

# Regulatory Compliance Certification Practice Test Questions and Answers

## 1. What is the primary purpose of regulatory compliance programs?

- A) Increase company profits
- B) Ensure adherence to laws, regulations, and internal policies
- C) Reduce employee workload
- D) Improve customer satisfaction

## 2. Which element is essential for an effective compliance program?

- A) Annual training sessions
- B) Regular risk assessments and monitoring
- C) Large compliance budget
- D) External audit firms only

## 3. What should be done when a compliance violation is identified?

- A) Ignore minor violations
- B) Document, investigate, and take corrective action promptly
- C) Wait until the annual review
- D) Only report to management if it's serious

## 4. Which law requires public companies to maintain accurate financial records and internal controls?

- A) Fair Labor Standards Act
- B) Sarbanes-Oxley Act
- C) Americans with Disabilities Act
- D) Consumer Protection Act

Answers: 1-B 2-B 3-B 4-B

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