

Compliance Manager Job Interview Questions And Answers



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Compliance Manager Interview Questions And Answers Guide.

Question - 1:

What motivates you to succeed as Compliance Manager?

Ans:

I actually motivate myself as I believe that I can achieve a lot more provided I put in the effort and with consistency and time. The thing with me is that I do not like to settle for something I like to challenge myself to learn more.

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Question - 2:

Explain have you ever had difficulty with a supervisor?

Ans:

Yes, I had a supervisor ask me to change the status on a client on a governmental application for a loan to married filing separately from married filing joint, his reason was by changing the filing status changed the clients adjusted gross income. I felt this was a situation where the supervisor wanted me to compromise my integrity and I detailed how the clients adjusted income could only change if the client received a raise or a cut in pay that just changing the filing status did not change their adjusted gross income.

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Question - 3:

Do you know who is a compliance officer at an investment bank most responsible to?

Ans:

What would you do if you sniff out inappropriate behavior on the bank's trading floor, but the very powerful head of trading assures you everything is kosher? "I want to know you have guts of steel to stand up to someone like that, as well as the intelligence and skills to know that there is a very high degree of probability that your suspicions are correct," Lewis says.

[View All Answers](#)

Question - 4:

Tell me why Should We Hire You as Compliance Manager?

Ans:

This is your opportunity to sell yourself. Be clear about how your skills, education and experience match the requirements of the job. It is often best to back up specific skills with real-life examples. Remember to prepare a few insightful and thoughtful questions to ask the interviewer. Questions can be about the job, the company or the team you will be working with in the future.

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Question - 5:

Tell me how would you describe (needed compliance manager or your) work style?

Ans:

My work style matches exactly what a cashier job requires by: being careful about detail and thorough in completing work tasks, persistence in the face of obstacles, being reliable, responsible, and dependable, and fulfilling obligations, being honest and ethical, analyzing information and using logic to address work-related issues and problems.

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Question - 6:

Tell Me What Do You Know About Our Work?

Ans:

This is a general question and could be asked of any applicant irrespective of the industry. Be prepared to answer it well. As a first step, take the time to research the



company at which you are interviewing. Do not miss this opportunity to make a good impression by showing how knowledgeable you are about the company's operations.

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Question - 7:

Explain me what Constitutes an Effective Compliance Program?

Ans:

Under the United States Sentencing Commission Compliance Recommendations, (Â§8B2.1(5) (C) of the United States Sentencing Commission Guidelines), an effective compliance program means an organization has taken appropriate steps to ensure laws, rules and regulations are complied with and ethical conduct among employees is promoted. This question tests your knowledge of the requirements of the law governing effective compliance programs.

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Question - 8:

How do you decide what gets top priority when scheduling your time?

Ans:

Depending on what comes first and the most important to finish in the first place.

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Question - 9:

Explain about Your Experience as a Compliance Officer?

Ans:

Be prepared to discuss your previous compliance experience. If you do not have previous experience as a compliance officer, perhaps because you are switching careers, discuss transferable skills. Keith Darcy, executive director of the Ethics & Compliance Officers Association says that "the most important skills include leadership, writing, public speaking, ethical decision-making, communications and training and instructional design." He goes on to say, "compliance officers should also possess a high degree of courage and integrity due to the confidential nature of the job."

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Question - 10:

Ten years from now, where do you see yourself?

Ans:

Making decisions that will move this company to a higher level.

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Question - 11:

Tell me do you have any professional certifications? If not, what are your plans to earn them?

Ans:

Employers want to see a Series 14, CPA, CFE, or other designations to signal you're serious about a compliance career. "The licenses you have tell me whether I am dealing with someone who has made compliance their profession," Lewis says. "Certainly people with legal backgrounds are capable of this work, but additional continuing education tells me you're committed to it."

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Question - 12:

Tell me what have you done to improve your knowledge for a HEALTHCARE COMPLIANCE OFFICER POSITION IN THE LAST YEAR?

Ans:

Everyone should learn from his or her mistakes. I always try to consult my mistakes with my kith and kin especially with those senior to me. I enrolled myself into a course useful for the next version of our current project. I attended seminars on personal development and managerial skills improvement.

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Question - 13:

Explain me what are the top weaknesses in compliance departments and how can you improve them?

Ans:

Interviewers want to hear spirited conviction that compliance departments should be granted power to regulate freely. Come armed with concrete suggestions for improving what are often sticky struggles which require finesse in dealing with various personalities, as well as solid technical skills.

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Question - 14:

Explain me how can the company's compliance policies be improved and/or better applied, communicated and enforced?

Ans:

Compliance policies should be accessible to all employees, well communicated, and easy to understand and apply. Responses to this question can provide valuable end-user feedback in this regard. The additional area of "enforcement" may provide some insight into an organization's ethical tone and employee perceptions about fairness and equality. A quality compliance program will assure that all violators are treated fairly, but equally. If employees perceive that management or others are "above the law," the compliance program loses credibility.

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Question - 15:

Tell me what regulatory software tools and ERP platforms do you have experience with? Describe the ways in which you interacted with these tools?

Ans:

In a perfect world, you'll find someone who has hands-on experience with platforms like METRC, BiotrackTHC, MJ Freeway, or some of the other Google platforms that are out there. That said, keep an open mind for individuals who have used similar tools in other industries. Also, make sure their use of these tools is actually compelling. Just entering harvest weight information doesn't demonstrate in-depth knowledge or ability.

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Question - 16:

Tell me how Would You Handle a Situation Where You Learned an Employee Violated the Company's Code of Conduct?

Ans:

This is an ethics question, and the employer wants to know you respect the ethics codes of the company and can be appropriately tough when needed. Answer this question by letting the employer know you are prepared to fire an employee who violates the company's code of conduct depending on the severity of the violation, and if appropriate, you are prepared to pursue criminal prosecution.

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Question - 17:

Tell me what resources do you rely on to remain current with cannabis regulation? If you're new to the industry, what have you done to become knowledgeable about cannabis compliance?

Ans:

This is a test to see if your candidate is truly invested in compliance. It would also be a good sign if your candidate indicated he or she had spent some time reviewing industry websites, and the websites of state and local regulators. While there are some great consumer focused publications out there, they aren't exactly the content cannabis compliance professionals should have at the top of the list.

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Question - 18:

Top Compliance Manager Job Interview Questions:

Ans:

- * Why should we hire you?
- * What motivates you to succeed?
- * Why do you want a career as a Bank Compliance Officer?
- * How do you decide what gets top priority when scheduling your time?
- * How would your current or former employer describe you?
- * Tell me about your customer service experience.
- * In your opinion, what constitutes outstanding customer service?
- * Tell me about a time where you had to deal with conflict with a colleague or superior, and how you resolved the situation.
- * Tell me about your attendance record in your last position.
- * What banking duties are the easiest and the most difficult for you to perform?
- * What excites you the most about this position?
- * How will working for us help you reach your professional goals?
- * Would you work holidays and weekends?
- * Where do you see yourself in two to three years from now?
- * Share an experience you had in dealing with a difficult customer and how you handled the situation.
- * How would you define success as a Bank Compliance Officer?
- * Give me a time when you went above and beyond the requirements for a project.
- * Ten years from now, where do you see yourself?
- * Have you ever had difficulty with a supervisor?
- * Tell me about a time when you influenced the outcome of a project by taking a leadership role.
- * Tell me about your banking compliance experience.
- * What do you know about our company?
- * How do you handle stress and pressure?
- * What is your greatest weakness, and what are you doing to improve in that area?
- * What is your greatest strength, and how will it help you in this role?
- * Tell me about your post-secondary, education and how it prepared you for this position.
- * What attracted you to this industry?

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Question - 19:

Behavioral Compliance Manager Job Interview Questions:

Ans:

- * Describe the most difficult compliance or ethics issue you've faced. How did you resolve it?
- * Tell me about your most significant contribution in your last position
- * Explain a procedure you have implemented in the past for employees who want to report violations
- * Have you ever encountered resistance when trying to enforce a compliance program? How did you overcome it?
- * Tell me about a time you faced issues with your subordinates. How did your leadership abilities help you to resolve them?
- * Describe a time you were involved in an official investigation

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Question - 20:

Top 21 Compliance Manager Job Interview Questions:



Ans:

1. Tell me about yourself?
2. Why did you leave your last job?
3. Please tell me about your long-term career goals for Environmental compliance officer?
4. What have you learned from your past jobs that related to Environmental compliance officer?
5. In your life, what experiences have been most important to you that related to Environmental compliance officer?
6. What made you choose to apply to Environmental compliance officer?
7. What are top 3 skills for Environmental compliance officer?
8. What characteristics would you search for inside a boss?
9. Let me know about a period when you assisted resolve a dispute between others.
10. What position would you prefer on the team focusing on a task?
11. What's been your greatest professional disappointment?
12. What are most common mistakes for Environmental compliance officer job and how to solve them?
13. Do you consider you're overqualified with this position?
14. How can you offer make amends for your lack of skill?
15. What are techniques/methods list that you used in your work as Environmental compliance officer? Please explain how to you use them?
16. Let me know concerning the most enjoyable you've had at work?
17. Have you got any queries for me personally?
18. Do you know the hardest choices to create?
19. Do you'd rather work individually or on the team?
20. How do you apply ISO 9001 for your Environmental compliance officer job?
21. Do you have any questions?

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Question - 21:

Operational and Situational Compliance Manager Job Interview Questions:

Ans:

- * What procedure should be followed when someone violates company policy?
- * Imagine you discover an executive has been violating the company's code of conduct. How do you handle it?
- * If someone directly or indirectly asked you to overlook a violation of company policy, how would you react?
- * Considering our line of business, what compliance risks would you advise us to deal with?
- * Tell me about a time you implemented a compliance initiative that helped your company avoid litigation
- * Imagine you conduct a site inspection and the manager is behaving aggressively to you. How do you handle this?
- * If you had to deal with a C-suite executive who didn't agree with your compliance program/policies, what would you do?

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Question - 22:

Professional Compliance Manager Job Interview Questions:

Ans:

- * Why are you interested in this role and how would you add value to the team?
- * Why this firm and not another organization?
- * What are your long-term career aspirations?
- * What projects have you been involved in?
- * What are your dealings with the financial regulators?
- * How have you been involved in the development of policies and procedures? What do you think are the key compliance challenges for this type of business in the current climate? (This question, in particular, is coming up quite a lot for compliance roles)
- * In the first 30 days on the job, what would you expect to achieve?
- * How would you deal, or have you dealt, with difficult employees or situations?
- * Have you ever experienced a situation where something has gone wrong for you or a team that you were part of in compliance? What did you do to fix it? What did you put in place to ensure that it didn't happen again?
- * In your current role, what wouldn't have been achieved had you not been there?
- * If one of your former line managers were to describe you, what would they say? Would they highlight any weaknesses?

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Question - 23:

Role-specific Compliance Manager Job Interview Questions:

Ans:

- * What is a whistleblower? How do you protect them?
- * How do you create/implement an internal control system?
- * What are the main points of an effective compliance program?
- * Which are the most common compliance issues you have faced as a compliance manager?
- * What's your experience in reporting to regulatory bodies?
- * How do you prioritize tasks?
- * What's your experience with conducting compliance training?

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Question - 24:

Basic Compliance Manager Job Interview Questions:

Ans:

- * Why is the position open?
- * If someone was previously in the position, what were the circumstances of his/her departure?
- * Prior to hiring me, would you permit me to meet privately with the chair of the board or committee responsible for compliance oversight?
- * What keeps you up at night?



- * For any prior government sanctioned infraction, what are the lessons learned? What changes have been made?
- * What do you believe to be the greatest regulatory compliance risks facing the company?
- * What do you believe to be the greatest business risks facing the company?
- * What do you believe to be the greatest geographic risks facing the company?
- * Describe the relationship between the company and the regulators
- * What are the main challenges for a CCO in the coming nine months?
- * Are there any areas where the compliance program is not meeting management or board expectations?
- * Do you believe employees are comfortable in reporting potential ethical/compliance infractions?
- * Have you ever had an outside evaluation of your compliance program?
- * Is there anything you believe management can do to support the compliance program?
- * What is the budget/staffing for the Compliance function?
- * What are the reporting lines for the role?
- * Can the CCO veto a Due Diligence target?
- * At what stage is the compliance department involved in establishing a relationship with a business partner?
- * At what stage is the compliance department involved in the M&A process?
- * Is it customary for the CCO to sit in operations meetings pertaining to new products and market initiatives so as to advise the business on risk?
- * What role do you see Compliance playing in management meetings?
- * What is the formal frequency of reporting to the Board and what is the policy for Board reporting on an as needed basis?
- * Have executives in your organization ever walked away from a business opportunity for ethical and/or compliance concerns?
- * Do you feel ethics/compliance is an essential part of a successful business or something that's just a reality you have to deal with these days?
- * Do you think that ethical business practices do in fact lead to a more successful business if done the right way?
- * How do you view the compliance officer - as part of the business or an external function?
- * What did or didn't you like about working with their former CCO?
- * What sort of questions have you raised to the previous Compliance Officer? Have questions been purely technical or have they extended to broader business practices?
- * What do you and Board leadership think about regulatory compliance risk and whether it is viewed proactive or only reactively?
- * How do you think compliance can be a strategic partner in achieving your goals? Is it more just "keep us out of trouble?"
- * Are there ways you believe the compliance program could be a strategic advantage for the company in terms of its health and growth?
- * How would you describe the values of the leadership team and what does the tone at the top look like?
- * Who has authority to fire me?
- * What are you offering in the way of liability protection?
- * Am I free to engage my own counsel if necessary in a response to a government investigation?
- * Can I go to outside counsel on issues before discussing with General Counsel?

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Question - 25:

Explain me how can employees report concerns, issues, or potential violations of laws, regulations and/or the code of conduct and/or compliance policies?

Ans:

Â§8B2.1(5) (C) of the USSGs requires that an organization have and publicize a system whereby employees can anonymously or confidentially report or seek guidance about potential or actual criminal conduct without fear of retaliation. Responses to this question can help a compliance officer assess the effectiveness of their hotline or other reporting system publication efforts. It may also help the compliance officer assess employees' knowledge of the organization's policy regarding employee complaints (i.e. first report to supervisor, etc.) and any training that was conducted regarding such a policy. This question can also be used to explore employees' perceptions about the credibility of the organization's non-retaliation policy.

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Question - 26:

Explain me what are the skills required for compliance manager employee in order to success in his work?

Ans:

Using logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions or approaches to problems, Understanding written sentences and paragraphs in work related documents, Giving full attention to what other people are saying, taking time to understand the points being made, asking questions as appropriate, and not interrupting at inappropriate times, Monitoring/Assessing performance of yourself, other individuals, or organizations to make improvements or take corrective action, Adjusting actions in relation to others' actions.

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Question - 27:

Do you know how Would You Handle Employees Who Report Violations of Compliance Policies or Other Laws or Regulations?

Ans:

There are federal and state so-called "whistleblower laws." Whistleblower laws protect an employee who reports violations of various laws by other employees from retaliation. This question is designed to test your knowledge and awareness of these statutes.

[View All Answers](#)

Question - 28:

Explain me a time you interacted with a government regulator or other authority figure. How would you handle a dispute with a regulator? What would you do if a regulator asked you about a known compliance infraction?

Ans:

Engaging with regulators, especially during an inspection, can be extremely stressful. And people tend to gravitate towards bad habits under stress. Make sure your candidate demonstrates patience and flexibility under stress.

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Question - 29:

Tell me are you aware of anyone who has not complied with or is not complying with the company's code of conduct and/or compliance policies?



Ans:

This question is directly associated with the compliance officer's "monitoring" efforts to detect potential criminal conduct as per Â§8B2.1(5) (A) of the USSGs. It can also test compliance by managers and supervisors with internal policies requiring that any complaints from employees concerning compliance or ethics violations be reported to the compliance officer.

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Question - 30:

Tell me what are the compliance- and/or ethics-related challenges you face most frequently in your current role?

Ans:

This question provides information on several important aspects of a compliance program. First, it may highlight risks that the compliance officer was unaware of or didn't fully appreciate (risk assessment). Second, it assesses how well employees are able to apply corporate policies in the context of their role (policy comprehension/retention and training effectiveness). Third, it reiterates and reinforces the employee's understanding of risks and policies specific to them (training). Interviewees frequently struggle with this question initially and the interviewer may need to provide an obvious example of such a challenge to help the interviewee get started (i.e. gift policy, etc).

[View All Answers](#)

Question - 31:

Tell me why do you want a career as a Bank Compliance Officer?

Ans:

Ever since I have started working in the finance sector, I have realised that I really enjoy the compliance side of it and I want to pursue a career in that field. I love how to have to investigate issues and think and analyse and suggest new procedures/ improvements to the system that we use.

[View All Answers](#)

Question - 32:

Tell me what are the main job duties and responsibilities of compliance manager employee?

Ans:

compliance manager responsibilities are to identify compliance issues that require follow-up or investigation; discuss emerging compliance issues with management or employees; disseminate written policies and procedures related to compliance activities; provide assistance to internal or external auditors in compliance reviews; keep informed regarding pending industry changes, trends, and best practices and assess the potential impact of these changes on organizational processes; design or implement improvements in communication, monitoring, or enforcement of compliance standards; advise internal management or business partners on the implementation or operation of compliance programs; maintain documentation of compliance activities, such as complaints received or investigation outcomes; consult with corporate attorneys as necessary to address difficult legal compliance issues; conduct periodic internal reviews or audits to ensure that compliance procedures are followed; direct the development or implementation of compliance-related policies and procedures throughout an organization; prepare management reports regarding compliance operations and progress; provide employee training on compliance related topics, policies, or procedures; serve as a confidential point of contact for employees to communicate with management, seek clarification on issues or dilemmas, or report irregularities; monitor compliance systems to ensure their effectiveness; verify that all firm and regulatory policies and procedures have been documented, implemented, and communicated; conduct or direct the internal investigation of compliance issues; report violations of compliance or regulatory standards to duly authorized enforcement agencies as appropriate or required; assess product, compliance, or operational risks and develop risk management strategies; file appropriate compliance reports with regulatory agencies; oversee internal reporting systems such as corporate compliance hotlines and inform employees about these systems; collaborate with human resources departments to ensure the implementation of consistent disciplinary action strategies in cases of compliance standard violations; verify that software technology is in place to adequately provide oversight and monitoring in all required areas; review communications such as securities sales advertising to ensure there are no violations of standards or regulations.

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Question - 33:

Explain me how Would You Handle a Request by a Senior Executive to Violate a Company's Code of Conduct?

Ans:

This question is an attempt to assess whether you are comfortable dealing with senior level employees. As a compliance officer, you must convince corporate boards and senior executives, including the CEO, that an effective compliance program is a priority. You must ensure that all employees, regardless of rank, are educated about the risks to the organization of not complying with laws, rules and regulations.

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Question - 34:

Explain me what is your experience working with (a) internal compliance teams, (b) the C-suite and board of directors, and (c) external regulatory agencies?

Ans:

The way you answer this question tells the interviewer two things: the level of authority you were granted in your past positions, and your ability to interact and communicate with those compliance officers you both will oversee and report to.

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Question - 35:

Suppose you get a call from one of your delivery drivers and there is confusion over a labeling requirement. The driver is anxious to get to the next delivery stop and the store manager accepting the delivery has two other orders to check in. The driver wants an answer on the fly but you're not 100% sure you have the right answer. What would you do?

Ans:

Situational questions are great for seeing how your candidate would react when faced with a tough decision. In this specific example, a good answer might be: it's best to be honest with the driver, and tell them you need five minutes to check the regulations. A solid candidate would also show some creativity by asking if the store manager would be willing to accept the product "as is" with a promise that new labels will be delivered the next day if it turns out there is, in fact, an error (of



course, make sure the incorrectly labeled products are not put on the shelf for sale!). Guessing and providing misinformation is far more painful than taking a few minutes to get it right the first time.

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Question - 36:

As you know what field experience do you have for a HEALTHCARE COMPLIANCE OFFICER POSITION?

Ans:

I have been working with computers since 2001. I also have a degree in network support/computer repair. I have built my last 3 computers, have work with Dell as an employee. So I have around 15 years experience working with computers.

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Question - 37:

Tell me if you were to be promoted or leave the organization and someone took over your role who lacked the same level of integrity that you do, how could that person violate a policy or break the law and not be detected?

Ans:

This is one of my "black hat" interview questions. Nobody understands the intricacies of a person's role better than the person who performs that role - particularly if they have performed that role day after day for some length of time. This question challenges the employee to think about compliance policies and internal controls from the perspective of someone seeking to violate or circumvent them.

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Question - 38:

Explain about a time when you influenced the outcome of a project by taking a leadership role?

Ans:

I was part of a team that had been selected to design a new product that would ensure financial inclusion. Initially the product was to be meant to be offered through the main banking channels but however I highlighted the strategic risk and AML risk issues with the result that the product ended up being offered through alternative channels. This ensured that the most profitable clients for the bank would continue to be serviced through the main channels without causing them inconvenience associated with crowded banking halls.

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Question - 39:

Why should we hire you as Compliance Manager?

Ans:

I believe that I have got the right skills and experience for this job. Also, I am someone who love challenging and always pushing myself get better.

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Question - 40:

Please explain the abilities you have in order to work with us as compliance manager?

Ans:

I have the ability to communicate information and ideas in speaking so others will understand, tell when something is wrong or is likely to go wrong. It does not involve solving the problem, only recognizing there is a problem, listen to and understand information and ideas presented through spoken words and sentences, read and understand information and ideas presented in writing, communicate information and ideas in writing so others will understand.

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Question - 41:

Tell us have you ever been involved in an internal or external investigation? If so, what was your role, what were the steps involved in the investigation, and what was the outcome?

Ans:

To put it bluntly, the best scenario is when a past employer was charged with unseemly behavior, while you came out smelling like a rose. "In most businesses, employers don't want to be associated with someone tainted by scandal," Lewis says. "Ironically, when we're looking to fill a compliance officer position, it's a badge of honor if you've been through an investigation and are not tarnished by it."

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Question - 42:

Tell me do You Have Any Professional Compliance Certifications? Do You Plan to Get Any?

Ans:

The employer is attempting to assess whether you are serious about a career as a compliance officer. Compliance is a field that attracts many people wishing to switch careers and is an attractive area for lawyers. Obtaining compliance designations and certifications shows the employer how committed you are to a profession as a compliance officer.

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Question - 43:

Do you know how many paperclips can fit in an airplane?

Ans:

I know this sounds like a crazy question, but oftentimes regulations don't make a lot of sense and require businesses to do things that don't make sense either. The



candidate might be inclined to ask "Well, how big is the airplane? Is it a 747 or a single engine Cessna? And are we talking big or small paper clips?" All fair questions. Unfortunately, we don't often get a lot of clarity from regulators, and we're forced to make tough decisions in the absence of complete information. In fact, a great compliance officer should be very comfortable making tough decisions when there might not be one perfect answer. So maybe this question is a little silly, but it's a solid test to see how your candidate tackles challenging questions.

[View All Answers](#)

Question - 44:

Tell me about your ability to work under pressure as Compliance Manager?

Ans:

Pressure is actually a catalyst to my work. When there is an imperative deadline, I refocus my energy into my work which in fact, has helped me to produce some of my best works. (Give examples) I guess you can say I thrive under pressure.

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Question - 45:

Tell me what should happen to someone who violates the company's code of conduct and/or compliance policies?

Ans:

This is a modified "behavioral analysis" question. The purpose of the question is to assess the ethical tone of both the individual and the organization. Generally speaking, the appropriate response should be that those who violate the company's code of conduct or compliance policies should be fired and, if their actions broke the law, criminally prosecuted. While employees may vary in the severity of the punishments they believe appropriate, a pattern of responses that overly minimizes punishments may be indicative of an ethical tone that is not consistent with the company's expectations or desires.

[View All Answers](#)

Question - 46:

Explain about your banking compliance experience?

Ans:

I possess knowledge of the laws, rules, regulations affecting the banking sector and able to intelligently ensure compliance.

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Question - 47:

Explain a time when you went above and beyond the requirements for a project?

Ans:

I called for weekly meeting and streamlined certain processes which were not available.

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