

EXHIBIT 4

FINTECH IN ACTION - Become a
change agent for racial equality
(<https://www.fintechinaction.com>)

PEAK6

(<https://peak6.com>)

About Us (<https://peak6.com/about-us/>)

Our Brands

Careers

Search



News (<https://peak6.com/news/>)

Stories (<https://peak6.com/stories/>)

Contact Us (<https://peak6.com/contact-us/>)

All Jobs (/all-openings)

/ Compliance, Legal, and Risk (/all-openings?categories=Compliance, Legal, and Risk)

/ Chief Compliance Officer

Chief Compliance Officer

Apex Fintech Solutions

888 7th Avenue 32nd Floor New York, NY 10106

Apply now >

SHARE:



This is an opportunity for a Chief Compliance Officer to come join an exciting and growing Fin-Tech firm headquartered in the heart of Downtown Dallas. Lead a growing business division and design the strategy for the firm.

We're looking for someone who:

- **Is passionate.** You have a genuine passion for both technology and compliance
- **Is collaborative.** You're excited to work with others throughout the organization to help maintain compliance and education
- **Wants to make an impact.** You're looking to do amazing work. Positively drive your team towards success and protect the firm
- **Operates with integrity.** You always conduct yourself with honesty and operate ethically. You say what you mean, and mean what you say

What you'll do all day:

- **Protect the firm.** Ensure the firm remains compliant in all aspects of business. It is important to understand the governing rules and regulations and have positive relationships with regulators
- **Lead Compliance.** Create and implement a strategy that will have a dynamic impact on the compliance

department and firm

- **Grow Talent.** Take the compliance team members to the next level by equipping them for the next level in their career

FINTECH IN ACTION - Become a change agent for racial equality
(<https://www.fintechinaction.com>)

PEAK6 A few reasons why you might love us (<https://peak6.com>)

[About Us](https://peak6.com/about-us/) (<https://peak6.com/about-us/>)
 [Our Brands](https://peak6.com/news/) (<https://peak6.com/news/>)
 [Stories](https://peak6.com/stories/) (<https://peak6.com/stories/>)
 [Contact Us](https://peak6.com/contact-us/) (<https://peak6.com/contact-us/>)

Search

- **We're a leader in the space.** Apex is recognized for disrupting the financial services industry, enabling fintech standouts like Stash, Robinhood and Betterment. We've got an amazing track record of success and we foster ongoing innovation. So you get all the benefits of a proven, growing company, while enjoying a very entrepreneurial culture
- **The team is really motivating.** You'll work with people who are as energetic, smart, and determined as you are. You'll be managed by the best, too.
- **Your work will be immediately impactful.** You'll be able to see your direct impact on our growth. You won't be just another cog in the wheel.

And a few reasons why you may not like working for us:

- **You don't like change.** This is not a job for someone who likes 'predictable'. Our team wears many hats and has to go with the flow to deliver for the business.
- **You're not the collaborative type.** We work together to ensure the best possible solutions for our internal teams. If you're looking to hide out and do your own thing, this might not be the right spot.

The skills you'll need to succeed:

- 10+ years of compliance experience
- 3-5 years of managerial experience
- Deep industry knowledge of the clearing space
- Series 14 and 24 required; Series 3 preferred
- Established relationships with regulators
- Ability to lead a large compliance department
- A strong understanding of market structure, including trading, reporting, and clearing
- Experience in the financial markets
- Experience responding to regulatory inquiries
- Strong communication and interpersonal skills
- A track record of working with and advising senior business partners on compliance matters
- The ability to advise on regulatory changes and developments
- Experience in drafting policies, procedures, and manuals, along with preparing reports for regulatory bodies and internal management
- An analytical mind, and the ability to solve complex problems and streamline processes

FINTECH IN ACTION - Become a
change agent for racial equality
(https://www.fintechinaction.com)

PEAK6
(https://peak6.com)

About Us (https://peak6.com/about-us/)

Our Brands

Search

Careers



News (https://peak6.com/news/)

Stories (https://peak6.com/stories/)

Contact Us (https://peak6.com/contact-us/)

Apply for this Job

* Required

Please sign in to apply
with LinkedIn

Sign in with LinkedIn

First Name *

Last Name *

Email *

Phone

Resume/CV

Attach

Dropbox

Paste

Cover Letter

Attach

Dropbox

Paste

Privacy - Terms

Share this job with your network:

https://careers.peak6.com/jobs/compliance-legal-and-risk/chicago-il/chief-compliance-officer/3362418?gh_jid=3362418#

Share this job with your network.



FINTECH IN ACTION - Become a change agent for racial equality
[https://www.fintechinaction.com]



About Us [https://peak6.com/about-us/]

Our Brands

Careers



News [https://peak6.com/news/]

Stories [https://peak6.com/stories/]

Contact Us [https://peak6.com/contact-us/]

Get Notified of Open Positions!

Sign up to receive emails when PEAK6 posts open positions you might be interested in:

First Name

Last Name

Email

Sign Up >

☐ If you click to sign-up above; you will be added to the PEAK6 talent network. Your information will not be shared or sold.

[f \[https://facebook.com/PEAK6/\]](https://facebook.com/PEAK6/)

[in \[https://www.linkedin.com/company/peak6-investments/\]](https://www.linkedin.com/company/peak6-investments/)

[Privacy Policy \[https://peak6.com/privacy-policy/\]](https://peak6.com/privacy-policy/)

[Terms of Service \[https://peak6.com/terms-of-service/\]](https://peak6.com/terms-of-service/)

[Contact Us \[https://peak6.com/contact-us/\]](https://peak6.com/contact-us/)

© 2021 PEAK6 INVESTMENTS LLC®

FINTECH IN ACTION - Become a change agent for racial equality
[<https://www.fintechinaction.com>]

PEAK6
About Us
News (https://peak6.com)

about Us (<https://peak6.com/about-us/>)

Our Brands

Search Careers

news (<https://peak6.com/news/>)

Stories (<https://peak6.com/stories/>)

Contact Us (<https://peak6.com/contact-us/>)