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# U.S. Securities and Exchange Commission Office of Investor Education and Advocacy 2014 Customer Survey

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## Introduction

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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 anonymous. This survey has been authorized by Office of Management and Budget Control No. 1090-0007, which expires March 31, 2015 and will take approximately 5 minutes to complete. Thank you for your participation.

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## Screening Question

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

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

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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

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Q3. Did you speak to someone at the SEC's Office of Investor Education and Advocacy?

- 1 Yes (**CONTINUE TO Q4**)
- 2 No (**SKIP TO Q6**)
- 3 Don't Know (**SKIP TO Q6**)

Using a 10-point scale, in which "1" means "poor" and "10" means "excellent," how would you rate...

Q4. Availability of staff

Q5. Consistency of response/information if you spoke to more than one person

Consider your most recent 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...

Q6. Staff knowledge of the issue you raised

Q7. Timeliness of response provided by staff

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## ASK BELOW IF RESPONDENT MADE COMPLAINT (Q2=1 ELSE SKIP TO Q10)

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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:

Q8. Clarity of response

Q9. Value of information provided in the response

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Q10. Was the staff able to provide you the information you needed?

- 1 Yes
- 2 No
- 3 Does not apply

Q11. Was the staff able to resolve your issue?

- 1 Yes
- 2 No
- 3 Does not apply

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### ACSI Benchmark Questions

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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?

**IF Q12<6 then ask 12a**

Q12a. Which best describes the reason for your low rating?

1. Issue not resolved
2. Did not get needed information
3. Poor service from representative
4. Other

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."

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### Outcome Measures

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

Q16. Would you like us to follow up with you regarding your issue?

- 1 Yes **(ASK FOR EMAIL ADDRESS)**
- 2 No

**IF Q16=1 YES Please provide us with an email address where we can contact you.**

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.