

Phillip Capital Inc. Employment Opportunity in Chicago

Manager - Futures Compliance

Phillip Capital Inc., a self-clearing FCM and broker-dealer located in Chicago, seeks an experienced futures compliance officer 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. Phillip Capital Inc. is part of the global PhillipCapital Group.

Responsibilities

- Ensure both Phillip Capital Inc. and its guaranteed introducing brokers (GIB) are compliant with CFTC, NFA and the various Exchanges & Clearing Houses rules and regulations
- Formulate and implement compliance solutions as well as assess their effectiveness.
- Support the CCO for annual reporting and audits.
- Monitor staff training and licensing requirements.
- Update and refine the compliance manual.
- Work closely with department heads and staff to keep them abreast of changes and provide guidance and clarification related to regulations.
- Conduct AML reviews and perform ongoing monitoring, filing SARs when relevant.

Qualifications

- Bachelor's degree & 5+ years working in a senior compliance role in a self-clearing FCM.
- Thorough knowledge of CFTC, NFA, and Exchange Rules and Regulations.
- Knowledge of correspondent clearing and working with a global client base.
- Advanced knowledge of the futures industry including topics such as bunched orders, allocations, give-ups, and deliveries.
- Excellent critical thinking and communication skills – ability to formulate a plan, carry it out, escalate as needed, and keep the relevant people informed.
- Management experience including interfacing with senior management and regulators.
- Series 3 license. Derivatives and regulatory accounting knowledge beneficial.

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. The firm has an open floor plan designed to support teamwork, transparency, and open communication between employees at all levels.

Please send a resume to careers@phillipcapital.com to be considered for this position with "Manager Futures Compliance" 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 and www.phillip.com.sg.