

Phillip Capital Inc. Employment Opportunity in Chicago

Equities Trade Surveillance Associate (Broker Dealer)

Phillip Capital is seeking an experienced and entrepreneurial individual to join its self-clearing broker dealer team in North America. You will be expected to be extremely 'hands-on' and familiar with FINRA/SEC regulations relating to a self-clearing broker dealer. You will also be expected to cross-train in other areas of Trade Support and Operations.

This position requires a high level of ownership, exceptional analytical abilities and advanced skills regarding MS Office Products (e.g., Word, Power Point, Share Point, Office 365, and especially Excel); Excel VB and advanced formula development are a big plus. Experience working with outsourced compliance solutions to develop/modify/escalate exception alerts is also highly desirable. The ideal candidate will enjoy taking responsibility, be ambitious, and growth minded. Completing tasks is not enough; this individual needs to embrace a philosophy of constant improvement.

The role may also represent an opportunity to grow in the futures side of Phillip Capital's business.

Responsibilities

- Perform daily review of exception alerts (e.g., wash sales, insider trading, layering, spoofing, etc.) from an outsourced compliance solutions vendor as well as internally developed reports.
- Daily submission of FINRA/SEC Electronic Blue Sheet submissions.
- Daily review of quality of execution reports and related exceptions.
- Daily review of ORF/TRF trade reporting as well as SEC/TAF Fees.
- Identify and escalate exceptions for further review directly to VP of Operations and CCO.
- Draft daily/weekly/monthly summaries for internal management.
- Strong knowledge OATS (e.g., daily submissions & reconciliations, identify potential reporting exceptions, file/close FINRA cases [as needed]).
- Strong understanding of Regulation SHO rules.
- Assist in preparation/documentation for internal/external regulatory audit inquiries.
- Perform other duties as assigned.

Qualifications

- 5 years' experience in a Broker Dealer with Equities, Equity Options/Futures a plus.
- Sr 7 preferred but not required; minimum registration (Sr 99 & SIE) required within 90 days of hire.
- Ability to efficiently handle a plurality of tasks while maintaining a low error rate.
- Extensive knowledge of the securities industry and of FINRA/SEC rules and regulations.
- Former equity trading experience a plus, including ALGO orders.
- Knowledge of SEC rules 15c3-3, 15c3-5 and Best Ex a plus.
- Exceptional attention to detail, time management, and organization.
- Clear communicator with good listening skills.
- Ability to recognize and learn from mistakes.
- Professional demeanor in a casual business-like atmosphere.
- Absolute integrity.

Next Steps

Please send a resume and salary expectations to careers@phillipcapital.com to be considered for the position with “Equities Trade Surveillance Associate” in the subject line. No phone calls and do not contact Phillip Capital Group 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 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.