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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? Please select "1" for "yes", "2" for "no"

**IF Q1=1 Yes (CONTINUE); IF Q2=No (TERMINATE)**

Select "\*" to repeat this question.

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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?

Select "1" for "File a complaint."

Select "2" for "Ask a question or request information."

Select "3" for "Provide a tip about investment fraud."

Select "4" for "Other."

Select "\*" to repeat this question.

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## Customer Care

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Consider your most recent phone conversation or interaction with the SEC's Office of Investor Education and Advocacy.

Using the numbers on your phone keypad for a scale from "1" to "9", where "1" means "poor" and "9" means "excellent," how would you rate the following...

Q3. Availability of staff

**Select "\*" to repeat the question.**

Q4. Consistency of response/information if you spoke to more than one person

**Select "\*" to repeat the question.**

Q5. Staff knowledge of the issue you raised

**Select "\*" to repeat the question.**

Q6. Timeliness of response provided by staff

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**Select “\*” to repeat the question.**

Q7. Convenience of contact center hours

**Select “\*” to repeat the question.**

Q8. If you spoke to more than one person, please rate the Consistency of response. Use the numbers on your phone keypad for a scale from “1” to “9”, where “1” means “poor” and “9” means “excellent.” If you only spoke to one person, please select “0”.

**Select “\*” to repeat the question.**

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**ASK BELOW IF RESPONDENT MADE COMPLAINT (Q2=1 ELSE SKIP TO Q12)**

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Think about the response that was provided regarding your complaint. Use the numbers on your phone keypad for a scale from “1” to “9,” where “1” is “poor” and “9” is “excellent,” please rate the response on the following:

Q9. Clarity of response

**Select “\*” to repeat the question.**

Q10. Value of information provided in the response

**Select “\*” to repeat the question.**

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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 your phone keypad for a 9-point scale on which "1" means "very dissatisfied" and "9" means "very satisfied," how satisfied are you with the service provided by the SEC’s Office of Investor Education and Advocacy?

**Select “\*” to repeat the question.**

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

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

Select “1” for “Issue not resolved”

Select “2” for “Did not get needed information”

Select “3” for “Poor service from representative”

Select “4” for “Other”

**Select “\*” to repeat the question.**

Q13. Using your phone keypad for a 9-point scale on which "1" now means "falls short of your expectations" and "9" 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?

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**Select "\*" to repeat the question.**

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? Use your phone keypad for a 9-point scale on which "1" means "Not very close to the ideal," and "9" means "very close to the ideal."

**Select "\*" to repeat the question.**

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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)

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.