

CAREER PATHWAY: CORPORATE COMPLIANCE



What do they do? Plan, direct, or coordinate activities of an organization to ensure compliance with ethical or regulatory standards.

People with these roles and responsibilities are also called:

Business Practices Supervisor, Compliance Coordinator, Compliance Engineer-Products, Compliance Manager, Compliance Officer, Compliance Review Officer, Corporate Operations Compliance Manager, Director of Compliance, Director, Global Ethics & Compliance and Assistant General Counsel, Internal Review and Audit Compliance

Some typical job duties include:

- Conduct periodic internal reviews or audits to ensure that compliance procedures are followed.
- Maintain documentation of compliance activities, such as complaints received or investigation outcomes.
- File appropriate compliance reports with regulatory agencies.
- Identify compliance issues that require follow-up or investigation.
- Report violations of compliance or regulatory standards to duly authorized enforcement agencies as appropriate or required.
- Disseminate written policies and procedures related to compliance activities.



HOW MUCH DO THESE JOBS PAY IN OHIO?

AVERAGE:
\$99,030

MOST IMPORTANT OCCUPATIONAL SKILLS

- Basic Skills:** Reading Comprehension, Critical Thinking, Monitoring
- Social Skills:** Social Perceptiveness, Coordination, Persuasion
- Problem Solving Skills:** Complex Problem Solving
- Technical Skills:** Operations Monitoring, Operations Analysis
- System Skills:** Judgment and Decision Making, Systems Analysis, Systems Evaluation
- Resource Management Skills:** Time Management, Management of Personnel Resources, Management of Financial Resources

CAREER PATHWAY AND EDUCATIONAL REQUIREMENTS



CERTIFICATIONS THAT CAN HELP YOU ADVANCE:

FINRA Series 7 Certification - General Securities Representative
Financial Industry Regulatory Authority

FINRA Series 24 Certification - General Securities Principal
Financial Industry Regulatory Authority