

Phillip Capital Inc. Employment Opportunity in Chicago

Margin Department Manager - Equities Operations (Broker Dealer)

As part of our aggressive global growth plans, Phillip Capital is looking for an experienced and entrepreneurial individual to help supporting a self-clearing broker dealer in North America. You will be expected to be extremely 'hands-on' and be familiar with all facets of Margins as it relates to a self-clearing broker dealer. You will also be expected to cross-train in other areas of Risk Management, Trade Support and Operations. Responsibilities on the futures side of the business to be expected and welcomed.

High level of ownership and willingness to prioritize the team are a requirement. We are looking for somebody who enjoys taking responsibility, is ambitious and wants to grow. Completing tasks is not enough, needs to embrace performance based personal progression.

The role represents an opportunity to grow in a risk management capacity across product classes and beyond margin duties.

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).
- Evaluate current house margin requirements and recommend any changes in policy to management.
- Interact with the other Risk team members to ensure up-to-date policies and procedures.
- Additional duties to this role would include assisting the head of Risk in business lines outside the scope of margin.
- Perform other duties as assigned.
- Serve as a backup for the futures margin function.
- Contributes to intraday risk monitoring for all business segments (equities, futures and options), along with the rest of the risk team.

Qualifications

- Series 99 preferred, required within 90 days from starting.
- 3 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 internal margin processes and tools.
- Intermediate level of proficiency in Microsoft Word and Excel.
- Ability to efficiently handle a plurality of tasks while maintaining a low error rate.
- Professional demeanor in a casual business-like atmosphere.
- Strong knowledge of SEC and FINRA rules and regulations.
- Familiarity with brokerage back office systems such as Shadow Financial Systems, FIS, Broadridge a plus.
- Exceptional attention to detail, time management, and organization.



Your Partner In Finance

- Clear communicator and good listening skills.
- Ability to recognize and learn from mistakes.
- Must be willing to perform and lead in a high expectations team.
- Absolute integrity.
- SQL and Python experience not required but certainly a plus.

Next Steps

Please send a resume and salary expectations to careers@phillipusa.com to be considered for the position with “Margin Department Manager” in the subject line. No phone calls and do not contact Phillip businesses in other countries about this position. 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/CBOT/COMEX/NYMEX/KCBOT, DME, ICE US, ICE EU, NFX, CFE, and DTCC.

Phillip Capital Inc. has common ownership and works closely with other firms within the Phillip Capital Group, which is headquartered in Singapore. The Group has network companies operating in the financial hubs of 16 countries, has more than \$1B in owners' equity, in excess of \$ 18B of customer funds, and is a leading provider of a full range of investment services including global equities, futures, commodities, currencies, mutual funds, and insurance in Asia. Many foreign offices are equity clearing members of their respective country's futures and stock exchanges.

Find out more about the firm and group at www.Phillipcapital.com and www.phillip.com.sg.

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