



## PR/087134 | Chief Compliance Officer

### Job Information

**Recruiter**

JAC Recruitment USA

**Job ID**

1572969

**Industry**

Bank, Trust Bank

**Job Type**

Permanent Full-time

**Location**

United States

**Salary**

Negotiable, based on experience

**Refreshed**

February 3rd, 2026 02:00

### General Requirements

**Minimum Experience Level**

Over 10 years

**Career Level**

Mid Career

**Minimum English Level**

Native

**Minimum Japanese Level**

None

**Minimum Education Level**

Associate Degree/Diploma

**Visa Status**

No permission to work in Japan required

### Job Description

**POSITION SUMMARY**

Asset management company is seeking Chief Compliance Officer (CCO) – Vice President or Senior Vice President level in their Midtown office.

Reporting directly to the President in a hybrid environment, this role oversees all compliance functions for an SEC-registered investment adviser. The position covers equities, fixed income, and futures, ensuring robust legal and compliance frameworks to support global asset-raising initiatives.

### RESPONSIBILITIES

- Administer annual compliance program under the Investment Advisers Act of 1940.
- File Form ADV Parts I & II and maintain compliance manual and Code of Ethics.
- Conduct annual compliance risk assessments and oversee internal/global compliance meetings.
- Lead SEC communications and manage onsite/remote exams.
- Implement internal controls, monitor logs, and conduct e-communication surveillance.
- Provide quarterly training and ad hoc sessions on compliance topics.
- Oversee broker evaluation, best execution, and BCP testing.

- Review and negotiate contracts (IMA terms, fees, termination clauses).
- Establish compliant processes for advertising reviews and disclosure requirements.
- Collaborate with Tokyo HQ and global teams on governance and audits.

#### QUALIFICATIONS

- 10+ years of compliance experience at an SEC-registered RIA (CCO experience preferred).
- Deep knowledge of SEC regulations (Investment Advisers Act, Rule 206(4)-7).
- Ability to manage SEC examinations independently.
- Fluent in English (written and verbal).
- Strong policy writing, high integrity, and autonomous judgment.
- Business-oriented, solution-focused mindset.

#### PREFERRED REQUIREMENTS

- Experience with Aladdin or similar OMS systems.
- Bilingual (English/Japanese) or experience in Japanese organizations/cross-cultural environments.

#### SALARY

Base: \$180,000 – \$220,000 /year

#### BENEFITS

Comprehensive benefits package (health, dental, vision, 401K, and paid time off).

#### LOCATION

Hybrid role (3 days office and 2 days WFH) based in New York City.

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#### Company Description