

Broker Dealer Accountant

Phillip Capital Inc. seeks a Broker Dealer Accountant interested in joining the team. The ideal candidate will be responsible for maintaining accurate financial records and reporting within a broker-dealer firm. This role involves working closely with various departments, such as trading, operations, and compliance, to ensure proper accounting treatment of transactions and adherence to regulatory requirements. The Broker Dealer Accountant will play a critical role in ensuring the financial integrity of the firm's financial operations.

Responsibilities

- **Financial Reporting:** Prepare and analyze financial statements, including balance sheets, income statements, and cash flow statements, in accordance with Generally Accepted Accounting Principles (GAAP) and industry-specific regulations.
- **Transaction Accounting:** Record, reconcile, and analyze securities transactions, including investments and other financial activities, ensuring accurate classification and valuation.
- **Regulatory Compliance:** Monitor and ensure compliance with rules and regulations specific to broker-dealers, including those of the SEC, FINRA, and other relevant regulatory bodies.
- **Reconciliation:** Perform daily, monthly, and annual reconciliations of brokerage accounts, bank accounts, and other financial records to identify and resolve any discrepancies or issues.
- **Audit Support:** Assist in the coordination of internal and external audits, providing documentation and explanations, as needed, to auditors and regulatory agencies.
- **Process Analysis:** Interact with staff across the Firm's departments to gain insights and make recommendations for improving operational efficiency, profitability, and data integrity.
- **Internal Controls:** Develop and maintain robust internal controls and procedures to safeguard assets, prevent fraud, mitigate other financial risks, and to ensure accurate financial reporting.
- **Software and Systems:** Utilize accounting and other software applications, financial systems, and databases to record, track, and analyze financial information.

Preferred Qualifications

- Bachelor's Degree in Accounting, Finance, or a related field. CPA (Certified Public Accountant) or equivalent certification and/or FINRA Series 27 preferred but not required.
- Knowledge of accounting principles, regulations, and industry-specific rules for broker-dealers.
- Strong analytical skills and attention to detail.
- Proficiency in financial software and Microsoft Excel.
- Excellent communication and teamwork skills to collaborate effectively with various departments.
- Ability to work in a fast-paced, dynamic environment and adapt to changes in regulatory requirements.

Next Steps

Please send a resume to careers@phillipcapital.com to be considered for this position with "Broker Dealer Accountant" in the subject line. Phillip Capital Inc. will not consider candidates sent by recruiters for this position.

About Phillip Capital Inc. and PhillipCapital Group

Phillip Capital Inc. is dually registered with the SEC/FINRA as a self-clearing broker dealer and the CFTC as a registered Futures **Commission** Merchant (FCM).