

## **Phillip Capital Inc. Employment Opportunity in Chicago Sr Manager Securities Operations**

Phillip Capital Inc. seeks an experienced leader with a background in equity options management who has initiative, is hands on, and would enjoy working with a growing securities operations team to help drive the operation and manage several new product launches.

### **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.
- Supervise and back up daily tasks related to order status, clearing, settlement, exercise & assignment, expiration processing, and corporate actions, and position transfers.
- Strong knowledge to identify, analyze, and resolve option trade and settlement breaks.
- Provide training to staff to improve depth of knowledge and promote growth.
- Investigate customer inquiries regarding trade-related issues (e.g., position liquidations, order trigger conditions, product availability & attributes, order types and routing logic, etc.)
- Work closely and back up the VP 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.)
- Assist in periodic internal and external audit examinations.
- Process creation, documentation, validation, and research related to new products.

### **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, with a focus on equity options.
- Knowledge of Regulation T, FINRA Rule 4210, SEC Rule 15c3-3, and 15c3-1, Rule 6.
- Strong analytical skills and ability to recognize and mitigate issues with process and tools.
- Strong knowledge of SEC and FINRA and OCC rules and regulations.
- Attention to detail, time management, and solid communication/organization skills.
- Absolute integrity and ability to recognize and learn from mistakes.
- Proven positive exposure to leadership and interest in developing those skills.

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 "Sr Manager Securities Operations" 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).