

CFTC Investment Fraud Conversation Starter Kit Testing – Online Bulletin Board Moderator’s Guide

Length: 4 days, 30 minutes of engagement on the online bulletin board per day

Recruit 20

Day 1: Introductions and General Investing Background (20 minutes)

- How long have you been investing in financial products?
 - 0-2 years
 - 3-5 years
 - 5-10 years
 - 11+ years

- How do you choose what to invest in? [OPEN-END]

- How would you describe your investment risk tolerance?
 - Very risky
 - Somewhat risky
 - Not very risky
 - Not risky at all

- Why? [OPEN-END]

- Are you aware of any government agencies or other entities that work to fight investment fraud? Please select all that apply.
 - U.S. Securities and Exchange Commission (SEC)
 - U.S. Commodity Futures Trading Commission (CFTC)
 - Financial Industry Regulatory Authority (FINRA)
 - Other [SPECIFY]

- Have you ever heard of CFTC/the U.S. Commodity Futures Trading Commission?
 - Yes
 - No
 - Don’t know/not sure

 - [IF YES] What have you heard? What do you think they do? [OPEN-END]

- Where do you get information related to investments? Who do you trust the most? Who do you not trust? [OPEN-END]

- What is the best way to reach busy people like you with information related to investing? [OPEN-END]

Day 2: Financial Fraud Discussion + CSK Kit Review (30 minutes)

- How often do you find yourself having conversations with friends, family or peers about investments? What about investment fraud? [GRID BELOW]
 - a. Investments

- b. Investment fraud
 - Very often
 - Somewhat often
 - Not very often
 - Not often at all
- Are you comfortable having conversations about investment fraud?
 - Very comfortable
 - Somewhat comfortable
 - Not very comfortable
 - Not comfortable at all
- What are some topics or areas about investment fraud that you are not comfortable discussing? [OPEN-END]
- Have you ever sought out materials to help learn more about investment fraud or help you with those conversations?
 - Yes
 - No
- Why or why not? [OPEN-END]
- Do you make your investment decisions alone or with a partner/spouse/someone else?
 - Alone
 - With a partner/spouse
 - With someone else
 - Other [SPECIFY]
- How are those investment decisions made? How do you evaluate new investment opportunities? [OPEN-END]
- How worried are you about becoming a victim of investment fraud? How concerned are you about others in your life becoming victims of investment fraud? [GRID BELOW]
 - a. Myself
 - b. Others in my life
 - Very worried
 - Somewhat worried
 - Not very worried
 - Not worried at all
- Why? [OPEN-END]

Show Conversation Starter Kit

[PLACEHOLDER FOR CSK CONVERSATION STARTER KIT]
 [GRID BELOW]

- a. I understand the information shared in this kit
 - b. I find the information shared in this kit helpful
 - c. I learned something new from this kit
 - d. I see myself using this kit when having conversations with friends and family about smart investing decisions
 - e. I see myself using this kit when having conversations with friends and family about investment fraud
 - f. I could see this kit fitting into my life
 - g. I would recommend this kit to a friend and/or family member
- What are your initial reactions this kit? What do you like? What do you not like? [OPEN-END]
 - What words or images stand out to you in particular? Highlight or circle words or images you like, strike or cross out words or images you don't like or that don't make sense. [MARK UP]
 - Who do believe is intended to use this kit? [OPEN-END]
 - How would it fit into your life? [OPEN-END]
 - What would you change? What is missing? Is there any other information you would expect to be included in this? [OPEN-END]
 - Would you download the kit from a trusted website or prefer to receive the kit another way (from financial advisor, at an library, at an event about money and investing, etc.)? [OPEN-END]
[PLACEHOLDER FOR EXAMPLE WEBSITE ON WHICH KIT MIGHT APPEAR]
 - Why or why not would you recommend this kit to a friend or family member? [OPEN-END]

Day 3: Supplemental Materials Review (25 minutes)

- Thinking back to the kit you reviewed yesterday, please provide any additional thoughts on the material itself or how you might use it or find it helpful. [OPEN-END]

Show Supplemental Material - Virtual Currency Brochure

[PLACEHOLDER FOR VIRTUAL CURRENCY BROCHURE]

[GRID BELOW]

- a. I understand the information shared in this brochure
- b. I find the information shared in this brochure helpful
- c. I learned something new from this brochure
- d. I see myself using this brochure when having conversations with friends and family about smart investing decisions
- e. I could see this brochure fitting into my life
- f. I would recommend this brochure to a friend and/or family member
- What are your initial reactions the brochure? What do you like? What do you not like? [OPEN-END]

- What words or images stand out to you in particular? Highlight or circle words or images you like, strike or cross out words or images you don't like or that don't make sense. [MARK UP]
- Who do you believe is intended to use this brochure? [OPEN-END]
- How would it fit into your life? [OPEN-END]
- What would you change? What is missing? Is there any other information you would expect to be included in this brochure? [OPEN-END]
- What other topic areas would you like to have a similar brochure on, if any? [OPEN-END]

Day 4: Wrap-Up Day (20 minutes)

- Reflecting on the information and topics discussed on this board over the last few days, what are your thoughts? Did you learn anything? Were you interested in the materials and/or the topic? [OPEN-END]
- Thinking about the conversation over the last three days, how worried are you about falling victim to investment fraud? What about others in your life? [GRID BELOW]
 - a. Myself
 - b. Others in my life
 - Very worried
 - Somewhat worried
 - Not very worried
 - Not worried at all
- Finally, what are some barriers to reaching people like you with investment fraud information? Are there certain things that we should not say or words we should not use? Are there efforts you have seen on similar topics that have failed? [OPEN-END]
- Please share final thoughts on investment fraud, conversations around investment fraud, and what would motivate you to have discussions about investment fraud with your friends and loved ones. [OPEN-END]

That is all we have for you. Thank you for your participation!