CHRISTY
CAPITAL MANAGEMENT, INC.

Overview	
Job Title:	**Compliance & Operations Analyst, Associate Planner**
FLSA Status:	Exempt
Reports To (Title):	Chief Compliance Officer & Senior Advisor
Supervisory Responsibilities:	N/A
General Summary:	We are seeking a detail-oriented, organized, and proactive professional to serve in a hybrid role focused primarily on Compliance and Operations support with additional responsibilities in associate-level financial planning. This hybrid role is ideal for a professional who enjoys maintaining operational excellence, ensuring regulatory adherence, and providing support to a financial planning team. The Compliance and Operations Support role is responsible for ensuring the seamless execution of daily business operations while maintaining strict adherence to regulatory and internal compliance standards. This position supports the planning team by upholding compliance standards in audits, tracking documentation, and reporting. The ideal candidate will possess strong organizational skills, attention to detail, and a proactive approach to identifying and resolving compliance-related issues, ultimately contributing to the efficiency, accuracy, and integrity of the firm's operations. The Associate Planner will be responsible for pre-planning, requesting documents for, and attending and participating in client meetings with the Senior Planner and/or Planner. Associate Planner will also be involved with client phone calls, emails, and custodian/client phone calls at Senior Planner/Planner's discretion. Individual should be highly capable of solving problems and working with our team to best serve the client's needs. This person should also exhibit excellent oral and written communications skills.

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	• Maintain and audit internal documentation to ensure regulatory and procedural compliance. • Coordinate with custodians, technology vendors, and third-party service providers as needed. • Manage staff licenses and continuing education requirements. • Professional client and staff communication in the form of phone calls, emails, and conference calls • Support lead advisors in the development and delivery of comprehensive financial plans. • Prepare meeting agendas, financial projections, and customized reports for client meetings. • Attend and participate in client review meetings with Planner/Sr. Planner • Remain in client meetings to complete applications and forms with client once Planner/Sr. Planner has concluded review • Assist in the onboarding of new clients, including gathering financial documents and setting up client portals.

Job Specifications	
Experience Requirements:	• Microsoft Office Suite proficiency in Word, Excel, PowerPoint, and Outlook • SalesForce experience preferred but not required
Education Requirements:	• High School diploma or equivalent required
Required Licenses and/or Designations	• Obtain Georgia Life Insurance License within first 60 days of employment • Obtain Series 65 designation within first 6 months of employment • Willingness to complete coursework for *CFP* or *RICP* designation
Preferred Experience, Education & Training:	• BA/BS degree in Business or related field is preferred • Minimum of *two* years of experience in an administrative, operations and/or client service role, preferably in the financial services or securities industry
Ideal Candidate DNA:	• Excellent character and reputation • Detail oriented, motivated, enjoys multi-tasking in a fast-paced environment • Responds well to changing and evolving job duties and expectations • Able to work independently and is also comfortable with close teamwork • Good organization and project management skills • High sense of urgency and strong work ethic • Strong verbal and written communication skills • Ability to discretely handle confidential data