

Phillip Capital Inc. Employment Opportunity in Chicago

Margin Manager

Phillip Capital Inc., a self-clearing FCM and Broker-Dealer located in Chicago, seeks an experienced Margin Manager to support our growing business. Theoretical foundation risk analysis will be an important part of this role, as well as evolving into other areas critical to the trade desk. This position offers a hands-on opportunity to grow across multiple product classes and roles, embracing personal and team development.

Responsibilities

- **Perform the daily margin process, including managing margin calls, client notifications, buy-ins, monitoring margin accounts for accuracy and sufficient collateral, and approving all fund and securities transfers (Reg-T and Portfolio Margin). Primarily focused on securities; will also oversee the futures margin process.**
- **Evaluate house margin requirements/recommend policy changes to management.**
- **Interact with the other team members to ensure up-to-date policies and procedures.**
- **Daily stress test of accounts on watch list, options account and firm level exposure (dissemination of the results, in-depth analysis/escalation as needed).**
- **Interact with developers and technology to address problems as they present, as well as new features and functionalities. Write specs, manage projects and commit to testing and seeing project through to completion.**
- **Additional duties would include assisting the Head of Risk in business initiatives outside the scope of risk and margin.**

Qualifications

- **Strong knowledge of SEC and FINRA rules and regulations.**
- **Series 99 preferred; required within 90 days of start. Series 3 a plus.**
- **3-5 years' experience in a Broker Dealer with Equities and Equity Options.**
- **Working knowledge of Regulation T, FINRA Rule 4210, SEC Rule 15c3-3, and 15c3-1.**
- **Analytical skills with the ability to recognize issues and develop solutions.**
- **Portfolio Margin experience highly preferred.**

- Proficiency in Microsoft Word and Excel; SQL and Python skills strongly preferred.
- Ability to efficiently handle a plurality of tasks while maintaining a low error rate.
- Attention to detail, good time management, and solid communication/organization skills.
- Must be willing to perform and lead in a high expectations team.
- Absolute integrity and ability to recognize and learn from mistakes.

Phillip Capital Inc. believes that a long-term business is built on integrity and being responsive to customers. Our recently renovated office features an open floor plan designed to support teamwork, transparency, and open communication between employees at all levels. This position offers a competitive benefits package, exciting growth potential, and a location in an historic building with good access to trains and other public transportation.

Next Steps

To be considered for this position, please email your résumé and salary expectations to careers@phillipcapital.com with subject line “Margin Manager.” No recruiters or third parties, no phone calls, and do not contact PhillipCapital businesses in other countries about 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. The firm 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.

Phillip Capital Inc. 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 of over 3,500. In addition, our affiliated companies currently hold direct membership to 26 futures exchanges worldwide.