

Phillip Capital Inc. Employment Opportunity in Chicago Customer Documentation Analyst

Phillip Capital Inc. continues to expand its Chicago based FCM (Futures Commission Merchant) & self-clearing Broker Dealer. The firm is looking for a specialist to review and process customer applications. Training will be provided and there are learning opportunities within futures and securities compliance. There are also opportunities to help shape the new account process as we look to further streamline our client onboarding experience.

Responsibilities

- Review new customer account applications for completeness, KYC, and AML.
- Correspond with prospective customers and brokers to obtain any missing documents.
- Update and maintain bookkeeping system to ensure all customer accounts are properly recorded.
- Compile information and documents required to meet minimum record keeping set by our various regulatory authorities
- Respond to regulatory requests for information (including AML).
- Onboard and set up new customers and brokers in PCI's back office and portals
- Respond to customer and broker enquiries via phone, email, and ticketing system in a professional and timely manner, adhering to company guidelines and procedures
- Cross train with the Support team and serve as back up
- Coordinate with and support other internal departments

Qualifications

- Proficiency in Microsoft Word, Excel and Outlook strongly preferred. SharePoint and Teams knowledge a plus
- Able to analyse data, find, and escalate problems.
- Strong attention to detail.
- Willingness to take on other projects as needed.
- Demonstrated ability to work quickly and accurately under time pressure to deliver on our account opening standards.
- Ability to communicate professionally and efficiently inside and outside the company.
- Financial industry and new accounts experience helpful but not necessary.
- Willingness to take the SIE and Series 7 exams
- 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.

Incredible opportunity to be a contributing member of a growing business. Team atmosphere. Nice office – conveniently located in Chicago's downtown financial district. Close to trains.

About Phillip Capital Inc. and PhillipCapital Group

PhillipCapital is based in Chicago and is a Futures Commission Merchant (FCM) and self-clearing broker dealer. PhillipCapital has clearing memberships with the CME, CBOT, COMEX, NYMEX, KCBOT, ICE US, ICE EU, NASDAQ, DME, CFE, and exchanges and has a diverse and growing client base.

While the name is relatively new to the US financial landscape, PhillipCapital has common ownership and works closely with the PhillipCapital Group which is headquartered in Singapore. The group has network companies operating in the financial hubs of more than sixteen countries, and it is a leading provider of a full range of investment services including global equities, futures, commodities, currencies, mutual funds, insurance etc. in Asia. Founded in 1975, the Group has shareholders' funds greater than \$1.5 Billion USD, global assets under custody greater than \$28 Billion USD, over 900,000 client accounts worldwide, and a global staff strength greater than 3,500. In addition, our affiliated companies currently hold direct membership to twenty-six futures exchanges worldwide.

Next Steps

To be considered for this position, please send an email to careers@phillipcapital.com with "Customer Documentation Analyst" in the email subject line. Include your résumé and salary expectations. No recruiters or third parties, no phone calls, and do not contact PhillipCapital businesses in other countries about this position.