

【英語を活かす】エクイティコンプライアンススペシャリスト/ Equity Compliance Specialist

金融サービス会社にて、エクイティコンプライアンススペシャリストの求人がございます

Job Information

Recruiter

Robert Walters Japan (ロバート・ウォルターズ)

Hiring Company

金融サービス会社

Job ID

1562576

Industry

Investment Banking

Job Type

Permanent Full-time

Location

Tokyo - 23 Wards

Salary

6 million yen ~ 14 million yen

Work Hours

お問い合わせください

Holidays

完全週休2日制, 土日祝日休み, 有給休暇

Refreshed

October 21st, 2025 13:31

General Requirements

Career Level

Mid Career

Minimum English Level

Business Level

Minimum Japanese Level

Business Level

Minimum Education Level

Bachelor's Degree

Visa Status

Permission to work in Japan required

Job Description

A multinational financial services firm is seeking an Equity Compliance Specialist. The selected candidate will oversee regulatory compliance, implement internal controls, and support compliance operations related to equity trading activities.

A leading global financial services company specialising in innovative online trading and investment solutions, this firm empowers investors with advanced technology, real-time market insights, and seamless digital platforms. With a strong presence in Japan and across global markets, it continues to redefine the investing experience by providing accessible, data-driven tools for both beginner and professional traders.

Keywords:

コンプライアンス, 証券, 規制遵守, 株式, 内部統制, 金融サービス, リスク管理, 求人, 外資系

Job Ref: HSJIND

Responsibilities:

- Formulate and implement internal controls and compliance policies with the Head of Compliance
- Act as a contact point for inquiries from regulators and manage regulatory reporting
- Handle daily compliance operations, including transaction monitoring, trade surveillance, and screening
- Conduct KYC reviews and support audits, inspections, and compliance testing
- Provide regulatory advice on cash equities sales, trading, and electronic trading services
- Ensure adherence to FIEL, JSDA, and stock exchange regulations and data privacy rules
- Review and update compliance procedures in response to regulatory changes
- Conduct internal compliance training and manage compliance risk assessments
- Collaborate with global and regional teams within the second line of defence
- Review marketing materials and contracts to ensure regulatory compliance

Requirements:

- Bachelor's degree or above
- More than 5 years of experience in compliance within a securities firm
- Proven experience in providing regulatory or compliance advice related to equities
- Knowledge of equity product regulations and self-regulatory body requirements
- Proficient in MS Office Suite
- Professional level Japanese and English

Company Description

We've been a driving force in the Japanese bilingual recruitment market, providing high quality candidates for our clients and access to the best jobs for over 20 years. We operate a team-based profit share system which, we believe, sets us apart from the majority of competitors by enabling us to always put the interests of our clients and candidates first. That means we can find the best fit for employer and job seeker, and we never push people into unsuitable roles.