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VP Compliance- Global Investment Bank

Compliance VP, US Financial Service

Job Information

Recruiter
[Michael Page](#)
Job ID

1515929

Industry

Investment Banking

Job Type

Permanent Full-time

Location

Tokyo - 23 Wards

Salary

13 million yen ~ 19 million yen

Refreshed

January 17th, 2025 18:26

General Requirements

Career Level

Executive

Minimum English Level

Business Level

Minimum Japanese Level

Fluent

Minimum Education Level

Bachelor's Degree

Visa Status

Permission to work in Japan required

Job Description

This role requires a VP or similar seniority Legal & Compliance candidate with solid knowledge of Japan Equity Compliance, and a focus on Risk & Compliance within the financial services industry. The successful candidate will be a key contributor to the company, providing insightful guidance and strategic direction to navigate complex compliance issues.

Client Details

Our client is a leading player in the financial services industry, boasting a large organization size and a global presence. With a reputation for innovation and excellence, they are renowned for their commitment to delivering premium services to their clients while fostering a high-performance culture that values collaboration and diversity.

Description

- Cover the general Equity advisory Compliance, supporting and co-working with other members
- Provide compliance guidance to equity businesses with respect to the relevant compliance policies and procedures and relevant Japanese laws, rules and regulations, which are mainly related to their day to day businesses
- Escalate significant or unresolved issues to the Compliance managers and the business units when necessary
- Conduct regular compliance training for business unit professionals
- Help handling the regulatory and internal investigations/audits

- Assess potential risks associated with the coverage area and address to enhance internal control functions as well as collaborate with front line risk management team
- Assist the Compliance review to approve New Products
- Keep abreast of new regulations and communicate such updates to affected business areas to ensure that the firm has appropriate controls in place

Job Offer

- An attractive salary package approximately or above JPY 15,000,000.
- Comprehensive benefits package.
- Opportunity to work in the heart of Tokyo.
- A high-performance culture that values collaboration and diversity.
- Opportunity to work in a leading organization within the financial services industry.

This is a great opportunity to join a leading player in the financial services industry and play a strategic role in the Risk & Compliance department.

To apply online please click the 'Apply' button below. For a confidential discussion about this role please contact Saki Kanematsu at +81 3 6832 8904.

Required Skills

- Full professional proficiency in Japanese and English (written and verbal) required
- JSDA Type-1 Registered Rep (1-shu Shoken Gaimuin) qualification and Internal Control Officer (Naibu Kanri Sekininsha) qualification.
- Work experience (5+ years) in the business unit or control function related to equity business or structured product business
- Knowledge of business and regulations around the structured products and OTC derivatives including equity products
- Good team player with the ability to build smooth working relationships
- Good interpersonal skills and ability to work effectively with colleagues and business units
- Strong analytical skills and detail-oriented approach with the ability to detect and escalate issues
- Highly-motivated self-starter able to work independently while collaborating and coordinating as part of a global program;
- Ability to handle multiple tasks simultaneously and work under tight deadlines
- Strong work ethic

Company Description

A leading global financial services firm headquartered in US. Operating in over 40 countries, it provides investment banking, securities, wealth management, and investment management services. Known for advising on major mergers, IPOs, and corporate strategies, Morgan Stanley caters to corporations, governments, and high-net-worth individuals.

The firm excels in innovation, risk management, and sustainability, with a strong focus on ESG initiatives. With a prominent presence in Asia, including Japan and China, Morgan Stanley plays a pivotal role in shaping global finance through expertise, innovation, and client-centric solutions.