

## Phillip Capital Inc. Employment Opportunity in Chicago

### Equity Options Manager

Phillip Capital Inc. seeks an experienced equity options manager who has initiative, is hands on, and would enjoy helping create an equity option offering in an existing self-clearing broker dealer including process creation, documentation, and validation.

#### Responsibilities

- Assist in launch of options trading to current equity trading retail and institutional clients, including Order Management System set up, establishing procedures, and beyond.
- Understand complex option strategies, day trading rules, buying power, risk, and margin.
- Perform daily tasks related to order status, settlement, exercise & assignment, expiration processing, and corporate actions.
- Strong knowledge to identify, analyze, and resolve option trade and settlement breaks.
- Investigate customer inquiries regarding trade-related issues (e.g., position liquidations, order trigger conditions, product availability & attributes, order types and routing logic, etc.)
- 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 (e.g. FINRA, OCC, SEC, etc.)

#### Qualifications

- Series 7 license required; 4 and (or) 24 to be obtained.
- Must have a minimum 5 years experience in a Self-Clearing Broker Dealer with Equities and Equity Options departments.
- Knowledge of Regulation T, FINRA Rule 4210, SEC Rule 15c3-3, and 15c3-1, Rule 6.
- Understanding of Portfolio Margining and its implementation a plus.
- 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.
- Strong knowledge of SEC and FINRA and OCC rules and regulations.
- Attention to detail, and time management & solid communication/organization skills.
- Absolute integrity and ability to recognize and learn from mistakes.

This opportunity provides a high-level position 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 a newly renovated office with an open floor plan, and good access to trains.

Please send a resume to [careers@phillipcapital.com](mailto:careers@phillipcapital.com) to be considered for this position with "Equity Options Manager" 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, 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).