

Sands Capital Management

Job Description for Director, Compliance

Title: Director, Compliance – Asset Management	FLSA Status: Exempt
Team: Compliance	FT/PT: Full-time
Reports to: Chief Compliance Officer	Travel: Limited

About the Firm

Sands Capital is an independent, employee-owned investment management firm based in Arlington, Virginia. Since 1992, Sands Capital has provided investment management services, primarily on a discretionary basis, to taxable and tax-exempt investors, including pension plans, endowments, foundations, mutual funds, charitable organizations, state, municipal and foreign government entities, Taft-Hartley plans, and high-net worth families and individuals. Sands Capital and its affiliates employ a fundamental, bottom-up research process that aims to identify high-quality growth businesses on a global basis – from early-stage private businesses to leading public companies. Sands Capital currently manages approximately \$45 billion in client assets.

Identified below are our Core Values that we hold in high regard and believe are critical for high-performing teams and individuals at Sands Capital:

Integrity & Trust: Do what is right, not what is popular. Deliver on commitments.

Client-Centered: Always act in the best interest of our clients.

Commitment to Excellence

Position Summary

The Director, Compliance will work directly with the Chief Compliance Officer (CCO) and the Compliance Team to support the development, review, and production of processes, standards, policies, and guidelines, which are required to facilitate compliance with regulatory standards. The Director, Compliance will be responsible for managing several members of the Compliance Team.

Essential Functions

- Responsible for the management of several compliance team staff members, including oversight and execution of responsibilities, performance management, and development.
- Assist the CCO in providing regulatory oversight, risk management, and forensic testing.
- Collaborate with internal teams regarding new business, marketing, operations, finance and technology to create and refine policies and procedures in areas such as best execution, due diligence, performance reporting, and advertising; keeping the compliance manual up to date.
- Identify risks and conflicts of interest related to the firm's business model, work with business partners to assess risks and conflicts and develop related procedures and controls to mitigate them, recommend new disclosures and controls as appropriate and coordinate with business units to ensure implementation.
- Act as compliance liaison to internal committees.
- Oversee the compliance team's data production for internal and external reviews of the compliance program.
- Educate and promote our compliance program to members of the firm.
- Stay up to date on all new regulations that impact the firm to ensure the business is compliant with new and existing regulations.
- Work closely with the various teams within the firm to provide analysis and resolution on compliance related matters.

- Lead compliance projects as required.

Necessary Skills and Qualifications

- Bachelor's degree required
- 8+ years of compliance, middle/back office and/or internal audit experience at an asset management firm
- Private Fund experience
- Successful management and development of individuals and teams
- Working knowledge of the Investment Advisers Act of 1940 and Investment Company Act of 1940
- Strong written and verbal communication skills with demonstrated ability to communicate effectively
- A results orientation with a strong sense of accountability
- A client service mentality (with both internal and external clients)
- Team player
- Strong research, analytical and critical thinking skills
- Ability to multi-task across a range of project with constantly shifting priorities
- Proficient in Microsoft Office, specifically Word, Excel, and PowerPoint
- Knowledge of Linedata's Longview trading and compliance system and Advent's APX accounting system a plus

Additional Information

To be considered, candidates must submit a resume that specifically outlines your qualifications for the position.

If you wish to apply for this position, please visit our Careers page at <http://sandscapital.com/careers/>.

We offer competitive salaries and generous benefits.

Sands Capital Management is an Equal Opportunity Employer.