

Securities Trader Interview Questions

1. Tell me about an effective financial plan which you developed for a client.
2. What is the key to success when communicating with the public.
3. Share an experience you had in dealing with a difficult person and how you handled the situation.
4. Share an experience in which you successfully shared a difficult piece of information. (Make sure that the candidate has open lines of communication.)
5. Tell me how you organize, plan, and prioritize your work.
6. What are some long-range objectives that you developed in your last job? What did you do to achieve them?
7. Share an experience when you applied new technology or information in your job. How did it help your company?
8. Give me an example of when you thought outside of the box. How did it help your employer?
9. Tell me about an experience in which you analyzed information and evaluated results to choose the best solution to a problem.
10. Would you consider analyzing data or information a strength? How so?
11. Share an effective approach to working with a large amount of information/data. How has your approach affected your company?
12. Share an example of a time you had to gather information from multiple sources. How did you determine which information was relevant?
13. Share an experience in which your ability to consider the costs or benefits of a potential action helped you choose the most appropriate action.
14. Describe a time when you successfully persuaded another person to change his/her way of thinking or

Securities Trader Interview Questions

behavior.
15. Name a time when you identified strengths and weaknesses of alternative solutions to problems. What was the impact?
16. Please share an experience in which you presented to a group. What was the situation and how did it go?
17. Provide an example of a time when you were able to demonstrate excellent listening skills. What was the situation and outcome?
18. How would you rate your writing skills? (Ask for an example that demonstrates great writing skills.)
19. Provide an example when you were able to prevent a problem because you foresaw the reaction of another person.
20. Share an experience in which your understanding of a current or upcoming problem helped your company to respond to the problem.
21. Provide an example when your ethics were tested.
22. Share an experience in which your attention to detail and thoroughness had an impact on your last company.
23. Provide an experience in which you kept an accurate record of transactions.
24. Share an effective method you have used to ensure accuracy of information and conformance to governing agency regulations in securities transactions.
25. Provide an experience in which your ability to actively find ways to help people improved your company or your own work ethic.
26. Share an example of when you went above and beyond the "call of duty". (Look for answers that show the candidate is dependable.)

Securities Trader Interview Questions

27. 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.)

28. Share an effective method you have used to identify and contact potential clients.

29. Provide an experience in which you successfully advised a client on the purchase or sale of securities.

30. Tell me about a time when you developed your own way of doing things or were self-motivated to finish an important task.

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

32. Provide an example of when you were persistent in the face of obstacles.

33. 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?

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

35. 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?

36. Share an example of when you established and accomplished a goal that was personally challenging. What helped you succeed?

37. Provide an effective method you have used to keep abreast of trends and to identify potential investments.

38. Name a time when your advice to management led to an improvement in your company or otherwise helped your employer.

39. Provide an experience that demonstrates your ability to manage time effectively. What were the challenges

Securities Trader Interview Questions

and results?
40. 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.
41. Name a time when your patience was tested. How did you keep your emotions in check?
42. Provide a time when you dealt calmly and effectively with a high-stress situation.
43. 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.)
44. Share an experience in which your willingness to lead or offer an opinion helped your company.
45. Share an experience in which you effectively analyzed market conditions and determined the optimum time to execute securities transactions.
46. Provide an effective method you have used to explain stock market terms and trading practices to clients.
47. Share an effective method you have used to inform and advise concerned parties regarding fluctuations and securities transactions affecting plans and accounts.
48. Name a time when your creativity or alternative thinking solved a problem in your workplace.
49. What is the most challenging part of budgeting for you?
50. Describe an experience in which your ability to work well with others and reconcile differences helped your company or employer. (Make sure the candidate knows how to negotiate.)
51. Provide an experience in which you successfully calculated costs for billings and commissions.
52. Describe your experience preparing financial reports.

Securities Trader Interview Questions

53. Share an effective method you have used to supply clients with price quotes on securities and information on the activities and financial positions of corporations issuing securities.

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

55. Describe a time when you successfully provided personal assistance to a coworker or patron.

56. 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.)

57. In your experience, what is the key to developing a good team? (Look for how they build mutual trust, respect, and cooperation.)

58. Tell me about the methods you use to determine best prospects for profit on stock purchases.

59. Please share an experience in which you successfully taught a difficult principle or concept. How were you able to be successful?

60. Please share with me an example of how you helped coach or mentor someone. What improvements did you see in the person's knowledge or skills?

61. Provide an example of when you set expectations and monitored the performance of subordinates. What guidance and direction did you find most effective?

62. Tell me about the last time you oversaw the work of someone else. How did you effectively motivate, develop, and direct the worker(s)?

63. Share an experience in which you used new training skills, ideas, or a method to adapt to a new situation or improve an ongoing one. (Look for the candidate's ability to learn.)

64. Describe an experience in which you identified the educational needs of your students and successfully developed a way to teach/train them.

Securities Trader Interview Questions

65. Provide an example of a time when you successfully organized a diverse group of people to accomplish a task.

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