclusive of onboarding activities, periodic reviews, and required best execution/soft dollar meetings;
- Manage firm proxy voting processes;
- Review IPO/secondary offering allocations and portfolio trade rotation on a periodic basis;

- Assist with all firm regulatory filings and Board reporting requirements;
- Evaluate and mitigate trading and investment risk in connection with new and existing investments and investment vehicles;
- Interpret and analyze the impact of change to relevant laws, regulations, and market infrastructure as it relates to trading and investment compliance risk; and
- Provide strong compliance support and execution with respect to all ad-hoc projects assigned by CCO.

Who You Are:

ARK seeks to hire individuals who are highly motivated, proactive, intelligent, and have demonstrated excellence in prior endeavors. The successful candidate should have:

- 3+ years' experience in a compliance role at a financial services, private equity or hedge fund firm with knowledge of the Investment Advisers Act of 1940, the Investment Company of 1940, and the day-to-day compliance affairs of corporate compliance;
- an undergraduate degree (required);
- a demonstrated ability to write effectively;
- strong technical skills, sharp intellect, and ability to understand difficult, complex compliance and business problems;
- the ability to work with colleagues to devise pragmatic and creative solutions;
- the ability to prioritize and focus on critical tasks that add value;
- excellent organizational skills and follow-through;
- highly effective oral and written communication skills; and
- the natural ability to develop relationships, internally and externally

The successful candidate should possess the following personal characteristics:

- Strong judgment and the ability to engender trust;
- Detailed oriented;
- High character, integrity and maturity;
- Open, flexible, collaborative, positive and proactive disposition;
- "Can do" attitude, sense of urgency, diligent and conscientious work ethic;
- Calm demeanor, tolerance for ambiguity and confidence;
- Comfortable with complexity – you absorb complex ideas quickly and easily separate the things that matter from the things that don't;
- Your confidence is balanced by a sense of humility – You're more interested in figuring out what's right than being right; and
- You enjoy working as part of a high-performance team. You want to contribute and build the team's culture.

How to Apply

Thank you for your interest in ARK! Please use the below link to apply:

[Click here to send your resume and a brief cover letter to ARK.](#)