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## Leading Advisor Hiring System

These are the steps and explanations of the Leading Advisor Hiring System:

1. Needs Analysis
  - We conduct an interview with you to gain an understanding about the candidate that you wish to hire.
2. Job Assessment
  - We provide you with an On-Line Assessment to assess the behaviours and characteristics of the position that you wish to hire for so that we have a benchmark to work with when we assess the final candidate for the position to guarantee a right fit hire for your position.
3. Job Description
  - The Needs Analysis and the Job Assessment provide you with the insight to write a Job Description or we can write the Job Description for you. Please see examples below of Job Descriptions.
4. Ad For Position
  - The Needs Analysis, the Job Assessment and the Job Description provide you with resources to write an Ad For The Position so that you receive Resumes by e-mail only. We can write the Ad for you. Please see below for examples of Ads.
5. Resume Review & Recommendations
  - You review the Resumes and shortlist them or the Ad can be created with the Resumes coming to Leading Advisor so that we can do the short listing for you.
6. Unqualified Resumes
  - Please see examples of responses below that is sent to unqualified Applicants.
7. E-Mail Interview Questions
  - Please see below for examples of E-Mail Interview Questions. Leading Advisor can shortlist the candidates based on the E-Mail Interview Questions.
8. Qualified Candidate Telephone Interview Questions
  - Please see below for examples of the Qualified Candidate Telephone Interview Questions. Note that Live Interviews have not taken place as yet. Leading Advisor can shortlist the candidates based on the Qualified Candidate Telephone Interview Questions.
9. Qualified Candidate Live Interview
  - Conducted by you at the location of your choice.
10. Values & Behaviours Assessment
  - Completed by Leading Advisor
11. Values & Behaviours Assessment Debriefing
  - Completed with you by Leading Advisor to guarantee a right fit hire for your position.
12. Reference Checking
  - We suggest subcontracting this out to a Specialty Firm.
13. Hire

## Examples of Job Descriptions

### Example #1

#### Executive Assistant / Office Manager Position

#### Primary Duties and Responsibilities:

\_\_\_\_\_ is currently hiring for the position of Executive Assistant / Office Manager to perform a range of duties including, but not limited to:

#### Responsibilities:

- Booking travel; handling all arrangements; verifying travel and event details
- Client follow up for event details required
- Mastering a tracking system to keep track of time sensitive events
- Scheduling Client conference calls
- Ordering books, shipping supplies in advance of events; processing and shipping online orders
- Data entry and upkeep of the company's database, ensuring a high level of accuracy
- Payroll and CRA monthly payments; providing information to Bookkeeper monthly
- Receivables, payables, invoicing, tracking payments, banking, account reconciliation, credit card transactions
- Managing special projects and events
- Monitoring online presence, to include website, Google alerts, responding to blog and twitter mentions
- Handle general inquiries

#### Qualifications

#### Knowledge, Skills and Abilities

- Completion of high school and administrative training or equivalent work experience
- Excellent command of English to be able to speak, read, and write fluently
- Dedication to detail and accuracy
- Ability to follow directions and work with minimum supervision; take ownership of assigned tasks, and think for themselves
- Excellent administrative, time management, and organizational skills

#### Proficiency in the use of computer programs for:

- Microsoft Office Suite (Word, Outlook, Excel, PPT)
- Familiar with; ACT!, Google Calendar, Google Docs, Expression Engine, PayPal, Tripit, Dropbox, iContact or equivalents

- Basic knowledge of bookkeeping processes and software (Quickbooks)
- Internet savvy

### **Personal characteristics**

The Administrative Assistant will demonstrate competence in the following areas:

- Relationships: Maintain positive working relationships with others, both internally and externally
- Communication: Excellent listening skills, oral and written communication skills
- Needs Assessment: Anticipate, understand, and respond to the needs of their employer and the clients to meet or exceed their expectations
- Teamwork: Follows direction well, work cooperatively and effectively with others to set goals, resolve problems, and make decisions to enhance company's effectiveness; ability to undertake self-directed tasks when necessary
- Organization: Excellent time management skills; excellent attention to detail; the capacity to prioritize by assessing situations to determine urgency; ability to develop a work schedule, and ability to make clear and timely decisions

### **Working Conditions**

- To commence, the Executive Assistant will work onsite in our office
- Part time work, approximately 3 days per week
- Salary will reflect experience and qualifications – ranging from \$18 - 23 / hour
- This is a nonsmoking office
- References are required

## **Example #2**

### **Receptionist / Administrative Assistant**

#### **Company Overview:**

Over the last 20 years, \_\_\_\_\_ has developed a strong reputation in financial planning and insurance consulting, both here in \_\_\_\_\_ and across \_\_\_\_\_. We endeavor to offer a comprehensive range of financial services, including the management of individual insurance plans and investment portfolios; the development of executive benefits plans and corporate buy/sell agreements; and the administration of group benefits/pension plans. Our ability to provide superior guidance is evident from our prestigious list of clients.

The *Receptionist / Administrative Assistant* position is an excellent entry level opening for our company. This role will provide you with exposure to a wide variety of tasks, as listed below.

#### **Duties:**

- Answer the telephone and direct incoming calls to the appropriate person
- Open and sort incoming mail and couriers; prepare outgoing mail and couriers
- Basic day-to-day banking / payables / postage
- Maintain inventory of stationary supplies
- File client statements and correspondence
- Keep the office clean & orderly
- Ensure office equipment (printers, phones, computers) function properly
- Assist the President with personal errands, travel plans, and organization
- Provide administrative support for the Insurance, Group Benefits, and Investment departments, as required
- Assist with the implementation of marketing programs. This will include researching prospective clients and sending out marketing communications.
- Organizing client events and arranging for client gifts.

#### **Qualifications:**

- Training in Word, Excel, and PowerPoint
- A pleasant telephone manner and upbeat personality
- Excellent English skills (verbal and written)
- Very strong organizational skills and the ability to work with minimal supervision
- A “can-do” attitude and enthusiasm to assist on a wide range of projects
- Experience in arranging travel plans and event planning would be a valuable asset

**Compensation:**

- Salary of \$30,000 - \$32,000 per year
- Vacation of two weeks per year
- Participation in the Group Benefits Program after 3 months of employment.
- Educational Expenses – 100% for approved insurance, benefits, and financial related courses.
- Hours 8:30am to 5:00pm

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## **Example #1**

### **Group Account Manager**

#### **Duties include:**

- Independently manage small group accounts, providing support to employers and their plan administration / payroll team.
- Prepare applications and enrollments for new cases, and coordinate with the carrier and client in launching the program.
- Process annual renewals, including negotiations with the carrier; assessment of the current plan design and claims trends; preparation of the renewal reports; and attending renewal meeting with the client.
- Review claims trends throughout the year and send the client semi-annual updates.
- Respond to inquiries from plan administrators and plan members by phone, mail or email in a timely and professional manner.
- Review of new business quotations and preparation of proposals for prospective clients.
- Coordination with carriers regarding plan amendments, billings and member enrollments.
- Participation in employee / plan administration training sessions.
- Management of special assignments and group benefits marketing campaigns.

#### **Qualifications:**

- Minimum of three years of group account management experience
- Bachelor's Degree in Business / Finance, or College Diploma in Financial Services
- Proficient in Word, Excel, PowerPoint and high aptitude for learning new software
- Excellent command of English (verbal and written)
- Motivated, quick learner who works well individually as well as a member of a team
- Able to manage multiple tasks with a high level of accuracy
- Excellent problem solving and organizational skills
- Superior communication skills
- Outstanding organizational and time management skills
- Detail oriented and a team player
- Able to work with minimal supervision and multitask
- "Can-do" attitude and enthusiasm
- Initiative and willingness to learn and take on new tasks
- Able to meet deadlines and work under pressure
- Life licence and GBA designation is an asset

## **Example #1**

### **Group Client Services Specialist**

#### **Duties include:**

- Responding to inquiries from plan administrators and plan members by phone, mail or email in a timely and professional manner.
- Review of new business quotations and preparation of proposals for prospective clients.
- Preparation of applications and enrollments for new cases to be submitted to the carrier.
- Coordination with carriers regarding plan amendments, billings and member enrollments.
- Preparation of client renewal reports.
- Creation of employee presentation materials.
- Coordination for special assignments and group benefits marketing campaigns, as needed.

#### **Qualifications:**

- Bachelor's Degree in Business / Finance, or College Diploma in Financial Services
- Previous customer service and group benefits experience preferred
- Proficient in Word, Excel, PowerPoint and high aptitude for learning new software
- Motivated, quick learner who works well individually as well as a member of a team
- Excellent command of English (verbal and written)
- Able to manage multiple tasks with a high level of accuracy
- Excellent problem solving and organizational skills
- Superior communication skills
- Outstanding organizational and time management skills
- Detail oriented and a team player
- Able to work with minimal supervision and multitask
- "Can-do" attitude and enthusiasm
- Initiative and willingness to learn and take on new tasks
- Able to meet deadlines and work under pressure
- GBA, Life license or nearing completion of LLQP Exam is an asset



## Examples of Ads for Position

### Example #1

#### **Sales Assistant to Senior Financial Advisor**

For Industry Leading Independently-Owned Full Service Brokerage Firm

The successful candidate must:

- have successfully completed the required Securities Course and be fully licensed with current Investment Advisor qualifications.
- be an enthusiastic team player with exceptional telephone, communication, and interpersonal skills building team and client relationships.
- have the ability to quickly adapt to ever changing priorities relating to accounting, marketing, quotes/transactions, scheduling.
- have high standards and attention to detail while following procedures dealing with large volumes of paperwork.
- have the ability to solve problems quickly and independently.
- have proficient computer skills.

Salary 35-40 K. Bonus pkg. neg. Please reply in confidence with salary expectations; e-mail or fax your cover letter and resume to: \_\_\_\_\_

### Example #2

#### **Group Insurance Administrator**

\_\_\_\_\_ is an established financial planning firm, servicing \_\_\_\_\_ clients with employee group benefits, individual insurance and money products. We are looking for a part-time Group Insurance Administrator who is eager to establish their career with a financial planning firm.

The Group Insurance Administrator will be a dynamic team player with exceptional telephone, communication and interpersonal skills; work well independently; adapt quickly to ever changing priorities; have high standards and attention to detail; have proficient computer skills including MS Office and Simply Accounting; have previous customer service experience, and post-secondary education.

This is a part-time opportunity offering a competitive salary, yearly bonuses and group coverage. Please reply with cover letter stating salary expectations and resume to: \_\_\_\_\_

### **Example #3**

#### **Executive Assistant – Financial Services Firm**

We are a financial services firm located in \_\_\_\_\_ and we are looking for an exceptional assistant to join our team. You are a dynamic team player with exceptional communication, organizational, and interpersonal skills, and you are customer service oriented. You work well independently, are flexible, can prioritize, and manage a complex workload. You have high standards and attention to detail and are MS Office proficient.

Please reply with cover letter stating salary expectations and resume to: \_\_\_\_\_.  
Only those applicants selected for an interview will be contacted. No telephone calls or recruitment agencies will be accepted.

## Communication to Send via Email for Qualified Resumes

Dear \_\_\_\_\_,

Thank you for your interest in the position of \_\_\_\_\_ with \_\_\_\_\_.

We find your job experience and qualifications to be a potential good fit for the position and we want to move ahead and engage you in our Hiring Process.

Leading Advisor, Inc. is working in conjunction with our client, \_\_\_\_\_, and we are managing the recruitment and selection process of the \_\_\_\_\_ position.

To follow is an outline of our Hiring Process:

- Review of resumes and shortlist.
- E-mail sent to short listed candidates with a request for the candidate to review and complete a set of questions and return completed questions via email.
- Second short list completed.
- Telephone interview scheduled based on qualifications, experience, and answers to questions.
- Values & Behaviors Assessment to be assigned and completed via email by short listed candidates.
- Third short list completed.
- Reference checks conducted.
- Live interview.

Following this email, I will send you a second email containing a set of questions that you can complete and send your completed questions to me via email.

Please respond to this email to acknowledge receipt.

Should you decline involvement in our Hiring Process, please kindly reply to this email acknowledging that you are not interested in moving forward.

Best regards,

## Communication to Send via Email for Unqualified Resumes

### Example #1

Subject: Thank you for your interest in the position

Dear \_\_\_\_\_,

Thank you again for your interest in the position with \_\_\_\_\_.

This email is to advise that you have not been short listed for the position.

We wish you success with your job search in the future.

Regards,

### Example #2

Subject: Thank you for your interest in the position

Dear \_\_\_\_\_,

Thank you very much for submitting your resume, and for your interest in our position.

We have successfully filled the position, but I will keep your material on hand.

Thank you very much for your time and good luck with what you are doing.

Best regards,

## Examples of E-Mail Interview Questions for Qualified Candidates

Thank you once again for your interest in the position of \_\_\_\_\_ with \_\_\_\_\_ . As outlined in a summary of our hiring process, please find a few questions below. Please send your answers to my attention, by \_\_\_\_\_ .

#1

What aspect of the job posting interested you the most?

#2

What are you looking for in your next position?

#3

Of all the work you have done, where have you been most successful? Why?  
Where have you been the most fulfilled? Why?

#4

What personal qualities do you think are necessary to make a success of this position?

#5

What would you say are the broad responsibilities of this position?

#6

What is your ideal office environment?  
What is your preferred style of working?  
(example - deadlines, fast pace, predictable, organized)

#7

What would you change about your current job, or your most recent job?  
What aspects of it do you like the least?  
What do you like the most?

## Examples of Telephone Interview Questions for Qualified Candidates

### Ability/Suitability

- Where do you see yourself professionally in 2 years?
- What are you looking for in your next position?
- What aspects of your last job gave you the most enjoyment?
- What aspects of your last job caused you the most problems?
- Tell me about a time when the boss was absent and you had to make a decision.

### Flexibility/Stress

- How many projects can you handle at a time?
- How do you prioritize your projects?

### Planning/Organization

- Describe your method for keeping track of important matters.
- How do you plan your day?

### Teamwork

- How do you establish a working relationship with new people?
- What kind of people do you like to work with?
- What kind of people do you dislike to work with?

### Manageability

- How would your boss get the best out of you?
- How would you get the best out of your boss?
- How do you react to criticism?
- How do you take direction?
- Tell me about the kind of rewards that make you feel adequately recognized for your contributions.

Do you have any personal commitments that I should be aware of?

What can you do for us that someone else cannot do?

What special characteristics should I consider about you as a person? OR  
Is there anything else that you would like me to know?

## Leading Advisor Hiring System Live Interview Questions

### 1. Opening Questions

- Tell me about yourself. (It's an open-ended request, designed to elicit insight into what kind of a person the candidate is.)
- Why are you looking for a job? Why are leaving your current position?  
What unique experience or qualifications separate you from other candidates?

### 2. Career Path

- Where do you see yourself six months from now?
- Where do you see yourself a year or two from now?
- What job would you like to work toward in our company?
- If you could have any job in our company, which would it be?
- How do you define a successful career?
- How will this job help you reach your long-term and career goals?

### 3. Level of Interest

- What do you know about our organization and industry?

### 4. Motivation

- Give a specific example of how you have worked independently and under pressure to get the job done and meet a deadline.
- Tell me what you have studied and learned to improve the understanding of your last position.
- Give examples of how you manage your time and make decisions.
- In a situation when your manager is unavailable, how have you proceeded with a project when all the information is not readily available to you.
- Provide me with an example of where you have had to isolate yourself from co-workers in the office to focus and complete a project with a deadline.
- Explain the benefits of working independently, or working collectively as a team. What situation do you prefer and why?

### 5. Environment - looking for a candidate who enjoys working in a smaller office setting with an entrepreneurial spirit.

- What is your ideal work environment?

### 6. Ability, Suitability

- What would you change about your current job?
- How do you handle repetitive tasks?
- What are you looking for in your next job?
- What are the personal qualities this job demands?
- What aspects of your job do you consider the most crucial?

## 7. Willingness

- What role do you play in ensuring a smooth working environment when your boss is away?
- What have you done to go beyond the call of duty to get a job done?

## 8. Flexibility

- What type of people do you get along with the best?
- How many projects can you handle at a time?
- How do you prioritize your projects?
- When have you rescheduled your time to accommodate an unexpected workload?

## 9. Teamwork

- How do you handle conflict?
- Have you ever worked with a group like this before?
- How do you establish a working relationship with new people?
- Tell me how you see your responsibilities as a group member.
- Have you ever had to stifle your normal behavior to get along with someone?
- How do you define a conducive work atmosphere?

## 10. Manageability

- How does your boss get the best out of you?
- What do you think of your current boss?
- Describe the best manager you ever had. Describe the worst manager you ever had.
- Tell me about the kind of rewards that make you feel adequately recognized for your contributions.
- How could your boss do a better job?
- In what ways has your boss contributed to your reasons for leaving your job?

## 11. Planning, Organization

- Describe your method for keeping track of important matters.
- How do you plan your day?
- How would you plan for a major project?
- Do you set goals for yourself?

## 12. Assertiveness

- Sometimes it is difficult to know when to quit. Describe an experience in which you were too persistent / not persistent enough. What happened?
- What was the most difficult interpersonal situation you encountered in this position? How did you handle this?
- How have you gotten around obstacles that prevented you from completing projects? Describe an obstacle and what you did to get around it.



### **13. Attention to Detail**

- Describe a situation or process that required your close attention to detail or adherence to prescribed procedures. Give an example when your close attention paid off.
- It can be difficult to attend to every detail of an assignment. Tell me about a time when this happened to you.

### **14. Follow Up**

- Have you ever followed up on tasks and activities that had specific due dates? Tell me about one of these situations.
- How do you make sure that your company meets due dates for vendors or consultants? Tell me about a specific situation.
- Have you ever needed to contact vendors to check the status of files? Tell me about one of these situations.
- How do you make sure that due dates are met for work that you send out? Give some examples.
- What systems do you use to keep track of what's going on with case files? Tell me how you've used one of these systems.

### **15. Judgment**

- Describe some recent work related problems and the decision you made to solve them.
- Think of a recent decision you made that was good and one that wasn't as good. What did you do differently in making these decisions?

### **16. Initiative**

- What changes have you tried to implement in your area of responsibility? What have you done to get them under way?
- What has been your biggest achievement at \_\_\_\_\_? What steps did you take to achieve it?

### **17. Decisiveness**

- Describe a time when you had to make a decision when you really would have preferred more information.
- Occasionally, most of us have had to make quick decision. Tell me about some of your quick decisions, and the outcomes.

### **18. Resilience**

- How have you reacted to criticism from your manager? Give an example.
- How have you reacted to customers' criticism of your products or services? Give an example.

### **19. Integrity**

- It is often easy to blur the distinction between confidential information and public knowledge. Have you ever been faced with this? What did you do?

## 20. Closing Questions

- What are your salary requirements?
- Why are you interested in this position? Our company?
- What would your former boss/colleagues say about you?

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## **Leading Advisor Interview Questions Hiring a Financial Advisor**

Why do you want to be a financial advisor?

Are you connected to the community?

What is your experience?

What are your qualifications? Licenses?

How do you stay current on tax and investment laws and regulations?

Tell us about yourself.

What are your career goals?

Where do you want to be in 5 or 10 years?

Do you have a network of clients to bring with you to a new position?

Inexperienced:

- What is your experience in other fields that demand a similar skill set, such as sales?

Experienced:

- What is the average portfolio of your clients?
- What are some of the strategies you would recommend to different types of clients?
- Which specific demographic groups do you target?
- Do you specialize in a particular stock option?
- Tell us about your experience with pre-divorce financial planning?
- What are your preferred wealth management strategies?
- Without compromising any confidentiality, tell me about your success in wealth management for your clients.
- How did you meet your target?

What do you think is the most important thing about a sales job?

Why do people hate salespeople?

If I were a client, why should I work with you?

Explain ways you would gather up clients.

How do you feel about knocking on doors?

Are you willing to sell to your family and friends?

How do you/would you sell insurance to clients?



Are you comfortable meeting with clients in person and talking to them on the phone?

Tell me about your ability to establish rapport with prospect clients.

How do you respond to confrontational clients?

Have you ever sold a product you didn't believe in, to a customer?

How do you achieve your goals?

If you are not meeting the financial goals set by our company, what will you do to change that?

Describe a time when you had to help someone make a difficult decision.

If we hire you, what do you bring to the organization?

What would you do if you had 10 million dollars?

What is your availability to work extended hours?

What are your salary expectations?

Tell me a situation where you think outside of the box.

Why us?

Why should we hire you?

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