

## Phillip Capital Employment Opportunity in Chicago

### Senior Market Surveillance Analyst (Financial Markets)

Phillip Capital Inc. seeks a Senior Market Surveillance Analyst interested in joining a team supporting a self-clearing Futures Commission Merchant (FCM) and Broker Dealer (BD). The ideal candidate will have experience working for an exchange, regulatory organization, FCM, BD or control function of a financial services firm.

#### Responsibilities

- Monitor and analyze market activities to identify potential market manipulation, insider trading, and other violations of regulatory requirements.
- Investigate and communicate issues generated from the electronic trade surveillance platform, escalating where necessary and following through with events through full resolution.
- Collaborate with other security team members to share information and coordinate efforts to prevent and respond to security incidents.
- Develop strategies for calibrating disruptive trade practices and enhancing procedures to identify new threats that could lead to reputational or financial risk.
- Prepare monthly reports that summarize data, highlight trends, and identify areas for improvement.
- Maintain a repository of actions, escalations and recommendations that detail timely resolution of issues and enhancements to the surveillance program.
- Stay current with compliance requirements within the regulatory landscape and analyze impact to the trade surveillance monitoring program.

#### Preferred Qualifications

- 5+ years of surveillance experience and demonstrated understanding of regulatory requirements.
- Previous experience working with financial industry regulators or at a clearing/trading firm.
- Excellent oral and written communication skills.
- Proficiency in Microsoft Word and Excel, SQL or Python skills strongly preferred.
- Series 7 or other FINRA licenses or certifications a plus.
- Bachelor's Degree in finance, economics, computer science, engineering or related field.

#### Next Steps

Please send a resume to [careers@phillipcapital.com](mailto:careers@phillipcapital.com) to be considered for this position with "Senior Market Surveillance Analyst" in the subject line. Phillip Capital Inc. will not consider candidates sent by recruiters for this position.

#### About Phillip Capital Inc. and PhillipCapital Group

Phillip Capital Inc. is a SEC-registered securities self-clearing broker-dealer and Futures **Commission Merchant (FCM)** firm based in Chicago since 2011 and is a wholly-owned subsidiary of PhillipCapital Group. Phillip Capital Inc. has clearing memberships with CME Group, DME, ICE US, ICE EU, OCC, CFE, and DTCC. Find out more at [www.phillipcapital.com](http://www.phillipcapital.com) and [www.phillip.com.sg](http://www.phillip.com.sg).

PhillipCapital Group is a Singapore-based financial services firm with operations in 15 countries and in operation since 1975.