



Morgan
McKinley

【外資系証券】コンプライアンスモニタリング | 年収1,700万円〜

日本の機関投資家向け証券プラットフォームの構築・拡大に貢献

募集職種

人材紹介会社

モーガン・マッキンリー

求人ID

1616422

業種

銀行・信託銀行・信用金庫

雇用形態

正社員

勤務地

東京都 23区

給与

経験考慮の上、応相談

更新日

2026年10月08日 08:47

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

流暢

日本語レベル

ネイティブ

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

大手外資系金融グループにて、日本の機関投資家向け証券プラットフォームの構築・拡大に貢献していただきます。

東京オフィスの2nd Line コンプライアンスポジションとして、売買審査、電子コミュニケーションモニタリング、規制対応、PAD、OBIなど、幅広いコンプライアンス業務を担当します。

経験豊富な日本のリーダーシップチームとともに強固なコンプライアンス体制を築く、やりがいのあるポジションです。

主な職務内容

- ・ 機関投資家向け証券業務の取引モニタリングを担当
- ・ 電子コミュニケーションのモニタリングを実施
- ・ Personal Account Dealing (PAD) の確認・管理
- ・ Outside Business Interests (OBI) の確認・管理

- Gifts & Entertainmentに関するレビューの実施
- 証券外務員登録や規制研修、各種届出の管理
- 経済制裁スクリーニングやオフィス・システムアクセス管理のサポート
- 情報資産台帳のレビューの実施
- 規制報告、顧客苦情の記録・管理のサポート
- コンプライアンス部門の各種ガバナンス業務支援
- ローカルのコンプライアンス責任者やリージョナルチームとの連携

Join a leading international banking and markets group as a **Securities Compliance & Trade Surveillance Specialist**, supporting the continued expansion of its institutional securities business in Japan.

Based in Tokyo, this is a hands-on second-line compliance position covering **trade surveillance, electronic communications monitoring, regulatory compliance, Personal Account Dealing (PAD), Outside Business Interests (OBI), and Gifts & Entertainment controls**.

You will work closely with local compliance leadership and regional stakeholders to maintain a robust compliance and monitoring framework as the business expands. The role also provides exposure to JSDA-related administration, regulatory reporting, economic sanctions screening, client complaint management, and broader compliance governance.

For an experienced securities or investment banking compliance professional, this is an opportunity to take on a high-impact role within a growing international platform and contribute directly to the development of its Japan compliance framework.

Key Responsibilities

- Oversee daily **trade surveillance** across institutional securities activities, identifying and escalating potential compliance issues where appropriate.
- Conduct electronic communications monitoring to support regulatory and internal compliance requirements.
- Manage core compliance processes including **Personal Account Dealing (PAD), Outside Business Interests (OBI), and Gifts & Entertainment** reviews.
- Manage JSDA sales representative registrations and related administrative processes.
- Coordinate and monitor ongoing regulatory training requirements.
- Support regulatory and administrative filings as required.
- Assist with **economic sanctions screening** and related compliance controls.
- Support office and system access control processes from a compliance perspective.
- Assist with reviews and maintenance of information asset registers.
- Support regulatory reporting and ensure relevant compliance information is appropriately captured and maintained.
- Manage and maintain client complaint logs and related compliance records.
- Support broader second-line compliance governance and monitoring activities.
- Partner closely with local compliance leadership and regional stakeholders to maintain an effective control framework during business expansion.
- Contribute to the continued development of compliance processes appropriate for a growing institutional securities platform in Japan.

スキル・資格

必須条件経験・資格：

- 証券会社または投資銀行での実務経験5年以上
- コンプライアンス部門での実務経験
- トレードサーベイランス、モニタリング、コアコンプライアンスや規制対応などの知識
- 国内の規制当局および海外の関係者と円滑にコミュニケーションがとれること
- 大卒以上

ソフトスキル：

- 自ら課題を見つけ、主体的に行動できるセルフスターター
- 最低限の指示で業務を遂行できる自律性、自己管理能力
- 変化の速い環境に対応できる柔軟性

語学力：

- 日本語：ネイティブレベル
- 英語：流暢

歓迎条件

- 債券・フィクストインカム商品に詳しい方歓迎
- 外資系銀行・証券会社など、国際的な金融機関での勤務経験

この求人がおすすめの理由

- 大手金融グループでキャリアを加速
- 債券・証券プラットフォームのコンプライアンス体制構築に寄与するチャンス
- 経験豊富な日本の経営陣と仕事ができる
- 都心のきれいなオフィス
- フレックスタイム制あり
- 基本給1,700万〜応相談、+ ボーナス

Required Skills and Qualifications **Experience:**

- **5+ years of experience within a securities firm or investment bank** .
- Hands-on experience within a compliance function, such as trade surveillance, monitoring, core compliance, or regulatory affairs.

- Practical understanding of compliance requirements within a regulated securities or investment banking environment.
- Experience working with compliance monitoring, controls, governance, or regulatory processes.
- Ability to work with local and regional stakeholders in an international financial services environment.
- More than 6 years of professional experience overall.
- Bachelor's degree.

Soft Skills:

- Strong **self-starter mindset** with the ability to work independently.
- Excellent self-management skills and the ability to take ownership of day-to-day compliance responsibilities.
- Comfortable operating in an agile, hands-on, and evolving business environment.
- Strong attention to detail when handling surveillance, monitoring, regulatory, and compliance processes.
- Sound judgement when reviewing compliance matters and identifying issues requiring escalation.
- Strong communication and stakeholder management skills.
- Ability to collaborate effectively with local compliance leadership and regional teams.
- Comfortable working within a growing business where compliance processes and controls continue to evolve.

Language Requirements:

- **Japanese:** Native level
- **English:** Fluent
- Strong bilingual communication skills are essential for working effectively with local regulators and global counterparts.

Preferred Skills & Qualifications

- Familiarity with **fixed income products** is beneficial but not required.
- Experience within an institutional securities or capital markets environment.
- Exposure to JSDA-related registrations, regulatory training, or filings.
- Experience with PAD, OBI, Gifts & Entertainment, sanctions screening, or similar core compliance processes.
- Experience working within an international banking or securities organisation.

Why You'll Love Working Here

- Join a **new and expanding international securities platform in Tokyo** at an important stage of its growth.
- Take on a high-impact compliance role with broad exposure across trade surveillance, monitoring, regulatory affairs, and core compliance.
- Work closely with an experienced local compliance leadership team.
- Gain direct involvement in the development of a focused **fixed income and institutional securities business**.
- Benefit from the resources and support of a strong global banking and markets group.
- Collaborate with both Japan-based and regional stakeholders in a highly international environment.
- Enjoy high visibility and the opportunity to contribute directly to the development of the Japan compliance framework.
- Work from a new office location in **Tokyo's financial district**.
- Benefit from **flexible working hours**.
- Receive a competitive annual compensation package of **¥17M-¥20M**.

会社説明

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。