



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

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Office of Investor Education and Assistance
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Tell Us How We're Doing!

Thank you for contacting the Securities and Exchange Commission's Office of Investor Education and Assistance. We would appreciate knowing if you found our services helpful and how we may improve our services to you and other investors. Please fill out this questionnaire and email it back to us. Thank you for your time and thoughts.

Responses to this questionnaire are voluntary. The collection of information is necessary to ensure that the Securities and Exchange Commission's Office of Investor Education and Assistance ("OIEA") services are helpful to investors and to ascertain whether, and in what manner, these services may be improved. The information collected will be used to evaluate the quality of service provided by OIEA professional staff to persons who have contacted OIEA for assistance or information. The average burden to complete this questionnaire is estimated to be approximately fifteen (15) minutes. Any member of the public may direct to the Commission comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden.

1. How did you learn about the Office of Investor Education and Assistance?

2. Did you talk to a member of our staff by telephone?

Yes No

If you talked to a member of our staff, how courteous was this person?

Very Courteous Courteous Somewhat Courteous Discourteous

If this person was not courteous, what specifically did he or she say that was discourteous?

3. How responsive was our reply to your concerns?

Very Responsive Responsive Partially Responsive Not Responsive

What, if anything did we fail to address?

4. How competent was the person who handled your inquiry or complaint?

Very Competent Competent Partially Competent Incompetent

In what areas, if any, did this person seem to lack knowledge or ability?

5. Was our response to you understandable?

Very Understandable Understandable Partially Understandable Not Understandable

If our response was hard to understand, please explain why.

6. How satisfied are you with the way your complaint or inquiry was handled?

Very Satisfied Satisfied Partially Satisfied Not Satisfied

How could we have improved our response?

7. Only answer this question if you wrote to this office to complain about an investment, your broker or financial advisor and you were dissatisfied with our services:

We cannot always resolve a complaint to the satisfaction of the investor because the evidence we gather is not always strong enough to prove that a violation of the law has occurred. If you were dissatisfied with our services, was it solely because we were unable to secure a satisfactory resolution of your complaint?

Yes No

If we were unable to secure a satisfactory resolution of your complaint, were we able to assist you by providing useful information?

Yes No

8. Do you have any other comments about your experience with the Office of Investor Education and Assistance? If so, please provide your comments below.

9. If we can provide you with further assistance or information about securities-related matters, please let us know what you need and we will make every effort to assist you. Please be aware that if the issue you raise does not relate to securities, then the SEC does not have the authority to help you. You may be able to find assistance by contacting another federal or state government agency.

If you tell us below how to contact you, we will make every effort to assist you.

Name:
(Prefix) (First) (MI) (Last) (Suffix)

Address:

City: State: Zip Code:

e:

Daytime
Telephone:

E-mail
Address:

Thank You!

This collection of information has been reviewed by the Office of Management and Budget ("OMB") in accordance with 44 U.S.C. 3507 (the Paperwork Reduction Act). Potential respondents to the collection of information are not required to respond unless a currently valid OMB control number is displayed. The information collected will be used to evaluate OIEA personnel but otherwise will be treated as confidential, subject, however, to the provisions of the Freedom of Information Act and the Privacy Act, see "Privacy Act Issuances, 1991 Compilation," vol. V, Federal Register a: 548-9, as amended (SEC-16).

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