

**CFTC Investment Fraud Survey Screener**

Thank you for participating in this important survey. This research is sponsored by the Commodities Futures Trading Commission [Office of Management and Budget Control # XXXX-XXXX Expiration Date: XX/XX/2014], an independent federal agency that shares responsibility with other federal agencies like the Securities and Exchange Commission (SEC) to regulate financial markets.

This survey is for research purposes only to better help communicate important information and updates to consumers and investors. Your answers will remain strictly confidential, and no one will contact you as a result of any of your responses. Participation in this survey is voluntary, but many find the information and questions to be interesting and informative.

**[SCREENING CRITERIA, FOR LIST PULL SAMPLE OF: 50-64 YEAR OLDS, HHOLD INCOME AT LEAST \$60K]**

**Current Timing 1 min**

1. In your household, who makes decisions on key financial matters? **[FOR Q1, TERMINATE 2 AND 4]**

- I do.....1
- Spouse or partner.....2
- I share responsibility with someone else.....3
- Someone else.....4
- Don't know.....5

2. **[ASK IF Q1=3 "SHARE"]** When it comes to financial matters for things like personal investments in stocks, mutual funds, or other trading products, how likely are you to be involved in making decisions for your household? **[FOR Q2, TERMINATE 2 TO 4]**

- Very likely.....1
- Somewhat likely.....2
- Not too likely.....3
- Not at all likely.....4

3. Next you will see a list of different types of investment products. For each one, please indicate how familiar you are with this type of product. **[RANDOMIZE] [MUST =4 ON TWO ITEMS; OR =3 ON TWO ITEMS AND =4 ON ADDITIONAL ITEM TO CONTINUE]**

- a. Stocks and shares
- b. Bonds
- c. Futures or options
- d. Mutual funds
- e. An investment account, such as a brokerage account or IRA

- Not at all familiar.....1
- Not too familiar.....2
- Somewhat familiar.....3
- Very familiar.....4

Extremely familiar.....5