

Securities Consultant Interview Questions

1. Provide an example of a time when you were able to demonstrate excellent listening skills. What was the situation and outcome?

2. Share an experience in which you successfully answered a difficult question from a client.

3. Share an experience you had in dealing with a difficult person and how you handled the situation.

4. Tell me how you organize, plan, and prioritize your work.

5. What are some long-range objectives that you developed in your last job? What did you do to achieve them?

6. Share an experience when you applied new technology or information in your job. How did it help your company?

7. Tell me about an experience in which you analyzed information and evaluated results to choose the best solution to a problem.

8. Would you consider analyzing data or information a strength? How so?

9. In your experience, what is the key to ensuring your company was compliant with all laws, regulations and standards that were applicable to your area of responsibility?

10. Share an effective approach to working with a large amount of information/data. How has your approach affected your company?

11. Share an example of a time you had to gather information from multiple sources. How did you determine which information was relevant?

12. Name a time when you identified strengths and weaknesses of alternative solutions to problems. What was the impact?

13. Please share an experience in which you presented to a group. What was the situation and how did it go?

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14. How would you rate your writing skills? (Ask for an example that demonstrates great writing skills.)
15. Provide an example when your ethics were tested.
16. Give me an example of when you thought outside of the box. How did it help your employer?
17. Share an experience in which your ability to consider the costs or benefits of a potential action helped you choose the most appropriate action.
18. Share an experience in which your attention to detail and thoroughness had an impact on your last company.
19. Provide an example of when you were persistent in the face of obstacles.
20. What is the state of your client base? What is one thing you are trying to improve upon?
21. Tell me about a time when you developed your own way of doing things or were self-motivated to finish an important task.
22. Share an example of when you went above and beyond the "call of duty". (Look for answers that show the candidate is dependable.)
23. Share a time when you willingly took on additional responsibilities or challenges. How did you successfully meet all of the demands of these responsibilities? (Make sure the candidate is a self-starter and can demonstrate some initiative.)
24. Describe a successful strategy you have used to meet clients' financial objectives.
25. Share an experience in which you identified the need for a client's plan reassessment with good results.
26. Provide an experience in which your ability to actively find ways to help people improved your company or your own work ethic.
27. Share an experience in which you recommended a strategy to a client which helped the client reach a

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financial goal.
28. Describe an effective method you have used to develop individualized financial plans. What factors do you consider when developing a plan?
29. Provide a time when you successfully implemented financial planning recommendations for a client.
30. Describe a time when you successfully persuaded another person to change his/her way of thinking or behavior.
31. Share an experience in which monitoring financial market trends helped you identify the need for an update in a plan. How do you keep up-to-date with financial market trends?
32. Share an experience in which you successfully helped a client understand the types of services to be provided or the responsibilities you would take.
33. How do you determine which investment opportunities will be best for a financial plan?
34. Share an example of when you established and accomplished a goal that was personally challenging. What helped you succeed?
35. Describe a time when you successfully interpreted some difficult information for a client.
36. Provide a time when you were able to identify a complex problem, evaluate the options, and implement a solution. How did the solution benefit your employer?
37. Provide a time when you dealt calmly and effectively with a high-stress situation.
38. Name a time when your patience was tested. How did you keep your emotions in check?
39. Name a time when your advice to management led to an improvement in your company or otherwise helped your employer.
40. How do you stay informed about your clients' financial status?

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41. Share an effective method you have used to guide clients in gathering information.

42. Share an experience in which your understanding of a current or upcoming problem helped your company to respond to the problem.

43. Provide an experience in which you were sensitive to someone's needs or feelings. How did your helpfulness affect your work environment?

44. Provide an example when you were able to prevent a problem because you foresaw the reaction of another person.

45. What is the most challenging part of budgeting for you?

46. What have you found to be the best way to monitor the performance of your work and/or the work of others? Share a time when you had to take corrective action.

47. Provide a time when you worked in a rapidly evolving workplace. How did you deal with the change? (Make sure the candidate is flexible.)

48. How do you balance cooperation with others and independent thinking? Share an example. (Try to determine if the candidate has a cooperative attitude or is otherwise good-natured.)

49. Share an experience in which you successfully coordinated with others. How about a coordination effort that was not as successful?

50. Share an experience in which your willingness to lead or offer an opinion helped your company.

51. Provide a time when meeting with another of your client's advisors helped you better understand your client's financial circumstances.

52. Tell me about the last time you monitored or reviewed information and detected a problem. How did you respond?

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53. Describe a debt liquidation plan you devised which was successful. How about one that was not as successful?

54. Name a time when your creativity or alternative thinking solved a problem in your workplace.

55. Share an experience in which you successfully shared a difficult piece of information. (Make sure that the candidate has open lines of communication.)

56. Provide an experience that demonstrates your ability to manage time effectively. What were the challenges and results?

57. Tell me about a time when your ability to analyze needs and product requirements helped you create an effective design or make an informed decision to benefit your company.

58. What is the key to success when communicating with the public.

59. Tell me about a seminar or workshop you conducted on a financial planning topic. What is one thing you would have liked to change about it?

60. Share an experience in which personal connections to coworkers or others helped you to be successful in your work. (Make sure candidate works well with others.)

61. What factors do you consider when determining amounts of aid to be granted to students?

62. Share an experience in which you recommended an environmentally responsible investment with good results.

63. Provide an effective method you have used to inform clients of the financial benefits of environmentally-friendly choices, e.g. alternative fuel vehicle purchases.

64. Share an effective method you have used to inform people about the financial assistance available for students.

65. Describe an experience in which your ability to work well with others and reconcile differences helped

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your company or employer. (Make sure the candidate knows how to negotiate.)
66. Describe an experience in which you identified the educational needs of your students and successfully developed a way to teach/train them.