

Phillip Capital Inc. Employment Opportunity in Chicago

VP of Execution Services

Phillip Capital Inc. seeks a VP of Execution Services interested in joining a team supporting a self-clearing FCM and Broker Dealer. The Trade Support team works closely with FCM/BD clients and brokers to manage market access, trade execution and quality, clearing, compliance related matters, and troubleshoot any potential issues. The ideal candidate should have a high technical aptitude, experience in financial markets, ability to make quick decisions, and thrive individually and as a team leader.

Responsibilities

- Deep understanding of order routing & execution, clearing, order management systems (OMS), FIX connectivity, algorithmic orders.
- Ensure Market Access is aligned with regulatory guidelines (e.g., 15c3-5, 15c2-11, Reg SHO, etc).
- Oversight of Order Routing Reporting Obligations (e.g., 606(a), 606(b)).
- Responsible for Best Execution analysis and lead Best Execution Committee.
- Liaison to Exchanges and other industry participants for order & execution related matters.
- Ability to quickly address highly sensitive events (connectivity, restricted trading, halts, etc.)
- Oversight of regulatory reporting obligations (CAT reporting specifically as well as TRF, ORF).
- Oversee daily Trade Support Operations for FCM/BD – customer platform experience, trading connectivity, and exchange support.
- Understand and address manipulative trading activity (spoofing, layering, wash trades, etc.).
- Work closely with other departments to ensure outstanding client experience and operational efficiency.
- Drive projects and process improvement initiatives by collaborating with developers, technology, and management and see them through to completion.
- Keep current with industry trends, platforms, exchanges, and products for interaction with clients and staff.

Minimum Qualifications

- Series 7 required 24 highly preferred or able to obtain within 120 days, Series 3 preferred
- 5+ years on a trade support or execution desk of a US broker dealer. FCM experience preferred
- Proven management experience and track record in a high-pressure environment
- Customer first mindset, aligning the firm's priorities with outstanding customer experience
- Proficiency in Microsoft Word and Excel; SQL and Python skills desired.
- Ability to quickly and effectively absorb information and keep learning
- Familiarity with Valdi, Sterling Trader, Sylexx, CQG, Rithmic, TT, CTS, Sierra Chart, preferred.
- Results oriented, efficient, and ability to learn from mistakes

Preferred Qualifications

Bachelor's Degree in business, finance, economics, computer science, engineering or related field.

Please submit a resume to careers@phillipcapital.com to be considered for this position with "VP of Execution Services" 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.