

Phillip Capital Inc. Employment Opportunity in Chicago

Compliance Analyst

Phillip Capital Inc., a self-clearing broker-dealer located in Chicago, seeks a Compliance Analyst who will report to the CCO. 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 able work independently.

Responsibilities

- Create and monitor staff training and licensing requirements (CE, Forms BD/U4/U5).
- Develop, maintain, and edit policies and procedures (libraries, templates, artifacts) across Compliance functions.
- Advertising review and tracking.
- Conduct AML reviews and perform ongoing monitoring of clients.
- Support the review/escalation of surveillance exceptions including relevant filing of SARs.
- Assist in the management of regulatory inquiries/examinations by regulators.
- Manage FinCEN reporting process.
- 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
- 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 and 1-3 years working in a compliance role in a Broker Dealer.
- Securities licenses beneficial but not required. Candidate must prepare to take the S7 within a reasonable time frame.
- Knowledge of the SRO, Broker Dealer environment, and equities 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.
- Clearing Compliance experience, a plus.
- JD preferable but not required.

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.

Please send a resume to careers@phillipcapital.com to be considered for this position with "Compliance Analyst" 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, The Small Exchange, CFE, and DTCC. Find out more at www.phillipcapital.com and www.phillip.com.sg.