

CFTC SmartCheck Annual Campaign Impact Tracking Survey
Supporting Statement

A. JUSTIFICATION

1. Circumstances Making the Collection of Information Necessary

Executive Order 12862 directs Federal agencies to provide service to the public that matches or exceeds the best service available in the private sector. In order to work continuously to ensure that our programs are effective and meet our customers' needs, the Commodity Futures Trading Commission's Office of Customer Education and Outreach (OCEO) seeks to obtain OMB approval of a clearance to help determine if the CFTC's SmartCheckSM campaign is helping customers identify, avoid, and report financial fraud.

This collection of information is necessary to enable the OCEO to garner investor feedback in an efficient and timely manner in accordance with our commitment to improving service delivery. The information collected from investors will help ensure that users have an effective, efficient, and satisfying experience with OCEO programs. This feedback will provide insights into investor perceptions and experiences and provide information about areas where attention to communication or other changes to other campaign elements might improve delivery of products or services. This collection will also allow feedback to contribute to the improvement of program management.

2. Purpose and Use of the Information Collection

The OCEO will use the information collected in the survey to refine the methods used to inform the public about how to best detect and report financial fraud. This will be done by creating a final summary report that includes key findings from the survey. Findings from the summary report will be used to directionally inform the outreach efforts that the CFTC undertakes concerning helping customers avoid financial fraud.

3. Consideration Given to Information Technology

The survey will be conducted using an online method to reduce the burden on the public.

4. Duplication of Information

No similar data are gathered or maintained by the OCEO or are available from other sources known to the OCEO.

5. Reducing the Burden on Small Entities

It is unlikely that small businesses or other small entities will be involved in these efforts

6. Consequences of Not Conducting Collection

Without this feedback, the OCEO will not have the information required to adjust its outreach products and services to meet customer needs.

7. Special Circumstances

The information collected will be voluntary.

8. Consultations with Persons Outside the Agency

In accordance with 5 CFR 1320.8(d), on June 9, 2016, a 60-day notice for public comment was published in the Federal Register at 81 FR 37188. In accordance with 5 CFR 1320.10(a) on August 11, 2016, a 30-day notice for public comment was published in the Federal Register at 81 FR 53125. The Commission received one comment, unrelated to the subject collection of information.

9. Payment or Gift

The screening criteria to recruit investors for the online survey would call for respondents who meet specific criteria. YouGov will be used to recruit the participants. Compensation for the participants has not yet been determined.

10. Confidentiality

The Commission does not provide respondents with an assurance of confidentiality beyond that provided by applicable law. Participation will be fully voluntary and, to the extent possible, responses will be anonymous.

11. Sensitive Nature

No questions will be asked that are of a sensitive nature.

12. Burden of Information collection

The total annual estimated burden imposed by this collection of information is 566.7 hours annually.

13. Costs to Respondents

No costs are anticipated.

14. Costs to the Federal Government

The cost for this survey is approximately \$50,000.

15. Reason for Change

Not applicable. This is a new request.

16. Tabulation of Results, Schedule, Analysis Plans

Feedback collected under this clearance provides data that can be generalized to the target audience population.

17. Display of OMB Approval Date

This question does not apply.

18. Exceptions to Certification for Paperwork Reduction Act Submissions

These activities comply with the requirements in 5 CFR 1320.9.

Attachment A

Reporting Burden

Estimated Annual Reporting Burden Hours					
17 C.F.R. 165.12	Annual reporting 4,000	Frequency of reporting 1 response per respondent	Hours per report 1 minute per response	Total 4,000	66.7 hours total burden
17 C.F.R. 165.12	2,000	1 response per respondent	15 minutes per response	2,000	500 hours total burden

