

Senior Securities Operations Specialist

Phillip Capital Inc. seeks an experienced leader with a background in 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 develop new offerings.

Responsibilities

- Assist with the expansion of the securities clearing and custody offering with a focus on custodian services, operating and supervisory procedures, and daily reconciliations.
- Ownership of daily tasks related to clearing, settlement, pledging, corporate actions, and position transfers.
- Domain expertise to identify, analyze, and resolve securities trade settlement breaks.
- Provide training to staff to improve the depth of knowledge and promote growth.
- Ensure compliance with regulatory guidelines & recordkeeping (FINRA, SEC, etc.).
- Assist in periodic internal and external audit examinations.
- Process creation, documentation, validation, and research related to new products.

Qualifications

- Bachelor's degree from an accredited university.
- FINRA Series 7 license.
- 5+ years of experience in a self-clearing broker-dealer with focus on equity securities.
- Familiarity with industry messaging protocols, such as FIX, MQ, SWIFT.
- Experience working with developers to improve processes using technology. VBA, SQL, or Python knowledge preferred.
- Analytical skills and ability to recognize and mitigate issues with processes and tools.
- Experience with analyzing and processing mandatory and voluntary corporate actions.
- Familiarity with U.S. tax code and implications for foreign and domestic investors.
- Strong knowledge of FINRA, FRB, and SEC rules and regulations, including Regulation T, FINRA Rule 4210, SEC Rule 15c3-3, and 15c3-1.
- Attention to detail, time management, and solid communication and organizational skills.

This opportunity provides a highly visible position within a growing global business located in the heart of Chicago's financial district. The position offers a competitive benefits package and exciting growth potential.

To be considered for this position, please send a resume to careers@phillipcapital.com with "Senior Securities Operations Specialist" 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, CFE, and DTCC. Find out more at www.phillipcapital.com and www.phillip.com.sg.