

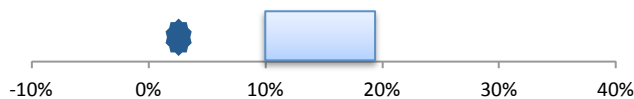
What do they do? Plan, direct, or coordinate activities of an organization to ensure compliance with ethical or regulatory standards.

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.

Ohio Job Outlook "Slower than average" (+2.9%)



Projected % change in number of jobs by 2020

Note: Blue band = Average growth (10% to 19%)

National Job Outlook through 2020: 7.9%

Most Important Occupational Skills

BASIC SKILLS

- Reading Comprehension
- Critical Thinking
- Monitoring

SOCIAL SKILLS

- Coordination
- Social Perceptiveness
- Persuasion

PROBLEM SOLVING SKILLS

- Complex Problem Solving

TECHNICAL SKILLS

- Operation Monitoring
- Operations Analysis

SYSTEMS SKILLS

- Judgment and Decision Making
- Systems Analysis
- Systems Evaluation

RESOURCE MANAGEMENT SKILLS

- Time Management
- Mgmt of Personnel Resources
- Mgmt of Financial Resources

The most important skills required for performing this job well are underlined.

How much did these jobs pay in 2013?

Average: \$94,530 per year
(\$45.45 per hour)

Career Pathway and Educational Requirements

Entry-level: (\$40,000-\$70,000)

Managerial (\$50,000-\$115,000)

Executive (\$100,000+)

Compliance Officer

Compliance Manager

Director of Compliance

REQUIRED FOR ENTRY

- Bachelor's degree or multiple years' related work experience

REQUIRED FOR ADVANCEMENT

- Bachelor's degree
- Multiple years related work experience
- Professional certification

REQUIRED FOR ADVANCEMENT

- Bachelor's degree
- Many years related work experience
- Professional certification
- Post-graduate degree preferred

SOME CERTIFICATIONS THAT CAN HELP YOU ADVANCE:

FINRA Series 7 Certification: General Securities Representative (Financial Industry Regulatory Authority, unavailable online)

FINRA Series 24 Certification: General Securities Principal (Financial Industry Regulatory Authority, unavailable online)