

## Moving Forward, Getting Stronger

*Letter from the President*

**By Jeff Shimamoto**

*RBA President*

Our last meeting of the year was held on Thursday, November 29, 2001 from 7:00 p.m. until 9:00 p.m. at Century Court in Roppongi. Derek Lippner of Anderson Mori was appointed as the new President to lead the RBA into 2002 and beyond.

I would like to take this opportunity to thank each and every one of you for your support for the past two years. In particular, I would like to thank the Board members of the RBA who served with me to make this the premier legal networking organization we all wanted to be a part of. Those Board members include Noriko Fujimoto, Greg Pigott, Sachiko Watanabe, John Trytek and Scott Imaye. Tom Chung, the former Vice President and Career Opportunities Coordinator will remain on the Board as Career Opportunities Coordinator. I too will remain on the Board as Vice President and Treasurer.

I sincerely hope each and every one of you will provide Derek with the same support you provided me during the term of my presidency.

Thank you again for all the interesting experiences and for always supporting the RBA. ♦

*continued on page 2*

### INSIDE THIS ISSUE

- 1 Members Only Meeting – *Letter from the President*
- 2 Miscellaneous Announcements
- 3 Career Opportunities

## **Roppongi Bar Association Executive Board**

*President &  
Marketing Coordinator*  
**Jeffrey T. Shimamoto**

Tel: 03-3259-0226  
Fax: 03-3259-0150  
12H[jshimamoto@whitecase.com](mailto:jshimamoto@whitecase.com)

*Vice President &  
Career Opportunities  
Coordinator*

**Tom Chung**

Tel: 03-5561-6640  
Fax: 03-5561-6649  
13H[thomas.chung@cliffordchance.com](mailto:thomas.chung@cliffordchance.com)

*Treasurer*  
**Noriko Fujimoto**

Tel: 03-3234-3170  
Fax: 03-3239-1428  
14H[noriko@fujimoto-co.com](mailto:noriko@fujimoto-co.com)

*Secretary &  
Membership Coordinator*

**Gregory L. Pigott**

Tel: 03-5562-8645  
Fax: 03-5561-9713  
15H[pigott@tokyo.email.ne.jp](mailto:pigott@tokyo.email.ne.jp)

*Webmaster*

**John E. Trytek**

Tel: 03-3470-7000  
Fax: 03-3470-7007  
16H[tryteklaw@aol.com](mailto:tryteklaw@aol.com)

*Assistant Editor*

**Scott M. Imaye**

Tel: 03-5543-5803  
Fax: 03-5543-5915  
17H[scott@sc.sumitomo-chem.co.jp](mailto:scott@sc.sumitomo-chem.co.jp)

*Event Coordinator*

**Sachiko Watanabe**

Tel: 03-5571-6011  
Fax: 03-5571-6029  
18H[swatanab@lehman.com](mailto:swatanab@lehman.com)

*General Counsel*

**Robert F. Grondine, Esq.**  
**White & Case LLP**

Tel: 03-3259-0200  
Fax: 03-3259-0150

## **Miscellaneous Announcements**

### **FWLA**

The FWLA is pleased to invite RBA members to the FWLA Holiday Brunch Party on December 9.

Date: Sunday December 9, 11.30 to 14.30  
Place: Trader Vic's, New Otani Hotel (Tower 4F) (Akasaka-mitsuke station)  
Cost: Yen 5,000 FWLA members, Yen 6,000 non-FWLA-members  
Menu: International buffet - a vast selection of fresh fish, meats, garden salads, desserts (including ice-cream, sherbet, various cakes and fresh fruit), plus unlimited sparkling wine, beer and soft drinks.

Please RSVP by Thursday, December 6 with your name and name(s) of those attending with you to [samantha\\_naik@hhp.de](mailto:samantha_naik@hhp.de)

# Career Opportunities

By Tom Chung

RBA Board Member

If you would like to place a career opportunities advertisement in future issues of the RBA Newsletter, please contact Tom Chung at fax no. 03-5561-6649 or by e-mail at [thomas.chung@cliffordchance.com](mailto:thomas.chung@cliffordchance.com).

## TOKYO LISTINGS

### ANDERSON MORI

An International Japanese law firm with a general corporate practice, wishes to engage a native English speaking attorney having at least two years of home jurisdiction experience, preferably in the corporate/commercial area, with strong corporate transactional experience, as a FULL-TIME FOREIGN LEGAL ASSOCIATE.

Japanese speaking and reading ability is not required for this position. The position is available from September 2000. Please address applications to Jim Minamoto, Esq. at Anderson Mori: fax: 3214-8748; tel.: 3214-3192; [james.minamoto@andersonmori.com](mailto:james.minamoto@andersonmori.com).

### BLAKEMORE & MITSUKI

Blakemore & Mitsuki, a well-established international Japanese law firm, is seeking to employ an English-speaking attorney to join their expanding team of corporate finance/commercial attorneys as a full-time foreign legal associate. Two years of experience in this field is preferred, but not required.

Applicants should send their resumes to Akimitsu Kamori, Blakemore & Mitsuki, 1<sup>st</sup> Akiyama Bldg., 3-22, Toranomom 2-Chome, Minato-Ku, Tokyo 105-0001; Telecopier 3503-4707, Telephone 3503-5571; [a-kamori@blakemore.gr.jp](mailto:a-kamori@blakemore.gr.jp)

### MARUBENI SOLUTIONS CORPORATION

We, Marubeni Solutions Corporation, are a company trading Semiconductors, computer, networking and other related products. More detailed information is available at our HP [http://www.msol.co.jp/set\\_e\\_about.html](http://www.msol.co.jp/set_e_about.html).

We are looking for a California lawyer (other states of US may be acceptable), who may work at our Tokyo office on a part time basis (around 20 hours a week) for legal advice to contracts etc., e.g., an agreement with a US company located in the Bay-Area for distribution in Japan of their products.

Please contact us Hideya Matsushima or Hiroshi Terada at 03 (5778) 8877.

Credit & Legal Dept.

Marubeni Solutions Corporation

Higashi 1-26-20, Shibuya-ku, Tokyo 150-0011

### MATSUO & KOSUGI

Matsuo & Kosugi, a Japanese law firm with an extensive international practice, is now accepting applications for a foreign associate position to start at the beginning of 2002. Although there are no hard or fast rules, the ideal candidate will be licensed in a common law jurisdiction and have experience in international corporate transactions. Salary will be commensurate with experience etc. Interested candidates should send their CV to the attention of Takeo Kosugi, Tom Shors and Steven Howard at [kosugi@mknet.jp](mailto:kosugi@mknet.jp); [thomas@mknet.jp](mailto:thomas@mknet.jp); and [howard@mknet.jp](mailto:howard@mknet.jp).

### **MORRISON AND FOERSTER**

A large U.S. law firm is seeking a NATIVE ENGLISH TRANSLATOR for the Tokyo office. Salary commensurate with experience. Attractive terms and working environment. Send resume to Translation Section, Morrison and Foerster, 11F AIG BLDG, 1-1-3 Marunouchi, Chiyoda-ku, Tokyo 100-0005.

### **NISHIMURA & PARTNERS**

Nishimura & Partners is accepting applications from foreign attorneys with between 2 to 5 years of legal experience, preferably in the areas of corporate transactions, securities and/or finance. The position offers foreign attorneys the opportunity to practice with a top-tier firm in a very exciting legal environment, on a wide variety of matters, and for a broad array of Japanese and foreign clients.

With almost 100 attorneys, including 5 qualified in jurisdictions other than Japan, Nishimura & Partners is one of the largest law firms in Tokyo, with a diverse international practice. Foreign attorneys with demonstrated ability can expect to be given substantial responsibilities at the firm, including drafting of contracts and other documentation, negotiation and strategic planning, and assisting in communicating with clients. Japanese and foreign attorneys are amply supported by a staff of over 100 paralegals, translators, non-lawyer English editors and secretaries. Editorial work is the responsibility of the firm's staff of editors.

Suitable candidates will be graduates of premier universities or law schools and will have practiced with a major law firm in the U.S. or U.K. or in a money-center city elsewhere. Japanese language proficiency is not required but is, of course, helpful. Compensation will be commensurate with qualifications and experience.

Applicants should send resumes to Frederick W. Guinee, Nishimura & Partners, ARK Mori Building 29F, 12-32 Akasaka 1-chome, Minato-ku, Tokyo 107-6029, Fax (03) 5561-9711, email [f\\_guinee@jurists.co.jp](mailto:f_guinee@jurists.co.jp).

### **OHTSUKA PATENT OFFICE**

Ohtsuka Patent Office is seeking a native English speaking patent attorney or patent agent. The work primarily involves patent prosecution, and correspondence with clients and foreign associates. Ohtsuka Patent office, an expanding IP firm, has been located in Kioicho, Chiyoda-ku Tokyo for more than 26 years and has an international and domestic client base. The firm's emphasis is on high technology, including computer-related hardware and software, telecommunications and semiconductors, and automobiles. The position offers an excellent opportunity for growth in a very active, high-tech practice. Candidates with an electrical, telecommunications, mechanical

engineering, computer science and/or physics background and a minimum two years experience are preferred. Japanese speaking and reading ability is required. Please send cover letter and resume in confidence to:

Mr. S. Kawakami, Office Administrator, Ohtsuka Patent Office 3-6, Kioicho, Chiyoda-ku, Tokyo 102-0094 or by fax to 03-5276-3242 or by e-mail to [opt@patest.co.jp](mailto:opt@patest.co.jp)

### **EXECUTIVE SEARCH INTERNATIONAL**

Securitisation Lawyer, Financial Institution

A financial institution is seeking a candidate with a Japanese law degree and 2-3 years of experience in structured finance at a legal or financial firm to give legal advice on structured products, focusing on securitisation frameworks. The candidate must have solid knowledge of Japanese law/legal framework in financial area and have documentation experience. Bilingual ability is required.

Sr. Securitisation Lawyer, UK-based Law firm

A UK based law firm is seeking a qualified lawyer with 5+ years in securitisation. Japanese fluency is not necessary, but is an advantage.

Assistant Counsel, Major Insurance Company

A major insurance company is seeking a candidate who is a graduate of the Law faculty of a major university, with 5+ years of experience in the Legal Dept. of a major company and who has outstanding contract/documentation experience (in Japanese and English). Knowledge of FSA/MOF regulations/guidelines is required.

### **Assistant Counsel, Major Investment Bank**

A major investment bank is seeking a candidate with qualifications and experience similar to the above position, except that the required experience is 3+ years (2 might qualify depending on the person).

For more information on any of the above positions, please contact Susan Ando ([susan@esijpn.com](mailto:susan@esijpn.com)) at Executive Search International, 9-5-26 Akasaka, Minato-ku, Tokyo 107-0052. Phone 03-3479-0918; Fax 03-3479-0858; Mobile 090-7177-5312.

### **MISCELLANEOUS**

Help Wanted – Temple University Japan

The Law Program of Temple University Japan is seeking an Internship Coordinator. The Coordinator will work with the Director of the Law Program to establish and monitor internships with law firms and companies in Tokyo for US JD students who spend the spring semester in Tokyo (January-April). This is an excellent opportunity to establish a network and connections among Tokyo firms. Temple has successfully conducted this program for the past several years, placing students in many law firms and leading companies.

For compensation and other details, contact Larry Repeta, Director of the Law Program, at [repeta@tuj.ac.jp](mailto:repeta@tuj.ac.jp) or 5441-9800, ext. 911.

\* \* \*

Mid-sized Tokyo law firm located in central Tokyo seeks energetic UK/Australian/US lawyer for full-time work three days per week, 10am-6pm. Work involves maritime claims/defense, litigation and debt collection for major insurers and other international clients. Will train the right person in this field. For more information, please email: [lof@sprintmail.com](mailto:lof@sprintmail.com)

# LEGAL FUTURES

DEDICATED LEGAL & COMPLIANCE RECRUITERS ACTIVE THROUGHOUT  
THE ASIA-PACIFIC REGION

Legal Futures is headquartered out of Hong Kong with offices in Tokyo and Singapore. From Hong Kong we also service our clients in the PRC, and we additionally service Thailand and Malaysia from Singapore. In addition to these offices, our affiliates provide coverage in Europe and Australia.

Register now at [www.wsagroup.com/lf](http://www.wsagroup.com/lf) for your free monthly e-newsletter listing the top jobs throughout Asia, Australia and Europe.

An indicative sample of our clients current needs are set out below:

## **TOKYO**

### *Legal Vacancies*

#### ***Head of Legal and Compliance***

A large and respected North American investment bank is seeking a senior legal and compliance specialist as Head of Legal & Compliance for its securities company. This company has a market reputation for cutting-edge products and constantly seeks innovative employees. The successful candidate must have strong knowledge of asset-backed securitization, credit derivatives, fixed income and distressed asset issues and products. Admission as a lawyer is not necessary but would be an advantage. This vacancy represents a real opportunity for an experienced legal and compliance specialist to get involved in a rapidly developing institution and contribute to its rapid.

**Salary 20 Million (MGA)**

#### ***Legal Assistant***

A leading US investment bank with a reputation as the Best Global Custodian is seeking a Legal Assistant to assist its Trust Bank arm. The successful applicant is not required to be a lawyer but legal training at a Japanese or foreign university would be an advantage. Work experience in the legal or compliance division of a financial institution interpreting and applying Japanese investment / investment trust laws and regulations is preferred. The successful hire will report directly to the General Counsel and be responsible for ensuring that the compliance department is fully aware of all legal developments with respect to investment law issues. Native Japanese ability with strong English skills required.

**Salary 7-9 Million (MGA)**

#### ***Junior Foreign Associates (2+ PQE)***

A large US private practice with a strong and diverse Tokyo / Asian presence is seeking UK and US admitted lawyers to assist in a variety of associate level positions. The primary vacancies are in Tax, Finance, IP, IT and Projects and the successful candidates will have gained exposure to related issues at first-tier foreign firms in Tokyo or leading Japanese international firms only. Among the current foreign associates the level of Japanese ability is extremely high and Japanese fluency or near-fluency is also required for the current vacancies. This is particularly so for the Tax, IT and IP positions. Long-term commitment to Japan is required and only candidates with exceptional academic backgrounds will be considered. **(MGA)**

#### ***Foreign Associates (2 - 4 + PQE)***

A successful US private practice with a large and dynamic Tokyo presence seeks excellent foreign associates for a wide range of potential vacancies in accordance with their expansive Tokyo / Asian plans.

The candidates being sought are those with excellent academic backgrounds and native or near fluent Japanese skills and at least 2 years with a top-tier foreign firm in Tokyo. **(MGA)**

***Capital Markets Foreign Associates (2 – 4 + PQE)***

A magic circle UK firm with a traditionally strong Asian and, particularly, Japanese presence is seeking capital markets lawyers with any of US, UK, Aus, NZ, Canadian etc. admission and at least 2 years capital markets experience to assist its Tokyo operations. Japanese or other Asian language skills are not essential but those candidates with strong Japanese skills would be preferred. A genuine and long-term commitment to both capital markets work and Tokyo is also a pre-requisite. **(MGA)**

***Commercial Foreign Associates (3 - 5 PQE)***

A top US firm is seeking US or UK admitted junior associates to assist with its commercial practice. Preferred experience is in M&A and / or IP work but other practice areas will be considered. Either native or very strong Japanese skills with an ability to translate Japanese commercial documents into English are prerequisites. This is an opportunity to join a firm with a justified reputation for strong teamwork and an enjoyable office atmosphere. Candidates with a demonstrable commitment to Tokyo will be given priority. **(MGA)**

***General Counsel***

Recent expansion within the Tokyo and pan-Asian market has led to this large real estate subsidiary of one of the world's most successful conglomerates to seek a dynamic team player to lead its Tokyo legal operations. A Japanese *bengoshi*, preferably a junior partner or senior associate, is required to handle asset acquisitions, post-acquisition asset management and lending activities of the company etc. Basic requirements include strong transactional experience and although real estate experience would also be a plus it is not a pre-requisite. Attention to control issues such as money laundering, conflicts of interest and licensing is also expected. Unique amongst the group of companies, this position is also responsible for activities in Korea, Hong Kong, Singapore and Tokyo and extensive opportunities for travel to these and other Asian destinations are available. Long-term, transfers to the groups' many entities around the world are available and encouraged. **(RKK)**

***Derivatives / Structured Finance Lawyer (6 years + PQE)***

The financial products arm of a leading US financial services group requires a senior lawyer to review and negotiate legal documentation for a wide variety of financial transactions, including financial derivative transactions, securities transactions and structured transactions requiring a hands-on, proactive approach throughout the transaction process. Furthermore the position requires:

- Significant experience (6 years plus) handling documentation and negotiation of complex financial transactions, including structured cross-border deals.
- Knowledge of Japanese Commercial Code, Japanese Securities Exchange Law, Japanese Banking Law, Japanese Insurance Law, Japanese Trust Law and other Japanese laws related to securities houses, financial institutions and financial products.
- Knowledge of swaps, equity and credit derivatives and other derivatives and financial products.
- The applicant must be a fluent Japanese speaker and writer, with complete facility to negotiate in the Japanese language and draft Japanese language legal documents. The attorney must also be a fluent English speaker able to negotiate and draft English language legal documents.
- Bengoshi status is an advantage but not pre-requisite if all other criteria are met. **(RKK)**

***Mid-level Associates - Corporate Finance / Capital Markets / Securitisation / M&A***

The large joint venture offices in Tokyo are always looking for the very best foreign associates at all levels although mainly 2 - 5 pqe. They are flexible as to the admission status – US / UK / AUS / NZ / Korean are all fine - so long as the experience is in any of the following areas – corporate finance / capital markets / securitisation / M&A. Successful candidates must come from top Wall Street, City of London, or the best Australian / New Zealand firms. Japanese language skills are an advantage but are not mandatory. **(RKK)**

***High Yield / Distressed Loan Paralegal***

This US Investment Bank is seeking a Japanese national to assist in the evaluation, purchase and ongoing coverage of distressed loan assets. The successful candidate would be fluent in English and have knowledge of Japanese legal documentation, particularly those for Japanese bankruptcy. Knowledge of the Japanese court system and process would also be helpful. **(RKK)**

### ***Junior Counsel/Documentation Officer***

A leading European Bank is seeking a Junior Counsel/Documentation Officer to take an active, hands-on role in the coordination and documentation of a wide and interesting range of debt capital market, equity and mainstream banking products. The successful candidate will also be working closely alongside other members of the legal team in the structuring, drafting and negotiation of individual transactions on behalf of the business desks. This will include a broad range of structured products in the equity, equity derivatives, equity-linked, fixed income, debt derivative, credit, REPO and swap markets. Responsibilities will also extend to working with teams of front professionals who are structuring both vanilla and exotic financial instruments. There may be some primary market work in the debt equity derivative and equity capital markets in the future. Familiarity with ISDA, CSA and PSA/ISMA documentation would be an advantage and some experience of unsupervised drafting of OTC products and new issue documentation would be ideal. **Salary 12 – 18 million (RKK)**

### ***Paralegal/ Legal Officer***

World class Italian fashion house is seeking a paralegal/legal officer in Tokyo. This position requires Japanese fluency and the ability to draft and negotiate distribution and trade contracts in Japanese. The position reports directly to the Head of Legal. Ideally suited to a young, dynamic, practical person. Training will be provided to the right candidate. English fluency would be an asset. **Salary 6-8 Million (REB)**

### ***Senior Counsel***

A leading European Bank is seeking a senior counsel to act primarily as a transaction lawyer with a focus on equity underwriting and other investment banking work in conjunction with front office personnel. Involvement in a wider area of financial law practice - debt issue, structured finance, and other IB business – will depend on the candidate's experience and willingness to assist. The successful candidate should have a minimum of 5 years experience (which may include sabbatical at a law school) as a capital markets lawyer with additional in-depth experience in the international underwriting of securities. Experience in the underwriting of securities issued by Japanese companies is preferred, but not essential. **(RKK)**

### ***Senior Counsel***

A market leading US bank is seeking a senior counsel to take an active, hands-on role in a wide range of debt capital market, credit derivatives and mainstream banking products. The successful candidate will be involved with the structuring, drafting and negotiation of individual transactions working closely with the front office business side and liaising with external counsels. Japanese language is preferable but not a prerequisite. **(RKK)**

### ***Legal Counsel***

A rapidly growing European investment bank is seeking a legal counsel to be in charge of all legal and tax matters within the company group in Japan. The successful candidate will operate from the Banking Division but is expected to assist the Securities Company under the auspices of the so-called "double-hatting" license. He / she will report directly to the General Manager in Japan and for specific legal matters is required to report to the Group General Counsel in Hong Kong. Assistance will be provided by a legal adviser who will report directly to this position. The position also requires clear communication with other group companies throughout the world, as well as with the Head-Office in Europe. Ideally a candidate with a minimum of 5 years post-qualification experience with a known firm or investment bank in the following fields is desired; General Banking, Corporate Finance, Capital Markets, Investment Banking. A native Japanese speaker with a very strong command of English is preferred but all candidates will be considered. **Salary 20 Million (MGA)**

### ***Project Finance***

A first-tier international private practice is seeking a senior associate or partner with a portable portfolio to join the rapidly expanding Projects Team in Tokyo. The successful candidate will assist major Japanese power utilities, trading companies and equipment suppliers and their lenders in their overseas investments, particularly in the electricity, infrastructure, and mining areas. Following the deregulation of relevant Japanese laws, the candidate may also be involved with assisting major multinationals investing in the Japanese electricity, gas and telecommunications areas. **(RKK)**

### ***Capital Market/Securitisation Associate***

A number of the leading UK law firms are seeking mid-level capital markets and securitisation lawyers admitted in the US, the UK or any other commonwealth jurisdiction. The ability to handle a wide variety

of high profile work is a must and usual City firm benefits are on offer. Japanese language skills are not required. **(RKK)**

### ***General Counsel***

A leading multinational networking-equipment and telecommunications equipment provider is seeking a senior attorney (admitted in Japan, US or any other common law jurisdiction) to act as the Tokyo General Counsel. The successful candidate will be responsible for all Japan related legal issues, including managing and recruiting the legal and contracts personnel in Japan. They will also manage the sales and distribution agreements; licensing and service contracts and related transactions with Japan channel partners, enterprise customers, telecommunications service providers, subcontractors, consultants and liaise with the relevant Government authorities. Close interaction with the front office as well as developing and coordinating corporate procedures; assisting with the implementation of changes within the compliance function of the company in order to meet the needs of customers and local legal requirements, while balancing corporate goals and priorities, and managing a positive relationship with the channel partners, end-customers and sales and services personnel. The Candidate must be fluent in both English and Japanese, possess a law degree and at least 5-8 years experience negotiating complex technology-related contracts in a law firm or corporate environment. Experience with telecommunications service providers and large businesses is a plus but not a prerequisite. Certification to practice law in some jurisdiction also is required. Must have a very solid background in fast-paced contract negotiations and must also have a strong background in Japanese contract and corporate law. Must be able to interface effectively and give sophisticated legal advice to the corporate staff. The successful candidate will be energetic, service-oriented, self-supporting, computer literate and able to handle an extremely demanding pace while maintaining positive customer relationships. **(RKK)**

### ***Transaction Management***

A number of top tier investment banks are looking for transaction managers to assist with the preparation of legal documentation relating to a variety of products. The roles often encompass working with external counsel together with client servicing & marketing work. The preference is for Japanese persons with good English language ability or bi-lingual westerners. Formal legal training or documentation experience is not always required although junior lawyers are gladly considered. **(RKK)**

## ***Compliance Vacancies***

### ***Head of Compliance, Securities***

A large and successful securities company seeks a dynamic and self-motivated team player to lead the existing Tokyo compliance team in the role of Head of Compliance Japan. The successful candidate will have a strong working knowledge of Japanese regulations and the products and services generally offered by the company and preferably be a foreign qualified lawyer or at least have a strong overseas or local legal education. Native Japanese and strong English skills are essential. **(MGA)**

## **Head of Compliance**

Our client, a joint venture supported by two of the major institutions from the United States and Japan, has established a strong reputation as a leader in on-line brokering. Our client is now seeking a senior compliance officer experienced in FSA matters, regulatory reporting generally, developing compliance procedures, manuals etc. A creative, practical, and native Japanese speaker with strong English skills would be preferred with 4-5 years experience either in compliance or auditing in a securities firm. **(MGA)**

### ***Senior & Junior Compliance / Conflicts Officer***

Our client is a leading US investment bank seeking a senior compliance officer - with experience dealing with a wide range of conflicts issues - and a junior officer to assist. Duties will include thorough knowledge of company research lists and investment projects in order to act as a bridge between the Investment Bank Division and research department assessing existing and potential conflicts. The successful candidate will report directly to the Head of Compliance and be responsible for one support staff. Native Japanese with strong English skills is preferred. **(MGA)**

### ***JUNIOR COMPLIANCE OFFICER - MGA11019***

#### **Salary 6-7 Million**

A leading European bank is seeking a junior compliance officer for an entry-level position with strong promotion possibilities. The successful candidate will be a motivated native Japanese speaker with strong English skills and some financial industry experience although they are prepared to train the right person.

## **Salary 6-7 Million (MGA)**

### ***Senior Asset Management Compliance & Legal Officer***

A fast-growing Asset Management subsidiary of one of the world's largest conglomerates is seeking a regulatory specialist with broad Investment Trust experience to be in charge of mutual fund, discretionary/advisory and pension fund duties. Our client is a new company but has already shown impressive growth and is confident of further growth in the medium to long term with the strong financial backing of its parent company. The successful candidate will report directly to the General Counsel and is expected to be a qualified attorney but not necessarily with Japanese admission. This position offers an excellent remuneration package in line with the responsibility of the position and the prestige of the institution. **Salary 17+ Million (RKK)**

### ***Senior Private Wealth Compliance Officer***

The Private Banking Division of a first-tier European Investment Bank with a worldwide presence and strong Asian commitment seeks a senior securities compliance officer to lead its compliance operations. A regulatory specialist or someone with a strong familiarity with Japanese regulations is required for a position that is mainly compliance but with a small general control function included. Reporting directly to the Head of Compliance (Securities) this position requires a native Japanese speaker with strong English skills. **Salary 14-16 Million (MGA)**

### ***Head of Compliance, Securities***

A large and successful European securities company with a long history in Japan seeks a dynamic and self-motivated team player to lead the existing Tokyo compliance team in the role of Head of Compliance Japan. This company has an industry-wide reputation of commitment to compliance as a primary business focus and is seeking a candidate with the ability to contribute to this focus on a continuing basis. The successful candidate will have a strong working knowledge of Japanese regulations and the products and services generally offered by the company and preferably be a foreign qualified lawyer or at least have a strong overseas or local legal education. Native Japanese and strong English skills are essential. **Salary 25-30 Million (MGA)**

### ***Head of Compliance, Asset Management***

A leading US asset management company requires a senior compliance officer with general asset management experience, in particular fund-of-fund management, to fulfill the Head of Compliance position. Experience with trade surveillance, regulatory filing, documentation review, advice to business units and compliance training of all departments is a prerequisite. Native Japanese with strong English ability is essential and the successful candidate will be a team player who is able to rapidly analyse regulatory changes in the asset management industry for prompt use by the various business units. **Salary 15-20 Million (MGA)**

## ***Head of Compliance, On-line Brokering***

Our client, a joint venture supported by two of the major institutions from the United States and Japan, has established a strong reputation as a leader in on-line brokering. Our client is now seeking a senior compliance officer experienced in FSA matters, regulatory reporting generally, developing compliance procedures, manuals etc. A creative, practical, and native Japanese speaker with strong English skills would be preferred with 4-5 years experience either in compliance or auditing in a securities firm. **Salary 20Million + (MGA)**

### ***Senior Asset Management Compliance Officer***

A large US investment management company is seeking a senior compliance officer to assist with its expanding Asian profile. A background in management coupled with risk control or compliance is preferred and the successful candidate will be primarily responsible for monitoring and regulatory liaison duties. Solid support mechanisms/staff and sincere management commitment to compliance are key attractions to this vacancy with a direct reporting line to the Head of Compliance, Japan. Native Japanese with strong English is required. **Salary 10-12 Million. (MGA)**

### ***Head of Equities Compliance***

This first-class European financial services provider is seeking a senior equities compliance officer to lead its Equities Division and report directly to the Head of Compliance. This is an excellent opportunity to join an institution that has developed a reputation for strong management commitment to compliance in

particular and control issues in general. Strong front office experience in sales or trading is preferred as well as thorough familiarity with Japanese regulatory issues. A dynamic individual with native Japanese and strong English skills is required. **Salary 20-30 Million. (MGA)**

#### ***Head of Documentation Team***

A top-ranked investment management company with a world-wide reputation and a name synonymous with excellence is seeking an individual with strong Asset Management documentation experience, preferably with 3-5 years managing the function at a domestic or foreign investment management company. Management skills are paramount with an ability to converse fluently in Japanese and English critical. The position will be responsible for all aspects of the Documentation Operations and be intimately involved in the day-to-day details of current and new fund documentation. The individual must also be able to develop strong relationships with senior management, legal, sales, operations and marketing divisions in order to maintain appropriate resources for each task. A priority will also be the identification and solution of problems resulting in filing errors with Japanese regulatory bodies and the successful candidate will also be expected to be intimately involved with the strengthening of the current team through recruiting, training and coaching. As a critical role for the company an attractive remuneration package is being offered in line with the company's premier status. **(MGA)**

#### ***Legal & Compliance Officer***

An elite European investment bank is seeking an experienced officer for to provide support to the Legal & Compliance Department of its banking operations in Tokyo. According to experience, the title will be Director or Associate Director, and the successful candidate will be expected to be primarily responsible for legal advice to the various groups on the banking platform and review associated documents and agreements. Assistance with the preparations and procedures for the provision of double-hatting services with the securities platform are also expected in close conjunction with the Compliance Departments of both platforms. Although legal admission is not required general legal experience of at least 3 years in the Japanese banking environment at a domestic or foreign company is essential along with admission as a Sales Representative of the Japan Securities Dealers Association. Native Japanese and strong business English are prerequisites for the position. **Salary 10-12 Million. (MGA)**

#### ***Head of Compliance, Securities***

A world-leading US provider of a wide range of securities products seeks a dynamic and self-motivated team player to lead the existing Tokyo compliance team in the role of Director, Head of Compliance Japan. The successful candidate will have a strong working knowledge of Japanese regulations and the products and services generally offered by the company and preferably be a foreign qualified lawyer or at least have a strong overseas or local legal education. Native Japanese and strong English skills are not essential but would be preferred. **(MGA)**

#### ***Head of Compliance, Securities***

A large and successful European securities company seeks a dynamic and self-motivated team player to lead the compliance team in the role of Head of Compliance, Japan. The successful candidate will join a team of two and be required to re-establish the compliance function according to the desired structure. A strong working knowledge of Japanese regulations, derivatives products, fixed income products and the professional services generally offered by the company is required. The successful candidate will preferably be a foreign qualified lawyer or at least have a strong overseas or local legal education. Native Japanese and strong English skills are essential. **Salary 20 Million + (MGA)**

#### ***General Compliance Officer***

Our client, one of the "Big Three" US investment banks, is seeking a dynamic Securities Compliance Officer with general experience in Japanese bonds, equities and derivatives and strong knowledge of Japanese regulatory issues to provide energetic support to the current Head of Compliance. This general position requires a proven strong ability to liaise with appropriate Japanese regulatory bodies. Native Japanese candidates with near fluent English skills will be preferentially considered. **Salary 15-20 Million. (MGA)**

#### ***Equities Compliance Officer***

This first-class US investment bank is seeking a senior equities compliance officer to assist its Equities Division and report directly to the Head of Equities Compliance. This is an excellent opportunity to join an institution that has developed a reputation for strong management commitment to compliance in particular and control issues in general. Strong front office experience as a trader is preferred as well as a thorough familiarity with Japanese regulatory issues. A dynamic native Japanese speaker with strong English skills is required. **Salary 15-20 Million (MGA)**

### ***Junior Banking Compliance Assistant***

The Tokyo Office of one of the largest European investment banks is seeking a junior / entry-level compliance assistant to assist with a wide range of fixed income compliance duties working directly under a current Senior Compliance Officer. Strong PC skills are required and preference will be given to native Japanese speaking candidates with strong English skills. This position offers genuine promotion opportunities to a candidate displaying strong initiative, talent and ambition. **Salary 7 Million + (MGA)**

### ***General Compliance Officer, Securities***

This prominent European investment bank is seeking a hard-working Securities Compliance Officer with general compliance experience in Japanese regulatory matters and particularly with Japanese bonds, equities and derivatives licensing. This position will provide close support to the current Head of Compliance. This position requires a proven strong ability to liaise with appropriate Japanese regulatory bodies and communicate with various business groups both within and without the company. Japanese candidates with very strong English skills are preferred. **Salary 15-20 Million. (MGA)**

### ***Equities Compliance Officer***

This first-class European investment bank is seeking a mid-level equities compliance officer to assist its Equities Division and report directly to the Head of Equities Compliance. This institution is eager to protect its deservedly strong market reputation for strong management commitment to compliance both within Japan and world-wide. This is an excellent opportunity for a compliance officer with strong front office experience in sales or as a trader with a thorough familiarity with Japanese regulatory issues to participate in a dynamic project. A native Japanese speaker with strong English skills is required. **Salary 15-20 Million (MGA)**

### ***Equities Compliance Officer***

Our client, a large and well-established European investment bank, is seeking a dynamic securities officer with experience in Japanese bonds, equities and derivatives and general knowledge of Japanese regulatory issues to provide energetic support to the current Head of Compliance. Recent brokering / front office experience would be a plus and both Western and Japanese candidates will be considered. **Salary 15-20 Million. (MGA)**

### ***Supervisory Analyst***

A long established and traditionally strong European Investment Bank is seeking a Supervisory Analyst to provide support to the Compliance Department of its Securities Company in Tokyo. The position will mainly be responsible for checking research reports, providing training regarding existing and new regulatory and internal standards and must be familiar with research analysis. This vacancy is suitable for a very bilingual native Japanese / English professional with general financial, analytical and Japanese securities experience and represents an excellent opportunity to work with a strong team of professionals. **Salary 8-10 Million. (MGA)**

### ***Trust & Banking / Asset Management Compliance Officer***

A top-tier European Trust Bank is seeking a mid-level compliance officer to assist the Head of Compliance on a daily basis within a team of 3 officers. Regular duties will include establishing in-house rules and guidelines, advising on the interpretation of applicable laws and regulations, assisting business groups with new products, secretary to shareholders' meetings and board of directors' meetings. The successful candidate will have at least 2 years compliance or legal experience in an investment bank and preferably be a native Japanese speaker with strong English skills. **Salary 9-13 Million. (MGA)**

### ***Junior Compliance Officer***

A leading European bank is seeking a junior compliance officer for an entry-level position with strong promotion possibilities. The successful candidate will be a motivated native Japanese speaker with strong English skills and some financial industry experience although they are prepared to train the right person. **Salary 5-6 Million (MGA)**

### ***Compliance (All levels)***

Many of our leading investment bank, securities houses and asset management clients have a strong need for assistance in their compliance departments. We have openings from Tokyo Head of Compliance downwards. If you have any experience of securities, equities or asset management compliance in Tokyo and have good English language ability then please contact us to discuss these opportunities. **(MGA)**

### ***Mid-Level / Senior Cash Equities Compliance Officer***

A world-class US investment bank with a global presence is seeking a mid-level or senior equities compliance officer as an Associate to operate as the Deputy to the Head of Equities Compliance. This position is the final vacancy in a large and strong compliance team that has been carefully selected to create a streamlined compliance structure. This institution is eager to fill this position with an active, sociable and capable equities compliance officer with a strong professional commitment to compliance and at least two years experience in cash equities. This is an excellent opportunity for a compliance officer with strong front office experience in sales or as a trader with a thorough familiarity with Japanese regulatory issues to participate in a dynamic project. A native Japanese speaker with strong English skills is required. **Salary 15-18 Million. (MGA)**

## **HONG KONG**

### ***Contracts Manager (5 years + PQE)***

Owing to growth in the Greater China region, a global Internet and telecommunications leader is now seeking a Contracts Manager to join its Commercial/Contracts Department in Hong Kong. There is no preference for admission status, but the candidate should have at least a recognised LLB and 5+ years' contracts experience in a commercial environment, preferably within the IT/Telecoms sector. Reporting directly to the Commercial Director based in Australia and working on a day-to-day basis with the law department in Hong Kong, the candidate will be responsible for bid work on major contracts with a focus on the operations side and finance aspects of import and export. There will also be an opportunity take a broader view across the range of businesses including working with some of the JVs in Mainland PRC and Taiwan.

The ideal candidate will be a team player who can fit into a flexible, dynamic team and friendly working environment, but who should be capable of working independently to a given remit. Essential qualities include commercial acumen, a high degree of motivation and a pragmatic approach. Pre-requisites for the role include the ability to communicate effectively with the business units and clients alike combined with fluency in written/spoken English and Chinese (Cantonese and Mandarin). **(MJI)**

### ***Banking Lawyer (6 years + PQE)***

The banking department of this widely recognised US firm is currently seeking senior associates or junior partners to assist in aggressively developing and marketing the practice. Successful candidates will be qualified in a commonwealth jurisdiction and have at least six years solid general banking experience ideally with a capital markets and derivatives focus. There are no admission or language requirements for the role. This represents an ideal opportunity for City firm lawyers to join the partnership track at an advanced level and be truly involved in the actual development of a practice. **(MJI)**

### ***US Securities Lawyer (6 years + PQE)***

Our client, a leading US Investment Bank is currently seeking a 6 year's plus US qualified attorney to have responsibility for the legal aspects of the Investment Banking function. The successful candidate should have extensive experience in the execution of SEC registered offerings, Rule 144A/Regulation S offerings and listings in both Hong Kong and New York. There are no language requirements for the role, however there would be emphasis placed on candidates with Chinese language ability. **(MJI)**

## **PEOPLES REPUBLIC OF CHINA**

### ***Commercial Director - Beijing (5 years + PQE)***

Our client is a global leader in the field of networks and wireless telecommunication solutions with an extensive presence in Asia. As a result of restructuring and continuing growth in the Asia Pacific region, they are seeking an extremely high calibre Commercial Director. Reporting to the Vice President of Commercial AP, he/she will lead a team of Commercial Managers based in Beijing. The ideal candidate will have least 5 years' experience as a senior commercial manager, preferably gained within the telecommunications or IT industries, and will have experience in the areas of tendering, contracts and advising on areas of customer finance. Essential for the role will be the personality and ability to manage and lead a strong commercial team and to be able to motivate and develop more junior team members. Pre-requisites for the role are fluency in written/spoken English and Mandarin with the ability to communicate at all levels. In order to attract the right person into the role an attractive package would be offered. **(MJI)**

### ***PRC Lawyers – Shanghai (5 years + PQE)***

Due to an ever-increased workload, a leading UK law firm is currently seeking senior associates to be based in their Shanghai office. Successful candidates should have at least five years experience gained in a well

recognised PRC practice (either in the PRC or Hong Kong) focusing primarily on foreign direct investment and the establishment of JV agreements. These positions represent an ideal opportunity for returning PRC lawyers to play a leading role in the growth and development of the practice and join a very established partnership track at an advanced stage. *(MJI)*

## **THAILAND**

### ***Project Finance Lawyer – (5 years + PQE)***

Our client, a market leading US law firm is currently seeking an expatriate lawyer to join its Bangkok office. The firm has an excellent reputation in the region for project development and financing transactions and has an unmatched regional client base. The successful candidate should be a five years plus commonwealth qualified lawyer with extensive experience in relation to regional wide project financings transactions ideally with exposure in the energy sectors. Candidates with solid Asian-wide corporate or securities experience will also be considered for the role if they can illustrate a genuine interest in the energy sector. Expatriate packages are available for the right candidates. *(MJI)*

## **SINGAPORE**

### ***Legal Counsel (3 – 4 years PQE)***

A fast paced global real estate group with significant presence in the United States, Europe, Asia Pacific and South America is urgently seeking a lawyer with 3 to 4 years PQE to join their Singapore office. Reporting to the group legal counsel, the candidate will be responsible for drafting, negotiating and reviewing construction contracts and must also be able to consider agreements from a business angle rather than a purely legal one. The successful candidate can look forward to a rewarding and long-term career with the company. The ideal candidate should preferably be a qualified lawyer in a commonwealth jurisdiction, have excellent communication and interpersonal skills, be able to work independently and be a decision maker. There will be opportunities for regional and international postings and there is some opportunity for travel. *(MJI)*

### ***Legal Counsel (3 – 5 years + PQE)***

Major international US company is looking for a Deputy Counsel to join its existing legal team. The successful applicant will be Singapore qualified with 3 – 5 years + PQE preferably in the Corporate/Commercial field and some experience gained in private practice. Candidates must have strong contract drafting skills, strong negotiating skills and the ability to confidently deal with counter parties. This is a challenging and varied role with a competitive salary and good benefits. *(MJI)*

## **KOREA**

### ***Investment Banking Counsel (4 years + PQE)***

Our client is the Investment Banking arm of a leading European Banking organisation and due to an increased workload in the region, they are currently looking for an investment banking counsel for their South Korean office. The successful candidate should be a 4 year plus qualified lawyer (commonwealth or US jurisdiction) with extensive experience in general banking and finance transactions. The role would ideally suit a lawyer from one of the large Korean firms looking to make a move into Investment Banking or a Korean lawyer looking to return home. Korean language skills are a prerequisite for the position. *(MJI)*

## **AUSTRALIA**

### ***Infrastructure and Project Finance Lawyer - Sydney (2-6 years PQE)***

Prestigious firm has exceptional opportunities for junior to mid-level associates with infrastructure and project finance experience to join its expanding Banking and Finance team. You will have the opportunity to work on a range of landmark infrastructure and resource projects, intricate corporate financing and capital market issues for key market players including corporate and government borrowers and issuers, as well as trading, investment and merchant banks. Excellent remuneration and opportunities exist for solid career progression.

### ***Information Technology Lawyers (2 - 6 years PQE) – Sydney***

Exciting opportunities exist for a mid level IT lawyer to join a dynamic practice group in a Sydney firm with strong Asian presence. Work will include advice and transactions involving innovative and challenging IT, outsourcing, internet, e-commerce and new media issues for the world's major IT suppliers

and key local market players. You will have gained experience in all areas of the IT field, with a mixed focus on contentious and non-contentious work. Strong academics are essential. Excellent remuneration.

### **LONDON**

#### ***London - In-House Oil & Gas (4 years + PQE)***

A leading international oil and gas company seeks an up stream oil and gas lawyer to work in large in-house team on major international projects. As well as high profile and high quality work in the energy sector, you have the chance to work for the in-house legal team of this company in its many office around the globe.

#### ***International Energy & Projects (to 6 years PQE)***

The energy group of this Top 10 UK firm is recognized as an international market leader working on major projects across the UK, Europe, Asia and the Middle East. The Energy Group encompasses the oil & gas, electricity markets and projects teams. The role covers a mix of work and involves international travel. Candidates with up to 6 years POE, with experience in banking/ corporate/ construction who have a strong interest in a career in international energy work will be considered for this role with strong partnership opportunities.

#### **For more information in absolute confidence please contact:**

Rikuro Kobori (for positions marked **RKK**) on 5537 7221, [rikuro.kobori@legalfuturesjapan.com](mailto:rikuro.kobori@legalfuturesjapan.com)

Matt Anderson (for positions marked **MGA**) on 5537 7222, [matt.anderson@legalfuturesjapan.com](mailto:matt.anderson@legalfuturesjapan.com)

Rachel Bentley (for positions marked **REB**) on 5537 7223, [rachel.bentley@legalfuturesjapan.com](mailto:rachel.bentley@legalfuturesjapan.com)

Miho Ishizuka (for positions marked **MJI**) on 5537 7220, [miho.ishizuka@legalfuturesjapan.com](mailto:miho.ishizuka@legalfuturesjapan.com)

Legal Futures Japan  
5/F, Yajima Building, 11-3, Ginza 7-chome  
Chuo-ku, Tokyo, Japan, 104-0061  
Tel: 813 5537 7220 / Fax: 813 5537 7213  
E-mail: [info@legalfuturesjapan.com](mailto:info@legalfuturesjapan.com)  
Web: [WWW.WSAGROUP.COM/LF](http://WWW.WSAGROUP.COM/LF)

# ROPPONGI BAR ASSOCIATION

International Legal Network

## Registration Form 2002

### Introduction:

Welcome to the Roppongi Bar Association. Membership in the RBA entitles you to a monthly newsletter, access to the most up to date listings of career opportunities in Japan and discounted meeting attendance fees.

The annual membership fee for the RBA is **JPY 5,000** for individuals who join between January and March, JPY 4,000 for individuals who join between April and June, JPY 3,000 for individuals who join between July and September and JPY 7,000\* for individuals who join between October and December (\*includes annual fee for following year).

Members who are renewing their memberships from 2001 must pay JPY 5,000 regardless of the date joined in 2002.

### Member Information:

<b>Last Name:</b>	<b>First Name:</b>	<b>Middle Name/Initial:</b>
<b>Company Name:</b>		<b>Job Title/Description:</b>
<b>Office Address:</b>		<b>Home Address: (Optional)</b>
<b>Office Telephone:</b>		<b>Home Telephone: (Optional)</b>
<b>Office Fax:</b>		<b>Home Fax: (Optional)</b>
<b>E-Mail Address:</b>		<b>Nationality:</b>
<b>Date of Registration:</b>		<b>Amount Paid:</b>

### Bank Transfer Information:

For those individuals who wish to pay their annual dues by bank transfer, please deposit to:

#### **Bank of Tokyo Mitsubishi - Jimbocho Branch**

Account Type: Ordinary

Account Number: 1283202

Account Name: "Roppongi Bar Association"

Upon the transfer of funds, please fax this form and the bank transfer receipt to Jeffrey T. Shimamoto at 03-3259-0150.