



## **Broker Dealer Operations Analyst (Hybrid Position - Chicago)**

### **About Phillip Capital Inc.**

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). We offer the opportunity to grow your skills and make meaningful, visible contributions to both your team and the company. We believe in integrity, accountability, open communication, and continual improvement to build for the long term.

We are seeking an experienced professional with a background in clearing, settlement, and custody of securities and options in a self-clearing capacity. This is an exciting opportunity for someone who possesses a deep understanding of clearing and settlement and would enjoy working with a growing securities operations team to help drive the company forward.

### **Responsibilities**

- Assist with the expansion of the securities and options trading, clearing, and custody offering to new and existing clients, with a focus on custodian services, operating and supervisory procedures, and daily reconciliations.
- Back up daily tasks related to clearing, settlement, pledging, exercise & assignment, expiration processing, corporate actions, and position transfers.
- Domain expertise to identify, analyze, and resolve securities and option trade settlement breaks.
- Collaborate to meet regulatory guidelines & recordkeeping (FINRA, OCC, SEC, etc.).
- Assist in periodic internal and external audit examinations.
- Process creation, improvement, documentation, validation, and research related to new products.

### **Qualifications**

- 3+ years' experience in a self-clearing broker-dealer with focus around securities and options.
- Series 7; Series 4 and (or) 24 preferred or to be obtained.
- Knowledge of Regulation T, FINRA Rule 4210, SEC Rule 15c3-3, and 15c3-1, Rule 6.
- Strong analytical skills and ability to recognize and mitigate issues with process and tools.
- Strong knowledge of SEC, FINRA, and OCC rules and regulations.
- A strong level of proficiency in Microsoft Office products, especially Excel.

- Ability to efficiently handle a multitude of tasks while maintaining a low error rate.
- Working experience with SQL, Python, Power Automate or other no/low-code solutions preferred.
- Strong attention to detail, time management, and solid communication/organization skills.
- Absolute integrity and ability to recognize and learn from mistakes.

To be considered for this position, please apply via LinkedIn or Indeed or submit a resume directly to [careers@phillipcapital.com](mailto:careers@phillipcapital.com) with “Broker Dealer Operations Analyst” in the subject line. Phillip Capital Inc. will not consider candidates sent by recruiters for this position.