

COMPLIANCE OFFICER

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

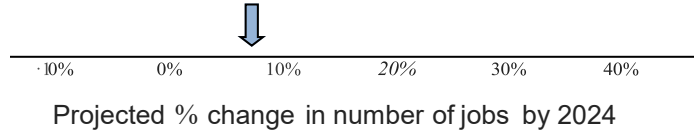
People with these roles and responsibilities are also called:

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.

Michigan Job Outlook "Faster than average" (+9.3%)



National Job Outlook through 2024: 9.3%

Most Important Occupational Skills

BASIC SKILLS

Mathematics
Critical Thinking
Reading Comprehension

PROBLEM SOLVING SKILLS

Complex Problem Solving

SYSTEMS SKILLS

Judgment/Decision Making
Systems Analysis
Systems Evaluation

SOCIAL SKILLS

Social Perceptiveness
Coordination

TECHNICAL SKILLS

Operations Analysis
Programming

RESOURCE MANAGEMENT

Mgmt of Financial Resources
Time Management
Mgmt of Personnel

How much did these jobs pay in 2016?

Average: \$70,250 per year
(\$33.77 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

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)