

U.S. Securities and Exchange Commission
Office of Investor Education and Advocacy
2010 Customer Survey

Introduction

The Securities and Exchange Commission's Office of Investor Education and Advocacy is committed to providing excellent customer service, and we are conducting this research to help improve our services. Your answers are voluntary and will be treated as confidential. This survey has been authorized by Office of Management and Budget (Control No. 1090-0007) and will take approximately xx minutes to complete. Thank you for your participation.

Screening Question

Q1. Have you recently contacted the SEC's Office of Investor Education and Advocacy?

- 1 Yes (**CONTINUE**)
 - 2 No (**TERMINATE**)
 - 3 Don't Know (**Don't read**) (**TERMINATE**)
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Purpose of contact

Q2. What was the purpose of your most recent contact with the SEC's Office of Investor Education and Advocacy?

- 1 File a complaint
 - 2 Ask a question or request information
 - 3 Provide a tip about investment fraud
 - 4 Other (specify)
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Customer Care

Consider your most recent phone conversation or interaction with the SEC's Office of Investor Education and Advocacy. Using a 10-point scale, in which "1" means "poor" and "10" means "excellent," how would you rate...

- Q3. Availability of staff
 - Q4. Staff knowledge of the issue you called about
 - Q5. Effort to understand your issue
 - Q6. Consistency of response/information if you spoke to more than one person
 - Q7. Timeliness of follow up provided by staff
 - Q8. Convenience of contact center hours
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ASK BELOW IF RESPONDENT MADE COMPLAINT (Q2=1 ELSE SKIP TO Q12)

Final Version

Think about the response that was provided regarding your complaint. On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the response on the following:

- Q9. Timeliness of response
- Q10. Clarity of response
- Q11. Value of information provided in the response

ACSI Benchmark Questions

Now, please think about your overall experiences with the SEC’s Office of Investor Education and Advocacy ...

- Q12. Using a 10-point scale on which “1” means “very dissatisfied” and “10” means “very satisfied,” how satisfied are you with the service provided by the SEC’s Office of Investor Education and Advocacy?
- Q13. Using a 10-point scale on which “1” now means “falls short of your expectations” and “10” means “exceeds your expectations,” to what extent has the service provided by the SEC’s Office of Investor Education and Advocacy fallen short of or exceeded your expectations?

Forget for a moment your experience with the SEC’s Office of Investor Education and Advocacy. Now, imagine what an ideal institution that handles investor complaints and provides investor information.

- Q14. How well do you think the SEC’s Office of Investor Education and Advocacy compares with that ideal institution you just imagined? Please use a 10-point scale on which “1” means “Not very close to the ideal,” and “10” means “very close to the ideal.”

Outcome Measures

- Q15. Do you have any comments you would like to share with the SEC’s Office of Investor Education and Advocacy? (Open End)

Thank you for your time. The SEC’s Office of Investor Education and Advocacy appreciates your input and will use this feedback to better serve its customers.