

CFTC SmartCheck Annual Campaign Impact Tracking Survey

CFTC TARGET = Age 50-65; HH income 60k+; Answers 1 or 2 for question 1; Invests in 2 or more products in question 2

Screener

1. When it comes to family and personal investments like stocks, mutual funds, or other trading products, how likely are you to be involved in making decisions for your household?

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

2. Below is a list of financial products. Please select all that you currently are invested in or have invested in.

1	Stocks or shares
2	Precious metals like gold or silver
3	Foreign currency trading (FOREX)
4	Any type of futures or options
5	None of these [Single Punch (SP)]
6	Don't know [SP]

Survey

[GRID, SP ACROSS]

3. Before taking this survey, had you read, seen, or heard anything about each of the following? Please select one option on each row. COLUMNS:

- a. Yes, I have
- b. No, I haven't
- c. Don't know/not sure

ROWS [RANDOMIZE, FIX CFTC AT TOP]:

	The Commodity Futures Trading Commission (CFTC)
	CFTC SmartCheck, a campaign that promotes expert tools and resources to check the background of financial professionals, learn how to avoid investment fraud, and report suspicious activity
	SmartCheck.gov, a website that links to databases which allow investors to check the background of financial professionals
	Investor.gov, a website that allows you to check the background of investment adviser representatives and firms
	BrokerCheck.org, a website that allows you to check the background of brokers who sell stocks, bonds, mutual funds and other securities

[GRID, SP ACROSS. RANDOMIZE GRID ROWS]

4. Please imagine you were considering investing with someone you had not invested with before. How likely or unlikely would you be to complete each of the following actions using the scale below? Please select one option on each row. COLUMNS:

- a. Very likely
- b. Somewhat likely
- c. Neither likely nor unlikely
- d. Somewhat unlikely
- e. Very unlikely

ROWS [RANDOMIZE]:

	Review performance history
	Talk to references and/or past clients
	Confirm certifications and/or education
	Perform a general Internet search
	Check disciplinary history with an official financial regulator
	Check licensing and/or registration status with an official financial regulator
	Personally interview
	Check job affiliations with an official financial regulator
	None of these/don't know [SP]

5. Why are you [pipe in response from Q4 – somewhat/very unlikely] to [pipe in responses from Q4 that were indicated as somewhat/very unlikely]? Please type your answer in the box below. [OPEN END] (either open-end responses or list of responses)

[SP]

6. Generally speaking, how concerned are you about unknowingly being part of a fraudulent investment?

1	Very concerned
2	Somewhat concerned
3	Not too concerned
4	Not at all concerned

[SP]

7. If you suspected an investment you were aware of was fraudulent, how likely, if at all, would you be to report it to a government financial agency such as the U.S. Commodity Futures Trading Commission (CFTC) or the U.S. Securities and Exchange Commission (SEC)?

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

[SP]

8. If you became aware that an investment you were already a part of was fraudulent, how likely, if at all, would you be to report it to a government financial agency such as the U.S. Commodity Futures Trading Commission (CFTC) or the U.S. Securities and Exchange Commission (SEC)?

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

[MP; RANDOMIZE LEAVING LAST 1 AT THE END]

9. Which, if any, of the following do you think are potential signs of investment fraud? Please select all that apply. [MULTIPLE RESPONSE PERMITTED, RANDOMIZE]

If the person selling the investment...

1	said the investment has a guaranteed rate of return.
2	said s/he has a special credential, so they can be trusted.
3	said that many of your friends have already invested in the opportunity.
4	was willing to charge you half of the regular commission.
5	said the opportunity was closing soon, so it was important to act quickly.
6	None of these [SP]

[GRID, SP ACROSS. RANDOMIZE GRID ROWS]

10. To what extent do you agree or disagree with each of the following statements.

COLUMNS:

- a. Strongly agree
- b. Somewhat agree
- c. Neither agree nor disagree
- d. Somewhat disagree
- e. Strongly disagree

ROWS [RANDOMIZE]:

- It is important to know the common signs of fraud when investing.
- The government reviews and investigates all alleged reports of investment fraud.
- I know where to go to report suspected or known incidents of investment fraud.
- I know where to go to check the background of a financial professional.
- Before I invest, it is important to check the registration and/or licensing status of a financial professional.
- Each year, it is important to check the registration and/or licensing of a financial professional with whom I invest.
- Before I invest, it is important to check the disciplinary history of a financial professional.
- Each year, it is important to check the disciplinary history of a financial professional.

