

## Phillip Capital Inc. Employment Opportunity in Chicago

### Equity Operations Tax Specialist

Phillip Capital Inc. seeks an experienced Securities Tax Compliance and Operations specialist who has initiative, is hands on, and would enjoy contributing to the daily operations and build-out in a self-clearing broker dealer including process creation, documentation, and validation.

#### Responsibilities

- Perform daily tasks related to operational tax issues in a self-clearing broker dealer.
- Work closely with compliance regarding tax law interpretations related to a broker dealer and its clients; international, domestic, direct and omnibus.
- Review and preparation of IRS Forms 1042-s, 1042, 1099 and verify clients' Chapter 3/4 status and W-8 & W-9, CP2100 Notices.
- Manage and update the firms FATCA compliance program.
- Manage the firms use of an outsourced tax compliance software service.
- Work closely with new accounts for applicable tax documentation requirements.
- Work closely with Compliance on Customer Due Diligence (CDD) requirements.
- Advise firm on applicable tax law changes, rule interpretations.
- Work closely with the Corporate Actions Specialist to make determinations.
- Special projects to assist the roll out of new capabilities.
- Assist Head of Equity Operations to achieve operational cohesiveness between each department with focus on visibility, teamwork, and efficiency.
- Collaborate to meet regulatory guidelines & recordkeeping requirements.

#### Qualifications

- Minimum 3 years' experience in a Self-Clearing Broker Dealer in an operational capacity
- Strong understanding of IRS international and domestic rules related to financial brokers.
- Understanding of corporate actions and dividends a plus; also, familiarity with GlobeTax.
- Strong analytical skills and ability to recognize and mitigate issues with process and tools.
- A strong level of proficiency in Microsoft Office products, especially Excel.
- Ability to efficiently handle a multitude of tasks while maintaining a low error rate.
- Attention to detail, and time management & solid communication/organization skills.
- Absolute integrity and ability to recognize and learn from mistakes.
- Previous experience with FIS Global and Wall Street Concepts a plus.

This opportunity provides advancement opportunities within a growing global business located in the heart of Chicago's financial district. The position offers a competitive benefits package, exciting growth potential in an office with an open floor plan, and good access to trains.

Please send a resume to [careers@phillipcapital.com](mailto:careers@phillipcapital.com) with "Equity Operations Tax Specialist" in the subject line. Phillip Capital Inc. will not consider candidates sent by recruiters.

#### 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).