

# 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



### SOME 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)