

PhillipCapital Employment Opportunity in Chicago

Senior Futures Compliance Analyst

As a senior futures compliance analyst, you will assist the Chief Compliance Officer and be responsible for ensuring that both Phillip Capital Inc. and its guaranteed introducing brokers (GIB) are compliant with CFTC, NFA and the various Exchanges & Clearing Houses rules and regulations. In addition, you will be responsible for: 1) the ongoing surveillance of brokers and customer trading activities; 2) training and education of new and existing staff; and 2) responding to various regulatory inquiries and examinations, along with playing an important role on all regulatory special projects

Responsibilities

- Process and respond to regulatory and commodity exchange inquiries and examinations.
- Review and approve promotional material.
- Process NFA Broker and AP Registrations.
- Prepare and review give-up agreements.
- Train, education and provide guidance to GIBs and firm staff on industry rules & regulations.
- Assist with the on-boarding of all new US and Non US Introducing Brokers.
- Ensure all public filings are current.
- Monitor daily trade and funding activity for suspicious activity and/or possible regulatory violations.
- Develop, coordinate, and implement strategies to enhance regulatory compliance and reduce compliance/legal risk.
- Keep well-informed of new rules and regulations and how they affect the business activities of the firm to ensure firm policies and procedures are up to date.
- Ensure appropriate supervisory processes and controls are established and documented within the each business unit.
- Conduct monthly regulatory reviews of review emails and phone tapes.
- Assist with special projects or other responsibilities as determined by the Chief Compliance Officer.

Minimum Qualifications

- Five years of futures compliance experience.
- Thorough knowledge of CFTC, NFA, and Exchange Rules and Regulations.
- Willingness to take on other projects as needed.
- Demonstrated ability to work quickly and accurately under time pressure to meet internal and external deadlines.
- Ability to communicate respectfully and efficiently inside and outside the company.
- Comfortable with Microsoft Excel, Word, and Outlook.
- Necessary traits: Absolute integrity, strong sense of ownership, detailed oriented, ability to reflect and learn from mistakes, and willingness to learn and grow with the company.

Preferred Qualifications

- Bachelor's degree in Accounting, Finance, or a related field.
- Series 3 license

Next Steps

Please send a resume and salary expectations to careers@phillipcapital.com to be considered for the position with “compliance” in the subject line. No phone calls and do not contact Phillip businesses in other countries about this position. Phillip Capital Inc. will not consider candidates sent by recruiters for this position.

About PhillipCapital

Phillip Capital Inc. is a growing SEC registered securities self-clearing broker-dealer and Futures Commission Merchant (FCM) firm based in Chicago. Phillip Capital Inc. has clearing memberships with CME/CBOT/COMEX/NYMEX/KCBOT, DME, ICE US, ICE EU, NFX, CFE, and DTCC.

Phillip Capital Inc. has common ownership and works closely with other firms within the Phillip Capital Group, which is headquartered in Singapore. The Group has network companies operating in the financial hubs of 16 countries, has more than \$1B in owners' equity, in excess of \$ 18B of customer funds, and is a leading provider of a full range of investment services including global equities, futures, commodities, currencies, mutual funds, and insurance in Asia. Many foreign offices are equity clearing members of their respective country's futures and stock exchanges.

Find out more at www.phillipcapital.com and www.phillip.com.sg.