

EXECUTIVE SEARCH CASE STUDY

//// Chief Compliance Officer, FinTech *United States (NY/SF/Remote)*

The Ask

A current FinTech client of Second Line Advisors referred a peer which had been in the market for over a year in search of a new Chief Compliance Officer for their high-growth brokerage business. Diversity, culture fit and an ability to adapt to the “pace of play” of this firm were critical factors the hiring manager was seeking in this individual. The client believed they turned over every stone in the market, however they retained SLA with a high sense of urgency to identify an executive to lead the broker-dealer compliance program, reporting to the Head of Compliance for the company.

The Process

After a clear assessment of the client’s needs and desires, we conducted thorough market research and mapping, allowing us to gain a comprehensive understanding of relevant talent backgrounds and trends. We developed a robust pipeline encompassing a diverse group of company types, including bank-based brokerage, brokerage, exchange/regulators, FinTech, and management consulting. Within two weeks of the search launch, we developed a short list of highly-qualified, vetted candidates who were presented to the client ready to be interviewed.

The Result

The search was completed six weeks after its launch date, far exceeding the client’s timeline expectations. We placed a diverse candidate with significant experience handling compliance and regulatory matters related to all facets of the broker-dealer as well as experience engaging with regulators, which were two top criteria of the client.

The Numbers

- » 6 weeks from search kickoff to close
- » 30+ companies mapped
- » 50+ candidates screened
- » 5 short-list candidates & 2 finalists

Second Line Advisors is the leading executive search specialist for Risk and Compliance. With decades of executive search experience, we are trusted advisors to various sectors including Financial Services, FinTech, Crypto, and Technology in the areas of Risk, Compliance, Government & Regulatory Affairs, and Corporate Governance. Our services include Executive Search, Board of Directors Search, and Talent Pipelining & Succession Planning.

