



**INNOVATION
IS KEY TO
GROWTH**

August 25, 2020

ARK Investment Management Is Hiring: **Director of Compliance**

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 July 31, 2020, the firm managed approximately \$22 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.

Job Description:

The successful candidate will work closely with the Corporate Counsel/Chief Compliance Officer in drafting, maintaining, implementing, and testing all compliance policies and procedures.

Director of Compliance Responsibilities:

- Conduct compliance testing and monitor activities, including the review of trading and portfolio management activity, forensic testing, various trade surveillance reports and electronic communications;
- Evaluate and mitigate compliance, legal and regulatory risk in connection with new and existing investments;
- Review and draft regulatory compliance reports, such as the Rule 206(4)-7 Annual Report
- Provide real-time regulatory and trading advice across all of the firm's business units, and assess compliance/regulatory risk in the ARK's trading processes;
- Help organize the ARK's regulatory exams, mock exams, and regulatory/exchange inquiries;
- Periodically review marketing materials for compliance with SEC rules and address questions and issues related to marketing materials and compliance as needed.
- Develop and conduct compliance training
- Coordinate various SEC and foreign regulatory filings with the appropriate teams;
- Interact and assist with investment and operational professionals on all client matters, where required.
- Review and assist with the firm's cybersecurity, informational technology and business continuity program, where required;
- Interpret and analyze the impact of change to relevant laws, regulations, and market infrastructure as it relates to compliance risk; and
- Provide strong compliance support and execution with respect to all ad-hoc projects assigned by CCO

Qualifications and Competencies:

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

- 8+ years' experience in a compliance role at a financial services, private equity or hedge fund firm with substantial knowledge of the Investment Advisers Act of 1940, the Investment Company of 1940, and the day-to-day compliance affairs of public and private funds
- an undergraduate degree (required), and SEC experience (preferred)
- 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
- the natural ability to develop relationships, internally and externally

Personal Characteristics

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.
- You enjoy working as part of a high-performance team. You want to contribute and build the team's culture.

There is much more to share, so if you feel excited after reading the above, please email your resume and a brief cover letter to [Kellen Carter \(KCarter@ark-invest.com\)](mailto:KCarter@ark-invest.com)