

## Phillip Capital Inc. Employment Opportunity in Chicago

### Chief Compliance Officer - Securities

Phillip Capital Inc., a self-clearing broker-dealer located in Chicago, seeks an experienced securities compliance officer who will report directly to the CEO. The ideal candidate possesses a proactive, hands-on leadership style that will contribute directly to expanding the company's capabilities and client base. Phillip Capital Inc. is part of the global PhillipCapital Group.

#### Responsibilities

- Formulate and implement compliance solutions as well as assess their effectiveness.
- Proactively maintain a positive relationship with all regulators.
- Design and maintain the compliance manual & supervisory procedures.
- Advocate for compliance and explain regulations across the firm.
- Keep department heads abreast of changes to securities regulations.
- Main contact for regulators; research and coordinate responses to information requests.
- Support the review/escalation of surveillance exceptions including relevant filing of SARs.
- Conduct AML reviews and perform ongoing monitoring of securities clients.
- Create and monitor staff training and licensing requirements (CE, Forms BD/U4/U5).
- Conduct annual CEO Certification and branch audit.

#### Qualifications

- Bachelor's degree and 5+ years working in a senior compliance role in a self-clearing BD.
- Series 7 and 24 licenses required (Series 4 license beneficial).
- Knowledge of correspondent clearing and international business beneficial incl KYC/AML.
- Advanced knowledge of the securities industry from a product, corporate governance, compliance, and operational perspective including FINRA/SEC/state regulations.
- Excellent critical thinking and communication skills.
- Management experience including interfacing with senior management and regulators.
- Derivatives and regulatory accounting knowledge beneficial.

This opportunity provides a high-level 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. The firm has an open floor plan designed to support teamwork, transparency, and open communication between employees at all levels.

Please send a resume to [careers@phillipcapital.com](mailto:careers@phillipcapital.com) to be considered for this position with "CCO Securities" in the subject line. 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, and DTCC. Find out more at [www.phillipcapital.com](http://www.phillipcapital.com) and [www.phillip.com.sg](http://www.phillip.com.sg).