

## Phillip Capital Inc. Employment Opportunity in Chicago

### Equity Operations Specialist

Phillip Capital Inc. seeks an experienced securities operations specialist who has initiative, is hands on, and would enjoy contributing to the daily operations and build-out in an existing self-clearing broker dealer including process creation, documentation, and validation.

#### Responsibilities

- Perform daily tasks related to equity clearance, settlement, cashiering.
- Work closely with Accounting regarding settlement projections and end of day processing.
- Communicate with clients regarding projected settlements and account funding.
- Manage daily settlement fails (NSCC Balance Orders, Broker DVP settlements)
- Manage NSCC/DTCC products (Obligation Warehouse, RAD Approval, Clearing Fund)
- Strong knowledge to identify, analyze, and resolve clearing and settlement breaks.
- Process daily account transfers (DTC Free of Payment, DRS, DWAC, ACATS)
- Assist with process improvement and documentation.
- Special projects to assist the roll out of new capabilities.
- Assist Head of Equity Operations to achieve operational cohesiveness between each department with focus on visibility, teamwork, and efficiency.
- Collaborate to meet regulatory guidelines & recordkeeping (e.g. FINRA, SEC, OCC etc.)

#### Qualifications

- Minimum 3 years' experience in a Self-Clearing Broker Dealer in an operational capacity (trading experience beneficial but not a replacement).
- Strong understanding of DTCC and NSCC clearing and settlement processing.
- Understanding of corporate actions and dividends a plus.
- Series 99 license required. Series 7 license required within 3 months.
- FIS Phase 3 back office experience strongly preferred.
- Focus is on equities, equity options experience a plus.
- Strong analytical skills and ability to recognize and mitigate issues with process and tools.
- 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.
- Strong knowledge of SEC and FINRA and OCC rules and regulations.
- Attention to detail, and time management & solid communication/organization skills.
- Absolute integrity and ability to recognize and learn from mistakes.

This opportunity provides advancement opportunities within a growing global business located in the heart of Chicago's financial district. The position offers a competitive benefits package, exciting growth potential in a newly renovated office with an open floor plan, and good access to trains.

Please send a resume to [careers@phillipcapital.com](mailto:careers@phillipcapital.com) to be considered for this position with "Equity Operations Specialist" in the subject line. Phillip Capital Inc. will not consider candidates sent by recruiters for this position.



Your Partner In Finance

**About Phillip Capital Inc. and the Phillip Capital Group**

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 Group, DME, ICE US, ICE EU, OCC, NFX, CFE, and DTCC. Find out more at [www.phillipcapital.com](http://www.phillipcapital.com) and [www.phillip.com.sg](http://www.phillip.com.sg).