【英語を活かす】シニアコンプライアンスオフィサー/ Senior Compliance Officer

> **資産運用会社にて、(Job title)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
資産運用会社

Job ID
1623084

Industry
Asset Management

Job Type
Permanent Full-time

Location
Tokyo - 23 Wards

Salary
10 million yen ~ 16 million yen

Refreshed
November 13th, 2026 08:22

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

An international investment management firm is seeking a Senior Compliance Officer. The selected candidate will design and improve compliance programmes, provide regulatory advice, manage filings and regulator relations, oversee governance and controls, and support marketing compliance, conflicts of interest, AML/CFT, sanctions, training, and ethical conduct.

A global investment management firm providing a broad range of investment solutions across equities, fixed income, alternatives and multi-asset strategies. Employees benefit from career growth, professional development and opportunities within a collaborative and internationally connected workplace.

Keywords:

コンプライアンス, コンプライアンスオフィサー, 金融規制, 金融サービス, アセットマネジメント, プライベートマーケット, 不動産投資, プライベートクレジット, 規制対応, 規制当局対応, 内部統制, リスク管理, 求人, 外資系

Job Ref: YU4QVW

Responsibilities:

- Provide expert advice on compliance with relevant laws, rules, and regulatory guidelines and interpret regulatory requirements for business operations
- Oversee business activities to ensure compliance with applicable regulations, including FIEA, the Real Estate Brokerage Act, Real Estate Investment Advisory Business regulations, FSA supervisory guidelines, and Financial

Instruments Firms Association rules
- Serve as the primary point of contact for regulatory authorities, including the FSA, MLIT, and Financial Instruments Firms Associations
- Prepare and submit regulatory filings and notifications, including registrations, amendments, periodic reporting, and supervisory submissions
- Coordinate responses to regulatory inquiries, inspections, data requests, and remedial action plans
- Design, implement, and monitor compliance programmes, policies, practices, and internal controls in collaboration with APAC Private Markets Compliance and functional compliance teams
- Support broader risk management and internal control frameworks and participate in local compliance committees and governance forums
- Provide compliance reporting to senior management, the Board, and relevant committees
- Maintain compliance manuals, procedures, and internal controls in line with regulatory requirements and global policy frameworks
- Review marketing materials and public communications for fairness, accuracy, balance, and regulatory compliance
- Oversee solicitation practices, suitability and appropriateness checks, and complaint-handling processes
- Oversee adherence to the Code of Conduct and Code of Ethics and support frameworks covering conflicts of interest, MNPI, information barriers, personal account dealings, and gifts and entertainment

Requirements:

- More than 10 years of regulatory compliance advisory experience in the Financial Services or Asset Management industry
- More than 10 years of experience with alternative investment products, including real estate and private credits
- Strong knowledge of the financial services industry and relevant laws, regulations, and regulatory expectations applicable to alternative investment businesses in Japan
- Professional level Japanese; proficient in written and verbal English

Preferred requirements:

- Training and coaching skills
- Korean regulatory knowledge
- Real Estate Transaction Specialist (RETS)
- Possess a valid ARES Certified Master (ACM)
- Proficient in Korea

Company Description

For over 25 years, in Japan, we have been a driving force in the Japanese bilingual recruitment market, providing high-quality candidates for our clients and access to the best jobs. We always put the interests of our clients and candidates first and run on a non-commission model that promotes a working culture where teamwork is incentivised. We strive to find the best fit for both employer and job seeker and don't push people into unsuitable roles.