

Senior Compliance Officer - Wealth Management

Job Information

Recruiter
JAC International Co., Ltd.

Hiring Company
Global Financial Institution

Job ID
1619564

Industry
Other

Job Type
Permanent Full-time

Location
Tokyo - 23 Wards

Salary
Negotiable, based on experience

Refreshed
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General Requirements

Minimum Experience Level
Over 3 years

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

An opportunity within the Compliance function of a leading financial services organisation in Japan. This role offers exposure to either front-line Wealth Management compliance support or broader enterprise-wide compliance planning and governance activities, contributing to the development, maintenance, and enhancement of internal control frameworks designed to support regulatory compliance across the business.

Depending on assignment, responsibilities may include:

Wealth Management Compliance:
- Provide compliance support and guidance to professionals responsible for overseeing compliance within Wealth Management business activities.
- Deliver compliance training and awareness initiatives related to regulatory requirements and internal policies.
- Coordinate communications and compliance-related information sharing across relevant stakeholders.
- Support the consistent application of compliance standards and regulatory expectations throughout the Wealth Management function.
- Contribute to the development and implementation of compliance initiatives and operational improvements.

Compliance Planning & Head Office Functions:
- Support firm-wide compliance planning and coordination activities.
- Liaise with internal stakeholders regarding compliance-related matters and regulatory requirements.
- Assist with responses to supervisory authorities and regulatory examinations.
- Support the enhancement of internal control frameworks, including trade surveillance reviews and internal inspection processes.
- Participate in initiatives aimed at maintaining regulatory compliance and strengthening governance practices.

Why You Should Consider This Opportunity
- Opportunity to work within a core compliance function supporting a regulated securities business.
- Exposure to a broad range of regulatory and governance topics, including securities regulations, internal controls, monitoring, and compliance planning.
- Ability to contribute to the design, maintenance, and improvement of compliance frameworks that support business activities.
- Potential opportunity to gain direct Wealth Management compliance experience, including future placement within a business-facing compliance team, subject to business needs and individual preference.
- Involvement in interactions with internal stakeholders and regulatory-related activities.

Employee Benefits:
Social insurance and statutory benefits in accordance with Japanese law. Additional benefits are available and can be discussed during the recruitment process.

Required Skills

Essential:
- Experience within the securities industry and/or knowledge and experience relating to compliance, laws, regulations, and regulatory frameworks.
- Understanding of compliance and internal control requirements within a regulated financial services environment.
- Ability to communicate effectively with a range of stakeholders.

For Wealth Management Compliance focus:
- Experience in securities sales or client-facing activities within the securities industry.

For Compliance Planning focus:
- Business-level English proficiency.
Certification
- Securities Sales Representative Qualification (Class 1) required. Candidates who do not currently hold the qualification should be willing to obtain it.

Don't meet every requirement?
Feel free to apply, as we also support opportunities beyond those advertised on our website.

Company Description

新たに日本マーケットに参入される外資系企業や、日本でさらなるビジネス拡大をお考えの外資系企業のお客様に、私たちは最適な採用サポートを提供いたします。1975年に英国初の日系人材紹介会社としてロンドンで創業し、その後シンガポール、日本、マレーシア、インドネシア、タイ、中国の7カ国 (また2011 年には香港・韓国にも拠点を新設予定) でグローバル人材紹介会社として事業を拡大してきたジェイ エイ シーは、そのバックグラウンドから、海外文化への深い理解を持ち合わせています。グローバルに事業を展開する日系人材紹介会社のリーディングカンパニーとして、私たちは他に類のない人材ネットワークから、日本人の優秀なバイリンガル人 材や外国人のプロフェッショナル人材をご提供することが可能です。幅広い業種、職種においてのエキスパートである当社のネイティブあるいはバイリンガルコ ンサルタントが皆様のパートナーとなり、適材適所で人材のご紹介をいたします。ジェイ エイ シーが築いてきた特有の歴史、文化、そしてグローバルマーケットでの強みを揺ぎない核として、日本マーケットで躍動する外資系企業のお客様のニーズにさら に的確にお答えするために、ジェイ エイ シー インターナショナルは誕生しました。私たちはアジアやヨーロッパのJAC Recruitment Group海外各社と緊密に連携を取り、お客様の真のニーズを把握した上で、最適なキャンディデイトをご紹介いたします。

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We provide specialized proactive recruitment support tomultinational clients who are setting up new operations or areexpanding existing business and seeking further growth in theJapanese market.As the first Japanese recruitment company to set up operations in theUK in 1975, understanding foreign cultures is second nature to us.With our extensive global network and historically leading position asrecruitment consultancy to Japanese corporations, we have access toan unrivaled pool of bilingual Japanese and foreign professionals.Our professional consultants are experts in a range of Industries andfunctions and all have extensive multicultural experience.Based on JAC’s unique history, culture and market strength, JACInternational was founded to provide dedicated support to ourmultinational corporate clients in Japan.

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