

ARK Investment Management Is Hiring: Due Diligence & Compliance Manager (Client Due Diligence and Proposal Strategies)

Who We Are:

ARK is a thematic investment manager focused solely on disruptive innovation that is changing the way the world works. 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 April 30, 2019, the firm managed \$8.2 billion assets.

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:

We are looking for a career-minded due diligence manager (proposal strategist) with a global perspective to join our team. You will be supporting ARK’s marketing and sales, consultant relations, institutional and intermediary new business acquisition efforts. As ARK’s Due Diligence and Compliance Manager you will be responsible for the project management and completions of RFPs, RFIs and DDQs; collaborating with investment teams, sales and various stakeholder units throughout the business to manage their execution. This includes creating compelling strategic value propositions, writing new content, and editing existing responses to tailor them for individual prospects. You will have the opportunity to build ARK’s workflow, manage our database, and significantly impact our business development efforts. As an ARK team member, you will work in a fast-paced collaborative environment. A successful candidate has experience in or knowledge of the asset management industry. You should have experience with RFP writing and sophisticated understanding of compliance procedures and the regulatory environment.

Responsibilities:

- Oversee completion of proposals/questionnaires, including compiling existing language, creating new language as needed
- Reviewing documents to ensure high quality, error-free final product and to ensure all RFPs, RFIs, and DDQs are completed, managed and documented on a timely basis
- Redefine and establish an efficient sales support and due diligence workflows
- Report and coordinate with sales, marketing, investment, research, operations and compliance to meet client due diligence needs
- Identify and develop opportunities to enhance ARK’s client reporting and sales support
- Assist in compiling routine and complete business reporting for sales, investment teams, and senior management

- Coordinate with external partners for regulatory updates and reporting
- Coordinate with Client Portfolio Manager and Compliance team and others for any cross support with clients and prospects
- Work within a dynamic and time sensitive environment, supporting internal stakeholders and client requests
- Conduct compliance reviews of ARK marketing materials and other compliance functions as needed
- Conduct market research and support product development operations

Who You Are:

- You enjoy working as part of a high-performance team. You want to contribute and build the team's culture.
- You are a self-starter, interested in helping to shape and improve a young company
- Minimum of 3-5 years of experience in compliance, due diligence, sales support, or proposal (RFP) writing
- Work experience in the asset management industry
- Excellent project and time management skills
- Excellent written and verbal communication, organizational, technical, and project management skills
- Ability to think and write from a prospect's perspective while accurately describing the firm and its operations
- Ability to work independently but also function as a key contributor in a collaborative team
- Ability to manage multiple tasks and deliver outstanding work under tight deadlines
- Experience with formal RFP procedures
- Significant experience with compliance procedures and understanding of the regulatory environment, particularly SEC regulations related to investment company and investment adviser marketing and advertising
- Professional experience with Microsoft Office products (Word, Excel, Outlook, etc.)
- Education: Bachelor's degree (master's degree not required)

Preferred (Nice to Have):

- Experience with proposal management & automation software i.e. Qvidian
- Experience with Bloomberg Terminal or other market analytic tools

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 James Chavis at jchavis@ark-invest.com.