

## **Phillip Capital Inc. Employment Opportunity in Chicago**

### **Manager – Securities Compliance**

Phillip Capital Inc., a self-clearing broker-dealer located in Chicago, seeks an experienced securities 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. The candidate should be able work independently.

#### **Responsibilities**

- Formulate and implement compliance solutions as well as assess their effectiveness.
- Support the CCO to proactively maintain a positive relationship with all regulators.
- Design and maintain the compliance manual & supervisory procedures.
- Advocate for compliance and explain regulations across the firm.
- Keep department heads abreast of changes to securities regulations.
- Main contact for regulators; research and coordinate responses to information requests.
- Support the review/escalation of surveillance exceptions including relevant filing of SARs.
- Conduct AML reviews and perform ongoing monitoring of securities clients.
- Create and monitor staff training and licensing requirements (CE, Forms BD/U4/U5).
- Support the annual CEO Certification and branch audit.

#### **Qualifications**

- Bachelor's degree and 5+ years working in a compliance role in a BD. Clearing experience a plus.
- Securities licenses beneficial but not required. Candidate must prepare to take the S7 within a reasonable time frame
- Knowledge of correspondent clearing and international business beneficial incl KYC/AML.
- Advanced knowledge of the securities industry from a product, corporate governance, compliance, and operational perspective including FINRA/SEC/state regulations.
- Excellent critical thinking and communication skills, both written and verbal
- Management experience including interfacing with senior management and regulators.
- 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.

Please send a resume to [careers@phillipcapital.com](mailto:careers@phillipcapital.com) to be considered for this position with "Manager Securities 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](http://www.phillipcapital.com) and [www.phillip.com.sg](http://www.phillip.com.sg).