

Broker 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

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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.)

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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.