

## Investment Officer Interview Questions

1. Provide a method you have found effective in verifying compliance of transaction reporting.

2. Share an experience in which you successfully responded to a difficult regulatory inquiry.

3. Tell me about your last experience hiring or evaluating staff.

4. Share an experience in which you successfully directed a staff/department. What methods led to your success?

5. Describe a security valuation policy you have developed. What methods did you use?

6. How do you effectively stay abreast of relevant investment markets?

7. Share an effective you have used to ensure regulatory compliance of documents and materials.

8. How do you make informed financial forecasting or decision making?

9. Tell me about the last time you successfully presented investment information.

10. Share an effective method you have used to monitor the financial or operational performance of individual investments.