

Phillip Capital Inc. Employment Opportunity in Chicago or New York

Compliance Analyst

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. Philip Capital, Inc. is growing and looking to establish a presence in the financial district of New York.

The ideal candidate possesses a proactive, hands-on style and deep experience that will contribute directly to expanding the company's capabilities. The candidate should be self-motivated and able to simultaneously manage multiple, time-sensitive tasks.

Responsibilities

- Proactively assess the regulatory landscape and provide guidance on complex regulatory issues.
- Assist with the day-to-day activity of the broker-dealer monitoring and supervising activities of registered representatives
- Perform review of email surveillance, escalating items to the CCO as needed
- Develop, review and monitor Firm's WSP's in response to changing regulations and Firm policies
- Create and monitor staff training and licensing requirements (CE, Forms BD/U4/U5).
- Advertising review and tracking.
- Conduct AML reviews and perform ongoing monitoring of clients.
- Assist in the management of regulatory inquiries/examinations by regulators.
- Monitor changes in regulatory environments and update internal policies and procedures accordingly.
- Keep department heads abreast of changes to securities regulations.
- Advocate for compliance and explain regulations across the firm.
- Assist with review of compliance monitoring and testing program as needed, including input and preparation of FINRA, NFA, and CFTC annual reports
- 3120 and 3130 report development and aggregation.
- Support the CCO to proactively maintain a positive relationship with all regulators.
- Perform other duties and special project work as assigned.

Qualifications

- Bachelor's degree in related field.
- Minimum 5-10 years working in a compliance role in a Broker Dealer.
- Knowledge of the SRO, Broker Dealer environment, equities, options and equity-linked products.
- Excellent critical thinking and communication skills, both written and verbal.
- Ability to quickly learn and understand the business model for areas under review.
- High proficiency with desktop applications and MS Office suite of products is required.
- Knowledge of international business beneficial incl KYC/AML.
- Securities License 7 and 24. JD, a plus.
- Clearing Compliance experience, a plus.

This opportunity provides a high-influence position within a growing global business located in the heart of Chicago's financial district. Phillip Capital Inc. believes a long-term business is built on integrity and being responsive to customers.

To be considered for this position, please send a resume to careers@phillipcapital.com with "Compliance Analyst" in the subject line. Phillip Capital Inc. will not consider candidates sent by recruiters for this position.