

## Phillip Capital Inc. Employment Opportunity in Chicago

### Senior Manager, Clearing Operations

Phillip Capital Inc. seeks an experienced leader with a background in trading, settlement, and custody of securities and options in a self-clearing capacity. The ideal candidate has initiative, is hands on, and would enjoy working with a growing securities operations team to help drive the operation.

#### Responsibilities

- Assist with the expansion of the securities and options trading, clearing, and custody offering to new and existing clients, with a focus on custodian services, operating and supervisory procedures, and daily reconciliations.
- Supervise and back up daily tasks related to clearing, settlement, pledging, exercise & assignment, expiration processing, corporate actions, and position transfers.
- Domain expertise to identify, analyze, and resolve securities and option trade settlement breaks.
- Provide training to staff to improve the depth of knowledge and promote growth.
- 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 (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 of 5 years' experience in a self-clearing broker-dealer with focus around securities and 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, FINRA, and OCC rules and regulations.
- Attention to detail, time management, and solid communication/organization 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 "Senior Manager Clearing 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).