



Job Role: Chief Compliance Officer, OneChronos Markets Japan

Location: Tokyo, Japan (Flexible working arrangements)

Overview:

We are seeking an experienced Senior Compliance Officer with a robust background in Capital Markets in the Japanese market, particularly within the execution services, exchange and trading venues landscape. The ideal candidate will have prior experience in regulated control functions or senior manager roles with as strong understanding of Anti-Money Laundering (AML) control requirements and market conduct risks. Reporting directly to the regional CEO with secondary “dotted line” reporting to the OneChronos Global CLO/CCO, this individual should be a self-starter, commercially focused and eager to contribute to the establishment and growth of a new business venture. Direct experience of interacting with regulators, including the Japan Financial Services Agency (JFSA), exchanges and other industry associations, is essential.

Responsibilities (Including but not limited to):

- **Design and Implementation of Compliance Processes:** Lead the design and implementation of core compliance processes and controls, ensuring alignment with applicable regulatory requirements. Exercise sound business and regulatory judgment to develop robust compliance frameworks.
- **Lead the Dialogue:** Maintain regular and strategic dialogue with the JFSA, self-regulatory organizations, and relevant exchanges, providing timely and robust advice to the business.

- **Assume AML Oversight:** implement an effective AML programme and framework with responsibilities for monitoring, risk assessments, training and suspicious transaction reporting.
- **Regulatory Compliance:** Stay informed about evolving regulatory developments within the Capital Markets sector. Providing advice to the business in accordance with relevant laws, regulations, and industry standards, while proactively identifying and addressing potential compliance risks, including but not limited to market integrity/surveillance obligations.
- **Policy Development and Implementation:** Collaborate with stakeholders to review, develop, and implement compliance policies, procedures, and controls. Ensure that these frameworks are effectively communicated and understood throughout the organization.
- **Training and Education:** Develop and deliver compliance training programmes to enhance awareness and understanding of regulatory requirements. Foster a culture of compliance and ethical conduct across the business.
- **Risk Management:** Conduct regular risk assessments to identify and mitigate compliance risks associated with trading activities and market operations. Implement monitoring and surveillance systems to detect and address potential breaches or irregularities.
- **Internal and External Communication:** Serve as a key point of contact for internal stakeholders, regulatory authorities, and external partners on compliance matters. Facilitate transparent communication channels and coordinate responses to inquiries or requests for information.
- **Audit and Examination Support:** Provide support during internal and external audits, regulatory examinations, and compliance reviews. Collaborate with audit teams to address findings and implement corrective actions as necessary.

Qualifications and Experience:

- Bachelor's degree required; advanced degree or professional certification is advantageous.
- Extensive experience (minimum 7+ years) in compliance roles within the Capital Markets industry, with a strong understanding of trading execution and venue operations.
- Previous experience in regulated control functions or senior manager roles.
- Thorough knowledge of Japan regulatory requirements, particularly JFSA regulations and guidelines applicable to Capital Markets.
- Strong analytical skills and the ability to exercise sound judgment in interpreting and applying regulatory requirements.
- Excellent communication and interpersonal skills, with the ability to collaborate effectively with diverse stakeholders. Native Japanese speaking skill is must for the dialogue with external stakeholders (i.e. FSA and Exchanges) and proficiency in English (written and spoken).
- Demonstrated ability to work independently, prioritize tasks, and meet deadlines in a dynamic environment.
- Strong people management and senior leadership skills.
- High level of integrity, professionalism, and commitment to ethical conduct.

This role presents an exciting opportunity for a seasoned compliance professional to contribute at senior management level to the development and success of a new business venture within the Capital Markets sector. If you possess the requisite skills, experience, and drive to excel in this role, we encourage you to apply and become a key member of our leadership team.

Benefits at OneChronos include

- Competitive compensation (salary, potential bonus, potential ownership interest)
- Hybrid and remote work flexibility
- Medical, dental and vision insurance for employees and dependents
- Subsidized health & wellness program
- Competitive vacation policy
- Defined-contribution (DC) pension plan
- Significant daily opportunities to be challenged, learn and grow
- Opportunity to work within a diverse team that values the success of others to be critical to the overall success of the business
- Ability to be excited about and proud of your business. Everyday
- Benefit enhancements reviewed over time.

About OneChronos:

OneChronos represents a paradigm shift in the realm of trading platforms. As a Smart Market, it leverages mathematical optimization to match counterparties efficiently, thereby surpassing conventional markets in key metrics such as price improvement, liquidity, trade size, and fairness.

Currently OneChronos operates an Alternative Trading System (ATS) via a US subsidiary that is tailored specifically for U.S. equities. Unlike traditional platforms that may struggle to align with traders' evolving execution needs, OneChronos is meticulously crafted from the ground up. Its design is aimed at bridging the expanding disparity between the order matching mechanisms of trading venues and the execution requirements of modern traders.

By adopting a bottom-up approach, OneChronos ensures that every aspect of its architecture is purposefully crafted to optimize trading outcomes. This includes the intricate algorithms driving order matching, the structure of its liquidity pools, and the mechanisms for achieving fairness in trade execution.

With OneChronos, market participants can expect more than just conventional trading experiences. They can anticipate a platform that adapts dynamically to market dynamics, constantly seeking to enhance execution quality and overall trading efficiency.

In essence, OneChronos represents a new frontier in the world of trading platforms, a platform engineered to meet the demands of today's traders, while simultaneously pushing the boundaries of what is achievable in terms of market performance and fairness.

