

“TOP 50”

INTERVIEW QUESTIONS

VICE PRESIDENT OF COMPLIANCE

1. Compliance within a direct sales organization is often all inclusive, what areas have you spent the most time in?
2. Have you set up a compliance department from scratch?
3. What have been the biggest compliance issues you have had to handle this past year?
4. Can you describe your communications protocol when you spot a compliance issue?
5. Have you established a warning system for distributors?
6. What are the compliance violations that would require immediate termination?
7. Have you ever written a compliance manual?
8. Where on the Organizational Chart have you been in your last position?
9. Why have you chosen a career in compliance?
10. Have you worked with any type of outside monitoring companies? What was that experience like?

For additional questions go to: www.DirectSalesExperts.com



ABOUT DIRECT SALES EXPERTS INC.

Direct Sales Experts is a global Executive Search Firm that specializes in “Leadership Identification”. Their focus is the Direct Sales, Network Marketing, MLM, Party Plan and Social Selling channels. At Direct Sales Experts they have spent a lifetime building relationships with the channel’s strongest leaders. By utilizing a network of 50,000 executives, their focus when working for you is to identify, interview, qualify and deliver quickly high performing proven leaders to help grow your business. Many of the world’s leading Direct Sales Organizations seek advice and council on Executive Recruiting, leadership development and succession planning.



DirectSalesExperts.Com | 407.489.3351 | Craig@DirectSalesExperts.com

Name of Candidate: _____

Date: _____ Time: _____ Interviewer: _____

ANSWERS:

- 1 _____
- 2 _____
- 3 _____
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- 5 _____
- 6 _____
- 7 _____
- 8 _____
- 9 _____
- 10 _____

COMPANY PRIORITIES:

Check the Box Yes or No if the person fits in the organization and then rank 1-10 with 10 being a perfect fit.

	Fit Y/N	Ranking 1-10	Thoughts
Culture	_____	_____	_____
Leadership	_____	_____	_____
Skill Sets	_____	_____	_____
Articulation	_____	_____	_____
Team Player	_____	_____	_____
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Vision	_____	_____	_____
Mission	_____	_____	_____
Strategic Thinking	_____	_____	_____
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TOTALS	_____	_____	_____

INTERVIEWER FINAL THOUGHTS: _____

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VICE PRESIDENT OF COMPLIANCE

11. How would you describe the role of the compliance department?

12. What are your biggest strengths?

13. What weaknesses are you currently working on?

14. Do you feel that a legal background is necessary within a compliance department?

15. How many people made up your last department, describe each person's role?

16. How have you leveraged and worked with Customer Service?

17. What has been the largest group you have spoken in front of?

18. What is the biggest challenge facing a CEO when it comes to compliance?

19. What would the first 30, 60 and 90 days look like if you were to come on board?

20. Describe a challenging compliance issue and how you solved it? Who else was involved?

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21. What skills do you look for in hiring people into the compliance department?
22. Have you attended any compliance workshops in the past year?
23. Have you worked at all with the DSSRC or DSA on any compliance issues?
24. What type of monitoring activities have you deployed to look for compliance issues?
25. Have you made recommendations to the management team that were not acted upon? How did you handle that?
26. What type of documentation have you put in place to insure uniformity in decision making?
27. What are the biggest gray areas that you have encountered?
28. Have you been successful in having a distributor terminated?
29. Have you established any guidelines that will protect whistle blowers?
30. What have you found to be the biggest legal obstacles in compliance?

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31. What type of proactive trainings and communications have you developed?

32. Who within the direct selling channel would you say has a “Gold Standard” Compliance Department?

33. What type of certification have you received in compliance?

34. What was the one thing you disliked about your old job?

35. How do you like to be lead and or managed?

36. What is your leadership and management styles?

37. How do you promote the company culture within the compliance department?

38. How would your last boss describe you?

39. What type of technology have you introduced into your current department?

40. How many people have you had to fire in the last several years?

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41. Have you been involved in helping to write a long-term strategic plan?

42. What type of P & L responsibility have you had?

43. What KPI's have you used to determine the overall performance of your compliance department?

44. Describe a typical day for you?

45. How do you prioritize assignments?

46. What is it that you like best about our company and this position?

47. Do you have any type of non-compete with your current employer?

48. How soon could you start?

49. In your current role, who on the management team has been your biggest supporter?

50. What questions or comments do you have for us?

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