



Equity Options Analyst (Hybrid Position - Chicago)

About Phillip Capital Inc.

Phillip Capital Inc. is dually registered with the SEC/FINRA as a self-clearing broker dealer and the CFTC as a registered Futures Commission Merchant (FCM). We offer the opportunity to grow your skills and make meaningful, visible contributions to both your team and the company. We believe in integrity, accountability, open communication, and continual improvement to build for the long term.

We are seeking an experienced professional with a background in clearing, settlement, and custody of securities and options in a self-clearing capacity. This is an exciting opportunity for someone who possesses a deep understanding of clearing and settlement and would enjoy working with a growing securities operations team to help drive the company forward.

Responsibilities

- Perform daily tasks related to settlement, exercise & assignment, expiration processing, and corporate actions.
- Strong knowledge to identify, analyze, and resolve trade and settlement breaks.
- Investigate customer inquiries regarding trade-related issues (e.g., position liquidations, order trigger conditions, product availability & attributes, order types and routing logic, etc.)
- Assist with process improvement and documentation.
- Special projects to assist the roll out of new capabilities.
- Assist team 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.).

Qualifications

- Minimum 3 years' experience in a Self-Clearing Broker Dealer in an operational capacity (trading experience beneficial but not a replacement).
- Series 7 license required; 4 and (or) 24 to be obtained.
- FIS Phase 3 back-office experience strongly preferred.
- Equity options experience preferred.
- Knowledge of Regulation T, portfolio margin, FINRA Rule 4210, SEC Rule 15c3-3, and 15c3-1, Rule 6 a plus.
- Strong analytical skills and ability to recognize and mitigate issues with process and tools.
- A strong level of proficiency in Microsoft Office products, especially Excel.
- Ability to efficiently handle a multitude of tasks while maintaining a low error rate.
- Strong knowledge of SEC and FINRA and OCC rules and regulations.
- Attention to detail, and time management & solid communication/organization skills.

- Absolute integrity and ability to recognize and learn from mistakes.

To be considered for this position, please apply via LinkedIn or Indeed or submit a resume directly to careers@phillipcapital.com with “Equity Options Analyst” in the subject line. Phillip Capital Inc. will not consider candidates sent by recruiters for this position.