

INTERVIEW

MODULE 12 CREDIBLE FINANCIAL ADVICE

Name _____

1. Introduction – Brief background of who you are and what you do.
2. What has been your background to get you to where you are now?
3. What training or education do people need to work in the financial industry? Explain different routes.
4. What questions should customers be asking a financial advisor?
5. How are you paid? Are there options – fee for service or commission based?
6. Do you have minimum requirements before you take on a client?
7. How did you decide to go into this profession? Was there a defining moment or was it a longer process?
8. What is the process you follow to work with a new client? Is a risk tolerance test done? Goals reviewed? How do you find out what your client wants? What if your client doesn't know what they want? (2 marks)
9. Tell us about the process investors go through to decide whether to place their money in a TFSA, RRSP, or unregistered option. (We have not talked a lot about RESP's yet.)
10. What is the importance of networking in your profession?
11. What role has goals played in your planning and practice?
12. What advice would you give to someone who is looking to invest?
13. Was there anything you could have done in high school to help you better prepare for life after school? What would you tell your younger self?
14. How has COVID 19 changed your job?

