【外資系デジタル証券】株式部門ビジネスマネージャー（VP）｜Associate/AVPも応相談

急成長中のデジタル証券の事業基盤構築に携われるポジションです

Job Information

Recruiter
Morgan McKinley

Job ID
1623673

Industry
Bank, Trust Bank

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 6 years

Career Level
Mid Career

Minimum English Level
Business Level

Minimum Japanese Level
Fluent Level

Minimum Education Level
Bachelor's Degree

Visa Status
Permission to work in Japan required

Job Description

急成長中の外資系デジタル証券会社にて、東京拠点の **Equities Business Manager（株式ビジネス・マネージャー）** を募集します。

本ポジションは、フロントオフィスの事業運営とリスク管理をつなぐ重要な役割です。ファーストラインリスク管理、内部統制、事業管理、新商品導入などを幅広く担当し、事業の健全な成長を支えていただきます。

VPクラスを想定していますが、Associate / AVPクラスのポテンシャル人材も検討可能です。

グローバルなテクノロジー企業のスピード感と、金融機関に求められる厳格なリスク管理の両方を経験できる点が大きな魅力です。日本市場で事業を拡大するデジタル証券会社において、リスク管理体制や事業基盤の構築に携わることができます。

主な職務内容

- **ファーストラインリスク管理：** 株式取引・証券業務におけるオペレーショナルリスク、コンダクトリスク、規制リスクの特定・評価・管理
- **内部統制・モニタリング：** 内部統制フレームワーク、主要リスク指標（KRI）、リスク・コントロール自己評価（RCSA）の設計・運用
- **事業管理・戦略支援：** シニアマネジメントと連携した事業施策の推進、業務プロセス改善、ガバナンス委員会の運営、KPI管理
- **インシデント管理：** 業務上の問題や取引エラーの原因分析、再発防止策の策定・実行管理
- **新商品・変更管理：** 新商品導入、取引プラットフォームの機能改善、市場拡大に伴うリスク評価および業務準備の調整

An innovative **global digital brokerage firm** is seeking a proactive and detail-oriented **Equities Business Manager / First-Line Risk & Business Manager** to join its growing Tokyo team.

This permanent opportunity offers an experienced financial services professional the chance to play a central role in strengthening **front-office risk governance, operational controls and equities business management** within a rapidly expanding online brokerage business.

The position is primarily targeted at **Vice President (VP) level**, although the organisation is also open to considering high-potential candidates at **Associate or Assistant Vice President (AVP) level** who demonstrate relevant expertise and leadership potential.

You will serve as a critical link between **front-office business operations, product teams, senior management and second-line risk and compliance functions**, helping ensure that commercial objectives are supported by robust governance.

The role focuses on **First-Line of Defence (1LoD) risk management**, with responsibility for identifying, assessing and mitigating operational, conduct and regulatory risks arising from equities trading and brokerage activities.

You will help develop and maintain effective **internal control frameworks, Key Risk Indicators (KRIs) and Risk and Control Self-Assessments (RCSAs)** appropriate for retail securities and online equity trading operations.

Working closely with business leaders, you will contribute to **business management, strategic planning, operational efficiency and governance initiatives** that support sustainable growth in Japan.

A key aspect of the position involves monitoring operational risks and strengthening the processes used to identify, escalate and resolve potential control weaknesses.

You will also support the management of **operational incidents, trading errors and remediation activities**, applying structured root-cause analysis to reduce the likelihood of recurrence.

As the brokerage expands its product offering and digital trading capabilities, you will coordinate **risk assessments, change management and operational readiness reviews** for new products, platform enhancements and market expansion initiatives.

The successful candidate will bring a strong understanding of **Japanese financial regulations**, including the **Financial Instruments and Exchange Act (FIEA)**, guidance issued by the **Financial Services Agency (JFSA)** and applicable **Japan Securities Dealers Association (JSDA)** rules.

Experience in **retail securities or online brokerage** is highly preferred. Candidates from other financial services backgrounds will also be considered where they possess substantial experience in **equities trading, front-office operations, trading desk support, execution services or equities business management**.

The position requires a practical, commercially aware approach to risk management, with the ability to balance **fintech agility, business growth and disciplined financial governance**.

You will work in an international, technology-driven environment where **fluent Japanese and strong business-level English** are essential for collaboration with domestic regulators, local stakeholders and regional or global colleagues.

This is an opportunity to make a visible contribution to the development of a **growing digital brokerage platform in Japan**, with direct exposure to senior leadership and expanding business operations.

The organisation also offers **remote working options, flexible hours, casual clothing and permission for side businesses**, supporting a modern and adaptable working environment.

For professionals specialising in **equities business management, first-line operational risk, securities compliance, brokerage governance or financial services internal controls**, this role offers an opportunity to combine risk expertise with business leadership in Tokyo's expanding fintech sector.

Key Responsibilities

- Lead and support **First-Line of Defence (1LoD) risk governance** across front-office, equities trading and brokerage operations.

- Identify, assess, monitor and mitigate **operational, conduct and regulatory risks** associated with retail securities and equity trading activities.
- Design, implement and maintain effective **internal control frameworks** aligned with the brokerage's operating model.
- Develop and monitor **Key Risk Indicators (KRIs)** to identify emerging operational and business risks.
- Coordinate and maintain **Risk and Control Self-Assessments (RCSAs)** across relevant equities and brokerage workflows.
- Partner with **front-office teams, product functions and second-line compliance and risk stakeholders** to support effective risk management.
- Collaborate with senior management on **business strategy, operational priorities and governance initiatives**.
- Support the management of **governance committees, business performance indicators and strategic KPIs**.
- Review operational processes and recommend improvements that enhance **efficiency, control effectiveness and scalability**.
- Lead **root-cause analysis** following operational incidents, trading errors or identified control failures.
- Oversee **corrective action plans and remediation activities**, monitoring progress and supporting the prevention of recurring incidents.
- Coordinate **risk assessments and operational readiness reviews** for new product launches.
- Support **change management activities** relating to trading platform enhancements, new capabilities and market expansion.
- Help ensure that business operations remain aligned with applicable **Japanese financial regulations, FIEA requirements, JFSA guidance and JSDA rules**.
- Promote a strong **risk-aware culture** across the business while supporting commercial innovation and growth.
- Maintain effective communication with **local management, regional teams and global stakeholders** regarding operational risks and business initiatives.

Required Skills

必須条件経験・スキル：

- 日本の規制対象金融機関におけるファーストラインリスク管理、オペレーショナルリスク、ビジネスマネジメント、または内部統制の実務経験
- 日本の金融商品取引法、金融庁ガイドライン、日本証券業協会（JSDA）の株式・リテール証券関連規則に関する知識
- 金融機関におけるリスク管理・ガバナンス・内部統制に関する実務知識

ソフトスキル：

- ビジネスの成長と適切なリスク管理を両立できる方
- 変化の速いテクノロジー環境に柔軟に対応できる方
- 主体的な問題解決力と高いコミュニケーション能力をお持ちの方

語学力：

- **日本語**：上級ビジネスレベル以上
- **英語**：ビジネスレベル（海外・地域統括チームとの連携に対応できること）

歓迎条件

- リテール証券会社・オンライン証券会社での実務経験
- 株式トレーディング、トレーディングデスクサポート、約定執行サービス、株式ビジネス管理の経験
- デジタル証券・フィンテック企業での勤務経験
- 新規商品導入や業務プロセス改善に関するプロジェクト経験
- 急成長する事業環境でのリスク管理・内部統制体制の構築経験

採用企業について
外資系デジタル証券会社。

個人投資家向けに、機関投資家レベルのトレーディングツール、リアルタイム市場データ、使いやすい投資プラットフォームを提供しています。

強固なグローバル経営基盤を持ち、最先端のテクノロジーと厳格な金融ガバナンスを組み合わせながら、日本市場での事業拡大を進めています。

この求人がおすすめの理由

- **事業基盤の構築に携われる**： 急成長するデジタル証券ビジネスのリスク管理・ガバナンス体制を整備できる
- **フィンテックならではの環境**： グローバルなテクノロジー企業のスピード感と革新性を経験できる
- **事業への影響力**： シニアマネジメントと連携し、事業運営や重要施策に関与できる
- **幅広い専門性**： リスク管理、内部統制、事業管理、新商品導入など多様な業務を経験できる
- **キャリアアップ**： 事業拡大に伴い、将来的なマネジメント領域の拡大も期待できる
- **リモートワーク可：フレックスタイム制もあり、柔軟な働き方ができる**

Required Skills and Qualifications**Experience:**

- Proven experience in **First-Line Risk Management, Operational Risk, Business Management or Internal Controls** within a regulated financial institution in Japan.
- Strong understanding of **equities trading operations, securities business processes or brokerage-related risk management**.
- Experience identifying, assessing and managing **operational, conduct and regulatory risks**.
- Practical knowledge of **internal controls, risk governance and operational monitoring** in financial services.
- Solid understanding of **Japanese financial regulations**, particularly the **Financial Instruments and Exchange Act (FIEA)**.
- Familiarity with **JFSA regulatory guidance and JSDA rules** relevant to equities trading and retail brokerage.
- Experience collaborating with **front-office business teams and second-line risk or compliance functions**.
- Candidates without direct retail brokerage experience must demonstrate substantial experience in **equities trading, front-office operations, trading desk support, execution services or equities business management**.

- Ability to support **business management initiatives, operational improvements and governance activities** within a regulated financial services environment.

Soft Skills:

- Proactive and **detail-oriented approach** to risk management and business operations.
- Strong **analytical thinking and practical problem-solving skills**.
- Ability to balance **commercial agility with rigorous risk discipline**.
- Excellent **stakeholder management and cross-functional communication skills**.
- Confidence working with **senior management, front-office teams and regional colleagues**.
- Adaptability and initiative in a **fast-paced, agile and technology-driven environment**.
- Strong sense of **ownership, accountability and professional judgement**.
- Ability to promote a constructive **risk culture** while supporting business growth and innovation.

Language Requirements:

- **Japanese:** Fluent or business-fluent written and spoken Japanese is required for regulatory matters and effective communication with local stakeholders.
- **English:** Strong business-level written and spoken English is required for collaboration with regional and global teams.

Preferred Skills & Qualifications

- Strong professional background in **retail securities, online brokerage or digital trading platforms**.
- Experience in **equities business management or front-office risk governance**.
- Familiarity with **First-Line of Defence (1LoD) control frameworks** within a securities business.
- Hands-on experience developing or maintaining **Key Risk Indicators (KRIs)** and **Risk and Control Self-Assessments (RCSAs)**.
- Experience managing **operational incidents, trading errors, root-cause analysis and remediation plans**.
- Exposure to **new financial product launches, trading platform enhancements or market expansion projects**.
- Experience supporting **governance committees, strategic KPIs and business management reporting**.
- Ability to work effectively across **product, technology, trading, risk and compliance functions**.
- Experience in a **fintech, digital brokerage or rapidly expanding financial services organisation**.
- Familiarity with the practical application of **FIEA, JFSA and JSDA regulatory requirements**.
- A **bachelor's degree** and a broader professional background of **six or more years**, consistent with the role's mid-career profile.
- Previous experience at **Associate, AVP or VP level**, with the expertise and potential to take on broader business management responsibilities.

About the Company
Our client is an innovative **digital brokerage firm** focused on helping retail investors access sophisticated financial markets and investment tools.

The organisation provides **institutional-grade trading tools, real-time market data and an intuitive digital investment platform**, designed to improve the investing experience for individual clients.

Supported by strong **global leadership**, the business is rapidly expanding its presence in the Japanese financial services market.

The firm combines the pace and innovation of a **technology-driven fintech business** with the financial governance expected of a well-capitalised financial institution.

As the organisation develops its Japanese operations, it is placing significant emphasis on **risk governance, internal controls and sustainable business growth**.

The Tokyo team operates at the intersection of **equities trading, digital brokerage technology, business management and financial regulation**.

The company recognises the importance of effective **First-Line of Defence risk management** in supporting the growth of its retail securities business.

This position offers the opportunity to contribute directly to the development of the firm's **risk and governance infrastructure in Japan**, working closely with business leaders and relevant control functions.

The organisation values professionals who can combine **commercial understanding, regulatory awareness and practical problem-solving** in a dynamic operating environment.

With continued expansion in Japan, the business offers opportunities for experienced professionals to broaden their responsibilities and develop their leadership careers.

Why You'll Love Working Here

- Play a **high-impact role** in shaping the risk and governance infrastructure of a growing digital brokerage in Japan.
- Join an innovative **global fintech and online securities business**.
- Work closely with **senior leadership and front-office stakeholders**.
- Contribute directly to **First-Line Risk Management and equities business governance**.
- Help strengthen **internal controls, KRIs, RCSAs and operational risk processes**.
- Participate in **new product launches and digital trading platform developments**.
- Combine the speed and innovation of **fintech** with the governance of a well-capitalised financial institution.
- Gain exposure to **Japanese securities regulations and international risk management practices**.
- Support the continued expansion of a **digital brokerage platform in Japan**.
- Enjoy a **competitive annual compensation package of ¥17 million-¥20 million**.
- Benefit from opportunities for **leadership development and expanded responsibilities** as Tokyo operations grow.
- Work in an international environment using **Japanese and English**.

- Take advantage of **remote working and work-from-home options**.
- Benefit from **flexible working hours**.
- Enjoy a **casual clothing policy**.
- Work in an environment where **side businesses are permitted**.
- Pursue a **permanent career opportunity in Tokyo**, primarily at VP level, with consideration also given to high-potential Associate/AVP candidates.

Company Description

Morgan McKinleyは国際的な人材コンサルティング会社として、さまざまな業界・分野をリードする採用企業様と、スペシャリストとしてのスキルを有する人材とを結びつけるお手伝いをしています。1988年の創立以来、Morgan McKinleyの名は、「卓越した質のサービス」「市場知識の豊富さ」「No.1企業であり続けようとする強い意志」、そして何よりも「実績」を体現する会社として知られています。

リクルーティング スペシャリストである弊社コンサルタントまでお気軽にお問い合わせください。