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[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

Q4. Have there been opportunities over the past three years for you to participate in training that provided the latest industry specific knowledge relevant to your job with outside instructors who are experts in the field?	Yes		No		Do not know		Total	
	#	%	#	%	#	%	#	%
Division of Enforcement	518	79.20	81	12.39	55	8.41	654	100.00
Division of Corporation Finance	217	76.41	58	20.42	9	3.17	284	100.00
Division of Investment Management	94	81.03	14	12.07	8	6.90	116	100.00
Division of Trading and Markets	111	82.22	14	10.37	10	7.41	135	100.00
Division of Economic and Risk Analysis	44	73.33	6	10.00	10	16.67	60	100.00
Office of Compliance Inspections and Examinations	406	75.46	86	15.99	46	8.55	538	100.00
Other	9	100.00	*	*	*	*	9	100.00

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

In the past 12 months, how often, if at all, did you typically contact employees in the following Headquarters divisions or offices for work-related issues such as to coordinate activities or ask for expert advice?

[illegible]

In the past 12 months, how often, if at all, did you typically contact employees in the following Headquarters divisions or offices for work-related issues such as to coordinate activities or ask for expert advice?

[illegible]

In the past 12 months, how often, if at all, did you typically contact employees in the following Headquarters divisions or offices for work-related issues such as to coordinate activities or ask for expert advice?

[illegible]

In the past 12 months, how often, if at all, did you typically contact employees in the following Headquarters divisions or offices for work-related issues such as to coordinate activities or ask for expert advice?

[illegible]

[illegible]

In the past 12 months, how often, if at all, did you typically contact employees in the following Headquarters divisions or offices for work-related issues such as to coordinate activities or ask for expert advice?

[illegible]

Q10. In which location do you currently work?	Headquarters (Washington, D.C.)		A regional or district office		Total	
	#	%	#	%	#	%
Division of Enforcement	225	34.40	429	65.60	654	100.00
Division of Corporation Finance	281	100.00	*	*	281	100.00
Division of Investment Management	94	81.74	21	18.26	115	100.00
Division of Trading and Markets	122	90.37	13	9.63	135	100.00
Division of Economic and Risk Analysis	50	81.97	11	18.03	61	100.00
Office of Compliance Inspections and Examinations	79	14.74	457	85.26	536	100.00
Other	*	*	6	100.00	6	100.00

10a. In the past 12 months, how often, if at all, did you typically communicate with employees in the other division or office within your Regional Office for workrelated issues such as to coordinate activities or ask for expert advice?

[illegible]

10a. In the past 12 months, how often, if at all, did you typically communicate with employees in the other division or office within your Regional Office for workrelated issues such as to coordinate activities or ask for expert advice?

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

[illegible]

13. Over the past three years, to what extent, if at all, have the Senior Officers (SOs) in your division/office worked to make improvements in the area listed below?

[illegible]

13. Over the past three years, to what extent, if at all, have the Senior Officers (SOs) in your division/office worked to make improvements in the area listed below?

[illegible]

13. Over the past three years, to what extent, if at all, have the Senior Officers (SOs) in your division/office worked to make improvements in the area listed below?

[illegible]

13. Over the past three years, to what extent, if at all, have the Senior Officers (SOs) in your division/office worked to make improvements in the area listed below?

[illegible]

Over the past three years, to what extent, if at all, has management solicited employees' ideas and suggestions in developing initiatives designed to improve communication and training opportunities?

[illegible]

Over the past three years, to what extent, if at all, has management solicited employees' ideas and suggestions in developing initiatives designed to improve communication and training opportunities?

[illegible]

[illegible]

Over the past three years, how satisfied have you been with initiatives management developed to improve communication, the performance management system, and training opportunities?

[illegible]

Over the past three years, how satisfied have you been with initiatives management developed to improve communication, the performance management system, and training opportunities?

[illegible]

[illegible]

[illegible]

[illegible]

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

[illegible]

[illegible]

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

[illegible]

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

[illegible]

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

[illegible]

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

[illegible]

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

[illegible]

[illegible]

[illegible]

Q21A. Overall, Senior Officers deal effectively with poor performing supervisors and managers.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Division of Enforcement	19	2.90	56	8.54	81	12.35	136	20.73	175	26.68	189	28.81	656	100.00
Division of Corporation Finance	9	3.17	24	8.45	35	12.32	54	19.01	58	20.42	104	36.62	284	100.00
Division of Investment Management	*	*	12	10.43	13	11.30	26	22.61	26	22.61	38	33.04	115	100.00
Division of Trading and Markets	*	*	14	10.69	16	12.21	25	19.08	39	29.77	37	28.24	131	100.00
Division of Economic and Risk Analysis	*	*	*	*	*	*	8	15.38	6	11.54	38	73.08	52	100.00
Office of Compliance Inspections and Examinations	14	2.59	64	11.85	83	15.37	115	21.30	155	28.70	109	20.19	540	100.00
Other	*	*	*	*	*	*	*	*	7	100.00	*	*	7	100.00

[illegible]

[illegible]

Q21H. Favoritism is typically not an issue in promotions.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Division of Enforcement	63	9.65	72	11.03	96	14.70	124	18.99	147	22.51	151	23.12	653	100.00
Division of Corporation Finance	19	6.71	31	10.95	43	15.19	54	19.08	72	25.44	64	22.61	283	100.00
Division of Investment Management	15	12.93	14	12.07	17	14.66	22	18.97	28	24.14	20	17.24	116	100.00
Division of Trading and Markets	18	13.64	25	18.94	22	16.67	14	10.61	33	25.00	20	15.15	132	100.00
Division of Economic and Risk Analysis	11	18.03	9	14.75	9	14.75	7	11.48	6	9.84	19	31.15	61	100.00
Office of Compliance Inspections and Examinations	82	15.27	91	16.95	89	16.57	99	18.44	118	21.97	58	10.80	537	100.00
Other	*	*	*	*	*	*	*	*	6	100.00	*	*	6	100.00

[illegible]

[illegible]

Q24A. There is an atmosphere of trust in my division/office.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Division of Enforcement	139	21.32	254	38.96	84	12.88	101	15.49	67	10.28	7	1.07	652	100.00
Division of Corporation Finance	63	22.34	106	37.59	33	11.70	38	13.48	42	14.89	*	*	282	100.00
Division of Investment Management	26	22.61	44	38.26	15	13.04	22	19.13	8	6.96	*	*	115	100.00
Division of Trading and Markets	28	20.90	42	31.34	21	15.67	25	18.66	18	13.43	*	*	134	100.00
Division of Economic and Risk Analysis	20	40.82	29	59.18	*	*	*	*	*	*	*	*	49	100.00
Office of Compliance Inspections and Examinations	67	12.43	186	34.51	69	12.80	114	21.15	96	17.81	7	1.30	539	100.00
Other	*	*	*	*	*	*	*	*	7	100.00	*	*	7	100.00

Q24B. Employee morale is generally high most of the time.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Division of Enforcement	89	13.67	221	33.95	98	15.05	135	20.74	96	14.75	12	1.84	651	100.00
Division of Corporation Finance	33	11.62	98	34.51	54	19.01	47	16.55	46	16.20	6	2.11	284	100.00
Division of Investment Management	12	10.43	44	38.26	20	17.39	27	23.48	12	10.43	*	*	115	100.00
Division of Trading and Markets	13	9.63	44	32.59	23	17.04	34	25.19	21	15.56	*	*	135	100.00
Division of Economic and Risk Analysis	17	30.91	20	36.36	12	21.82	*	*	6	10.91	*	*	55	100.00
Office of Compliance Inspections and Examinations	38	7.13	160	30.02	107	20.08	108	20.26	120	22.51	*	*	533	100.00
Other	*	*	*	*	*	*	*	*	8	100.00	*	*	8	100.00

