



## 【Head of Compliance】 @ Global Financial Firm

### 募集職種

人材紹介会社

株式会社SPOTTED

求人ID

1566563

業種

証券

雇用形態

正社員

勤務地

東京都 23区

給与

1400万円 ~ 経験考慮の上、応相談

更新日

2025年12月23日 04:00

### 応募必要条件

職務経験

6年以上

キャリアレベル

中途経験者レベル

英語レベル

ビジネス会話レベル

日本語レベル

流暢

最終学歴

大学卒 : 学士号

現在のビザ

日本での就労許可が必要です

### 募集要項

#### JOB DESCRIPTION: HEAD OF COMPLIANCE – Japan Office

**Employment Type:** Full-time, Permanent

**Role:** Head of Compliance, Japan

**Work Location:** Tokyo Office

#### About the Company

The Japan office of a leading global online financial services firm with over 50 years of history. In Japan, the company provides online trading platforms and services for OTC derivatives such as FX and CFDs and is recognized as one of the leading foreign-owned financial brokers in the Japanese derivatives market. The firm recently opened a major new arena in Nagoya, one of the largest of its kind in Japan.

#### Role Overview

The Head of Compliance is a senior leadership position responsible for overseeing all compliance activities across the Japan operations. The role serves as the strategic compliance lead and acts as a critical commercial partner to the business, enabling successful execution of strategy while ensuring full regulatory compliance.

## Primary Accountabilities

1. Lead and develop a team of compliance professionals, providing guidance, mentorship, and effective resource allocation.
2. Ensure full compliance management and oversight across the Japan business.
3. Drive strategic leadership and foster a strong compliance culture within the office.

## Key Responsibilities

### Strategic Compliance Leadership

- Design, implement, and maintain comprehensive compliance programs.
- Provide strategic advice to support business objectives within regulatory boundaries.
- Interpret and implement regulatory changes, driving continuous improvement and operational excellence.
- Lead compliance aspects of business transformation projects and product rollouts.
- Advocate for fair client outcomes and embed compliance in risk and commercial decision-making.

### Operational Compliance Oversight

- Provide second-line oversight for all financial services provision.
- Oversee AML/CTF programs, complaint handling, financial promotions, conflicts of interest, and conduct risk frameworks.
- Manage regulatory correspondence and reporting.
- Implement effective compliance training programs.

### Regulatory Relationship Management

- Maintain strong relationships with key regulators, auditors, vendors, and industry partners.
- Represent the company in regulatory consultations and industry forums.

### Leadership and Governance

- Provide compliance guidance to leadership teams and participate in key committees.
- Prepare high-quality board papers and management reports.

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## スキル・資格

### Person Specification

#### Essential Experience

- 10+ years in financial services compliance, with senior leadership experience.
- Strong knowledge of financial services regulations, capital markets, and derivatives.
- Proven track record in stakeholder management and team leadership.
- Deep understanding of Japanese financial services market and regulatory expectations.

#### Qualifications

- Bachelor's degree in Law, Finance, Commerce, or related field.
- Fluent in English and Japanese.

#### Skills and Competencies

- Strong risk assessment and mitigation capabilities.
- Ability to balance commercial priorities with regulatory compliance.
- Strategic thinking, change management, and cross-cultural leadership.
- Exceptional communication, negotiation, and board-level reporting skills.
- High ethical standards, resilience, and client-focused mindset.

### Working Conditions

- Manage a regional compliance team of five professionals.
- Occasional domestic and international travel may be required.
- Flexible working hours to accommodate regulatory deadlines and global operations.

### Key Performance Indicators

- Maintenance of all regulatory licenses without adverse actions.
- Timely implementation of regulatory changes.
- Quality of compliance reporting and board papers.
- Leadership effectiveness and team engagement.
- Achievement of business objectives while maintaining full regulatory compliance.