

## Phillip Capital Inc. Employment Opportunity in Chicago

### Chief Compliance Officer

Phillip Capital Inc., a self-clearing broker-dealer and FCM located in Chicago, seeks an experienced chief compliance officer. The firm has had and prefers a single CCO to oversee securities and futures businesses but is open to the possibility of dual CCO's. 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 and takes compliance seriously and has a long term strategy.

#### 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 relevant 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.
- Oversee annual activity such as the CCO report, CEO Certification and branch audits.
- Collaborate with other leaders to expand the firm into new products and services while adhering to applicable rules and regulations.

#### Qualifications

- Bachelor's degree and 5+ years working in a senior compliance role in a self-clearing firm.
- Licensing such as series 3, 4, 7, and 24 licenses beneficial.
- Knowledge of correspondent clearing and international business beneficial incl KYC/AML.
- Advanced industry knowledge from a product, corporate governance, compliance, and operational perspective including FINRA/SEC/CFTC/NFA/state regulations.
- Excellent management, critical thinking, and communication skills.
- Regulatory accounting and other operational knowledge outside compliance 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" 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



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[www.phillipcapital.com](http://www.phillipcapital.com) and [www.phillip.com.sg](http://www.phillip.com.sg).