

Phillip Capital Inc. Employment Opportunity in Chicago

Senior Compliance Analyst

Phillip Capital Inc., a self-clearing FCM and broker-dealer located in Chicago, seeks an experienced futures compliance analyst who will be part of a team that assists the Chief Compliance Officer with many compliance activities. The ideal candidate possesses a proactive, hands-on style and experience that will contribute directly to expanding the company's capabilities. Phillip Capital Inc. is part of the global PhillipCapital Group.

As a senior compliance analyst, you will be responsible for ensuring that both Phillip Capital Inc. and its guaranteed introducing brokers are compliant with CFTC, NFA, and the various Exchanges & Clearing Houses rules and regulations. In addition, your responsibilities include the ongoing training and education of new and existing staff, conducting internal audits, responding to various regulatory inquiries and examinations, along with playing an important role on all regulatory special projects.

Responsibilities

- Assist in the review and submission of regulatory and commodity exchange inquiries.
- Assist the Chief Compliance Officer with annual examinations.
- Provide ongoing and yearly training to the Firm's staff utilizing both internal and external methods.
- Process NFA Broker and AP registrations.
- Process FINRA Broker Dealer employee registrations.
- Review and approve more difficult and/or higher risk new account applications.
- Prepare and review give-up agreements.
- Train, educate, and provide guidance to the Firm's staff on industry rules and regulations.
- Assist with the on-boarding of all new US and Non US Introducing Brokers.
- Ensure all public filings are current.
- 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 each business unit.

Minimum Qualifications

- Four years working in the futures industry with at least two years in a compliance capacity.
- Basic understanding of futures products, trading, clearing, settlement client services, and financial processes.
- Solid 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. SharePoint knowledge a plus.
- Series 3 license a plus.
- 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.

Next Steps

Please send a resume and salary expectations to careers@phillipcapital.com to be considered for the position with “Senior Compliance Analyst” 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 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, Small Exchange, and DTCC. Find out more at www.phillipcapital.com and www.phillip.com.sg.

Phillip Capital Inc. has common ownership and works closely with other firms within the Phillip Capital Group, which is headquartered in Singapore.