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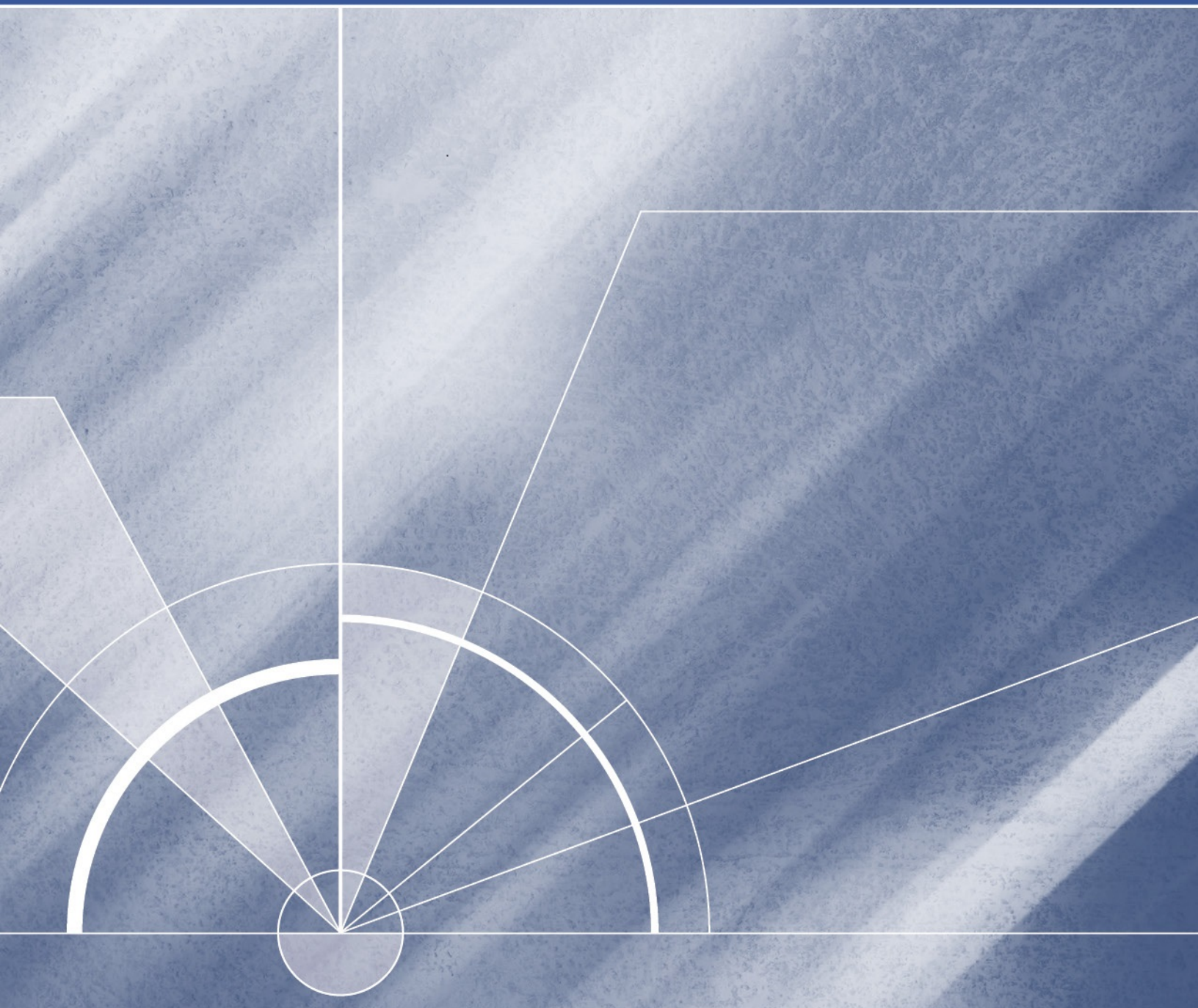
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2017


Federal Employee Viewpoint Survey
Empowering Employees. Inspiring Change.

1st Level
Subagency
Comparison
Report

Securities and Exchange Commission





Securities and Exchange Commission *1st Level Subagency Comparison Report*

This 2017 Federal Employee Viewpoint Survey Report provides summary results for your subagencies, including comparisons to your department or agency.

Response Summary

| | Surveys Completed | Response Rate |
|---|-------------------|---------------|
| Governmentwide | 486,105 | 45.5% |
| Securities and Exchange Commission | 3,526 | 79.6% |
| Division of Corporation Finance | 364 | 79.3% |
| Division of Investment Management | 137 | 82.0% |
| Division of Economic and Risk Analysis | 120 | 87.0% |
| Division of Trading and Markets | 156 | 61.2% |
| Office of Acquisitions | 48 | 88.9% |
| O. of Chief Accountant | 32 | 100.0% |
| Office of Financial Management | 84 | 85.7% |
| Office of Support Operations | 89 | 92.7% |
| Office of General Counsel | 97 | 70.8% |
| Office of Human Resources | 109 | 93.2% |
| Office of Information Technology | 124 | 74.7% |
| Office of the Inspector General | 42 | 91.3% |
| Office of International Affairs | 38 | 73.1% |
| Office of Investor Education and Advocacy | 36 | 83.7% |
| Office of Credit Ratings | 38 | 90.5% |
| Office of the Secretary | 20 | 100.0% |
| Executive Staff | <10 | -- |
| O. of the Chief Operating Officer | 11 | 91.7% |
| National Examination Program | 761 | 78.5% |
| National Enforcement Program | 1,006 | 80.3% |
| Regional Operations | 116 | 76.3% |
| Other (OIAD, OMS, OMWI) | 22 | 84.6% |
| O. of Administrative Law Judges | 10 | 83.3% |
| Office of Ethics Counsel | 14 | 77.8% |
| O. of Equal Employment Opportunity | 11 | 84.6% |
| O. of Public Affairs | 13 | 100.0% |
| O. of Strategic Initiatives | 11 | 84.6% |

Your Data

An embedded Microsoft® Excel® file containing your results. To access the workbook from Adobe® Reader®, double click on the 'pin' in the upper left corner of this page. Alternatively, you may access the workbook through the vertical navigation pane on the left side of the Adobe® Reader® window by clicking on the image of the paper clip.

Main Report Results

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The results include response percentages for each survey item. The definitions for the Positive, Neutral, and Negative response percentages vary in the following ways across the three primary response scales used in the survey:

Positive: *"Strongly Agree and Agree"* or *"Very Satisfied and Satisfied"* or *"Very Good and Good"*

Neutral: *"Neither Agree nor Disagree"* or *"Neither Satisfied nor Dissatisfied"* or *"Fair"*

Negative: *"Disagree and Strongly Disagree"* or *"Dissatisfied and Very Dissatisfied"* or *"Poor and Very Poor"*

Positive, Neutral, and Negative percentages are based on the total number of responses (N) that are in these three categories. The number of *Do Not Know (DNK)* or *No Basis to Judge (NBJ)* responses, where applicable, is listed separately.

Note: Response rates are not displayed in the Response Summary table when there are fewer than 10 completed surveys. The report tables that follow do not include results for any subagency that had fewer than 10 completed surveys.

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My Work Experience

1. I am given a real opportunity to improve my skills in my organization.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 485,193 | 64.1% | 16.0% | 19.9% |
| Securities and Exchange Commission | 3,523 | 78.2% | 11.5% | 10.3% |
| Division of Corporation Finance | 364 | 79.0% | 11.5% | 9.5% |
| Division of Investment Management | 137 | 81.9% | 11.5% | 6.6% |
| Division of Economic and Risk Analysis | 120 | 82.5% | 5.9% | 11.7% |
| Division of Trading and Markets | 156 | 77.4% | 12.2% | 10.3% |
| Office of Acquisitions | 48 | 81.3% | 8.5% | 10.2% |
| O. of Chief Accountant | 32 | 93.6% | 3.3% | 3.1% |
| Office of Financial Management | 84 | 70.1% | 14.3% | 15.5% |
| Office of Support Operations | 89 | 89.9% | 4.6% | 5.5% |
| Office of General Counsel | 97 | 77.8% | 10.4% | 11.7% |
| Office of Human Resources | 109 | 76.2% | 13.6% | 10.2% |
| Office of Information Technology | 124 | 68.6% | 16.5% | 14.9% |
| Office of the Inspector General | 42 | 76.8% | 4.7% | 18.5% |
| Office of International Affairs | 38 | 81.8% | 4.5% | 13.7% |
| Office of Investor Education and Advocacy | 36 | 68.7% | 23.0% | 8.3% |
| Office of Credit Ratings | 38 | 52.3% | 26.3% | 21.3% |
| Office of the Secretary | 20 | 75.4% | 20.3% | 4.3% |
| O. of the Chief Operating Officer | 11 | 82.0% | 9.3% | 8.7% |
| National Examination Program | 760 | 77.3% | 13.5% | 9.2% |
| National Enforcement Program | 1,005 | 80.5% | 10.0% | 9.5% |
| Regional Operations | 115 | 70.3% | 11.4% | 18.3% |
| Other (OIAD, OMS, OMWI) | 22 | 73.7% | 9.2% | 17.0% |
| O. of Administrative Law Judges | 10 | 49.6% | 30.9% | 19.5% |
| Office of Ethics Counsel | 14 | 86.0% | 5.9% | 8.1% |
| O. of Equal Employment Opportunity | 11 | 83.3% | 7.1% | 9.7% |
| O. of Public Affairs | 13 | 92.5% | 7.5% | 0.0% |
| O. of Strategic Initiatives | 11 | 81.2% | 9.4% | 9.5% |

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My Work Experience (continued)

2. I have enough information to do my job well.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|-------------|
| Governmentwide | 483,786 | 71.1% | 14.4% | 14.5% |
| Securities and Exchange Commission | 3,512 | 81.4% | 10.1% | 8.5% |
| Division of Corporation Finance | 360 | 84.2% | 8.9% | 6.9% |
| Division of Investment Management | 136 | 85.2% | 5.1% | 9.7% |
| Division of Economic and Risk Analysis | 118 | 78.7% | 13.6% | 7.7% |
| Division of Trading and Markets | 156 | 76.8% | 11.0% | 12.2% |
| Office of Acquisitions | 48 | 86.0% | 10.1% | 3.9% |
| O. of Chief Accountant | 32 | 90.4% | 9.6% | 0.0% |
| Office of Financial Management | 84 | 85.6% | 9.6% | 4.8% |
| Office of Support Operations | 89 | 91.1% | 2.2% | 6.7% |
| Office of General Counsel | 97 | 88.8% | 6.6% | 4.5% |
| Office of Human Resources | 109 | 76.1% | 12.1% | 11.9% |
| Office of Information Technology | 124 | 66.4% | 13.6% | 20.0% |
| Office of the Inspector General | 42 | 81.4% | 4.9% | 13.8% |
| Office of International Affairs | 38 | 76.4% | 10.0% | 13.6% |
| Office of Investor Education and Advocacy | 36 | 77.7% | 11.3% | 10.9% |
| Office of Credit Ratings | 38 | 55.1% | 13.1% | 31.8% |
| Office of the Secretary | 20 | 80.3% | 15.4% | 4.3% |
| O. of the Chief Operating Officer | 11 | 82.0% | 9.3% | 8.7% |
| National Examination Program | 758 | 78.9% | 12.9% | 8.2% |
| National Enforcement Program | 1,003 | 85.4% | 8.2% | 6.4% |
| Regional Operations | 116 | 74.0% | 17.3% | 8.7% |
| Other (OIAD, OMS, OMWI) | 22 | 73.6% | 8.5% | 17.9% |
| O. of Administrative Law Judges | 10 | 69.8% | 30.2% | 0.0% |
| Office of Ethics Counsel | 13 | 100.0% | 0.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 92.9% | 0.0% | 7.1% |
| O. of Public Affairs | 13 | 70.0% | 7.4% | 22.6% |
| O. of Strategic Initiatives | 11 | 62.8% | 8.8% | 28.3% |

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My Work Experience (continued)

3. I feel encouraged to come up with new and better ways of doing things.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 481,568 | 59.5% | 17.7% | 22.8% |
| Securities and Exchange Commission | 3,503 | 69.4% | 14.7% | 15.8% |
| Division of Corporation Finance | 360 | 62.6% | 21.9% | 15.5% |
| Division of Investment Management | 137 | 77.6% | 15.7% | 6.7% |
| Division of Economic and Risk Analysis | 118 | 78.9% | 5.9% | 15.3% |
| Division of Trading and Markets | 155 | 63.7% | 17.5% | 18.8% |
| Office of Acquisitions | 47 | 80.8% | 11.0% | 8.2% |
| O. of Chief Accountant | 32 | 81.3% | 9.6% | 9.1% |
| Office of Financial Management | 84 | 74.0% | 9.5% | 16.6% |
| Office of Support Operations | 89 | 83.1% | 9.2% | 7.7% |
| Office of General Counsel | 96 | 65.4% | 18.3% | 16.4% |
| Office of Human Resources | 109 | 66.7% | 13.9% | 19.4% |
| Office of Information Technology | 123 | 61.4% | 13.0% | 25.6% |
| Office of the Inspector General | 41 | 66.4% | 14.5% | 19.1% |
| Office of International Affairs | 38 | 83.6% | 5.0% | 11.4% |
| Office of Investor Education and Advocacy | 36 | 62.6% | 15.2% | 22.1% |
| Office of Credit Ratings | 38 | 47.1% | 13.1% | 39.8% |
| Office of the Secretary | 20 | 80.2% | 15.5% | 4.3% |
| O. of the Chief Operating Officer | 10 | 90.4% | 0.0% | 9.6% |
| National Examination Program | 756 | 68.1% | 16.8% | 15.1% |
| National Enforcement Program | 1,001 | 71.2% | 12.9% | 15.9% |
| Regional Operations | 115 | 66.6% | 16.1% | 17.4% |
| Other (OIAD, OMS, OMWI) | 22 | 72.2% | 9.2% | 18.6% |
| O. of Administrative Law Judges | 10 | 49.7% | 30.8% | 19.5% |
| Office of Ethics Counsel | 14 | 86.1% | 0.0% | 13.9% |
| O. of Equal Employment Opportunity | 11 | 90.3% | 0.0% | 9.7% |
| O. of Public Affairs | 13 | 70.1% | 15.0% | 15.0% |
| O. of Strategic Initiatives | 11 | 71.7% | 9.4% | 19.0% |

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My Work Experience (continued)

4. My work gives me a feeling of personal accomplishment.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|-------------|
| Governmentwide | 483,323 | 71.9% | 14.4% | 13.7% |
| Securities and Exchange Commission | 3,506 | 82.6% | 10.3% | 7.1% |
| Division of Corporation Finance | 363 | 80.4% | 14.4% | 5.2% |
| Division of Investment Management | 137 | 81.3% | 13.5% | 5.2% |
| Division of Economic and Risk Analysis | 120 | 77.6% | 13.2% | 9.2% |
| Division of Trading and Markets | 154 | 81.0% | 12.4% | 6.5% |
| Office of Acquisitions | 47 | 80.8% | 10.7% | 8.5% |
| O. of Chief Accountant | 32 | 78.2% | 18.7% | 3.1% |
| Office of Financial Management | 84 | 75.1% | 15.3% | 9.6% |
| Office of Support Operations | 87 | 87.4% | 7.0% | 5.7% |
| Office of General Counsel | 96 | 84.9% | 7.7% | 7.5% |
| Office of Human Resources | 108 | 72.6% | 11.4% | 16.0% |
| Office of Information Technology | 123 | 69.5% | 15.2% | 15.3% |
| Office of the Inspector General | 42 | 74.2% | 4.8% | 21.0% |
| Office of International Affairs | 37 | 86.0% | 5.2% | 8.8% |
| Office of Investor Education and Advocacy | 36 | 77.5% | 8.3% | 14.3% |
| Office of Credit Ratings | 38 | 62.8% | 18.5% | 18.7% |
| Office of the Secretary | 20 | 80.5% | 19.5% | 0.0% |
| O. of the Chief Operating Officer | 11 | 91.2% | 8.8% | 0.0% |
| National Examination Program | 757 | 85.1% | 9.5% | 5.4% |
| National Enforcement Program | 1,001 | 86.5% | 7.7% | 5.8% |
| Regional Operations | 116 | 81.0% | 9.0% | 10.0% |
| Other (OIAD, OMS, OMWI) | 22 | 85.8% | 4.2% | 10.0% |
| O. of Administrative Law Judges | 10 | 70.3% | 19.9% | 9.8% |
| Office of Ethics Counsel | 14 | 79.1% | 5.9% | 14.9% |
| O. of Equal Employment Opportunity | 10 | 100.0% | 0.0% | 0.0% |
| O. of Public Affairs | 13 | 70.1% | 22.4% | 7.5% |
| O. of Strategic Initiatives | 11 | 71.7% | 0.0% | 28.3% |

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My Work Experience (continued)

5. I like the kind of work I do.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 481,878 | 83.4% | 10.7% | 5.8% |
| Securities and Exchange Commission | 3,510 | 88.4% | 8.4% | 3.2% |
| Division of Corporation Finance | 361 | 87.3% | 10.2% | 2.5% |
| Division of Investment Management | 136 | 88.3% | 10.2% | 1.5% |
| Division of Economic and Risk Analysis | 119 | 84.0% | 11.0% | 5.0% |
| Division of Trading and Markets | 155 | 88.3% | 8.4% | 3.3% |
| Office of Acquisitions | 48 | 76.8% | 16.9% | 6.3% |
| O. of Chief Accountant | 32 | 84.6% | 15.4% | 0.0% |
| Office of Financial Management | 83 | 84.6% | 12.0% | 3.4% |
| Office of Support Operations | 89 | 91.0% | 6.8% | 2.2% |
| Office of General Counsel | 95 | 91.0% | 8.0% | 1.1% |
| Office of Human Resources | 108 | 74.6% | 16.0% | 9.3% |
| Office of Information Technology | 124 | 81.5% | 11.4% | 7.1% |
| Office of the Inspector General | 42 | 79.1% | 11.9% | 9.0% |
| Office of International Affairs | 38 | 89.1% | 5.1% | 5.8% |
| Office of Investor Education and Advocacy | 35 | 76.9% | 23.1% | 0.0% |
| Office of Credit Ratings | 38 | 75.9% | 13.5% | 10.7% |
| Office of the Secretary | 20 | 85.6% | 14.4% | 0.0% |
| O. of the Chief Operating Officer | 11 | 91.2% | 8.8% | 0.0% |
| National Examination Program | 757 | 89.8% | 7.9% | 2.3% |
| National Enforcement Program | 1,005 | 92.2% | 5.1% | 2.6% |
| Regional Operations | 116 | 85.7% | 9.9% | 4.5% |
| Other (OIAD, OMS, OMWI) | 22 | 95.0% | 5.0% | 0.0% |
| O. of Administrative Law Judges | 10 | 80.1% | 10.2% | 9.6% |
| Office of Ethics Counsel | 14 | 79.1% | 13.9% | 6.9% |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% |
| O. of Public Affairs | 13 | 84.9% | 7.5% | 7.5% |
| O. of Strategic Initiatives | 11 | 81.2% | 9.5% | 9.4% |

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My Work Experience (continued)

6. I know what is expected of me on the job.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 481,399 | 80.4% | 10.6% | 9.0% |
| Securities and Exchange Commission | 3,501 | 84.1% | 8.5% | 7.5% |
| Division of Corporation Finance | 361 | 87.2% | 6.1% | 6.7% |
| Division of Investment Management | 135 | 83.9% | 8.6% | 7.5% |
| Division of Economic and Risk Analysis | 120 | 77.5% | 14.2% | 8.3% |
| Division of Trading and Markets | 154 | 83.0% | 7.8% | 9.1% |
| Office of Acquisitions | 48 | 87.8% | 6.3% | 5.9% |
| O. of Chief Accountant | 32 | 84.4% | 9.5% | 6.1% |
| Office of Financial Management | 84 | 86.0% | 9.2% | 4.8% |
| Office of Support Operations | 88 | 93.3% | 1.1% | 5.6% |
| Office of General Counsel | 95 | 89.9% | 5.4% | 4.6% |
| Office of Human Resources | 109 | 77.3% | 11.8% | 10.9% |
| Office of Information Technology | 124 | 82.7% | 6.3% | 11.1% |
| Office of the Inspector General | 42 | 81.5% | 0.0% | 18.5% |
| Office of International Affairs | 38 | 80.9% | 5.6% | 13.5% |
| Office of Investor Education and Advocacy | 36 | 83.4% | 2.6% | 14.0% |
| Office of Credit Ratings | 38 | 68.2% | 18.7% | 13.1% |
| Office of the Secretary | 20 | 84.5% | 15.5% | 0.0% |
| O. of the Chief Operating Officer | 11 | 90.7% | 9.3% | 0.0% |
| National Examination Program | 752 | 81.3% | 10.0% | 8.7% |
| National Enforcement Program | 1,001 | 86.5% | 8.4% | 5.1% |
| Regional Operations | 115 | 82.0% | 11.1% | 6.9% |
| Other (OIAD, OMS, OMWI) | 22 | 72.1% | 14.3% | 13.6% |
| O. of Administrative Law Judges | 10 | 69.6% | 20.6% | 9.8% |
| Office of Ethics Counsel | 14 | 94.1% | 0.0% | 5.9% |
| O. of Equal Employment Opportunity | 11 | 83.5% | 9.5% | 7.1% |
| O. of Public Affairs | 13 | 70.0% | 7.4% | 22.6% |
| O. of Strategic Initiatives | 11 | 71.7% | 9.5% | 18.8% |

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My Work Experience (continued)

7. When needed I am willing to put in the extra effort to get a job done.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 483,257 | 95.8% | 2.7% | 1.5% |
| Securities and Exchange Commission | 3,511 | 97.7% | 1.5% | 0.8% |
| Division of Corporation Finance | 363 | 98.0% | 1.4% | 0.6% |
| Division of Investment Management | 137 | 98.4% | 0.8% | 0.8% |
| Division of Economic and Risk Analysis | 119 | 98.3% | 1.7% | 0.0% |
| Division of Trading and Markets | 156 | 96.8% | 1.9% | 1.3% |
| Office of Acquisitions | 48 | 97.8% | 2.2% | 0.0% |
| O. of Chief Accountant | 31 | 96.8% | 3.2% | 0.0% |
| Office of Financial Management | 84 | 98.8% | 1.2% | 0.0% |
| Office of Support Operations | 89 | 95.4% | 1.2% | 3.4% |
| Office of General Counsel | 97 | 98.8% | 1.2% | 0.0% |
| Office of Human Resources | 108 | 95.2% | 1.9% | 2.9% |
| Office of Information Technology | 123 | 97.7% | 0.7% | 1.6% |
| Office of the Inspector General | 42 | 90.7% | 4.7% | 4.6% |
| Office of International Affairs | 38 | 94.5% | 2.7% | 2.8% |
| Office of Investor Education and Advocacy | 36 | 100.0% | 0.0% | 0.0% |
| Office of Credit Ratings | 38 | 94.8% | 5.2% | 0.0% |
| Office of the Secretary | 20 | 94.9% | 5.1% | 0.0% |
| O. of the Chief Operating Officer | 11 | 100.0% | 0.0% | 0.0% |
| National Examination Program | 756 | 97.5% | 1.6% | 0.9% |
| National Enforcement Program | 1,001 | 98.8% | 0.7% | 0.5% |
| Regional Operations | 116 | 95.4% | 4.6% | 0.0% |
| Other (OIAD, OMS, OMWI) | 22 | 95.0% | 5.0% | 0.0% |
| O. of Administrative Law Judges | 10 | 89.8% | 10.2% | 0.0% |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% |
| O. of Public Affairs | 13 | 100.0% | 0.0% | 0.0% |
| O. of Strategic Initiatives | 11 | 90.5% | 9.5% | 0.0% |

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My Work Experience (continued)

8. I am constantly looking for ways to do my job better.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 483,445 | 91.0% | 7.3% | 1.7% |
| Securities and Exchange Commission | 3,512 | 91.6% | 7.1% | 1.3% |
| Division of Corporation Finance | 363 | 88.8% | 10.4% | 0.8% |
| Division of Investment Management | 137 | 91.0% | 8.2% | 0.8% |
| Division of Economic and Risk Analysis | 120 | 95.9% | 4.1% | 0.0% |
| Division of Trading and Markets | 155 | 89.0% | 9.7% | 1.3% |
| Office of Acquisitions | 47 | 97.8% | 2.2% | 0.0% |
| O. of Chief Accountant | 32 | 90.9% | 6.1% | 3.0% |
| Office of Financial Management | 83 | 91.5% | 8.5% | 0.0% |
| Office of Support Operations | 89 | 93.3% | 4.5% | 2.2% |
| Office of General Counsel | 97 | 92.6% | 4.1% | 3.3% |
| Office of Human Resources | 109 | 87.9% | 9.3% | 2.9% |
| Office of Information Technology | 122 | 94.4% | 4.8% | 0.9% |
| Office of the Inspector General | 42 | 90.6% | 4.7% | 4.8% |
| Office of International Affairs | 38 | 91.7% | 2.8% | 5.5% |
| Office of Investor Education and Advocacy | 36 | 91.3% | 5.7% | 3.1% |
| Office of Credit Ratings | 38 | 92.0% | 8.0% | 0.0% |
| Office of the Secretary | 20 | 89.7% | 10.3% | 0.0% |
| O. of the Chief Operating Officer | 11 | 90.7% | 9.3% | 0.0% |
| National Examination Program | 758 | 91.8% | 6.8% | 1.4% |
| National Enforcement Program | 1,002 | 91.8% | 6.9% | 1.3% |
| Regional Operations | 116 | 93.7% | 5.4% | 1.0% |
| Other (OIAD, OMS, OMWI) | 21 | 85.1% | 14.9% | 0.0% |
| O. of Administrative Law Judges | 10 | 69.8% | 30.2% | 0.0% |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% |
| O. of Public Affairs | 13 | 100.0% | 0.0% | 0.0% |
| O. of Strategic Initiatives | 11 | 100.0% | 0.0% | 0.0% |

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My Work Experience (continued)

9. I have sufficient resources (for example, people, materials, budget) to get my job done.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|----------|
| Governmentwide | 483,755 | 47.4% | 16.1% | 36.6% | 973 |
| Securities and Exchange Commission | 3,512 | 61.4% | 14.9% | 23.7% | 3 |
| Division of Corporation Finance | 363 | 75.3% | 12.1% | 12.6% | 0 |
| Division of Investment Management | 136 | 65.3% | 18.8% | 15.9% | 0 |
| Division of Economic and Risk Analysis | 120 | 65.6% | 13.3% | 21.1% | 0 |
| Division of Trading and Markets | 156 | 65.6% | 13.5% | 20.9% | 0 |
| Office of Acquisitions | 48 | 85.3% | 8.6% | 6.0% | 0 |
| O. of Chief Accountant | 32 | 69.0% | 18.8% | 12.3% | 0 |
| Office of Financial Management | 84 | 71.4% | 10.6% | 18.0% | 0 |
| Office of Support Operations | 87 | 86.2% | 9.1% | 4.7% | 0 |
| Office of General Counsel | 96 | 80.4% | 11.1% | 8.5% | 0 |
| Office of Human Resources | 109 | 69.0% | 10.9% | 20.0% | 0 |
| Office of Information Technology | 124 | 44.7% | 13.6% | 41.7% | 0 |
| Office of the Inspector General | 42 | 71.7% | 11.9% | 16.4% | 0 |
| Office of International Affairs | 38 | 46.4% | 4.9% | 48.7% | 0 |
| Office of Investor Education and Advocacy | 36 | 72.1% | 11.3% | 16.6% | 0 |
| Office of Credit Ratings | 38 | 57.3% | 10.6% | 32.1% | 0 |
| Office of the Secretary | 19 | 63.2% | 16.0% | 20.8% | 1 |
| O. of the Chief Operating Officer | 11 | 54.2% | 0.0% | 45.8% | 0 |
| National Examination Program | 759 | 63.9% | 16.3% | 19.9% | 1 |
| National Enforcement Program | 1,002 | 47.4% | 16.9% | 35.8% | 1 |
| Regional Operations | 114 | 65.2% | 18.4% | 16.4% | 0 |
| Other (OIAD, OMS, OMWI) | 22 | 59.4% | 9.4% | 31.2% | 0 |
| O. of Administrative Law Judges | 10 | 69.8% | 30.2% | 0.0% | 0 |
| Office of Ethics Counsel | 14 | 70.3% | 13.6% | 16.1% | 0 |
| O. of Equal Employment Opportunity | 11 | 73.9% | 26.1% | 0.0% | 0 |
| O. of Public Affairs | 13 | 85.0% | 15.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 11 | 36.8% | 8.9% | 54.2% | 0 |

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My Work Experience (continued)

10. My workload is reasonable.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|----------|
| Governmentwide | 482,533 | 58.9% | 16.0% | 25.0% | 776 |
| Securities and Exchange Commission | 3,495 | 74.5% | 12.4% | 13.1% | 4 |
| Division of Corporation Finance | 361 | 80.3% | 11.7% | 7.9% | 0 |
| Division of Investment Management | 135 | 84.6% | 9.5% | 6.0% | 0 |
| Division of Economic and Risk Analysis | 120 | 68.2% | 17.4% | 14.4% | 0 |
| Division of Trading and Markets | 155 | 76.3% | 12.3% | 11.4% | 0 |
| Office of Acquisitions | 48 | 75.0% | 19.0% | 6.0% | 0 |
| O. of Chief Accountant | 32 | 81.7% | 12.2% | 6.1% | 0 |
| Office of Financial Management | 84 | 81.0% | 10.6% | 8.4% | 0 |
| Office of Support Operations | 86 | 90.7% | 4.7% | 4.6% | 0 |
| Office of General Counsel | 95 | 84.4% | 6.7% | 8.9% | 0 |
| Office of Human Resources | 109 | 66.8% | 10.3% | 22.9% | 0 |
| Office of Information Technology | 124 | 47.0% | 20.4% | 32.6% | 0 |
| Office of the Inspector General | 40 | 72.8% | 7.4% | 19.8% | 0 |
| Office of International Affairs | 38 | 43.1% | 14.7% | 42.2% | 0 |
| Office of Investor Education and Advocacy | 36 | 85.6% | 6.1% | 8.3% | 0 |
| Office of Credit Ratings | 38 | 76.1% | 10.4% | 13.5% | 0 |
| Office of the Secretary | 19 | 73.7% | 16.3% | 10.0% | 1 |
| O. of the Chief Operating Officer | 11 | 63.7% | 17.6% | 18.7% | 0 |
| National Examination Program | 755 | 74.7% | 11.2% | 14.1% | 2 |
| National Enforcement Program | 998 | 73.6% | 13.6% | 12.8% | 1 |
| Regional Operations | 116 | 72.8% | 14.5% | 12.8% | 0 |
| Other (OIAD, OMS, OMWI) | 22 | 73.0% | 10.0% | 17.0% | 0 |
| O. of Administrative Law Judges | 10 | 69.8% | 20.6% | 9.6% | 0 |
| Office of Ethics Counsel | 14 | 78.4% | 21.6% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 10 | 80.1% | 9.3% | 10.7% | 0 |
| O. of Public Affairs | 13 | 77.5% | 15.1% | 7.4% | 0 |
| O. of Strategic Initiatives | 11 | 72.3% | 9.5% | 18.2% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Experience (continued)

11. My talents are used well in the workplace.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 475,916 | 59.7% | 16.5% | 23.8% | 1,928 |
| Securities and Exchange Commission | 3,464 | 67.5% | 14.3% | 18.2% | 10 |
| Division of Corporation Finance | 361 | 66.8% | 17.3% | 15.9% | 0 |
| Division of Investment Management | 135 | 71.8% | 13.2% | 15.0% | 0 |
| Division of Economic and Risk Analysis | 120 | 64.9% | 13.3% | 21.8% | 0 |
| Division of Trading and Markets | 154 | 70.6% | 11.1% | 18.3% | 0 |
| Office of Acquisitions | 47 | 67.9% | 19.7% | 12.4% | 0 |
| O. of Chief Accountant | 32 | 75.0% | 15.9% | 9.1% | 0 |
| Office of Financial Management | 81 | 64.3% | 18.8% | 17.0% | 1 |
| Office of Support Operations | 85 | 81.3% | 8.4% | 10.4% | 0 |
| Office of General Counsel | 95 | 69.6% | 15.0% | 15.5% | 0 |
| Office of Human Resources | 108 | 62.7% | 13.9% | 23.4% | 0 |
| Office of Information Technology | 122 | 57.6% | 11.4% | 31.0% | 0 |
| Office of the Inspector General | 42 | 64.8% | 14.2% | 21.1% | 0 |
| Office of International Affairs | 37 | 66.6% | 7.6% | 25.7% | 0 |
| Office of Investor Education and Advocacy | 36 | 60.1% | 20.7% | 19.2% | 0 |
| Office of Credit Ratings | 38 | 49.7% | 10.5% | 39.9% | 0 |
| Office of the Secretary | 19 | 79.4% | 10.9% | 9.7% | 1 |
| O. of the Chief Operating Officer | 11 | 82.0% | 9.3% | 8.7% | 0 |
| National Examination Program | 747 | 66.4% | 15.7% | 17.8% | 4 |
| National Enforcement Program | 986 | 68.7% | 13.6% | 17.6% | 3 |
| Regional Operations | 113 | 63.8% | 15.7% | 20.5% | 1 |
| Other (OIAD, OMS, OMWI) | 21 | 80.0% | 5.2% | 14.9% | 0 |
| O. of Administrative Law Judges | 10 | 60.0% | 20.6% | 19.5% | 0 |
| Office of Ethics Counsel | 14 | 86.1% | 0.0% | 13.9% | 0 |
| O. of Equal Employment Opportunity | 11 | 74.8% | 8.5% | 16.7% | 0 |
| O. of Public Affairs | 12 | 59.4% | 16.2% | 24.5% | 0 |
| O. of Strategic Initiatives | 10 | 58.5% | 10.4% | 31.1% | 0 |

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My Work Experience (continued)

12. I know how my work relates to the agency's goals and priorities.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|----------|
| Governmentwide | 481,130 | 84.2% | 9.5% | 6.4% | 1,459 |
| Securities and Exchange Commission | 3,499 | 90.2% | 5.7% | 4.1% | 5 |
| Division of Corporation Finance | 363 | 88.9% | 6.6% | 4.4% | 0 |
| Division of Investment Management | 135 | 88.9% | 7.4% | 3.7% | 0 |
| Division of Economic and Risk Analysis | 120 | 89.1% | 7.6% | 3.3% | 0 |
| Division of Trading and Markets | 154 | 87.0% | 6.5% | 6.5% | 0 |
| Office of Acquisitions | 48 | 95.7% | 4.3% | 0.0% | 0 |
| O. of Chief Accountant | 32 | 90.6% | 6.3% | 3.1% | 0 |
| Office of Financial Management | 83 | 95.5% | 2.2% | 2.3% | 1 |
| Office of Support Operations | 87 | 93.2% | 4.6% | 2.3% | 0 |
| Office of General Counsel | 96 | 90.1% | 7.6% | 2.3% | 0 |
| Office of Human Resources | 107 | 89.6% | 3.7% | 6.7% | 1 |
| Office of Information Technology | 122 | 86.8% | 6.7% | 6.5% | 0 |
| Office of the Inspector General | 42 | 81.3% | 2.4% | 16.3% | 0 |
| Office of International Affairs | 38 | 97.2% | 0.0% | 2.8% | 0 |
| Office of Investor Education and Advocacy | 36 | 96.9% | 0.0% | 3.1% | 0 |
| Office of Credit Ratings | 38 | 76.0% | 16.1% | 7.8% | 0 |
| Office of the Secretary | 19 | 100.0% | 0.0% | 0.0% | 1 |
| O. of the Chief Operating Officer | 11 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 756 | 90.3% | 4.9% | 4.8% | 1 |
| National Enforcement Program | 1,000 | 91.9% | 5.0% | 3.1% | 1 |
| Regional Operations | 115 | 86.3% | 10.1% | 3.7% | 0 |
| Other (OIAD, OMS, OMWI) | 22 | 86.5% | 4.9% | 8.6% | 0 |
| O. of Administrative Law Judges | 10 | 69.1% | 30.9% | 0.0% | 0 |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 13 | 77.5% | 22.5% | 0.0% | 0 |
| O. of Strategic Initiatives | 11 | 71.7% | 28.3% | 0.0% | 0 |

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My Work Experience (continued)

13. The work I do is important.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|----------|
| Governmentwide | 479,280 | 90.7% | 6.4% | 2.8% | 1,120 |
| Securities and Exchange Commission | 3,482 | 90.7% | 6.5% | 2.8% | 7 |
| Division of Corporation Finance | 359 | 88.7% | 8.5% | 2.8% | 0 |
| Division of Investment Management | 136 | 89.7% | 7.3% | 3.0% | 0 |
| Division of Economic and Risk Analysis | 119 | 85.7% | 9.2% | 5.1% | 0 |
| Division of Trading and Markets | 156 | 85.8% | 11.6% | 2.6% | 0 |
| Office of Acquisitions | 48 | 91.9% | 4.2% | 4.0% | 0 |
| O. of Chief Accountant | 32 | 87.6% | 12.4% | 0.0% | 0 |
| Office of Financial Management | 82 | 89.3% | 8.5% | 2.2% | 1 |
| Office of Support Operations | 86 | 93.1% | 4.6% | 2.3% | 0 |
| Office of General Counsel | 96 | 88.0% | 8.7% | 3.3% | 0 |
| Office of Human Resources | 108 | 81.5% | 14.9% | 3.6% | 0 |
| Office of Information Technology | 124 | 88.9% | 5.6% | 5.5% | 0 |
| Office of the Inspector General | 42 | 74.2% | 9.3% | 16.4% | 0 |
| Office of International Affairs | 37 | 94.3% | 2.8% | 2.9% | 0 |
| Office of Investor Education and Advocacy | 35 | 91.6% | 8.4% | 0.0% | 0 |
| Office of Credit Ratings | 38 | 62.6% | 24.1% | 13.3% | 0 |
| Office of the Secretary | 19 | 100.0% | 0.0% | 0.0% | 1 |
| O. of the Chief Operating Officer | 10 | 90.3% | 9.7% | 0.0% | 0 |
| National Examination Program | 756 | 92.8% | 5.2% | 2.0% | 2 |
| National Enforcement Program | 986 | 94.4% | 3.5% | 2.2% | 2 |
| Regional Operations | 115 | 89.1% | 8.9% | 1.9% | 1 |
| Other (OIAD, OMS, OMWI) | 22 | 82.2% | 9.2% | 8.6% | 0 |
| O. of Administrative Law Judges | 10 | 79.4% | 20.6% | 0.0% | 0 |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 90.5% | 9.5% | 0.0% | 0 |
| O. of Public Affairs | 13 | 77.6% | 22.4% | 0.0% | 0 |
| O. of Strategic Initiatives | 11 | 90.6% | 0.0% | 9.4% | 0 |

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My Work Experience (continued)

14. Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|----------|
| Governmentwide | 481,674 | 66.3% | 14.0% | 19.7% | 2,014 |
| Securities and Exchange Commission | 3,501 | 87.9% | 6.5% | 5.7% | 8 |
| Division of Corporation Finance | 361 | 86.9% | 7.3% | 5.9% | 2 |
| Division of Investment Management | 136 | 86.4% | 5.6% | 8.0% | 0 |
| Division of Economic and Risk Analysis | 119 | 87.3% | 6.7% | 6.1% | 1 |
| Division of Trading and Markets | 156 | 86.5% | 9.7% | 3.8% | 0 |
| Office of Acquisitions | 48 | 93.9% | 6.1% | 0.0% | 0 |
| O. of Chief Accountant | 32 | 96.7% | 3.3% | 0.0% | 0 |
| Office of Financial Management | 84 | 92.8% | 3.7% | 3.6% | 0 |
| Office of Support Operations | 87 | 93.2% | 5.7% | 1.2% | 1 |
| Office of General Counsel | 94 | 90.0% | 5.7% | 4.3% | 0 |
| Office of Human Resources | 109 | 92.6% | 3.8% | 3.7% | 0 |
| Office of Information Technology | 124 | 83.9% | 8.1% | 8.1% | 0 |
| Office of the Inspector General | 42 | 83.8% | 7.1% | 9.1% | 0 |
| Office of International Affairs | 38 | 80.1% | 8.6% | 11.4% | 0 |
| Office of Investor Education and Advocacy | 36 | 83.0% | 3.0% | 14.0% | 0 |
| Office of Credit Ratings | 38 | 97.2% | 2.8% | 0.0% | 0 |
| Office of the Secretary | 19 | 90.0% | 0.0% | 10.0% | 1 |
| O. of the Chief Operating Officer | 11 | 91.3% | 0.0% | 8.7% | 0 |
| National Examination Program | 758 | 88.7% | 5.9% | 5.4% | 0 |
| National Enforcement Program | 997 | 86.9% | 6.5% | 6.5% | 3 |
| Regional Operations | 114 | 85.6% | 9.0% | 5.4% | 0 |
| Other (OIAD, OMS, OMWI) | 22 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Administrative Law Judges | 10 | 60.2% | 30.2% | 9.6% | 0 |
| Office of Ethics Counsel | 14 | 85.1% | 6.9% | 8.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 13 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 11 | 90.5% | 9.5% | 0.0% | 0 |

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My Work Experience (continued)

15. My performance appraisal is a fair reflection of my performance.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 477,285 | 71.3% | 14.1% | 14.6% | 6,699 |
| Securities and Exchange Commission | 3,483 | 76.3% | 13.4% | 10.3% | 26 |
| Division of Corporation Finance | 360 | 77.5% | 12.2% | 10.2% | 3 |
| Division of Investment Management | 135 | 79.3% | 13.5% | 7.2% | 0 |
| Division of Economic and Risk Analysis | 119 | 68.2% | 18.5% | 13.4% | 1 |
| Division of Trading and Markets | 154 | 77.2% | 13.1% | 9.8% | 1 |
| Office of Acquisitions | 47 | 78.9% | 10.4% | 10.6% | 0 |
| O. of Chief Accountant | 31 | 80.9% | 16.0% | 3.1% | 1 |
| Office of Financial Management | 84 | 78.6% | 8.4% | 13.0% | 0 |
| Office of Support Operations | 86 | 81.4% | 10.5% | 8.1% | 1 |
| Office of General Counsel | 96 | 81.4% | 9.9% | 8.7% | 0 |
| Office of Human Resources | 108 | 71.9% | 11.3% | 16.8% | 1 |
| Office of Information Technology | 123 | 80.6% | 9.8% | 9.6% | 0 |
| Office of the Inspector General | 42 | 83.7% | 2.3% | 14.0% | 0 |
| Office of International Affairs | 38 | 78.4% | 5.1% | 16.5% | 0 |
| Office of Investor Education and Advocacy | 34 | 73.3% | 9.3% | 17.4% | 1 |
| Office of Credit Ratings | 38 | 68.3% | 18.7% | 13.0% | 0 |
| Office of the Secretary | 19 | 95.4% | 4.6% | 0.0% | 1 |
| O. of the Chief Operating Officer | 11 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 754 | 75.5% | 15.2% | 9.3% | 5 |
| National Enforcement Program | 999 | 75.4% | 14.1% | 10.5% | 3 |
| Regional Operations | 115 | 70.5% | 15.7% | 13.8% | 0 |
| Other (OIAD, OMS, OMWI) | 21 | 70.8% | 20.1% | 9.1% | 1 |
| O. of Administrative Law Judges | 6 | 32.6% | 34.0% | 33.3% | 4 |
| Office of Ethics Counsel | 14 | 94.1% | 5.9% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 9 | 65.8% | 22.6% | 11.6% | 2 |
| O. of Public Affairs | 13 | 85.0% | 7.4% | 7.5% | 0 |
| O. of Strategic Initiatives | 11 | 90.5% | 9.5% | 0.0% | 0 |

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My Work Experience (continued)

16. I am held accountable for achieving results.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|-------------|-----------|
| Governmentwide | 480,241 | 82.7% | 11.5% | 5.8% | 2,029 |
| Securities and Exchange Commission | 3,479 | 85.0% | 11.0% | 4.0% | 22 |
| Division of Corporation Finance | 362 | 90.0% | 8.5% | 1.4% | 1 |
| Division of Investment Management | 132 | 86.5% | 12.0% | 1.5% | 1 |
| Division of Economic and Risk Analysis | 120 | 90.0% | 8.3% | 1.7% | 0 |
| Division of Trading and Markets | 155 | 83.2% | 14.2% | 2.6% | 0 |
| Office of Acquisitions | 47 | 98.0% | 2.0% | 0.0% | 1 |
| O. of Chief Accountant | 31 | 81.0% | 15.9% | 3.2% | 0 |
| Office of Financial Management | 84 | 91.9% | 4.7% | 3.4% | 0 |
| Office of Support Operations | 87 | 90.9% | 5.8% | 3.4% | 1 |
| Office of General Counsel | 94 | 78.2% | 17.4% | 4.5% | 0 |
| Office of Human Resources | 108 | 94.4% | 5.6% | 0.0% | 0 |
| Office of Information Technology | 124 | 88.0% | 7.4% | 4.6% | 0 |
| Office of the Inspector General | 42 | 88.4% | 2.4% | 9.1% | 0 |
| Office of International Affairs | 38 | 87.1% | 7.3% | 5.5% | 0 |
| Office of Investor Education and Advocacy | 35 | 83.0% | 11.1% | 5.9% | 0 |
| Office of Credit Ratings | 38 | 73.2% | 24.1% | 2.6% | 0 |
| Office of the Secretary | 19 | 89.4% | 10.6% | 0.0% | 1 |
| O. of the Chief Operating Officer | 11 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 753 | 82.4% | 11.9% | 5.7% | 6 |
| National Enforcement Program | 991 | 82.9% | 12.3% | 4.8% | 7 |
| Regional Operations | 114 | 83.5% | 12.8% | 3.7% | 2 |
| Other (OIAD, OMS, OMWI) | 21 | 94.9% | 0.0% | 5.1% | 1 |
| O. of Administrative Law Judges | 7 | 71.6% | 28.4% | 0.0% | 1 |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 13 | 70.0% | 22.5% | 7.5% | 0 |
| O. of Strategic Initiatives | 11 | 81.2% | 9.4% | 9.5% | 0 |

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My Work Experience (continued)

17. I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 462,879 | 64.5% | 17.3% | 18.2% | 19,717 |
| Securities and Exchange Commission | 3,295 | 76.2% | 13.8% | 10.0% | 202 |
| Division of Corporation Finance | 333 | 76.0% | 15.3% | 8.8% | 27 |
| Division of Investment Management | 123 | 82.5% | 13.2% | 4.2% | 13 |
| Division of Economic and Risk Analysis | 107 | 77.6% | 13.0% | 9.4% | 13 |
| Division of Trading and Markets | 147 | 79.5% | 10.9% | 9.6% | 7 |
| Office of Acquisitions | 44 | 75.1% | 6.9% | 18.0% | 3 |
| O. of Chief Accountant | 29 | 89.6% | 7.0% | 3.4% | 3 |
| Office of Financial Management | 78 | 76.6% | 15.6% | 7.8% | 6 |
| Office of Support Operations | 82 | 74.1% | 19.7% | 6.2% | 4 |
| Office of General Counsel | 89 | 76.1% | 8.4% | 15.5% | 7 |
| Office of Human Resources | 97 | 53.2% | 20.9% | 25.8% | 11 |
| Office of Information Technology | 115 | 59.0% | 21.1% | 19.9% | 8 |
| Office of the Inspector General | 42 | 71.8% | 2.3% | 25.8% | 0 |
| Office of International Affairs | 36 | 70.2% | 18.1% | 11.8% | 2 |
| Office of Investor Education and Advocacy | 36 | 74.6% | 11.3% | 14.0% | 0 |
| Office of Credit Ratings | 38 | 68.2% | 13.1% | 18.7% | 0 |
| Office of the Secretary | 18 | 78.3% | 16.9% | 4.8% | 2 |
| O. of the Chief Operating Officer | 11 | 81.7% | 8.9% | 9.4% | 0 |
| National Examination Program | 739 | 80.6% | 11.7% | 7.7% | 17 |
| National Enforcement Program | 935 | 77.8% | 14.3% | 7.9% | 63 |
| Regional Operations | 107 | 64.2% | 16.4% | 19.4% | 8 |
| Other (OIAD, OMS, OMWI) | 21 | 61.9% | 24.6% | 13.6% | 1 |
| O. of Administrative Law Judges | 9 | 32.9% | 56.5% | 10.7% | 1 |
| Office of Ethics Counsel | 14 | 71.0% | 12.9% | 16.1% | 0 |
| O. of Equal Employment Opportunity | 8 | 86.5% | 0.0% | 13.5% | 2 |
| O. of Public Affairs | 12 | 91.9% | 0.0% | 8.1% | 1 |
| O. of Strategic Initiatives | 11 | 53.2% | 27.9% | 18.8% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Experience (continued)

18. My training needs are assessed.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 478,928 | 55.2% | 22.4% | 22.5% | 4,395 |
| Securities and Exchange Commission | 3,471 | 60.3% | 20.9% | 18.8% | 38 |
| Division of Corporation Finance | 359 | 72.9% | 15.9% | 11.3% | 4 |
| Division of Investment Management | 133 | 64.7% | 17.1% | 18.2% | 1 |
| Division of Economic and Risk Analysis | 118 | 60.2% | 26.2% | 13.6% | 2 |
| Division of Trading and Markets | 155 | 55.9% | 21.4% | 22.7% | 1 |
| Office of Acquisitions | 48 | 77.3% | 10.4% | 12.2% | 0 |
| O. of Chief Accountant | 32 | 72.0% | 18.7% | 9.3% | 0 |
| Office of Financial Management | 83 | 66.4% | 21.7% | 11.8% | 1 |
| Office of Support Operations | 87 | 84.0% | 10.2% | 5.8% | 1 |
| Office of General Counsel | 96 | 48.3% | 26.9% | 24.8% | 0 |
| Office of Human Resources | 109 | 64.1% | 15.7% | 20.2% | 0 |
| Office of Information Technology | 122 | 49.4% | 24.6% | 26.0% | 2 |
| Office of the Inspector General | 42 | 74.3% | 7.2% | 18.5% | 0 |
| Office of International Affairs | 38 | 49.5% | 23.7% | 26.8% | 0 |
| Office of Investor Education and Advocacy | 36 | 60.9% | 19.9% | 19.2% | 0 |
| Office of Credit Ratings | 38 | 54.8% | 21.1% | 24.1% | 0 |
| Office of the Secretary | 19 | 74.0% | 16.0% | 9.9% | 1 |
| O. of the Chief Operating Officer | 11 | 35.3% | 28.4% | 36.3% | 0 |
| National Examination Program | 750 | 57.6% | 22.6% | 19.8% | 6 |
| National Enforcement Program | 985 | 58.0% | 22.1% | 19.9% | 16 |
| Regional Operations | 114 | 49.2% | 22.3% | 28.4% | 1 |
| Other (OIAD, OMS, OMWI) | 21 | 51.7% | 29.7% | 18.6% | 1 |
| O. of Administrative Law Judges | 10 | 29.8% | 50.4% | 19.9% | 0 |
| Office of Ethics Counsel | 14 | 91.9% | 0.0% | 8.1% | 0 |
| O. of Equal Employment Opportunity | 11 | 65.3% | 0.0% | 34.7% | 0 |
| O. of Public Affairs | 13 | 85.0% | 7.4% | 7.5% | 0 |
| O. of Strategic Initiatives | 11 | 54.7% | 27.1% | 18.2% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Experience (continued)

19. In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).

| | N | Positive | Neutral | Negative | NBJ |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 473,585 | 71.0% | 13.4% | 15.6% | 11,653 |
| Securities and Exchange Commission | 3,457 | 64.7% | 16.6% | 18.7% | 64 |
| Division of Corporation Finance | 360 | 64.8% | 15.4% | 19.8% | 4 |
| Division of Investment Management | 134 | 68.4% | 15.3% | 16.3% | 3 |
| Division of Economic and Risk Analysis | 118 | 63.4% | 17.0% | 19.6% | 2 |
| Division of Trading and Markets | 149 | 64.3% | 15.5% | 20.2% | 7 |
| Office of Acquisitions | 46 | 72.1% | 15.1% | 12.8% | 2 |
| O. of Chief Accountant | 30 | 66.7% | 23.6% | 9.8% | 2 |
| Office of Financial Management | 84 | 68.0% | 16.7% | 15.3% | 0 |
| Office of Support Operations | 89 | 84.3% | 9.1% | 6.6% | 0 |
| Office of General Counsel | 96 | 68.9% | 14.7% | 16.4% | 1 |
| Office of Human Resources | 105 | 68.5% | 8.6% | 22.9% | 4 |
| Office of Information Technology | 120 | 70.7% | 12.9% | 16.5% | 3 |
| Office of the Inspector General | 41 | 71.5% | 12.1% | 16.5% | 1 |
| Office of International Affairs | 38 | 64.9% | 15.8% | 19.3% | 0 |
| Office of Investor Education and Advocacy | 36 | 72.7% | 13.8% | 13.5% | 0 |
| Office of Credit Ratings | 37 | 40.2% | 27.3% | 32.6% | 1 |
| Office of the Secretary | 19 | 94.5% | 5.5% | 0.0% | 1 |
| O. of the Chief Operating Officer | 10 | 80.1% | 10.1% | 9.8% | 1 |
| National Examination Program | 752 | 65.0% | 17.6% | 17.4% | 7 |
| National Enforcement Program | 991 | 59.6% | 18.9% | 21.6% | 14 |
| Regional Operations | 115 | 68.9% | 17.6% | 13.5% | 1 |
| Other (OIAD, OMS, OMWI) | 20 | 55.5% | 19.9% | 24.6% | 2 |
| O. of Administrative Law Judges | 5 | 19.6% | 20.5% | 59.9% | 4 |
| Office of Ethics Counsel | 14 | 71.0% | 6.9% | 22.0% | 0 |
| O. of Equal Employment Opportunity | 10 | 69.1% | 20.5% | 10.4% | 1 |
| O. of Public Affairs | 12 | 59.4% | 16.2% | 24.5% | 1 |
| O. of Strategic Initiatives | 10 | 40.4% | 9.7% | 49.9% | 1 |

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My Work Unit

20. The people I work with cooperate to get the job done.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 484,728 | 74.6% | 12.9% | 12.5% |
| Securities and Exchange Commission | 3,521 | 84.8% | 8.5% | 6.7% |
| Division of Corporation Finance | 364 | 89.4% | 6.7% | 3.9% |
| Division of Investment Management | 137 | 91.2% | 3.8% | 5.1% |
| Division of Economic and Risk Analysis | 120 | 85.0% | 5.9% | 9.1% |
| Division of Trading and Markets | 156 | 86.5% | 5.8% | 7.7% |
| Office of Acquisitions | 48 | 93.7% | 6.3% | 0.0% |
| O. of Chief Accountant | 32 | 96.9% | 3.1% | 0.0% |
| Office of Financial Management | 84 | 88.0% | 8.4% | 3.6% |
| Office of Support Operations | 89 | 86.5% | 8.9% | 4.6% |
| Office of General Counsel | 97 | 87.8% | 6.7% | 5.4% |
| Office of Human Resources | 109 | 85.5% | 5.4% | 9.0% |
| Office of Information Technology | 124 | 73.9% | 12.7% | 13.4% |
| Office of the Inspector General | 42 | 81.3% | 7.2% | 11.5% |
| Office of International Affairs | 38 | 86.1% | 5.6% | 8.3% |
| Office of Investor Education and Advocacy | 36 | 88.7% | 8.7% | 2.6% |
| Office of Credit Ratings | 38 | 68.0% | 21.1% | 10.9% |
| Office of the Secretary | 20 | 85.3% | 9.5% | 5.1% |
| O. of the Chief Operating Officer | 11 | 82.4% | 17.6% | 0.0% |
| National Examination Program | 759 | 82.8% | 10.6% | 6.5% |
| National Enforcement Program | 1,004 | 85.0% | 8.7% | 6.3% |
| Regional Operations | 115 | 76.4% | 9.3% | 14.4% |
| Other (OIAD, OMS, OMWI) | 22 | 82.2% | 9.2% | 8.6% |
| O. of Administrative Law Judges | 10 | 80.1% | 19.9% | 0.0% |
| Office of Ethics Counsel | 14 | 78.0% | 0.0% | 22.0% |
| O. of Equal Employment Opportunity | 11 | 91.5% | 0.0% | 8.5% |
| O. of Public Affairs | 13 | 100.0% | 0.0% | 0.0% |
| O. of Strategic Initiatives | 11 | 81.2% | 0.0% | 18.8% |

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My Work Unit (continued)

21. My work unit is able to recruit people with the right skills.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 468,542 | 42.3% | 25.4% | 32.3% | 16,412 |
| Securities and Exchange Commission | 3,352 | 66.3% | 18.5% | 15.2% | 168 |
| Division of Corporation Finance | 341 | 66.6% | 20.1% | 13.4% | 23 |
| Division of Investment Management | 131 | 65.7% | 17.6% | 16.7% | 6 |
| Division of Economic and Risk Analysis | 118 | 66.1% | 15.2% | 18.7% | 2 |
| Division of Trading and Markets | 145 | 61.3% | 19.4% | 19.3% | 10 |
| Office of Acquisitions | 46 | 73.9% | 17.5% | 8.6% | 2 |
| O. of Chief Accountant | 32 | 87.6% | 3.3% | 9.1% | 0 |
| Office of Financial Management | 81 | 59.1% | 28.8% | 12.1% | 3 |
| Office of Support Operations | 85 | 75.5% | 14.0% | 10.5% | 4 |
| Office of General Counsel | 94 | 82.4% | 13.4% | 4.2% | 3 |
| Office of Human Resources | 104 | 67.1% | 17.5% | 15.3% | 5 |
| Office of Information Technology | 120 | 39.3% | 21.1% | 39.6% | 4 |
| Office of the Inspector General | 41 | 80.9% | 2.4% | 16.7% | 1 |
| Office of International Affairs | 37 | 75.5% | 13.7% | 10.8% | 1 |
| Office of Investor Education and Advocacy | 35 | 67.6% | 20.6% | 11.7% | 1 |
| Office of Credit Ratings | 37 | 43.0% | 27.0% | 30.0% | 1 |
| Office of the Secretary | 17 | 77.0% | 6.1% | 16.9% | 3 |
| O. of the Chief Operating Officer | 11 | 55.4% | 27.0% | 17.6% | 0 |
| National Examination Program | 728 | 64.5% | 20.6% | 14.9% | 29 |
| National Enforcement Program | 948 | 70.1% | 17.1% | 12.8% | 57 |
| Regional Operations | 107 | 49.2% | 26.2% | 24.5% | 9 |
| Other (OIAD, OMS, OMWI) | 21 | 62.5% | 9.8% | 27.8% | 1 |
| O. of Administrative Law Judges | 10 | 80.1% | 19.9% | 0.0% | 0 |
| Office of Ethics Counsel | 14 | 92.0% | 0.0% | 8.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 84.4% | 15.6% | 0.0% | 0 |
| O. of Public Affairs | 13 | 92.5% | 7.5% | 0.0% | 0 |
| O. of Strategic Initiatives | 10 | 59.9% | 10.4% | 29.7% | 1 |

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My Work Unit (continued)

22. Promotions in my work unit are based on merit.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 449,801 | 35.8% | 28.4% | 35.9% | 33,402 |
| Securities and Exchange Commission | 3,141 | 46.8% | 26.1% | 27.2% | 372 |
| Division of Corporation Finance | 316 | 49.1% | 27.6% | 23.3% | 47 |
| Division of Investment Management | 124 | 49.6% | 19.5% | 30.8% | 13 |
| Division of Economic and Risk Analysis | 105 | 52.4% | 22.6% | 25.0% | 14 |
| Division of Trading and Markets | 135 | 56.8% | 17.1% | 26.0% | 21 |
| Office of Acquisitions | 46 | 54.1% | 19.8% | 26.1% | 2 |
| O. of Chief Accountant | 30 | 73.5% | 16.5% | 10.0% | 2 |
| Office of Financial Management | 75 | 46.8% | 24.1% | 29.1% | 9 |
| Office of Support Operations | 79 | 63.0% | 16.7% | 20.3% | 8 |
| Office of General Counsel | 90 | 45.8% | 26.2% | 27.9% | 7 |
| Office of Human Resources | 98 | 49.9% | 30.9% | 19.3% | 11 |
| Office of Information Technology | 113 | 37.4% | 33.9% | 28.8% | 11 |
| Office of the Inspector General | 36 | 53.0% | 22.4% | 24.6% | 6 |
| Office of International Affairs | 36 | 54.3% | 19.7% | 26.0% | 2 |
| Office of Investor Education and Advocacy | 32 | 44.9% | 29.2% | 25.9% | 4 |
| Office of Credit Ratings | 36 | 30.2% | 33.3% | 36.5% | 2 |
| Office of the Secretary | 16 | 69.5% | 24.0% | 6.5% | 4 |
| O. of the Chief Operating Officer | 10 | 40.0% | 30.2% | 29.8% | 1 |
| National Examination Program | 694 | 47.5% | 23.9% | 28.6% | 64 |
| National Enforcement Program | 894 | 41.6% | 30.0% | 28.4% | 107 |
| Regional Operations | 101 | 36.0% | 30.1% | 33.9% | 15 |
| Other (OIAD, OMS, OMWI) | 18 | 61.2% | 17.6% | 21.2% | 4 |
| O. of Administrative Law Judges | 5 | 39.7% | 40.8% | 19.5% | 4 |
| Office of Ethics Counsel | 12 | 65.6% | 0.0% | 34.4% | 2 |
| O. of Equal Employment Opportunity | 9 | 33.6% | 32.6% | 33.8% | 2 |
| O. of Public Affairs | 11 | 64.8% | 17.5% | 17.7% | 2 |
| O. of Strategic Initiatives | 5 | 58.6% | 20.6% | 20.8% | 6 |

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My Work Unit (continued)

23. In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 435,831 | 30.9% | 27.5% | 41.5% | 47,551 |
| Securities and Exchange Commission | 2,884 | 33.7% | 31.7% | 34.7% | 629 |
| Division of Corporation Finance | 280 | 43.4% | 32.3% | 24.3% | 83 |
| Division of Investment Management | 104 | 34.3% | 38.8% | 27.0% | 33 |
| Division of Economic and Risk Analysis | 95 | 54.7% | 26.4% | 18.9% | 25 |
| Division of Trading and Markets | 122 | 32.5% | 32.1% | 35.4% | 32 |
| Office of Acquisitions | 43 | 51.2% | 32.8% | 16.0% | 5 |
| O. of Chief Accountant | 28 | 46.5% | 39.4% | 14.1% | 4 |
| Office of Financial Management | 66 | 40.9% | 34.9% | 24.2% | 17 |
| Office of Support Operations | 79 | 57.7% | 23.3% | 19.0% | 10 |
| Office of General Counsel | 77 | 30.5% | 33.4% | 36.1% | 19 |
| Office of Human Resources | 93 | 48.4% | 28.2% | 23.4% | 15 |
| Office of Information Technology | 108 | 36.1% | 35.7% | 28.2% | 16 |
| Office of the Inspector General | 30 | 43.8% | 23.2% | 33.1% | 12 |
| Office of International Affairs | 34 | 41.5% | 17.5% | 40.9% | 4 |
| Office of Investor Education and Advocacy | 30 | 52.5% | 24.4% | 23.0% | 6 |
| Office of Credit Ratings | 32 | 34.0% | 18.6% | 47.4% | 6 |
| Office of the Secretary | 16 | 62.4% | 18.8% | 18.7% | 4 |
| O. of the Chief Operating Officer | 10 | 40.0% | 30.2% | 29.8% | 1 |
| National Examination Program | 664 | 26.1% | 31.7% | 42.2% | 94 |
| National Enforcement Program | 804 | 24.3% | 35.7% | 40.0% | 200 |
| Regional Operations | 100 | 41.2% | 18.4% | 40.3% | 15 |
| Other (OIAD, OMS, OMWI) | 16 | 68.7% | 0.0% | 31.3% | 6 |
| O. of Administrative Law Judges | 6 | 65.8% | 17.0% | 17.2% | 4 |
| Office of Ethics Counsel | 10 | 48.2% | 9.8% | 42.1% | 4 |
| O. of Equal Employment Opportunity | 6 | 33.4% | 17.7% | 48.9% | 5 |
| O. of Public Affairs | 10 | 69.2% | 21.0% | 9.8% | 3 |
| O. of Strategic Initiatives | 8 | 50.6% | 23.5% | 25.9% | 3 |

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My Work Unit (continued)

24. In my work unit, differences in performance are recognized in a meaningful way.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 454,415 | 36.1% | 28.2% | 35.7% | 29,143 |
| Securities and Exchange Commission | 3,161 | 38.0% | 27.6% | 34.4% | 351 |
| Division of Corporation Finance | 316 | 32.4% | 33.0% | 34.6% | 48 |
| Division of Investment Management | 120 | 47.1% | 22.6% | 30.3% | 17 |
| Division of Economic and Risk Analysis | 112 | 48.2% | 24.1% | 27.6% | 8 |
| Division of Trading and Markets | 138 | 44.8% | 20.3% | 34.9% | 18 |
| Office of Acquisitions | 47 | 59.4% | 23.9% | 16.7% | 1 |
| O. of Chief Accountant | 28 | 53.6% | 25.0% | 21.4% | 4 |
| Office of Financial Management | 74 | 40.5% | 32.7% | 26.8% | 9 |
| Office of Support Operations | 84 | 63.8% | 18.1% | 18.1% | 5 |
| Office of General Counsel | 84 | 45.6% | 21.2% | 33.2% | 13 |
| Office of Human Resources | 105 | 51.2% | 29.0% | 19.8% | 4 |
| Office of Information Technology | 113 | 42.7% | 28.7% | 28.6% | 11 |
| Office of the Inspector General | 37 | 54.4% | 19.0% | 26.6% | 4 |
| Office of International Affairs | 35 | 50.0% | 19.9% | 30.1% | 3 |
| Office of Investor Education and Advocacy | 33 | 50.1% | 19.3% | 30.6% | 2 |
| Office of Credit Ratings | 33 | 23.9% | 33.0% | 43.1% | 4 |
| Office of the Secretary | 19 | 69.2% | 16.0% | 14.8% | 1 |
| O. of the Chief Operating Officer | 11 | 37.1% | 36.3% | 26.6% | 0 |
| National Examination Program | 710 | 31.6% | 29.3% | 39.1% | 49 |
| National Enforcement Program | 873 | 30.7% | 30.0% | 39.3% | 128 |
| Regional Operations | 104 | 47.6% | 23.0% | 29.4% | 11 |
| Other (OIAD, OMS, OMWI) | 21 | 67.3% | 9.6% | 23.1% | 1 |
| O. of Administrative Law Judges | 7 | 28.6% | 29.2% | 42.2% | 3 |
| Office of Ethics Counsel | 13 | 53.5% | 7.5% | 38.9% | 1 |
| O. of Equal Employment Opportunity | 8 | 50.7% | 13.2% | 36.1% | 2 |
| O. of Public Affairs | 12 | 51.2% | 32.4% | 16.4% | 1 |
| O. of Strategic Initiatives | 10 | 68.9% | 10.4% | 20.7% | 1 |

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My Work Unit (continued)

25. Awards in my work unit depend on how well employees perform their jobs.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 449,570 | 43.7% | 25.0% | 31.3% | 32,923 |
| Securities and Exchange Commission | 3,118 | 52.0% | 24.3% | 23.7% | 380 |
| Division of Corporation Finance | 308 | 48.5% | 29.8% | 21.7% | 53 |
| Division of Investment Management | 123 | 56.4% | 23.4% | 20.2% | 14 |
| Division of Economic and Risk Analysis | 106 | 57.6% | 20.7% | 21.7% | 13 |
| Division of Trading and Markets | 131 | 58.6% | 19.1% | 22.3% | 22 |
| Office of Acquisitions | 47 | 59.6% | 14.9% | 25.5% | 1 |
| O. of Chief Accountant | 30 | 70.3% | 23.2% | 6.5% | 2 |
| Office of Financial Management | 74 | 48.5% | 28.4% | 23.1% | 8 |
| Office of Support Operations | 86 | 72.9% | 10.8% | 16.4% | 3 |
| Office of General Counsel | 83 | 57.2% | 22.9% | 19.9% | 14 |
| Office of Human Resources | 106 | 56.5% | 21.0% | 22.4% | 3 |
| Office of Information Technology | 112 | 51.3% | 21.0% | 27.7% | 12 |
| Office of the Inspector General | 38 | 58.4% | 15.7% | 25.9% | 3 |
| Office of International Affairs | 35 | 54.9% | 30.6% | 14.5% | 3 |
| Office of Investor Education and Advocacy | 32 | 55.4% | 16.1% | 28.6% | 3 |
| Office of Credit Ratings | 31 | 41.5% | 22.9% | 35.7% | 6 |
| Office of the Secretary | 17 | 76.2% | 17.7% | 6.0% | 3 |
| O. of the Chief Operating Officer | 11 | 64.1% | 26.5% | 9.4% | 0 |
| National Examination Program | 698 | 47.4% | 26.4% | 26.2% | 59 |
| National Enforcement Program | 863 | 48.9% | 26.1% | 24.9% | 134 |
| Regional Operations | 104 | 56.1% | 16.6% | 27.3% | 11 |
| Other (OIAD, OMS, OMWI) | 19 | 68.5% | 15.7% | 15.9% | 3 |
| O. of Administrative Law Judges | 7 | 42.9% | 43.3% | 13.8% | 3 |
| Office of Ethics Counsel | 14 | 71.0% | 5.9% | 23.0% | 0 |
| O. of Equal Employment Opportunity | 8 | 74.4% | 0.0% | 25.6% | 2 |
| O. of Public Affairs | 13 | 54.6% | 23.0% | 22.5% | 0 |
| O. of Strategic Initiatives | 10 | 79.3% | 10.3% | 10.4% | 1 |

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My Work Unit (continued)

26. Employees in my work unit share job knowledge with each other.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|-----------|
| Governmentwide | 481,370 | 74.5% | 13.4% | 12.1% | 1,941 |
| Securities and Exchange Commission | 3,492 | 82.4% | 9.3% | 8.4% | 19 |
| Division of Corporation Finance | 362 | 85.5% | 7.3% | 7.2% | 1 |
| Division of Investment Management | 135 | 87.0% | 4.3% | 8.7% | 1 |
| Division of Economic and Risk Analysis | 120 | 80.9% | 13.3% | 5.8% | 0 |
| Division of Trading and Markets | 156 | 81.3% | 8.4% | 10.3% | 0 |
| Office of Acquisitions | 47 | 91.6% | 4.4% | 4.0% | 0 |
| O. of Chief Accountant | 30 | 83.4% | 16.6% | 0.0% | 1 |
| Office of Financial Management | 84 | 75.1% | 11.8% | 13.1% | 0 |
| Office of Support Operations | 89 | 87.5% | 3.5% | 9.0% | 0 |
| Office of General Counsel | 96 | 88.8% | 5.6% | 5.6% | 1 |
| Office of Human Resources | 107 | 81.3% | 11.3% | 7.4% | 1 |
| Office of Information Technology | 122 | 70.8% | 14.8% | 14.4% | 1 |
| Office of the Inspector General | 42 | 83.8% | 2.5% | 13.8% | 0 |
| Office of International Affairs | 38 | 83.5% | 13.7% | 2.8% | 0 |
| Office of Investor Education and Advocacy | 35 | 85.8% | 8.3% | 5.8% | 0 |
| Office of Credit Ratings | 38 | 63.0% | 13.3% | 23.7% | 0 |
| Office of the Secretary | 19 | 84.6% | 10.8% | 4.6% | 1 |
| O. of the Chief Operating Officer | 11 | 91.2% | 8.8% | 0.0% | 0 |
| National Examination Program | 753 | 80.8% | 10.9% | 8.3% | 4 |
| National Enforcement Program | 997 | 84.5% | 8.3% | 7.2% | 6 |
| Regional Operations | 114 | 69.1% | 17.4% | 13.5% | 2 |
| Other (OIAD, OMS, OMWI) | 22 | 95.0% | 5.0% | 0.0% | 0 |
| O. of Administrative Law Judges | 10 | 80.0% | 10.2% | 9.8% | 0 |
| Office of Ethics Counsel | 14 | 78.0% | 0.0% | 22.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 92.9% | 0.0% | 7.1% | 0 |
| O. of Public Affairs | 13 | 84.9% | 7.5% | 7.5% | 0 |
| O. of Strategic Initiatives | 11 | 81.2% | 0.0% | 18.8% | 0 |

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My Work Unit (continued)

27. The skill level in my work unit has improved in the past year.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|-------------|------------|
| Governmentwide | 465,631 | 56.1% | 27.6% | 16.3% | 18,337 |
| Securities and Exchange Commission | 3,296 | 62.7% | 27.7% | 9.6% | 215 |
| Division of Corporation Finance | 343 | 63.6% | 29.2% | 7.2% | 21 |
| Division of Investment Management | 128 | 62.2% | 28.5% | 9.3% | 7 |
| Division of Economic and Risk Analysis | 115 | 65.2% | 24.3% | 10.4% | 5 |
| Division of Trading and Markets | 146 | 64.2% | 23.4% | 12.4% | 10 |
| Office of Acquisitions | 47 | 70.4% | 21.6% | 8.1% | 1 |
| O. of Chief Accountant | 30 | 77.1% | 22.9% | 0.0% | 1 |
| Office of Financial Management | 80 | 61.4% | 28.7% | 9.9% | 3 |
| Office of Support Operations | 88 | 82.8% | 9.2% | 8.0% | 1 |
| Office of General Counsel | 91 | 63.4% | 30.8% | 5.8% | 6 |
| Office of Human Resources | 103 | 63.0% | 28.4% | 8.6% | 6 |
| Office of Information Technology | 118 | 61.5% | 24.5% | 14.1% | 5 |
| Office of the Inspector General | 39 | 59.3% | 28.4% | 12.4% | 3 |
| Office of International Affairs | 38 | 63.5% | 28.2% | 8.3% | 0 |
| Office of Investor Education and Advocacy | 35 | 66.1% | 28.5% | 5.4% | 1 |
| Office of Credit Ratings | 37 | 56.6% | 24.2% | 19.3% | 1 |
| Office of the Secretary | 18 | 89.4% | 10.6% | 0.0% | 2 |
| O. of the Chief Operating Officer | 11 | 45.6% | 54.4% | 0.0% | 0 |
| National Examination Program | 722 | 63.8% | 26.4% | 9.8% | 36 |
| National Enforcement Program | 913 | 58.0% | 32.4% | 9.7% | 88 |
| Regional Operations | 108 | 59.3% | 25.3% | 15.4% | 7 |
| Other (OIAD, OMS, OMWI) | 21 | 72.3% | 14.2% | 13.5% | 1 |
| O. of Administrative Law Judges | 8 | 62.2% | 37.8% | 0.0% | 2 |
| Office of Ethics Counsel | 12 | 67.0% | 23.5% | 9.5% | 2 |
| O. of Equal Employment Opportunity | 10 | 90.9% | 9.1% | 0.0% | 1 |
| O. of Public Affairs | 12 | 92.0% | 8.0% | 0.0% | 1 |
| O. of Strategic Initiatives | 10 | 79.2% | 0.0% | 20.8% | 1 |

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My Work Unit (continued)

28. How would you rate the overall quality of work done by your work unit?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 484,120 | 83.4% | 13.4% | 3.2% |
| Securities and Exchange Commission | 3,513 | 91.7% | 6.8% | 1.5% |
| Division of Corporation Finance | 363 | 95.6% | 3.8% | 0.6% |
| Division of Investment Management | 137 | 96.3% | 2.2% | 1.5% |
| Division of Economic and Risk Analysis | 120 | 90.1% | 8.2% | 1.6% |
| Division of Trading and Markets | 153 | 89.5% | 7.8% | 2.6% |
| Office of Acquisitions | 48 | 95.9% | 4.1% | 0.0% |
| O. of Chief Accountant | 32 | 100.0% | 0.0% | 0.0% |
| Office of Financial Management | 84 | 95.4% | 4.6% | 0.0% |
| Office of Support Operations | 89 | 93.3% | 5.5% | 1.2% |
| Office of General Counsel | 97 | 92.4% | 6.6% | 1.1% |
| Office of Human Resources | 109 | 92.7% | 5.5% | 1.8% |
| Office of Information Technology | 124 | 90.6% | 7.9% | 1.4% |
| Office of the Inspector General | 42 | 78.9% | 7.2% | 13.8% |
| Office of International Affairs | 38 | 94.5% | 5.5% | 0.0% |
| Office of Investor Education and Advocacy | 36 | 91.3% | 6.1% | 2.6% |
| Office of Credit Ratings | 38 | 81.3% | 18.7% | 0.0% |
| Office of the Secretary | 20 | 95.7% | 4.3% | 0.0% |
| O. of the Chief Operating Officer | 11 | 91.2% | 8.8% | 0.0% |
| National Examination Program | 757 | 87.0% | 10.8% | 2.2% |
| National Enforcement Program | 1,002 | 94.2% | 5.1% | 0.8% |
| Regional Operations | 116 | 87.4% | 10.7% | 1.9% |
| Other (OIAD, OMS, OMWI) | 22 | 87.2% | 9.2% | 3.7% |
| O. of Administrative Law Judges | 10 | 90.4% | 9.6% | 0.0% |
| Office of Ethics Counsel | 14 | 92.0% | 8.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% |
| O. of Public Affairs | 13 | 100.0% | 0.0% | 0.0% |
| O. of Strategic Initiatives | 11 | 81.2% | 0.0% | 18.8% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Agency

29. The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|-----------|
| Governmentwide | 469,308 | 70.9% | 16.8% | 12.4% | 7,233 |
| Securities and Exchange Commission | 3,430 | 85.7% | 9.0% | 5.3% | 59 |
| Division of Corporation Finance | 351 | 89.0% | 7.2% | 3.8% | 5 |
| Division of Investment Management | 135 | 83.6% | 11.4% | 5.0% | 1 |
| Division of Economic and Risk Analysis | 118 | 84.0% | 10.2% | 5.9% | 1 |
| Division of Trading and Markets | 151 | 84.1% | 8.7% | 7.3% | 4 |
| Office of Acquisitions | 47 | 91.6% | 4.4% | 4.0% | 1 |
| O. of Chief Accountant | 32 | 90.7% | 6.2% | 3.1% | 0 |
| Office of Financial Management | 82 | 84.2% | 10.9% | 4.9% | 1 |
| Office of Support Operations | 88 | 88.7% | 7.9% | 3.3% | 0 |
| Office of General Counsel | 94 | 93.3% | 5.6% | 1.1% | 2 |
| Office of Human Resources | 103 | 85.5% | 8.7% | 5.8% | 5 |
| Office of Information Technology | 119 | 75.9% | 13.5% | 10.7% | 3 |
| Office of the Inspector General | 41 | 83.3% | 0.0% | 16.7% | 1 |
| Office of International Affairs | 36 | 85.5% | 8.7% | 5.8% | 2 |
| Office of Investor Education and Advocacy | 36 | 93.9% | 3.0% | 3.1% | 0 |
| Office of Credit Ratings | 37 | 72.9% | 21.5% | 5.6% | 1 |
| Office of the Secretary | 18 | 89.0% | 5.6% | 5.4% | 2 |
| O. of the Chief Operating Officer | 10 | 70.0% | 20.2% | 9.8% | 1 |
| National Examination Program | 750 | 83.0% | 10.3% | 6.6% | 4 |
| National Enforcement Program | 978 | 88.2% | 7.6% | 4.1% | 20 |
| Regional Operations | 111 | 76.4% | 16.1% | 7.5% | 2 |
| Other (OIAD, OMS, OMWI) | 21 | 90.5% | 5.1% | 4.4% | 0 |
| O. of Administrative Law Judges | 9 | 88.7% | 11.3% | 0.0% | 1 |
| Office of Ethics Counsel | 13 | 91.4% | 8.6% | 0.0% | 1 |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 12 | 100.0% | 0.0% | 0.0% | 1 |
| O. of Strategic Initiatives | 11 | 90.6% | 0.0% | 9.4% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

30. Employees have a feeling of personal empowerment with respect to work processes.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 465,394 | 47.4% | 24.4% | 28.2% | 10,900 |
| Securities and Exchange Commission | 3,340 | 60.0% | 20.7% | 19.3% | 145 |
| Division of Corporation Finance | 337 | 57.1% | 25.5% | 17.4% | 20 |
| Division of Investment Management | 129 | 65.9% | 21.0% | 13.1% | 7 |
| Division of Economic and Risk Analysis | 117 | 62.3% | 22.3% | 15.4% | 2 |
| Division of Trading and Markets | 147 | 54.9% | 19.8% | 25.3% | 7 |
| Office of Acquisitions | 48 | 66.4% | 21.4% | 12.2% | 0 |
| O. of Chief Accountant | 31 | 74.2% | 16.2% | 9.6% | 1 |
| Office of Financial Management | 78 | 65.3% | 18.1% | 16.5% | 6 |
| Office of Support Operations | 83 | 74.4% | 15.9% | 9.7% | 4 |
| Office of General Counsel | 93 | 55.5% | 22.7% | 21.8% | 3 |
| Office of Human Resources | 102 | 54.7% | 17.7% | 27.5% | 7 |
| Office of Information Technology | 120 | 52.2% | 21.0% | 26.8% | 2 |
| Office of the Inspector General | 41 | 61.5% | 9.7% | 28.8% | 0 |
| Office of International Affairs | 34 | 51.0% | 31.4% | 17.6% | 4 |
| Office of Investor Education and Advocacy | 35 | 56.1% | 20.5% | 23.4% | 1 |
| Office of Credit Ratings | 36 | 44.1% | 22.0% | 33.9% | 2 |
| Office of the Secretary | 18 | 77.6% | 17.0% | 5.4% | 2 |
| O. of the Chief Operating Officer | 10 | 50.7% | 38.9% | 10.4% | 1 |
| National Examination Program | 735 | 62.7% | 19.4% | 17.8% | 22 |
| National Enforcement Program | 952 | 59.5% | 19.6% | 20.9% | 40 |
| Regional Operations | 105 | 54.3% | 28.6% | 17.1% | 8 |
| Other (OIAD, OMS, OMWI) | 20 | 54.6% | 24.7% | 20.7% | 1 |
| O. of Administrative Law Judges | 7 | 28.8% | 57.1% | 14.1% | 3 |
| Office of Ethics Counsel | 13 | 68.9% | 7.5% | 23.7% | 1 |
| O. of Equal Employment Opportunity | 11 | 83.5% | 9.5% | 7.1% | 0 |
| O. of Public Affairs | 11 | 82.4% | 0.0% | 17.6% | 1 |
| O. of Strategic Initiatives | 11 | 54.0% | 36.6% | 9.4% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

31. Employees are recognized for providing high quality products and services.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 465,997 | 50.8% | 22.5% | 26.7% | 9,657 |
| Securities and Exchange Commission | 3,384 | 63.8% | 19.7% | 16.5% | 95 |
| Division of Corporation Finance | 345 | 61.5% | 23.0% | 15.5% | 13 |
| Division of Investment Management | 130 | 72.9% | 17.2% | 9.9% | 5 |
| Division of Economic and Risk Analysis | 118 | 72.0% | 12.7% | 15.3% | 1 |
| Division of Trading and Markets | 148 | 63.4% | 21.0% | 15.6% | 6 |
| Office of Acquisitions | 47 | 69.9% | 13.3% | 16.8% | 1 |
| O. of Chief Accountant | 31 | 83.8% | 16.2% | 0.0% | 1 |
| Office of Financial Management | 82 | 63.5% | 20.8% | 15.7% | 1 |
| Office of Support Operations | 87 | 82.6% | 8.0% | 9.4% | 2 |
| Office of General Counsel | 94 | 63.1% | 20.8% | 16.1% | 1 |
| Office of Human Resources | 106 | 59.2% | 24.8% | 16.1% | 3 |
| Office of Information Technology | 121 | 48.4% | 27.7% | 23.9% | 2 |
| Office of the Inspector General | 42 | 71.8% | 9.4% | 18.7% | 0 |
| Office of International Affairs | 36 | 70.9% | 23.2% | 5.9% | 2 |
| Office of Investor Education and Advocacy | 35 | 62.0% | 17.3% | 20.7% | 1 |
| Office of Credit Ratings | 37 | 43.1% | 32.6% | 24.3% | 1 |
| Office of the Secretary | 18 | 94.6% | 0.0% | 5.4% | 2 |
| O. of the Chief Operating Officer | 11 | 81.8% | 8.7% | 9.4% | 0 |
| National Examination Program | 741 | 62.3% | 20.4% | 17.2% | 11 |
| National Enforcement Program | 954 | 61.9% | 19.9% | 18.2% | 36 |
| Regional Operations | 110 | 65.9% | 15.1% | 19.0% | 2 |
| Other (OIAD, OMS, OMWI) | 21 | 80.1% | 10.3% | 9.6% | 0 |
| O. of Administrative Law Judges | 7 | 56.7% | 43.3% | 0.0% | 3 |
| Office of Ethics Counsel | 14 | 78.0% | 5.9% | 16.1% | 0 |
| O. of Equal Employment Opportunity | 10 | 81.7% | 0.0% | 18.3% | 0 |
| O. of Public Affairs | 12 | 83.8% | 0.0% | 16.2% | 1 |
| O. of Strategic Initiatives | 11 | 81.2% | 9.5% | 9.4% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

32. Creativity and innovation are rewarded.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 459,635 | 40.9% | 28.2% | 30.9% | 15,232 |
| Securities and Exchange Commission | 3,344 | 53.1% | 24.9% | 22.0% | 126 |
| Division of Corporation Finance | 344 | 41.9% | 32.0% | 26.1% | 13 |
| Division of Investment Management | 132 | 61.4% | 18.6% | 19.9% | 4 |
| Division of Economic and Risk Analysis | 117 | 64.3% | 17.8% | 17.9% | 1 |
| Division of Trading and Markets | 150 | 48.4% | 21.4% | 30.1% | 4 |
| Office of Acquisitions | 47 | 76.5% | 8.8% | 14.6% | 1 |
| O. of Chief Accountant | 31 | 61.6% | 32.1% | 6.3% | 0 |
| Office of Financial Management | 77 | 55.9% | 28.7% | 15.4% | 4 |
| Office of Support Operations | 84 | 74.8% | 15.6% | 9.6% | 5 |
| Office of General Counsel | 92 | 50.8% | 25.1% | 24.1% | 4 |
| Office of Human Resources | 104 | 57.4% | 25.4% | 17.2% | 5 |
| Office of Information Technology | 119 | 45.8% | 26.3% | 28.0% | 4 |
| Office of the Inspector General | 42 | 62.5% | 11.7% | 25.8% | 0 |
| Office of International Affairs | 36 | 51.8% | 30.5% | 17.7% | 2 |
| Office of Investor Education and Advocacy | 35 | 44.5% | 32.7% | 22.8% | 1 |
| Office of Credit Ratings | 37 | 29.5% | 30.1% | 40.4% | 0 |
| Office of the Secretary | 16 | 68.8% | 18.8% | 12.4% | 4 |
| O. of the Chief Operating Officer | 11 | 45.9% | 45.3% | 8.7% | 0 |
| National Examination Program | 733 | 54.2% | 24.9% | 20.9% | 20 |
| National Enforcement Program | 943 | 52.5% | 25.7% | 21.8% | 44 |
| Regional Operations | 104 | 48.7% | 25.2% | 26.1% | 5 |
| Other (OIAD, OMS, OMWI) | 20 | 59.8% | 19.4% | 20.9% | 1 |
| O. of Administrative Law Judges | 8 | 37.3% | 50.0% | 12.8% | 2 |
| Office of Ethics Counsel | 14 | 70.0% | 8.0% | 22.0% | 0 |
| O. of Equal Employment Opportunity | 10 | 79.6% | 10.2% | 10.2% | 1 |
| O. of Public Affairs | 12 | 67.0% | 16.8% | 16.2% | 1 |
| O. of Strategic Initiatives | 11 | 72.3% | 18.3% | 9.4% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

33. Pay raises depend on how well employees perform their jobs.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 440,033 | 24.7% | 27.8% | 47.5% | 34,307 |
| Securities and Exchange Commission | 3,161 | 23.6% | 27.9% | 48.5% | 309 |
| Division of Corporation Finance | 328 | 16.4% | 29.9% | 53.6% | 29 |
| Division of Investment Management | 117 | 23.0% | 35.3% | 41.7% | 17 |
| Division of Economic and Risk Analysis | 108 | 28.6% | 25.8% | 45.6% | 11 |
| Division of Trading and Markets | 133 | 23.8% | 27.2% | 49.0% | 21 |
| Office of Acquisitions | 46 | 39.3% | 30.6% | 30.1% | 2 |
| O. of Chief Accountant | 27 | 11.4% | 48.3% | 40.3% | 3 |
| Office of Financial Management | 78 | 24.2% | 28.5% | 47.4% | 4 |
| Office of Support Operations | 79 | 69.5% | 13.8% | 16.7% | 8 |
| Office of General Counsel | 81 | 32.2% | 29.6% | 38.2% | 14 |
| Office of Human Resources | 101 | 51.7% | 21.9% | 26.4% | 8 |
| Office of Information Technology | 118 | 31.7% | 24.0% | 44.3% | 5 |
| Office of the Inspector General | 38 | 58.4% | 20.9% | 20.7% | 4 |
| Office of International Affairs | 33 | 15.2% | 26.6% | 58.3% | 5 |
| Office of Investor Education and Advocacy | 32 | 42.9% | 19.1% | 38.0% | 4 |
| Office of Credit Ratings | 32 | 31.0% | 24.8% | 44.2% | 6 |
| Office of the Secretary | 17 | 53.2% | 29.5% | 17.3% | 3 |
| O. of the Chief Operating Officer | 11 | 9.3% | 45.3% | 45.5% | 0 |
| National Examination Program | 705 | 20.4% | 29.0% | 50.7% | 45 |
| National Enforcement Program | 891 | 14.2% | 28.7% | 57.1% | 99 |
| Regional Operations | 103 | 31.7% | 21.4% | 46.9% | 9 |
| Other (OIAD, OMS, OMWI) | 20 | 34.2% | 15.4% | 50.4% | 1 |
| O. of Administrative Law Judges | 6 | 16.2% | 50.2% | 33.5% | 4 |
| Office of Ethics Counsel | 12 | 66.0% | 15.1% | 18.9% | 1 |
| O. of Equal Employment Opportunity | 9 | 56.3% | 9.9% | 33.8% | 2 |
| O. of Public Affairs | 12 | 59.0% | 24.8% | 16.2% | 1 |
| O. of Strategic Initiatives | 10 | 49.5% | 20.1% | 30.4% | 1 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

34. Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 442,361 | 58.7% | 27.1% | 14.2% | 33,267 |
| Securities and Exchange Commission | 3,201 | 67.0% | 21.3% | 11.8% | 280 |
| Division of Corporation Finance | 317 | 65.7% | 23.8% | 10.5% | 39 |
| Division of Investment Management | 123 | 71.8% | 20.4% | 7.8% | 13 |
| Division of Economic and Risk Analysis | 107 | 69.0% | 18.9% | 12.1% | 10 |
| Division of Trading and Markets | 136 | 63.7% | 25.1% | 11.1% | 19 |
| Office of Acquisitions | 46 | 69.5% | 13.1% | 17.4% | 2 |
| O. of Chief Accountant | 28 | 60.9% | 35.6% | 3.5% | 3 |
| Office of Financial Management | 78 | 60.0% | 27.2% | 12.9% | 6 |
| Office of Support Operations | 85 | 78.5% | 15.6% | 5.9% | 3 |
| Office of General Counsel | 90 | 71.4% | 19.3% | 9.3% | 7 |
| Office of Human Resources | 104 | 71.7% | 17.4% | 10.9% | 5 |
| Office of Information Technology | 114 | 69.7% | 24.1% | 6.2% | 8 |
| Office of the Inspector General | 39 | 69.7% | 12.8% | 17.5% | 3 |
| Office of International Affairs | 34 | 59.0% | 19.5% | 21.5% | 3 |
| Office of Investor Education and Advocacy | 33 | 63.1% | 30.2% | 6.6% | 2 |
| Office of Credit Ratings | 34 | 70.4% | 23.6% | 6.1% | 4 |
| Office of the Secretary | 18 | 84.1% | 15.9% | 0.0% | 2 |
| O. of the Chief Operating Officer | 11 | 73.5% | 17.6% | 8.8% | 0 |
| National Examination Program | 713 | 70.2% | 19.5% | 10.3% | 41 |
| National Enforcement Program | 898 | 61.9% | 23.1% | 15.0% | 94 |
| Regional Operations | 104 | 62.8% | 18.7% | 18.5% | 9 |
| Other (OIAD, OMS, OMWI) | 20 | 84.5% | 10.0% | 5.4% | 1 |
| O. of Administrative Law Judges | 9 | 44.2% | 33.5% | 22.4% | 1 |
| Office of Ethics Counsel | 11 | 80.7% | 8.9% | 10.4% | 3 |
| O. of Equal Employment Opportunity | 11 | 90.5% | 9.5% | 0.0% | 0 |
| O. of Public Affairs | 13 | 92.5% | 0.0% | 7.5% | 0 |
| O. of Strategic Initiatives | 10 | 89.6% | 10.4% | 0.0% | 1 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

35. Employees are protected from health and safety hazards on the job.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|-----------|
| Governmentwide | 469,234 | 76.9% | 13.0% | 10.1% | 6,752 |
| Securities and Exchange Commission | 3,386 | 90.5% | 7.5% | 2.0% | 97 |
| Division of Corporation Finance | 339 | 90.7% | 7.8% | 1.5% | 15 |
| Division of Investment Management | 128 | 93.0% | 6.2% | 0.8% | 8 |
| Division of Economic and Risk Analysis | 118 | 96.6% | 2.6% | 0.8% | 1 |
| Division of Trading and Markets | 147 | 90.4% | 8.9% | 0.7% | 8 |
| Office of Acquisitions | 48 | 93.5% | 4.3% | 2.1% | 0 |
| O. of Chief Accountant | 32 | 93.9% | 6.1% | 0.0% | 0 |
| Office of Financial Management | 82 | 96.2% | 3.8% | 0.0% | 2 |
| Office of Support Operations | 88 | 92.2% | 3.3% | 4.5% | 1 |
| Office of General Counsel | 95 | 92.6% | 6.2% | 1.2% | 1 |
| Office of Human Resources | 105 | 90.4% | 6.7% | 2.9% | 4 |
| Office of Information Technology | 120 | 90.9% | 8.2% | 0.9% | 3 |
| Office of the Inspector General | 42 | 83.8% | 7.2% | 9.0% | 0 |
| Office of International Affairs | 37 | 91.5% | 8.5% | 0.0% | 1 |
| Office of Investor Education and Advocacy | 36 | 81.4% | 10.3% | 8.3% | 0 |
| Office of Credit Ratings | 37 | 100.0% | 0.0% | 0.0% | 1 |
| Office of the Secretary | 18 | 94.2% | 5.8% | 0.0% | 1 |
| O. of the Chief Operating Officer | 11 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 747 | 90.5% | 7.2% | 2.3% | 10 |
| National Enforcement Program | 957 | 89.0% | 8.9% | 2.1% | 34 |
| Regional Operations | 107 | 85.7% | 9.5% | 4.8% | 4 |
| Other (OIAD, OMS, OMWI) | 20 | 100.0% | 0.0% | 0.0% | 1 |
| O. of Administrative Law Judges | 10 | 69.8% | 30.2% | 0.0% | 0 |
| Office of Ethics Counsel | 12 | 82.2% | 17.8% | 0.0% | 2 |
| O. of Equal Employment Opportunity | 11 | 90.5% | 9.5% | 0.0% | 0 |
| O. of Public Affairs | 13 | 91.9% | 8.1% | 0.0% | 0 |
| O. of Strategic Initiatives | 10 | 100.0% | 0.0% | 0.0% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

36. My organization has prepared employees for potential security threats.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|-------------|-----------|
| Governmentwide | 468,960 | 78.3% | 13.0% | 8.7% | 5,276 |
| Securities and Exchange Commission | 3,398 | 79.0% | 14.6% | 6.4% | 72 |
| Division of Corporation Finance | 348 | 77.2% | 15.5% | 7.3% | 7 |
| Division of Investment Management | 134 | 77.7% | 18.7% | 3.6% | 2 |
| Division of Economic and Risk Analysis | 115 | 77.4% | 18.2% | 4.4% | 3 |
| Division of Trading and Markets | 145 | 74.4% | 16.6% | 9.0% | 8 |
| Office of Acquisitions | 48 | 87.2% | 6.5% | 6.3% | 0 |
| O. of Chief Accountant | 31 | 73.9% | 23.0% | 3.1% | 1 |
| Office of Financial Management | 82 | 92.5% | 6.2% | 1.3% | 2 |
| Office of Support Operations | 86 | 89.6% | 3.4% | 7.0% | 0 |
| Office of General Counsel | 95 | 81.9% | 14.7% | 3.4% | 1 |
| Office of Human Resources | 105 | 87.5% | 8.7% | 3.8% | 4 |
| Office of Information Technology | 121 | 85.2% | 9.9% | 5.0% | 2 |
| Office of the Inspector General | 42 | 72.0% | 16.6% | 11.5% | 0 |
| Office of International Affairs | 37 | 53.6% | 26.9% | 19.5% | 1 |
| Office of Investor Education and Advocacy | 35 | 77.5% | 11.7% | 10.8% | 0 |
| Office of Credit Ratings | 37 | 89.2% | 8.0% | 2.7% | 1 |
| Office of the Secretary | 17 | 76.6% | 17.7% | 5.7% | 2 |
| O. of the Chief Operating Officer | 11 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 737 | 78.9% | 13.6% | 7.4% | 16 |
| National Enforcement Program | 966 | 76.9% | 17.0% | 6.1% | 21 |
| Regional Operations | 112 | 82.0% | 13.4% | 4.6% | 1 |
| Other (OIAD, OMS, OMWI) | 21 | 73.0% | 18.3% | 8.7% | 0 |
| O. of Administrative Law Judges | 10 | 89.8% | 10.2% | 0.0% | 0 |
| Office of Ethics Counsel | 14 | 91.9% | 8.1% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 82.0% | 8.5% | 9.5% | 0 |
| O. of Public Affairs | 12 | 91.9% | 0.0% | 8.1% | 0 |
| O. of Strategic Initiatives | 10 | 90.2% | 0.0% | 9.8% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

37. Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 448,936 | 54.9% | 21.6% | 23.5% | 25,809 |
| Securities and Exchange Commission | 3,162 | 60.2% | 20.3% | 19.5% | 312 |
| Division of Corporation Finance | 312 | 60.2% | 22.9% | 16.9% | 46 |
| Division of Investment Management | 122 | 61.1% | 21.0% | 17.9% | 13 |
| Division of Economic and Risk Analysis | 108 | 58.4% | 21.1% | 20.5% | 9 |
| Division of Trading and Markets | 138 | 60.6% | 20.4% | 19.0% | 16 |
| Office of Acquisitions | 45 | 48.6% | 24.7% | 26.7% | 3 |
| O. of Chief Accountant | 28 | 78.8% | 14.2% | 7.0% | 4 |
| Office of Financial Management | 74 | 53.5% | 26.2% | 20.2% | 9 |
| Office of Support Operations | 84 | 73.4% | 13.4% | 13.3% | 4 |
| Office of General Counsel | 92 | 64.9% | 12.0% | 23.0% | 5 |
| Office of Human Resources | 97 | 52.3% | 26.0% | 21.7% | 11 |
| Office of Information Technology | 113 | 43.0% | 24.7% | 32.3% | 10 |
| Office of the Inspector General | 39 | 59.5% | 15.3% | 25.3% | 2 |
| Office of International Affairs | 33 | 62.7% | 11.2% | 26.1% | 4 |
| Office of Investor Education and Advocacy | 33 | 52.6% | 22.2% | 25.1% | 1 |
| Office of Credit Ratings | 34 | 55.7% | 26.5% | 17.8% | 4 |
| Office of the Secretary | 19 | 63.5% | 21.5% | 15.1% | 1 |
| O. of the Chief Operating Officer | 11 | 72.8% | 17.7% | 9.4% | 0 |
| National Examination Program | 689 | 60.9% | 20.2% | 18.9% | 63 |
| National Enforcement Program | 897 | 61.2% | 20.3% | 18.5% | 92 |
| Regional Operations | 106 | 63.6% | 16.2% | 20.1% | 7 |
| Other (OIAD, OMS, OMWI) | 20 | 59.2% | 9.2% | 31.6% | 1 |
| O. of Administrative Law Judges | 8 | 24.9% | 50.1% | 25.0% | 2 |
| Office of Ethics Counsel | 13 | 84.7% | 6.5% | 8.8% | 1 |
| O. of Equal Employment Opportunity | 10 | 51.1% | 21.0% | 27.9% | 1 |
| O. of Public Affairs | 11 | 72.9% | 18.2% | 8.9% | 2 |
| O. of Strategic Initiatives | 10 | 59.2% | 10.4% | 30.4% | 1 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

38. Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 435,144 | 68.7% | 18.2% | 13.1% | 38,233 |
| Securities and Exchange Commission | 3,069 | 75.4% | 14.6% | 10.0% | 400 |
| Division of Corporation Finance | 302 | 75.3% | 16.2% | 8.4% | 53 |
| Division of Investment Management | 114 | 80.4% | 12.3% | 7.3% | 22 |
| Division of Economic and Risk Analysis | 105 | 79.8% | 10.6% | 9.6% | 13 |
| Division of Trading and Markets | 135 | 80.6% | 11.2% | 8.2% | 18 |
| Office of Acquisitions | 43 | 67.4% | 14.1% | 18.6% | 5 |
| O. of Chief Accountant | 28 | 89.3% | 7.2% | 3.5% | 4 |
| Office of Financial Management | 74 | 65.9% | 16.5% | 17.6% | 10 |
| Office of Support Operations | 83 | 77.0% | 17.0% | 6.0% | 5 |
| Office of General Counsel | 88 | 83.0% | 8.4% | 8.6% | 7 |
| Office of Human Resources | 99 | 64.3% | 19.6% | 16.1% | 10 |
| Office of Information Technology | 111 | 64.1% | 21.9% | 14.0% | 11 |
| Office of the Inspector General | 39 | 67.2% | 12.8% | 20.1% | 3 |
| Office of International Affairs | 34 | 80.9% | 3.1% | 16.0% | 4 |
| Office of Investor Education and Advocacy | 34 | 75.1% | 22.1% | 2.8% | 2 |
| Office of Credit Ratings | 32 | 71.7% | 9.3% | 18.9% | 6 |
| Office of the Secretary | 19 | 68.0% | 26.8% | 5.1% | 1 |
| O. of the Chief Operating Officer | 11 | 90.6% | 9.4% | 0.0% | 0 |
| National Examination Program | 676 | 75.2% | 14.4% | 10.5% | 73 |
| National Enforcement Program | 855 | 76.1% | 15.5% | 8.4% | 132 |
| Regional Operations | 101 | 75.0% | 12.2% | 12.8% | 11 |
| Other (OIAD, OMS, OMWI) | 20 | 79.1% | 4.6% | 16.3% | 1 |
| O. of Administrative Law Judges | 9 | 33.4% | 44.2% | 22.3% | 1 |
| Office of Ethics Counsel | 13 | 91.2% | 0.0% | 8.8% | 1 |
| O. of Equal Employment Opportunity | 9 | 65.7% | 0.0% | 34.3% | 2 |
| O. of Public Affairs | 11 | 82.4% | 8.7% | 8.9% | 2 |
| O. of Strategic Initiatives | 9 | 77.1% | 11.4% | 11.5% | 2 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

39. My agency is successful at accomplishing its mission.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|-----------|
| Governmentwide | 467,844 | 76.3% | 16.3% | 7.5% | 7,610 |
| Securities and Exchange Commission | 3,460 | 89.1% | 8.0% | 3.0% | 24 |
| Division of Corporation Finance | 354 | 90.8% | 6.9% | 2.3% | 5 |
| Division of Investment Management | 135 | 87.5% | 9.6% | 2.9% | 1 |
| Division of Economic and Risk Analysis | 119 | 87.4% | 11.0% | 1.6% | 0 |
| Division of Trading and Markets | 153 | 84.9% | 11.2% | 3.9% | 0 |
| Office of Acquisitions | 48 | 93.7% | 4.3% | 2.0% | 0 |
| O. of Chief Accountant | 31 | 90.4% | 6.5% | 3.1% | 1 |
| Office of Financial Management | 84 | 94.2% | 4.6% | 1.2% | 0 |
| Office of Support Operations | 86 | 94.3% | 2.3% | 3.4% | 0 |
| Office of General Counsel | 95 | 88.2% | 9.6% | 2.3% | 1 |
| Office of Human Resources | 107 | 91.5% | 7.6% | 0.9% | 2 |
| Office of Information Technology | 122 | 91.2% | 5.6% | 3.2% | 0 |
| Office of the Inspector General | 42 | 79.0% | 7.2% | 13.9% | 0 |
| Office of International Affairs | 38 | 91.7% | 5.6% | 2.7% | 0 |
| Office of Investor Education and Advocacy | 34 | 90.3% | 6.5% | 3.2% | 1 |
| Office of Credit Ratings | 37 | 88.8% | 5.4% | 5.8% | 1 |
| Office of the Secretary | 19 | 90.3% | 9.7% | 0.0% | 1 |
| O. of the Chief Operating Officer | 11 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 750 | 85.9% | 11.0% | 3.1% | 5 |
| National Enforcement Program | 987 | 91.3% | 5.9% | 2.9% | 6 |
| Regional Operations | 112 | 82.1% | 13.3% | 4.7% | 0 |
| Other (OIAD, OMS, OMWI) | 21 | 95.6% | 0.0% | 4.4% | 0 |
| O. of Administrative Law Judges | 10 | 89.8% | 10.2% | 0.0% | 0 |
| Office of Ethics Counsel | 14 | 92.0% | 0.0% | 8.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 13 | 85.0% | 15.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 11 | 90.6% | 9.4% | 0.0% | 0 |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Agency (continued)

40. I recommend my organization as a good place to work.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 475,463 | 66.3% | 19.4% | 14.3% |
| Securities and Exchange Commission | 3,489 | 85.0% | 9.9% | 5.1% |
| Division of Corporation Finance | 359 | 87.7% | 9.2% | 3.1% |
| Division of Investment Management | 136 | 89.8% | 7.3% | 2.9% |
| Division of Economic and Risk Analysis | 119 | 83.9% | 8.5% | 7.6% |
| Division of Trading and Markets | 155 | 84.4% | 11.0% | 4.5% |
| Office of Acquisitions | 48 | 81.3% | 8.4% | 10.3% |
| O. of Chief Accountant | 32 | 93.9% | 6.1% | 0.0% |
| Office of Financial Management | 83 | 81.9% | 15.8% | 2.3% |
| Office of Support Operations | 89 | 87.6% | 5.7% | 6.7% |
| Office of General Counsel | 97 | 89.0% | 8.7% | 2.3% |
| Office of Human Resources | 109 | 79.8% | 13.0% | 7.2% |
| Office of Information Technology | 123 | 69.4% | 16.9% | 13.7% |
| Office of the Inspector General | 42 | 71.8% | 7.3% | 20.9% |
| Office of International Affairs | 38 | 81.3% | 15.9% | 2.8% |
| Office of Investor Education and Advocacy | 36 | 79.4% | 14.4% | 6.1% |
| Office of Credit Ratings | 38 | 65.6% | 20.9% | 13.5% |
| Office of the Secretary | 20 | 80.6% | 19.4% | 0.0% |
| O. of the Chief Operating Officer | 10 | 90.4% | 9.6% | 0.0% |
| National Examination Program | 757 | 85.8% | 9.7% | 4.5% |
| National Enforcement Program | 989 | 87.1% | 9.0% | 3.9% |
| Regional Operations | 114 | 78.1% | 12.7% | 9.2% |
| Other (OIAD, OMS, OMWI) | 21 | 84.5% | 5.2% | 10.4% |
| O. of Administrative Law Judges | 10 | 79.8% | 10.4% | 9.8% |
| Office of Ethics Counsel | 14 | 86.1% | 5.9% | 8.0% |
| O. of Equal Employment Opportunity | 10 | 89.3% | 0.0% | 10.7% |
| O. of Public Affairs | 13 | 85.0% | 7.4% | 7.5% |
| O. of Strategic Initiatives | 11 | 81.2% | 9.5% | 9.4% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Agency (continued)

41. I believe the results of this survey will be used to make my agency a better place to work.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 440,039 | 41.8% | 27.0% | 31.2% | 36,315 |
| Securities and Exchange Commission | 3,201 | 62.1% | 20.7% | 17.2% | 296 |
| Division of Corporation Finance | 335 | 66.8% | 21.8% | 11.4% | 25 |
| Division of Investment Management | 124 | 72.6% | 16.4% | 11.1% | 12 |
| Division of Economic and Risk Analysis | 106 | 62.2% | 28.3% | 9.4% | 13 |
| Division of Trading and Markets | 138 | 59.3% | 24.0% | 16.8% | 17 |
| Office of Acquisitions | 45 | 73.2% | 9.0% | 17.7% | 3 |
| O. of Chief Accountant | 30 | 77.1% | 19.7% | 3.3% | 2 |
| Office of Financial Management | 78 | 75.5% | 11.6% | 12.9% | 6 |
| Office of Support Operations | 86 | 78.0% | 11.6% | 10.4% | 3 |
| Office of General Counsel | 87 | 63.1% | 16.2% | 20.7% | 10 |
| Office of Human Resources | 105 | 71.4% | 16.3% | 12.3% | 4 |
| Office of Information Technology | 117 | 56.0% | 22.2% | 21.8% | 6 |
| Office of the Inspector General | 41 | 66.2% | 14.8% | 18.9% | 1 |
| Office of International Affairs | 36 | 63.0% | 13.9% | 23.1% | 2 |
| Office of Investor Education and Advocacy | 33 | 60.2% | 28.0% | 11.8% | 3 |
| Office of Credit Ratings | 37 | 59.3% | 24.4% | 16.3% | 1 |
| Office of the Secretary | 19 | 84.8% | 5.5% | 9.7% | 1 |
| O. of the Chief Operating Officer | 10 | 60.0% | 40.0% | 0.0% | 0 |
| National Examination Program | 713 | 60.9% | 19.5% | 19.6% | 43 |
| National Enforcement Program | 872 | 55.8% | 23.6% | 20.6% | 124 |
| Regional Operations | 105 | 56.1% | 22.9% | 21.0% | 9 |
| Other (OIAD, OMS, OMWI) | 20 | 70.5% | 24.0% | 5.4% | 1 |
| O. of Administrative Law Judges | 5 | 38.9% | 41.5% | 19.7% | 5 |
| Office of Ethics Counsel | 12 | 58.4% | 24.3% | 17.3% | 2 |
| O. of Equal Employment Opportunity | 10 | 78.9% | 0.0% | 21.1% | 0 |
| O. of Public Affairs | 12 | 83.1% | 8.7% | 8.1% | 1 |
| O. of Strategic Initiatives | 10 | 79.3% | 10.4% | 10.3% | 1 |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Supervisor

42. My supervisor supports my need to balance work and other life issues.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|-------------|-------------|-----------|
| Governmentwide | 472,921 | 79.9% | 10.0% | 10.1% | 2,324 |
| Securities and Exchange Commission | 3,469 | 91.9% | 4.4% | 3.8% | 11 |
| Division of Corporation Finance | 358 | 94.5% | 2.9% | 2.6% | 1 |
| Division of Investment Management | 134 | 94.0% | 5.3% | 0.7% | 1 |
| Division of Economic and Risk Analysis | 118 | 91.5% | 4.2% | 4.3% | 1 |
| Division of Trading and Markets | 153 | 91.4% | 3.9% | 4.6% | 0 |
| Office of Acquisitions | 47 | 93.4% | 6.6% | 0.0% | 0 |
| O. of Chief Accountant | 31 | 90.4% | 9.6% | 0.0% | 0 |
| Office of Financial Management | 84 | 93.9% | 2.5% | 3.6% | 0 |
| Office of Support Operations | 88 | 92.0% | 2.3% | 5.7% | 0 |
| Office of General Counsel | 97 | 92.2% | 5.5% | 2.3% | 0 |
| Office of Human Resources | 107 | 89.6% | 7.7% | 2.8% | 1 |
| Office of Information Technology | 123 | 83.8% | 8.1% | 8.0% | 0 |
| Office of the Inspector General | 42 | 86.0% | 4.9% | 9.1% | 0 |
| Office of International Affairs | 37 | 94.3% | 0.0% | 5.7% | 1 |
| Office of Investor Education and Advocacy | 36 | 88.6% | 8.3% | 3.1% | 0 |
| Office of Credit Ratings | 38 | 91.9% | 2.8% | 5.2% | 0 |
| Office of the Secretary | 20 | 95.7% | 0.0% | 4.3% | 0 |
| O. of the Chief Operating Officer | 10 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 752 | 92.1% | 3.8% | 4.1% | 2 |
| National Enforcement Program | 988 | 92.7% | 4.3% | 2.9% | 3 |
| Regional Operations | 112 | 87.1% | 4.3% | 8.6% | 0 |
| Other (OIAD, OMS, OMWI) | 21 | 71.2% | 14.0% | 14.8% | 0 |
| O. of Administrative Law Judges | 8 | 49.7% | 25.0% | 25.3% | 1 |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 13 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 11 | 100.0% | 0.0% | 0.0% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

43. My supervisor provides me with opportunities to demonstrate my leadership skills.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 472,151 | 67.5% | 16.5% | 16.0% | 2,221 |
| Securities and Exchange Commission | 3,462 | 77.3% | 12.1% | 10.6% | 18 |
| Division of Corporation Finance | 355 | 81.7% | 9.1% | 9.2% | 2 |
| Division of Investment Management | 136 | 76.5% | 14.6% | 9.0% | 0 |
| Division of Economic and Risk Analysis | 117 | 77.7% | 10.2% | 12.0% | 2 |
| Division of Trading and Markets | 153 | 77.6% | 9.9% | 12.5% | 1 |
| Office of Acquisitions | 47 | 89.1% | 10.9% | 0.0% | 0 |
| O. of Chief Accountant | 32 | 84.6% | 9.3% | 6.1% | 0 |
| Office of Financial Management | 84 | 78.7% | 10.5% | 10.8% | 0 |
| Office of Support Operations | 87 | 88.6% | 6.9% | 4.5% | 1 |
| Office of General Counsel | 97 | 63.1% | 19.4% | 17.4% | 0 |
| Office of Human Resources | 106 | 75.3% | 13.5% | 11.3% | 2 |
| Office of Information Technology | 123 | 78.1% | 6.6% | 15.3% | 0 |
| Office of the Inspector General | 42 | 79.0% | 9.4% | 11.6% | 0 |
| Office of International Affairs | 37 | 80.4% | 8.1% | 11.4% | 1 |
| Office of Investor Education and Advocacy | 36 | 66.6% | 17.3% | 16.1% | 0 |
| Office of Credit Ratings | 37 | 72.8% | 16.3% | 11.0% | 0 |
| Office of the Secretary | 20 | 90.5% | 5.2% | 4.3% | 0 |
| O. of the Chief Operating Officer | 10 | 79.5% | 10.2% | 10.4% | 0 |
| National Examination Program | 748 | 80.5% | 11.0% | 8.6% | 3 |
| National Enforcement Program | 990 | 73.4% | 15.0% | 11.6% | 4 |
| Regional Operations | 111 | 76.7% | 11.9% | 11.4% | 1 |
| Other (OIAD, OMS, OMWI) | 21 | 75.1% | 10.2% | 14.8% | 0 |
| O. of Administrative Law Judges | 8 | 36.6% | 38.1% | 25.3% | 1 |
| Office of Ethics Counsel | 14 | 94.1% | 0.0% | 5.9% | 0 |
| O. of Equal Employment Opportunity | 11 | 90.3% | 0.0% | 9.7% | 0 |
| O. of Public Affairs | 13 | 70.1% | 7.4% | 22.5% | 0 |
| O. of Strategic Initiatives | 11 | 71.7% | 9.5% | 18.8% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

44. Discussions with my supervisor about my performance are worthwhile.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 468,047 | 65.5% | 17.4% | 17.1% | 4,670 |
| Securities and Exchange Commission | 3,457 | 72.9% | 13.9% | 13.2% | 18 |
| Division of Corporation Finance | 356 | 79.2% | 11.7% | 9.1% | 2 |
| Division of Investment Management | 136 | 71.0% | 16.7% | 12.3% | 0 |
| Division of Economic and Risk Analysis | 118 | 73.5% | 13.6% | 12.9% | 1 |
| Division of Trading and Markets | 151 | 72.7% | 16.6% | 10.6% | 1 |
| Office of Acquisitions | 46 | 88.9% | 6.8% | 4.3% | 1 |
| O. of Chief Accountant | 32 | 78.0% | 15.9% | 6.1% | 0 |
| Office of Financial Management | 82 | 79.3% | 13.3% | 7.4% | 0 |
| Office of Support Operations | 88 | 88.7% | 5.7% | 5.6% | 0 |
| Office of General Counsel | 97 | 72.0% | 14.9% | 13.1% | 0 |
| Office of Human Resources | 107 | 69.0% | 10.5% | 20.6% | 2 |
| Office of Information Technology | 121 | 75.4% | 11.7% | 12.9% | 1 |
| Office of the Inspector General | 42 | 74.4% | 14.2% | 11.4% | 0 |
| Office of International Affairs | 37 | 75.5% | 7.8% | 16.7% | 1 |
| Office of Investor Education and Advocacy | 36 | 68.8% | 9.1% | 22.1% | 0 |
| Office of Credit Ratings | 38 | 62.8% | 10.9% | 26.3% | 0 |
| Office of the Secretary | 20 | 85.3% | 14.7% | 0.0% | 0 |
| O. of the Chief Operating Officer | 10 | 59.5% | 30.9% | 9.6% | 0 |
| National Examination Program | 750 | 72.7% | 13.4% | 13.9% | 2 |
| National Enforcement Program | 986 | 69.3% | 16.4% | 14.4% | 3 |
| Regional Operations | 112 | 68.7% | 12.5% | 18.7% | 1 |
| Other (OIAD, OMS, OMWI) | 21 | 66.1% | 14.7% | 19.2% | 0 |
| O. of Administrative Law Judges | 8 | 24.5% | 38.1% | 37.4% | 1 |
| Office of Ethics Counsel | 14 | 94.1% | 0.0% | 5.9% | 0 |
| O. of Equal Employment Opportunity | 11 | 90.3% | 0.0% | 9.7% | 0 |
| O. of Public Affairs | 13 | 61.9% | 23.1% | 15.1% | 0 |
| O. of Strategic Initiatives | 10 | 79.2% | 10.5% | 10.3% | 1 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

45. My supervisor is committed to a workforce representative of all segments of society.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|-------------|------------|
| Governmentwide | 438,339 | 69.6% | 20.7% | 9.8% | 34,846 |
| Securities and Exchange Commission | 3,126 | 79.6% | 15.3% | 5.1% | 347 |
| Division of Corporation Finance | 312 | 82.8% | 13.5% | 3.7% | 45 |
| Division of Investment Management | 122 | 79.1% | 16.7% | 4.2% | 14 |
| Division of Economic and Risk Analysis | 104 | 75.8% | 20.3% | 3.9% | 15 |
| Division of Trading and Markets | 141 | 83.6% | 13.6% | 2.9% | 11 |
| Office of Acquisitions | 45 | 86.3% | 9.0% | 4.6% | 2 |
| O. of Chief Accountant | 28 | 92.8% | 7.2% | 0.0% | 4 |
| Office of Financial Management | 77 | 76.5% | 16.9% | 6.6% | 7 |
| Office of Support Operations | 83 | 85.4% | 12.3% | 2.3% | 4 |
| Office of General Counsel | 88 | 80.3% | 13.8% | 6.0% | 6 |
| Office of Human Resources | 101 | 74.1% | 18.0% | 7.9% | 8 |
| Office of Information Technology | 119 | 81.4% | 11.9% | 6.6% | 3 |
| Office of the Inspector General | 38 | 74.1% | 15.7% | 10.2% | 4 |
| Office of International Affairs | 33 | 80.9% | 9.4% | 9.7% | 5 |
| Office of Investor Education and Advocacy | 34 | 67.0% | 27.0% | 6.0% | 2 |
| Office of Credit Ratings | 32 | 81.2% | 15.5% | 3.3% | 5 |
| Office of the Secretary | 20 | 95.7% | 4.3% | 0.0% | 0 |
| O. of the Chief Operating Officer | 10 | 79.3% | 10.4% | 10.4% | 0 |
| National Examination Program | 676 | 81.1% | 13.6% | 5.3% | 77 |
| National Enforcement Program | 871 | 77.5% | 16.9% | 5.6% | 120 |
| Regional Operations | 101 | 75.4% | 18.4% | 6.2% | 11 |
| Other (OIAD, OMS, OMWI) | 21 | 76.4% | 18.5% | 5.2% | 0 |
| O. of Administrative Law Judges | 8 | 24.5% | 75.5% | 0.0% | 1 |
| Office of Ethics Counsel | 14 | 85.0% | 15.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 90.3% | 0.0% | 9.7% | 0 |
| O. of Public Affairs | 12 | 75.7% | 16.2% | 8.1% | 1 |
| O. of Strategic Initiatives | 10 | 89.7% | 10.3% | 0.0% | 1 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

46. My supervisor provides me with constructive suggestions to improve my job performance.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 470,605 | 64.3% | 18.5% | 17.2% | 2,367 |
| Securities and Exchange Commission | 3,459 | 72.9% | 15.1% | 12.1% | 14 |
| Division of Corporation Finance | 356 | 79.9% | 11.0% | 9.1% | 0 |
| Division of Investment Management | 135 | 68.7% | 16.5% | 14.8% | 0 |
| Division of Economic and Risk Analysis | 117 | 80.2% | 12.0% | 7.8% | 1 |
| Division of Trading and Markets | 153 | 67.8% | 20.4% | 11.8% | 0 |
| Office of Acquisitions | 46 | 82.7% | 10.7% | 6.6% | 1 |
| O. of Chief Accountant | 32 | 75.2% | 15.7% | 9.1% | 0 |
| Office of Financial Management | 84 | 72.6% | 14.5% | 12.9% | 0 |
| Office of Support Operations | 88 | 86.6% | 7.8% | 5.6% | 0 |
| Office of General Counsel | 97 | 69.8% | 17.2% | 13.0% | 0 |
| Office of Human Resources | 107 | 71.9% | 9.5% | 18.6% | 2 |
| Office of Information Technology | 121 | 72.8% | 11.7% | 15.5% | 0 |
| Office of the Inspector General | 42 | 76.7% | 11.8% | 11.5% | 0 |
| Office of International Affairs | 37 | 72.6% | 10.8% | 16.7% | 1 |
| Office of Investor Education and Advocacy | 36 | 74.8% | 14.3% | 10.9% | 0 |
| Office of Credit Ratings | 37 | 59.1% | 19.0% | 21.9% | 0 |
| Office of the Secretary | 20 | 94.9% | 5.1% | 0.0% | 0 |
| O. of the Chief Operating Officer | 10 | 89.6% | 10.4% | 0.0% | 0 |
| National Examination Program | 748 | 71.1% | 16.2% | 12.7% | 3 |
| National Enforcement Program | 991 | 72.0% | 16.0% | 12.0% | 2 |
| Regional Operations | 110 | 71.3% | 15.3% | 13.4% | 1 |
| Other (OIAD, OMS, OMWI) | 20 | 60.4% | 24.8% | 14.7% | 1 |
| O. of Administrative Law Judges | 7 | 0.0% | 57.4% | 42.6% | 2 |
| Office of Ethics Counsel | 14 | 94.1% | 5.9% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 11 | 73.7% | 9.6% | 16.7% | 0 |
| O. of Public Affairs | 13 | 53.8% | 31.1% | 15.1% | 0 |
| O. of Strategic Initiatives | 11 | 71.7% | 18.8% | 9.5% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

47. Supervisors in my work unit support employee development.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|-------------|-----------|
| Governmentwide | 467,336 | 67.7% | 16.9% | 15.4% | 6,537 |
| Securities and Exchange Commission | 3,427 | 79.4% | 12.0% | 8.6% | 54 |
| Division of Corporation Finance | 356 | 83.8% | 10.8% | 5.4% | 2 |
| Division of Investment Management | 134 | 82.2% | 10.3% | 7.5% | 1 |
| Division of Economic and Risk Analysis | 117 | 83.7% | 6.8% | 9.5% | 2 |
| Division of Trading and Markets | 153 | 80.3% | 10.5% | 9.2% | 0 |
| Office of Acquisitions | 46 | 93.3% | 4.5% | 2.2% | 1 |
| O. of Chief Accountant | 30 | 93.5% | 3.2% | 3.2% | 2 |
| Office of Financial Management | 80 | 81.0% | 7.7% | 11.3% | 3 |
| Office of Support Operations | 85 | 87.0% | 5.9% | 7.1% | 2 |
| Office of General Counsel | 97 | 72.1% | 17.0% | 10.9% | 0 |
| Office of Human Resources | 107 | 81.2% | 10.4% | 8.4% | 2 |
| Office of Information Technology | 120 | 79.2% | 13.6% | 7.2% | 3 |
| Office of the Inspector General | 42 | 76.6% | 7.2% | 16.2% | 0 |
| Office of International Affairs | 38 | 78.5% | 10.4% | 11.1% | 0 |
| Office of Investor Education and Advocacy | 36 | 71.8% | 17.3% | 10.9% | 0 |
| Office of Credit Ratings | 38 | 65.4% | 26.3% | 8.3% | 0 |
| Office of the Secretary | 20 | 80.3% | 10.2% | 9.5% | 0 |
| O. of the Chief Operating Officer | 10 | 90.4% | 0.0% | 9.6% | 0 |
| National Examination Program | 737 | 78.1% | 11.9% | 10.0% | 15 |
| National Enforcement Program | 979 | 78.0% | 13.4% | 8.6% | 15 |
| Regional Operations | 110 | 72.5% | 20.0% | 7.5% | 3 |
| Other (OIAD, OMS, OMWI) | 21 | 94.8% | 0.0% | 5.2% | 0 |
| O. of Administrative Law Judges | 7 | 42.9% | 42.9% | 14.2% | 3 |
| Office of Ethics Counsel | 14 | 78.0% | 13.9% | 8.1% | 0 |
| O. of Equal Employment Opportunity | 11 | 90.3% | 0.0% | 9.7% | 0 |
| O. of Public Affairs | 13 | 85.0% | 15.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 10 | 89.7% | 10.3% | 0.0% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

48. My supervisor listens to what I have to say.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 474,257 | 77.6% | 11.4% | 11.1% |
| Securities and Exchange Commission | 3,485 | 86.6% | 7.3% | 6.1% |
| Division of Corporation Finance | 358 | 87.3% | 7.7% | 5.1% |
| Division of Investment Management | 136 | 88.1% | 6.8% | 5.1% |
| Division of Economic and Risk Analysis | 119 | 87.4% | 6.7% | 5.9% |
| Division of Trading and Markets | 154 | 86.3% | 6.5% | 7.2% |
| Office of Acquisitions | 47 | 93.5% | 2.2% | 4.2% |
| O. of Chief Accountant | 32 | 90.9% | 9.1% | 0.0% |
| Office of Financial Management | 84 | 89.1% | 7.3% | 3.6% |
| Office of Support Operations | 89 | 90.0% | 4.5% | 5.5% |
| Office of General Counsel | 96 | 85.7% | 6.7% | 7.5% |
| Office of Human Resources | 108 | 81.3% | 13.1% | 5.6% |
| Office of Information Technology | 123 | 85.6% | 6.4% | 8.0% |
| Office of the Inspector General | 42 | 78.9% | 9.7% | 11.5% |
| Office of International Affairs | 38 | 86.3% | 10.9% | 2.7% |
| Office of Investor Education and Advocacy | 36 | 72.2% | 16.5% | 11.3% |
| Office of Credit Ratings | 38 | 84.1% | 7.8% | 8.1% |
| Office of the Secretary | 20 | 89.7% | 10.3% | 0.0% |
| O. of the Chief Operating Officer | 10 | 100.0% | 0.0% | 0.0% |
| National Examination Program | 752 | 86.7% | 6.7% | 6.6% |
| National Enforcement Program | 994 | 87.2% | 7.0% | 5.8% |
| Regional Operations | 114 | 83.3% | 9.4% | 7.3% |
| Other (OIAD, OMS, OMWI) | 21 | 84.5% | 5.2% | 10.3% |
| O. of Administrative Law Judges | 9 | 43.9% | 33.7% | 22.4% |
| Office of Ethics Counsel | 14 | 86.1% | 13.9% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 90.3% | 0.0% | 9.7% |
| O. of Public Affairs | 13 | 77.5% | 15.0% | 7.5% |
| O. of Strategic Initiatives | 11 | 100.0% | 0.0% | 0.0% |

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1st Level Subagency Comparison Report

My Supervisor (continued)

49. My supervisor treats me with respect.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 472,973 | 82.5% | 9.3% | 8.2% |
| Securities and Exchange Commission | 3,476 | 89.3% | 5.1% | 5.6% |
| Division of Corporation Finance | 358 | 91.2% | 4.5% | 4.3% |
| Division of Investment Management | 136 | 90.4% | 6.8% | 2.8% |
| Division of Economic and Risk Analysis | 119 | 89.9% | 5.9% | 4.2% |
| Division of Trading and Markets | 154 | 87.6% | 4.6% | 7.8% |
| Office of Acquisitions | 47 | 91.3% | 4.3% | 4.4% |
| O. of Chief Accountant | 32 | 93.9% | 6.1% | 0.0% |
| Office of Financial Management | 83 | 91.5% | 3.7% | 4.8% |
| Office of Support Operations | 87 | 89.8% | 3.4% | 6.9% |
| Office of General Counsel | 96 | 89.8% | 5.7% | 4.5% |
| Office of Human Resources | 109 | 85.2% | 7.4% | 7.4% |
| Office of Information Technology | 123 | 87.0% | 6.5% | 6.5% |
| Office of the Inspector General | 42 | 81.2% | 7.4% | 11.5% |
| Office of International Affairs | 38 | 97.3% | 0.0% | 2.7% |
| Office of Investor Education and Advocacy | 36 | 77.4% | 8.7% | 13.9% |
| Office of Credit Ratings | 38 | 86.7% | 5.5% | 7.8% |
| Office of the Secretary | 20 | 95.7% | 4.3% | 0.0% |
| O. of the Chief Operating Officer | 10 | 89.6% | 10.4% | 0.0% |
| National Examination Program | 750 | 89.7% | 4.4% | 5.9% |
| National Enforcement Program | 992 | 89.5% | 5.3% | 5.3% |
| Regional Operations | 114 | 85.4% | 7.1% | 7.5% |
| Other (OIAD, OMS, OMWI) | 20 | 89.9% | 4.7% | 5.4% |
| O. of Administrative Law Judges | 9 | 43.9% | 34.3% | 21.7% |
| Office of Ethics Counsel | 14 | 94.1% | 5.9% | 0.0% |
| O. of Equal Employment Opportunity | 10 | 89.3% | 0.0% | 10.7% |
| O. of Public Affairs | 12 | 83.6% | 0.0% | 16.4% |
| O. of Strategic Initiatives | 11 | 100.0% | 0.0% | 0.0% |

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1st Level Subagency Comparison Report

My Supervisor (continued)

50. In the last six months, my supervisor has talked with me about my performance.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 472,997 | 79.4% | 9.3% | 11.3% |
| Securities and Exchange Commission | 3,480 | 92.2% | 3.8% | 4.1% |
| Division of Corporation Finance | 359 | 94.2% | 3.8% | 2.0% |
| Division of Investment Management | 136 | 90.1% | 4.5% | 5.3% |
| Division of Economic and Risk Analysis | 119 | 92.4% | 5.0% | 2.6% |
| Division of Trading and Markets | 153 | 86.9% | 3.3% | 9.8% |
| Office of Acquisitions | 47 | 95.6% | 0.0% | 4.4% |
| O. of Chief Accountant | 32 | 93.9% | 6.1% | 0.0% |
| Office of Financial Management | 84 | 98.8% | 1.2% | 0.0% |
| Office of Support Operations | 89 | 90.9% | 2.2% | 6.9% |
| Office of General Counsel | 96 | 92.1% | 3.3% | 4.6% |
| Office of Human Resources | 108 | 93.5% | 1.9% | 4.6% |
| Office of Information Technology | 123 | 89.7% | 5.5% | 4.9% |
| Office of the Inspector General | 42 | 95.6% | 0.0% | 4.4% |
| Office of International Affairs | 38 | 94.4% | 0.0% | 5.6% |
| Office of Investor Education and Advocacy | 35 | 94.2% | 5.8% | 0.0% |
| Office of Credit Ratings | 38 | 89.3% | 7.8% | 2.8% |
| Office of the Secretary | 20 | 100.0% | 0.0% | 0.0% |
| O. of the Chief Operating Officer | 10 | 89.6% | 10.4% | 0.0% |
| National Examination Program | 752 | 91.6% | 4.2% | 4.2% |
| National Enforcement Program | 991 | 92.8% | 3.5% | 3.7% |
| Regional Operations | 114 | 89.0% | 6.3% | 4.7% |
| Other (OIAD, OMS, OMWI) | 21 | 95.4% | 4.6% | 0.0% |
| O. of Administrative Law Judges | 9 | 54.7% | 22.9% | 22.4% |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 100.0% | 0.0% | 0.0% |
| O. of Public Affairs | 13 | 77.5% | 7.4% | 15.1% |
| O. of Strategic Initiatives | 11 | 100.0% | 0.0% | 0.0% |

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1st Level Subagency Comparison Report

My Supervisor (continued)

51. I have trust and confidence in my supervisor.

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|-------------|-------------|
| Governmentwide | 473,365 | 69.4% | 15.3% | 15.4% |
| Securities and Exchange Commission | 3,480 | 80.8% | 9.8% | 9.3% |
| Division of Corporation Finance | 359 | 86.3% | 8.4% | 5.3% |
| Division of Investment Management | 135 | 81.4% | 7.8% | 10.8% |
| Division of Economic and Risk Analysis | 119 | 79.7% | 11.8% | 8.4% |
| Division of Trading and Markets | 152 | 82.8% | 7.9% | 9.3% |
| Office of Acquisitions | 47 | 84.7% | 6.6% | 8.7% |
| O. of Chief Accountant | 32 | 87.9% | 6.1% | 6.1% |
| Office of Financial Management | 84 | 79.7% | 10.8% | 9.5% |
| Office of Support Operations | 89 | 83.1% | 6.9% | 10.0% |
| Office of General Counsel | 96 | 78.9% | 10.8% | 10.3% |
| Office of Human Resources | 109 | 69.6% | 15.6% | 14.7% |
| Office of Information Technology | 122 | 72.8% | 17.5% | 9.7% |
| Office of the Inspector General | 42 | 71.8% | 12.0% | 16.2% |
| Office of International Affairs | 38 | 77.7% | 14.0% | 8.3% |
| Office of Investor Education and Advocacy | 36 | 77.8% | 8.3% | 13.9% |
| Office of Credit Ratings | 38 | 70.8% | 10.4% | 18.7% |
| Office of the Secretary | 20 | 85.6% | 14.4% | 0.0% |
| O. of the Chief Operating Officer | 10 | 79.3% | 10.4% | 10.4% |
| National Examination Program | 752 | 80.6% | 10.0% | 9.4% |
| National Enforcement Program | 991 | 82.1% | 9.1% | 8.8% |
| Regional Operations | 114 | 73.6% | 11.5% | 14.9% |
| Other (OIAD, OMS, OMWI) | 21 | 80.8% | 8.9% | 10.3% |
| O. of Administrative Law Judges | 9 | 43.9% | 34.3% | 21.7% |
| Office of Ethics Counsel | 14 | 86.1% | 5.9% | 8.0% |
| O. of Equal Employment Opportunity | 11 | 90.3% | 0.0% | 9.7% |
| O. of Public Affairs | 13 | 70.1% | 15.0% | 15.0% |
| O. of Strategic Initiatives | 11 | 90.5% | 9.5% | 0.0% |

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My Supervisor (continued)

52. Overall, how good a job do you feel is being done by your immediate supervisor?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|-------------|
| Governmentwide | 473,735 | 71.9% | 16.8% | 11.3% |
| Securities and Exchange Commission | 3,484 | 83.2% | 10.4% | 6.4% |
| Division of Corporation Finance | 359 | 87.5% | 9.1% | 3.4% |
| Division of Investment Management | 136 | 80.2% | 12.5% | 7.3% |
| Division of Economic and Risk Analysis | 119 | 86.5% | 6.7% | 6.8% |
| Division of Trading and Markets | 154 | 82.4% | 9.1% | 8.5% |
| Office of Acquisitions | 47 | 89.3% | 4.3% | 6.5% |
| O. of Chief Accountant | 32 | 90.6% | 9.4% | 0.0% |
| Office of Financial Management | 84 | 88.2% | 7.0% | 4.8% |
| Office of Support Operations | 89 | 85.4% | 6.8% | 7.8% |
| Office of General Counsel | 97 | 80.6% | 10.5% | 8.9% |
| Office of Human Resources | 109 | 77.9% | 12.9% | 9.2% |
| Office of Information Technology | 123 | 78.9% | 13.2% | 7.9% |
| Office of the Inspector General | 42 | 78.9% | 9.6% | 11.6% |
| Office of International Affairs | 38 | 80.5% | 14.0% | 5.5% |
| Office of Investor Education and Advocacy | 36 | 74.9% | 11.3% | 13.9% |
| Office of Credit Ratings | 38 | 73.4% | 10.7% | 15.9% |
| Office of the Secretary | 20 | 90.5% | 9.5% | 0.0% |
| O. of the Chief Operating Officer | 10 | 69.7% | 30.3% | 0.0% |
| National Examination Program | 752 | 82.8% | 10.6% | 6.6% |
| National Enforcement Program | 992 | 84.0% | 10.5% | 5.5% |
| Regional Operations | 113 | 77.1% | 16.3% | 6.6% |
| Other (OIAD, OMS, OMWI) | 21 | 89.7% | 5.2% | 5.2% |
| O. of Administrative Law Judges | 8 | 62.6% | 12.9% | 24.5% |
| Office of Ethics Counsel | 14 | 86.1% | 13.9% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 90.3% | 9.7% | 0.0% |
| O. of Public Affairs | 13 | 70.1% | 22.4% | 7.5% |
| O. of Strategic Initiatives | 11 | 90.6% | 0.0% | 9.4% |

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Leadership

53. In my organization, senior leaders generate high levels of motivation and commitment in the workforce.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 458,664 | 43.1% | 24.5% | 32.3% | 12,542 |
| Securities and Exchange Commission | 3,384 | 57.3% | 21.2% | 21.5% | 92 |
| Division of Corporation Finance | 340 | 50.6% | 24.9% | 24.5% | 17 |
| Division of Investment Management | 135 | 60.4% | 18.8% | 20.8% | 0 |
| Division of Economic and Risk Analysis | 117 | 59.0% | 17.9% | 23.2% | 2 |
| Division of Trading and Markets | 151 | 54.1% | 23.9% | 22.0% | 3 |
| Office of Acquisitions | 46 | 67.1% | 8.9% | 24.0% | 1 |
| O. of Chief Accountant | 32 | 87.9% | 9.1% | 3.1% | 0 |
| Office of Financial Management | 80 | 64.8% | 20.2% | 15.0% | 4 |
| Office of Support Operations | 86 | 71.9% | 16.5% | 11.6% | 2 |
| Office of General Counsel | 95 | 56.1% | 25.3% | 18.5% | 1 |
| Office of Human Resources | 105 | 64.6% | 14.3% | 21.1% | 4 |
| Office of Information Technology | 121 | 44.2% | 22.5% | 33.3% | 2 |
| Office of the Inspector General | 42 | 57.5% | 19.1% | 23.4% | 0 |
| Office of International Affairs | 37 | 56.0% | 8.2% | 35.8% | 1 |
| Office of Investor Education and Advocacy | 36 | 62.6% | 20.4% | 16.9% | 0 |
| Office of Credit Ratings | 38 | 28.8% | 23.5% | 47.7% | 0 |
| Office of the Secretary | 18 | 83.3% | 11.3% | 5.4% | 2 |
| O. of the Chief Operating Officer | 9 | 78.6% | 10.7% | 10.7% | 1 |
| National Examination Program | 735 | 56.1% | 20.3% | 23.6% | 14 |
| National Enforcement Program | 963 | 58.2% | 23.2% | 18.6% | 27 |
| Regional Operations | 110 | 53.1% | 22.1% | 24.8% | 4 |
| Other (OIAD, OMS, OMWI) | 21 | 56.5% | 24.3% | 19.2% | 0 |
| O. of Administrative Law Judges | 6 | 48.9% | 51.1% | 0.0% | 4 |
| Office of Ethics Counsel | 14 | 83.9% | 0.0% | 16.1% | 0 |
| O. of Equal Employment Opportunity | 9 | 89.8% | 0.0% | 10.2% | 2 |
| O. of Public Affairs | 12 | 50.9% | 41.0% | 8.1% | 1 |
| O. of Strategic Initiatives | 11 | 53.3% | 18.3% | 28.3% | 0 |

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Leadership (continued)

54. My organization's senior leaders maintain high standards of honesty and integrity.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 438,606 | 54.4% | 24.1% | 21.5% | 31,681 |
| Securities and Exchange Commission | 3,222 | 72.3% | 15.6% | 12.1% | 247 |
| Division of Corporation Finance | 310 | 65.7% | 20.2% | 14.1% | 46 |
| Division of Investment Management | 131 | 75.6% | 17.4% | 7.0% | 4 |
| Division of Economic and Risk Analysis | 113 | 68.9% | 14.2% | 16.9% | 6 |
| Division of Trading and Markets | 144 | 75.6% | 14.0% | 10.5% | 9 |
| Office of Acquisitions | 45 | 66.3% | 6.9% | 26.8% | 2 |
| O. of Chief Accountant | 29 | 86.6% | 13.4% | 0.0% | 3 |
| Office of Financial Management | 75 | 68.7% | 15.0% | 16.3% | 8 |
| Office of Support Operations | 87 | 77.0% | 11.5% | 11.5% | 2 |
| Office of General Counsel | 87 | 76.8% | 15.7% | 7.5% | 9 |
| Office of Human Resources | 101 | 62.3% | 18.0% | 19.6% | 8 |
| Office of Information Technology | 115 | 48.8% | 24.5% | 26.7% | 8 |
| Office of the Inspector General | 42 | 67.1% | 12.1% | 20.8% | 0 |
| Office of International Affairs | 34 | 67.8% | 14.0% | 18.2% | 3 |
| Office of Investor Education and Advocacy | 35 | 72.7% | 15.2% | 12.1% | 1 |
| Office of Credit Ratings | 38 | 55.2% | 13.1% | 31.8% | 0 |
| Office of the Secretary | 18 | 83.3% | 16.7% | 0.0% | 2 |
| O. of the Chief Operating Officer | 9 | 89.3% | 10.7% | 0.0% | 1 |
| National Examination Program | 699 | 71.4% | 16.2% | 12.5% | 45 |
| National Enforcement Program | 915 | 78.0% | 14.7% | 7.4% | 75 |
| Regional Operations | 108 | 68.7% | 11.2% | 20.1% | 6 |
| Other (OIAD, OMS, OMWI) | 21 | 75.6% | 9.6% | 14.8% | 0 |
| O. of Administrative Law Judges | 5 | 39.0% | 61.0% | 0.0% | 5 |
| Office of Ethics Counsel | 14 | 92.0% | 0.0% | 8.0% | 0 |
| O. of Equal Employment Opportunity | 10 | 69.3% | 30.7% | 0.0% | 1 |
| O. of Public Affairs | 11 | 91.3% | 8.7% | 0.0% | 2 |
| O. of Strategic Initiatives | 11 | 71.7% | 0.0% | 28.3% | 0 |

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1st Level Subagency Comparison Report

Leadership (continued)

55. Supervisors work well with employees of different backgrounds.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|-------------|------------|
| Governmentwide | 445,624 | 68.5% | 19.4% | 12.1% | 22,578 |
| Securities and Exchange Commission | 3,251 | 76.7% | 15.1% | 8.2% | 202 |
| Division of Corporation Finance | 321 | 74.2% | 18.5% | 7.3% | 32 |
| Division of Investment Management | 127 | 79.4% | 14.7% | 5.8% | 8 |
| Division of Economic and Risk Analysis | 113 | 76.9% | 8.9% | 14.2% | 6 |
| Division of Trading and Markets | 146 | 79.3% | 15.8% | 4.8% | 7 |
| Office of Acquisitions | 47 | 74.3% | 6.6% | 19.1% | 0 |
| O. of Chief Accountant | 31 | 83.9% | 12.9% | 3.2% | 1 |
| Office of Financial Management | 77 | 76.5% | 15.7% | 7.8% | 7 |
| Office of Support Operations | 88 | 82.7% | 10.4% | 6.9% | 1 |
| Office of General Counsel | 91 | 80.1% | 16.2% | 3.7% | 3 |
| Office of Human Resources | 103 | 60.9% | 24.6% | 14.5% | 5 |
| Office of Information Technology | 119 | 80.0% | 11.6% | 8.4% | 3 |
| Office of the Inspector General | 41 | 80.9% | 2.5% | 16.6% | 1 |
| Office of International Affairs | 35 | 81.7% | 12.2% | 6.1% | 3 |
| Office of Investor Education and Advocacy | 35 | 70.0% | 21.0% | 9.0% | 1 |
| Office of Credit Ratings | 37 | 64.9% | 18.7% | 16.3% | 1 |
| Office of the Secretary | 19 | 73.8% | 26.2% | 0.0% | 1 |
| O. of the Chief Operating Officer | 10 | 90.4% | 9.6% | 0.0% | 0 |
| National Examination Program | 715 | 77.0% | 15.3% | 7.7% | 26 |
| National Enforcement Program | 900 | 77.6% | 14.4% | 8.0% | 82 |
| Regional Operations | 108 | 66.6% | 18.7% | 14.7% | 6 |
| Other (OIAD, OMS, OMWI) | 20 | 84.6% | 4.6% | 10.7% | 1 |
| O. of Administrative Law Judges | 6 | 48.6% | 51.4% | 0.0% | 4 |
| Office of Ethics Counsel | 14 | 78.0% | 22.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 10 | 61.7% | 10.5% | 27.8% | 1 |
| O. of Public Affairs | 12 | 91.9% | 8.1% | 0.0% | 1 |
| O. of Strategic Initiatives | 11 | 71.7% | 28.3% | 0.0% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

56. Managers communicate the goals and priorities of the organization.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 461,098 | 62.4% | 19.4% | 18.2% | 7,338 |
| Securities and Exchange Commission | 3,410 | 70.8% | 15.2% | 14.1% | 44 |
| Division of Corporation Finance | 347 | 68.1% | 15.0% | 16.9% | 6 |
| Division of Investment Management | 134 | 70.9% | 17.1% | 12.0% | 0 |
| Division of Economic and Risk Analysis | 117 | 70.8% | 15.4% | 13.7% | 1 |
| Division of Trading and Markets | 151 | 63.4% | 14.7% | 21.9% | 1 |
| Office of Acquisitions | 47 | 78.9% | 6.1% | 15.0% | 0 |
| O. of Chief Accountant | 31 | 74.4% | 25.6% | 0.0% | 0 |
| Office of Financial Management | 78 | 79.4% | 10.2% | 10.4% | 2 |
| Office of Support Operations | 89 | 86.4% | 6.9% | 6.7% | 0 |
| Office of General Counsel | 95 | 67.2% | 14.0% | 18.9% | 0 |
| Office of Human Resources | 106 | 77.3% | 11.4% | 11.2% | 3 |
| Office of Information Technology | 123 | 59.9% | 17.3% | 22.8% | 0 |
| Office of the Inspector General | 42 | 69.5% | 14.3% | 16.2% | 0 |
| Office of International Affairs | 38 | 61.3% | 19.6% | 19.1% | 0 |
| Office of Investor Education and Advocacy | 36 | 57.8% | 28.6% | 13.5% | 0 |
| Office of Credit Ratings | 38 | 49.7% | 13.0% | 37.2% | 0 |
| Office of the Secretary | 19 | 84.6% | 15.4% | 0.0% | 1 |
| O. of the Chief Operating Officer | 9 | 77.8% | 22.2% | 0.0% | 0 |
| National Examination Program | 744 | 74.5% | 14.6% | 10.9% | 1 |
| National Enforcement Program | 972 | 70.8% | 15.6% | 13.6% | 15 |
| Regional Operations | 108 | 64.8% | 20.4% | 14.8% | 6 |
| Other (OIAD, OMS, OMWI) | 21 | 85.4% | 0.0% | 14.6% | 0 |
| O. of Administrative Law Judges | 5 | 19.4% | 61.4% | 19.1% | 5 |
| Office of Ethics Counsel | 13 | 77.6% | 22.4% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 9 | 79.6% | 0.0% | 20.4% | 2 |
| O. of Public Affairs | 12 | 67.8% | 32.2% | 0.0% | 1 |
| O. of Strategic Initiatives | 11 | 53.3% | 37.8% | 8.8% | 0 |

Securities and Exchange Commission

1st Level Subagency Comparison Report

Leadership (continued)

57. Managers review and evaluate the organization's progress toward meeting its goals and objectives.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 437,863 | 62.5% | 22.4% | 15.1% | 30,108 |
| Securities and Exchange Commission | 3,171 | 71.9% | 17.6% | 10.5% | 283 |
| Division of Corporation Finance | 314 | 73.5% | 15.6% | 10.9% | 41 |
| Division of Investment Management | 127 | 71.5% | 21.3% | 7.2% | 7 |
| Division of Economic and Risk Analysis | 113 | 69.9% | 20.4% | 9.7% | 6 |
| Division of Trading and Markets | 135 | 65.8% | 18.6% | 15.6% | 17 |
| Office of Acquisitions | 46 | 82.6% | 2.1% | 15.3% | 1 |
| O. of Chief Accountant | 30 | 73.6% | 26.4% | 0.0% | 2 |
| Office of Financial Management | 79 | 79.6% | 11.5% | 8.9% | 4 |
| Office of Support Operations | 88 | 86.3% | 7.0% | 6.8% | 1 |
| Office of General Counsel | 81 | 63.9% | 23.2% | 12.9% | 15 |
| Office of Human Resources | 101 | 78.2% | 14.9% | 6.8% | 6 |
| Office of Information Technology | 115 | 58.1% | 21.5% | 20.4% | 7 |
| Office of the Inspector General | 41 | 73.7% | 9.8% | 16.6% | 1 |
| Office of International Affairs | 32 | 59.9% | 20.1% | 19.9% | 5 |
| Office of Investor Education and Advocacy | 34 | 51.9% | 39.8% | 8.4% | 2 |
| Office of Credit Ratings | 36 | 49.7% | 24.8% | 25.5% | 2 |
| Office of the Secretary | 18 | 94.4% | 5.6% | 0.0% | 2 |
| O. of the Chief Operating Officer | 9 | 77.9% | 10.6% | 11.5% | 1 |
| National Examination Program | 712 | 77.1% | 15.0% | 7.9% | 32 |
| National Enforcement Program | 878 | 70.6% | 18.5% | 10.9% | 105 |
| Regional Operations | 102 | 62.4% | 27.2% | 10.4% | 12 |
| Other (OIAD, OMS, OMWI) | 20 | 79.9% | 5.4% | 14.7% | 1 |
| O. of Administrative Law Judges | 3 | 32.2% | 67.8% | 0.0% | 7 |
| Office of Ethics Counsel | 12 | 75.1% | 24.9% | 0.0% | 1 |
| O. of Equal Employment Opportunity | 9 | 91.3% | 0.0% | 8.7% | 2 |
| O. of Public Affairs | 12 | 75.7% | 24.3% | 0.0% | 1 |
| O. of Strategic Initiatives | 10 | 58.5% | 31.2% | 10.3% | 1 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

58. Managers promote communication among different work units (for example, about projects, goals, needed resources).

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 452,145 | 55.3% | 21.4% | 23.2% | 16,506 |
| Securities and Exchange Commission | 3,346 | 67.1% | 16.6% | 16.3% | 118 |
| Division of Corporation Finance | 337 | 63.1% | 18.6% | 18.3% | 17 |
| Division of Investment Management | 132 | 74.4% | 12.9% | 12.8% | 1 |
| Division of Economic and Risk Analysis | 116 | 73.1% | 14.8% | 12.1% | 3 |
| Division of Trading and Markets | 150 | 61.8% | 18.1% | 20.1% | 4 |
| Office of Acquisitions | 47 | 72.1% | 10.9% | 17.0% | 0 |
| O. of Chief Accountant | 31 | 83.8% | 16.2% | 0.0% | 1 |
| Office of Financial Management | 82 | 64.5% | 22.0% | 13.5% | 2 |
| Office of Support Operations | 89 | 79.7% | 10.3% | 10.0% | 0 |
| Office of General Counsel | 91 | 64.0% | 23.2% | 12.8% | 5 |
| Office of Human Resources | 107 | 70.3% | 15.0% | 14.7% | 2 |
| Office of Information Technology | 121 | 58.2% | 13.3% | 28.5% | 2 |
| Office of the Inspector General | 42 | 69.5% | 9.5% | 20.9% | 0 |
| Office of International Affairs | 38 | 69.6% | 8.2% | 22.2% | 0 |
| Office of Investor Education and Advocacy | 36 | 46.4% | 22.6% | 31.0% | 0 |
| Office of Credit Ratings | 38 | 41.9% | 18.3% | 39.8% | 0 |
| Office of the Secretary | 19 | 90.1% | 0.0% | 9.9% | 1 |
| O. of the Chief Operating Officer | 10 | 80.1% | 0.0% | 19.9% | 0 |
| National Examination Program | 725 | 68.1% | 16.4% | 15.4% | 19 |
| National Enforcement Program | 940 | 67.9% | 17.3% | 14.8% | 47 |
| Regional Operations | 107 | 66.1% | 15.9% | 18.0% | 6 |
| Other (OIAD, OMS, OMWI) | 21 | 69.9% | 10.3% | 19.8% | 0 |
| O. of Administrative Law Judges | 5 | 19.4% | 61.4% | 19.1% | 5 |
| Office of Ethics Counsel | 14 | 78.0% | 5.9% | 16.1% | 0 |
| O. of Equal Employment Opportunity | 8 | 65.0% | 13.2% | 21.7% | 3 |
| O. of Public Affairs | 13 | 62.0% | 15.5% | 22.5% | 0 |
| O. of Strategic Initiatives | 11 | 44.5% | 46.7% | 8.8% | 0 |

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1st Level Subagency Comparison Report

Leadership (continued)

59. Managers support collaboration across work units to accomplish work objectives.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 452,092 | 58.6% | 21.4% | 19.9% | 17,020 |
| Securities and Exchange Commission | 3,349 | 70.6% | 15.6% | 13.8% | 116 |
| Division of Corporation Finance | 335 | 68.0% | 18.0% | 14.0% | 19 |
| Division of Investment Management | 131 | 80.1% | 10.0% | 9.9% | 2 |
| Division of Economic and Risk Analysis | 118 | 73.6% | 14.5% | 11.9% | 1 |
| Division of Trading and Markets | 152 | 71.6% | 9.9% | 18.5% | 2 |
| Office of Acquisitions | 46 | 73.9% | 8.8% | 17.2% | 1 |
| O. of Chief Accountant | 31 | 81.0% | 19.0% | 0.0% | 1 |
| Office of Financial Management | 81 | 72.8% | 16.0% | 11.2% | 3 |
| Office of Support Operations | 88 | 81.7% | 11.6% | 6.8% | 0 |
| Office of General Counsel | 93 | 68.2% | 21.7% | 10.2% | 3 |
| Office of Human Resources | 105 | 73.6% | 14.2% | 12.2% | 3 |
| Office of Information Technology | 119 | 62.6% | 12.7% | 24.7% | 2 |
| Office of the Inspector General | 42 | 72.0% | 11.9% | 16.1% | 0 |
| Office of International Affairs | 37 | 74.2% | 5.8% | 20.0% | 1 |
| Office of Investor Education and Advocacy | 36 | 52.0% | 20.0% | 28.0% | 0 |
| Office of Credit Ratings | 38 | 41.9% | 13.1% | 45.1% | 0 |
| Office of the Secretary | 19 | 84.6% | 5.5% | 9.9% | 1 |
| O. of the Chief Operating Officer | 10 | 80.8% | 9.6% | 9.6% | 0 |
| National Examination Program | 724 | 69.5% | 18.1% | 12.5% | 21 |
| National Enforcement Program | 951 | 71.6% | 15.9% | 12.5% | 40 |
| Regional Operations | 105 | 68.1% | 13.7% | 18.2% | 9 |
| Other (OIAD, OMS, OMWI) | 21 | 74.3% | 15.5% | 10.3% | 0 |
| O. of Administrative Law Judges | 5 | 19.4% | 61.4% | 19.1% | 5 |
| Office of Ethics Counsel | 14 | 78.0% | 5.9% | 16.1% | 0 |
| O. of Equal Employment Opportunity | 8 | 78.3% | 11.9% | 9.9% | 2 |
| O. of Public Affairs | 13 | 62.0% | 23.1% | 15.0% | 0 |
| O. of Strategic Initiatives | 11 | 44.5% | 27.8% | 27.7% | 0 |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

60. Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor?

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|------------|
| Governmentwide | 442,275 | 60.2% | 22.5% | 17.4% | 27,324 |
| Securities and Exchange Commission | 3,290 | 74.8% | 15.2% | 10.0% | 179 |
| Division of Corporation Finance | 340 | 75.0% | 16.9% | 8.1% | 15 |
| Division of Investment Management | 131 | 79.3% | 12.3% | 8.4% | 5 |
| Division of Economic and Risk Analysis | 113 | 75.1% | 11.6% | 13.3% | 5 |
| Division of Trading and Markets | 145 | 75.1% | 13.8% | 11.1% | 8 |
| Office of Acquisitions | 47 | 59.2% | 19.5% | 21.3% | 0 |
| O. of Chief Accountant | 30 | 86.7% | 13.3% | 0.0% | 2 |
| Office of Financial Management | 79 | 85.0% | 7.4% | 7.6% | 5 |
| Office of Support Operations | 86 | 84.8% | 11.8% | 3.4% | 3 |
| Office of General Counsel | 89 | 76.5% | 17.6% | 5.9% | 6 |
| Office of Human Resources | 107 | 66.0% | 24.5% | 9.5% | 2 |
| Office of Information Technology | 121 | 60.9% | 25.8% | 13.4% | 1 |
| Office of the Inspector General | 41 | 66.3% | 17.1% | 16.7% | 1 |
| Office of International Affairs | 35 | 82.8% | 7.9% | 9.3% | 3 |
| Office of Investor Education and Advocacy | 34 | 72.6% | 15.3% | 12.1% | 2 |
| Office of Credit Ratings | 38 | 46.9% | 21.3% | 31.8% | 0 |
| Office of the Secretary | 17 | 94.9% | 5.1% | 0.0% | 3 |
| O. of the Chief Operating Officer | 9 | 100.0% | 0.0% | 0.0% | 1 |
| National Examination Program | 715 | 73.5% | 15.6% | 10.9% | 32 |
| National Enforcement Program | 941 | 76.8% | 14.2% | 9.0% | 50 |
| Regional Operations | 97 | 70.7% | 15.8% | 13.4% | 14 |
| Other (OIAD, OMS, OMWI) | 18 | 82.9% | 11.1% | 6.0% | 3 |
| O. of Administrative Law Judges | 0 | -- | -- | -- | 10 |
| Office of Ethics Counsel | 13 | 76.3% | 15.1% | 8.6% | 1 |
| O. of Equal Employment Opportunity | 7 | 100.0% | 0.0% | 0.0% | 4 |
| O. of Public Affairs | 11 | 82.4% | 8.7% | 8.9% | 2 |
| O. of Strategic Initiatives | 10 | 58.5% | 10.4% | 31.1% | 1 |

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1st Level Subagency Comparison Report

Leadership (continued)

61. I have a high level of respect for my organization's senior leaders.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|--------------|-----------|
| Governmentwide | 460,935 | 55.6% | 23.4% | 21.0% | 8,657 |
| Securities and Exchange Commission | 3,431 | 68.3% | 18.7% | 13.0% | 34 |
| Division of Corporation Finance | 353 | 60.7% | 21.1% | 18.2% | 3 |
| Division of Investment Management | 136 | 71.4% | 13.8% | 14.8% | 0 |
| Division of Economic and Risk Analysis | 118 | 71.1% | 13.6% | 15.4% | 1 |
| Division of Trading and Markets | 150 | 65.9% | 20.7% | 13.4% | 1 |
| Office of Acquisitions | 47 | 63.5% | 10.9% | 25.7% | 0 |
| O. of Chief Accountant | 32 | 97.0% | 3.0% | 0.0% | 0 |
| Office of Financial Management | 82 | 79.0% | 16.0% | 5.0% | 1 |
| Office of Support Operations | 88 | 82.0% | 7.8% | 10.2% | 1 |
| Office of General Counsel | 95 | 72.6% | 19.5% | 8.0% | 1 |
| Office of Human Resources | 108 | 61.8% | 24.3% | 13.9% | 1 |
| Office of Information Technology | 122 | 54.2% | 25.7% | 20.1% | 0 |
| Office of the Inspector General | 42 | 64.6% | 14.5% | 20.9% | 0 |
| Office of International Affairs | 38 | 62.8% | 13.2% | 24.0% | 0 |
| Office of Investor Education and Advocacy | 35 | 64.6% | 26.4% | 9.0% | 1 |
| Office of Credit Ratings | 38 | 47.3% | 15.7% | 37.0% | 0 |
| Office of the Secretary | 19 | 84.9% | 15.1% | 0.0% | 1 |
| O. of the Chief Operating Officer | 10 | 51.1% | 48.9% | 0.0% | 0 |
| National Examination Program | 740 | 67.7% | 20.1% | 12.1% | 7 |
| National Enforcement Program | 973 | 70.6% | 18.7% | 10.7% | 11 |
| Regional Operations | 113 | 65.8% | 18.9% | 15.3% | 1 |
| Other (OIAD, OMS, OMWI) | 21 | 85.2% | 4.4% | 10.4% | 0 |
| O. of Administrative Law Judges | 7 | 71.1% | 28.9% | 0.0% | 3 |
| Office of Ethics Counsel | 14 | 92.0% | 0.0% | 8.0% | 0 |
| O. of Equal Employment Opportunity | 10 | 79.3% | 20.7% | 0.0% | 1 |
| O. of Public Affairs | 13 | 77.5% | 22.5% | 0.0% | 0 |
| O. of Strategic Initiatives | 11 | 71.7% | 0.0% | 28.3% | 0 |

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Leadership (continued)

62. Senior leaders demonstrate support for Work/Life programs.

| | N | Positive | Neutral | Negative | DNK |
|---|--------------|--------------|--------------|-------------|------------|
| Governmentwide | 425,880 | 56.8% | 25.3% | 17.9% | 43,909 |
| Securities and Exchange Commission | 3,260 | 75.6% | 15.6% | 8.8% | 214 |
| Division of Corporation Finance | 329 | 73.3% | 16.8% | 9.9% | 28 |
| Division of Investment Management | 128 | 88.3% | 8.6% | 3.1% | 8 |
| Division of Economic and Risk Analysis | 113 | 77.8% | 12.5% | 9.7% | 6 |
| Division of Trading and Markets | 142 | 74.5% | 19.1% | 6.4% | 9 |
| Office of Acquisitions | 46 | 82.6% | 11.0% | 6.3% | 1 |
| O. of Chief Accountant | 31 | 90.4% | 9.6% | 0.0% | 1 |
| Office of Financial Management | 79 | 85.9% | 9.0% | 5.1% | 5 |
| Office of Support Operations | 84 | 79.7% | 14.3% | 6.0% | 5 |
| Office of General Counsel | 91 | 76.1% | 20.3% | 3.6% | 5 |
| Office of Human Resources | 106 | 77.3% | 13.2% | 9.5% | 2 |
| Office of Information Technology | 121 | 57.2% | 22.1% | 20.6% | 1 |
| Office of the Inspector General | 42 | 76.6% | 7.2% | 16.2% | 0 |
| Office of International Affairs | 36 | 76.8% | 11.4% | 11.9% | 2 |
| Office of Investor Education and Advocacy | 35 | 61.4% | 23.8% | 14.8% | 1 |
| Office of Credit Ratings | 38 | 78.9% | 7.8% | 13.3% | 0 |
| Office of the Secretary | 18 | 94.4% | 5.6% | 0.0% | 2 |
| O. of the Chief Operating Officer | 9 | 89.4% | 10.6% | 0.0% | 1 |
| National Examination Program | 717 | 74.6% | 14.4% | 11.0% | 32 |
| National Enforcement Program | 901 | 76.0% | 17.6% | 6.5% | 89 |
| Regional Operations | 105 | 68.1% | 19.2% | 12.7% | 9 |
| Other (OIAD, OMS, OMWI) | 21 | 80.0% | 5.2% | 14.8% | 0 |
| O. of Administrative Law Judges | 7 | 100.0% | 0.0% | 0.0% | 3 |
| Office of Ethics Counsel | 14 | 83.9% | 0.0% | 16.1% | 0 |
| O. of Equal Employment Opportunity | 10 | 80.0% | 10.6% | 9.4% | 1 |
| O. of Public Affairs | 10 | 90.4% | 9.6% | 0.0% | 3 |
| O. of Strategic Initiatives | 11 | 71.7% | 18.8% | 9.5% | 0 |

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1st Level Subagency Comparison Report

My Satisfaction

63. How satisfied are you with your involvement in decisions that affect your work?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 468,305 | 52.7% | 22.3% | 24.9% |
| Securities and Exchange Commission | 3,469 | 65.9% | 17.8% | 16.4% |
| Division of Corporation Finance | 355 | 65.4% | 17.7% | 16.9% |
| Division of Investment Management | 136 | 72.6% | 17.0% | 10.4% |
| Division of Economic and Risk Analysis | 119 | 71.2% | 12.6% | 16.1% |
| Division of Trading and Markets | 153 | 67.1% | 17.1% | 15.8% |
| Office of Acquisitions | 47 | 65.8% | 15.1% | 19.1% |
| O. of Chief Accountant | 32 | 72.5% | 21.4% | 6.1% |
| Office of Financial Management | 84 | 60.7% | 23.9% | 15.4% |
| Office of Support Operations | 89 | 79.6% | 14.8% | 5.5% |
| Office of General Counsel | 95 | 63.8% | 14.1% | 22.1% |
| Office of Human Resources | 108 | 56.2% | 21.6% | 22.2% |
| Office of Information Technology | 121 | 53.5% | 14.7% | 31.8% |
| Office of the Inspector General | 42 | 69.5% | 11.9% | 18.6% |
| Office of International Affairs | 38 | 67.2% | 11.2% | 21.6% |
| Office of Investor Education and Advocacy | 36 | 54.4% | 29.1% | 16.6% |
| Office of Credit Ratings | 38 | 55.1% | 13.1% | 31.8% |
| Office of the Secretary | 20 | 80.6% | 10.0% | 9.5% |
| O. of the Chief Operating Officer | 10 | 59.5% | 20.5% | 19.9% |
| National Examination Program | 747 | 66.5% | 19.6% | 13.8% |
| National Enforcement Program | 990 | 66.5% | 18.1% | 15.4% |
| Regional Operations | 114 | 61.4% | 16.6% | 22.0% |
| Other (OIAD, OMS, OMWI) | 21 | 60.3% | 15.5% | 24.2% |
| O. of Administrative Law Judges | 10 | 60.0% | 20.6% | 19.5% |
| Office of Ethics Counsel | 14 | 78.0% | 0.0% | 22.0% |
| O. of Equal Employment Opportunity | 11 | 83.3% | 0.0% | 16.7% |
| O. of Public Affairs | 13 | 70.1% | 7.4% | 22.5% |
| O. of Strategic Initiatives | 10 | 58.9% | 21.0% | 20.1% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Satisfaction (continued)

64. How satisfied are you with the information you receive from management on what's going on in your organization?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 467,501 | 50.3% | 23.0% | 26.8% |
| Securities and Exchange Commission | 3,468 | 63.4% | 19.6% | 17.0% |
| Division of Corporation Finance | 354 | 64.5% | 19.5% | 16.0% |
| Division of Investment Management | 135 | 66.6% | 23.9% | 9.5% |
| Division of Economic and Risk Analysis | 119 | 57.8% | 21.0% | 21.2% |
| Division of Trading and Markets | 152 | 58.4% | 23.1% | 18.5% |
| Office of Acquisitions | 47 | 70.2% | 14.9% | 14.8% |
| O. of Chief Accountant | 32 | 84.3% | 12.6% | 3.1% |
| Office of Financial Management | 84 | 71.4% | 14.2% | 14.4% |
| Office of Support Operations | 89 | 77.5% | 12.6% | 9.9% |
| Office of General Counsel | 96 | 54.7% | 22.0% | 23.3% |
| Office of Human Resources | 108 | 64.6% | 21.6% | 13.8% |
| Office of Information Technology | 121 | 54.0% | 18.1% | 27.9% |
| Office of the Inspector General | 42 | 67.2% | 9.5% | 23.3% |
| Office of International Affairs | 38 | 58.6% | 5.1% | 36.3% |
| Office of Investor Education and Advocacy | 36 | 46.0% | 28.7% | 25.3% |
| Office of Credit Ratings | 38 | 70.8% | 5.2% | 24.0% |
| Office of the Secretary | 20 | 85.4% | 5.1% | 9.5% |
| O. of the Chief Operating Officer | 10 | 80.3% | 19.7% | 0.0% |
| National Examination Program | 746 | 63.5% | 19.8% | 16.7% |
| National Enforcement Program | 992 | 63.1% | 20.6% | 16.3% |
| Regional Operations | 114 | 59.2% | 22.4% | 18.4% |
| Other (OIAD, OMS, OMWI) | 21 | 80.9% | 14.7% | 4.4% |
| O. of Administrative Law Judges | 10 | 59.6% | 20.6% | 19.9% |
| Office of Ethics Counsel | 14 | 78.0% | 5.9% | 16.1% |
| O. of Equal Employment Opportunity | 11 | 83.5% | 0.0% | 16.5% |
| O. of Public Affairs | 13 | 62.7% | 22.3% | 15.1% |
| O. of Strategic Initiatives | 10 | 69.4% | 20.2% | 10.3% |

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1st Level Subagency Comparison Report

My Satisfaction (continued)

65. How satisfied are you with the recognition you receive for doing a good job?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 466,707 | 50.1% | 23.5% | 26.4% |
| Securities and Exchange Commission | 3,457 | 64.0% | 18.1% | 17.9% |
| Division of Corporation Finance | 355 | 62.0% | 18.1% | 19.9% |
| Division of Investment Management | 135 | 69.7% | 17.1% | 13.2% |
| Division of Economic and Risk Analysis | 119 | 65.5% | 16.7% | 17.8% |
| Division of Trading and Markets | 152 | 64.3% | 20.4% | 15.2% |
| Office of Acquisitions | 47 | 72.1% | 4.4% | 23.5% |
| O. of Chief Accountant | 30 | 63.7% | 33.0% | 3.3% |
| Office of Financial Management | 84 | 58.3% | 25.0% | 16.7% |
| Office of Support Operations | 89 | 82.0% | 11.3% | 6.8% |
| Office of General Counsel | 96 | 63.2% | 19.0% | 17.7% |
| Office of Human Resources | 108 | 62.7% | 13.3% | 24.1% |
| Office of Information Technology | 120 | 48.0% | 21.3% | 30.7% |
| Office of the Inspector General | 42 | 67.2% | 9.5% | 23.3% |
| Office of International Affairs | 37 | 66.9% | 19.3% | 13.8% |
| Office of Investor Education and Advocacy | 36 | 45.7% | 24.0% | 30.4% |
| Office of Credit Ratings | 38 | 44.3% | 29.1% | 26.6% |
| Office of the Secretary | 20 | 85.6% | 10.0% | 4.3% |
| O. of the Chief Operating Officer | 10 | 70.3% | 19.4% | 10.4% |
| National Examination Program | 744 | 65.5% | 18.5% | 16.0% |
| National Enforcement Program | 988 | 64.0% | 17.7% | 18.3% |
| Regional Operations | 114 | 59.4% | 18.6% | 22.1% |
| Other (OIAD, OMS, OMWI) | 21 | 80.0% | 9.6% | 10.4% |
| O. of Administrative Law Judges | 9 | 43.9% | 22.8% | 33.3% |
| Office of Ethics Counsel | 14 | 86.1% | 5.9% | 8.0% |
| O. of Equal Employment Opportunity | 11 | 55.8% | 18.0% | 26.2% |
| O. of Public Affairs | 12 | 67.8% | 24.1% | 8.1% |
| O. of Strategic Initiatives | 10 | 69.4% | 20.2% | 10.3% |

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1st Level Subagency Comparison Report

My Satisfaction (continued)

66. How satisfied are you with the policies and practices of your senior leaders?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 466,287 | 44.9% | 29.5% | 25.6% |
| Securities and Exchange Commission | 3,450 | 60.3% | 24.6% | 15.2% |
| Division of Corporation Finance | 355 | 53.5% | 29.3% | 17.3% |
| Division of Investment Management | 135 | 64.6% | 21.9% | 13.5% |
| Division of Economic and Risk Analysis | 119 | 61.9% | 21.0% | 17.1% |
| Division of Trading and Markets | 152 | 57.7% | 26.4% | 15.9% |
| Office of Acquisitions | 46 | 64.9% | 17.9% | 17.2% |
| O. of Chief Accountant | 32 | 87.3% | 6.3% | 6.4% |
| Office of Financial Management | 83 | 63.7% | 21.7% | 14.6% |
| Office of Support Operations | 88 | 79.5% | 13.8% | 6.8% |
| Office of General Counsel | 96 | 59.8% | 26.8% | 13.4% |
| Office of Human Resources | 108 | 59.2% | 26.1% | 14.7% |
| Office of Information Technology | 121 | 43.3% | 27.2% | 29.5% |
| Office of the Inspector General | 42 | 69.5% | 9.7% | 20.8% |
| Office of International Affairs | 38 | 59.9% | 10.2% | 29.9% |
| Office of Investor Education and Advocacy | 36 | 48.7% | 34.4% | 17.0% |
| Office of Credit Ratings | 38 | 31.5% | 28.7% | 39.9% |
| Office of the Secretary | 20 | 85.4% | 10.2% | 4.3% |
| O. of the Chief Operating Officer | 10 | 80.1% | 19.9% | 0.0% |
| National Examination Program | 746 | 61.0% | 24.7% | 14.3% |
| National Enforcement Program | 977 | 60.5% | 26.5% | 13.0% |
| Regional Operations | 114 | 58.4% | 21.4% | 20.2% |
| Other (OIAD, OMS, OMWI) | 21 | 70.4% | 24.4% | 5.2% |
| O. of Administrative Law Judges | 9 | 66.3% | 33.7% | 0.0% |
| Office of Ethics Counsel | 14 | 83.9% | 0.0% | 16.1% |
| O. of Equal Employment Opportunity | 11 | 75.0% | 15.6% | 9.5% |
| O. of Public Affairs | 13 | 70.1% | 29.9% | 0.0% |
| O. of Strategic Initiatives | 10 | 68.7% | 21.0% | 10.3% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Satisfaction (continued)

67. How satisfied are you with your opportunity to get a better job in your organization?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 466,843 | 37.1% | 27.7% | 35.3% |
| Securities and Exchange Commission | 3,445 | 39.0% | 29.4% | 31.6% |
| Division of Corporation Finance | 354 | 41.6% | 30.6% | 27.8% |
| Division of Investment Management | 134 | 45.7% | 29.4% | 24.9% |
| Division of Economic and Risk Analysis | 119 | 43.6% | 26.1% | 30.3% |
| Division of Trading and Markets | 152 | 41.9% | 35.7% | 22.5% |
| Office of Acquisitions | 47 | 55.2% | 21.5% | 23.3% |
| O. of Chief Accountant | 32 | 47.2% | 37.0% | 15.8% |
| Office of Financial Management | 84 | 39.4% | 29.7% | 30.9% |
| Office of Support Operations | 89 | 67.3% | 19.2% | 13.5% |
| Office of General Counsel | 96 | 42.6% | 25.2% | 32.2% |
| Office of Human Resources | 107 | 44.6% | 32.9% | 22.5% |
| Office of Information Technology | 119 | 39.1% | 24.4% | 36.5% |
| Office of the Inspector General | 42 | 42.9% | 29.2% | 27.9% |
| Office of International Affairs | 37 | 40.1% | 28.8% | 31.1% |
| Office of Investor Education and Advocacy | 36 | 29.5% | 30.1% | 40.4% |
| Office of Credit Ratings | 38 | 36.4% | 29.0% | 34.6% |
| Office of the Secretary | 20 | 65.6% | 10.0% | 24.4% |
| O. of the Chief Operating Officer | 10 | 39.2% | 30.5% | 30.3% |
| National Examination Program | 743 | 43.5% | 30.1% | 26.4% |
| National Enforcement Program | 979 | 28.3% | 29.8% | 41.9% |
| Regional Operations | 113 | 33.0% | 28.1% | 38.9% |
| Other (OIAD, OMS, OMWI) | 21 | 33.4% | 24.0% | 42.7% |
| O. of Administrative Law Judges | 9 | 21.9% | 67.4% | 10.8% |
| Office of Ethics Counsel | 14 | 70.0% | 13.9% | 16.1% |
| O. of Equal Employment Opportunity | 11 | 35.8% | 35.4% | 28.7% |
| O. of Public Affairs | 13 | 47.0% | 38.0% | 15.0% |
| O. of Strategic Initiatives | 10 | 69.4% | 0.0% | 30.6% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Satisfaction (continued)

68. How satisfied are you with the training you receive for your present job?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 466,512 | 54.5% | 22.8% | 22.7% |
| Securities and Exchange Commission | 3,449 | 67.6% | 20.2% | 12.2% |
| Division of Corporation Finance | 354 | 76.5% | 15.5% | 8.0% |
| Division of Investment Management | 134 | 73.3% | 17.0% | 9.6% |
| Division of Economic and Risk Analysis | 119 | 71.4% | 17.7% | 10.9% |
| Division of Trading and Markets | 152 | 63.0% | 25.1% | 11.9% |
| Office of Acquisitions | 47 | 78.9% | 10.9% | 10.2% |
| O. of Chief Accountant | 32 | 87.6% | 9.4% | 3.0% |
| Office of Financial Management | 84 | 71.6% | 17.7% | 10.7% |
| Office of Support Operations | 88 | 80.8% | 12.5% | 6.7% |
| Office of General Counsel | 95 | 62.5% | 23.0% | 14.5% |
| Office of Human Resources | 107 | 65.2% | 25.3% | 9.4% |
| Office of Information Technology | 121 | 52.6% | 18.9% | 28.5% |
| Office of the Inspector General | 42 | 67.0% | 17.0% | 16.1% |
| Office of International Affairs | 38 | 54.1% | 27.5% | 18.5% |
| Office of Investor Education and Advocacy | 36 | 63.1% | 23.4% | 13.5% |
| Office of Credit Ratings | 38 | 47.0% | 34.3% | 18.7% |
| Office of the Secretary | 20 | 80.6% | 15.1% | 4.3% |
| O. of the Chief Operating Officer | 10 | 59.3% | 20.8% | 19.9% |
| National Examination Program | 742 | 61.7% | 23.6% | 14.7% |
| National Enforcement Program | 984 | 70.7% | 19.7% | 9.6% |
| Regional Operations | 113 | 60.1% | 21.4% | 18.5% |
| Other (OIAD, OMS, OMWI) | 21 | 75.9% | 9.5% | 14.6% |
| O. of Administrative Law Judges | 9 | 55.5% | 22.8% | 21.7% |
| Office of Ethics Counsel | 14 | 83.9% | 8.0% | 8.1% |
| O. of Equal Employment Opportunity | 11 | 74.0% | 9.5% | 16.5% |
| O. of Public Affairs | 13 | 70.1% | 22.5% | 7.4% |
| O. of Strategic Initiatives | 10 | 59.7% | 10.5% | 29.9% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Satisfaction (continued)

69. Considering everything, how satisfied are you with your job?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|-------------|
| Governmentwide | 466,948 | 68.1% | 16.7% | 15.2% |
| Securities and Exchange Commission | 3,456 | 81.8% | 11.0% | 7.2% |
| Division of Corporation Finance | 354 | 83.3% | 10.6% | 6.1% |
| Division of Investment Management | 134 | 80.4% | 14.4% | 5.3% |
| Division of Economic and Risk Analysis | 119 | 78.0% | 11.9% | 10.2% |
| Division of Trading and Markets | 153 | 83.6% | 11.2% | 5.3% |
| Office of Acquisitions | 46 | 74.1% | 19.5% | 6.4% |
| O. of Chief Accountant | 32 | 90.6% | 3.3% | 6.1% |
| Office of Financial Management | 84 | 81.0% | 15.4% | 3.6% |
| Office of Support Operations | 89 | 88.7% | 5.7% | 5.5% |
| Office of General Counsel | 95 | 81.1% | 13.5% | 5.4% |
| Office of Human Resources | 108 | 72.0% | 14.1% | 13.9% |
| Office of Information Technology | 121 | 67.9% | 17.5% | 14.6% |
| Office of the Inspector General | 42 | 69.4% | 7.2% | 23.3% |
| Office of International Affairs | 38 | 78.5% | 13.2% | 8.3% |
| Office of Investor Education and Advocacy | 35 | 71.2% | 17.8% | 11.1% |
| Office of Credit Ratings | 38 | 60.4% | 10.6% | 28.9% |
| Office of the Secretary | 20 | 90.5% | 9.5% | 0.0% |
| O. of the Chief Operating Officer | 10 | 80.7% | 19.3% | 0.0% |
| National Examination Program | 742 | 83.7% | 10.1% | 6.2% |
| National Enforcement Program | 988 | 84.1% | 9.6% | 6.3% |
| Regional Operations | 114 | 77.1% | 14.5% | 8.4% |
| Other (OIAD, OMS, OMWI) | 21 | 85.3% | 4.4% | 10.3% |
| O. of Administrative Law Judges | 9 | 66.9% | 22.1% | 11.0% |
| Office of Ethics Counsel | 14 | 86.1% | 5.9% | 8.0% |
| O. of Equal Employment Opportunity | 11 | 92.9% | 7.1% | 0.0% |
| O. of Public Affairs | 13 | 77.5% | 7.4% | 15.1% |
| O. of Strategic Initiatives | 10 | 89.7% | 0.0% | 10.3% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Satisfaction (continued)

70. Considering everything, how satisfied are you with your pay?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|--------------|
| Governmentwide | 467,270 | 60.6% | 16.7% | 22.7% |
| Securities and Exchange Commission | 3,463 | 77.6% | 11.5% | 10.9% |
| Division of Corporation Finance | 355 | 73.1% | 14.2% | 12.8% |
| Division of Investment Management | 134 | 82.2% | 8.2% | 9.5% |
| Division of Economic and Risk Analysis | 119 | 73.9% | 15.2% | 10.8% |
| Division of Trading and Markets | 152 | 79.2% | 12.9% | 7.9% |
| Office of Acquisitions | 47 | 76.2% | 12.8% | 11.0% |
| O. of Chief Accountant | 32 | 81.5% | 9.3% | 9.2% |
| Office of Financial Management | 84 | 88.0% | 8.4% | 3.6% |
| Office of Support Operations | 89 | 88.6% | 6.8% | 4.6% |
| Office of General Counsel | 95 | 83.7% | 11.0% | 5.4% |
| Office of Human Resources | 108 | 87.9% | 4.8% | 7.4% |
| Office of Information Technology | 121 | 83.6% | 9.1% | 7.3% |
| Office of the Inspector General | 42 | 90.8% | 2.5% | 6.7% |
| Office of International Affairs | 38 | 81.3% | 8.6% | 10.1% |
| Office of Investor Education and Advocacy | 36 | 68.2% | 17.4% | 14.4% |
| Office of Credit Ratings | 38 | 57.8% | 18.3% | 23.9% |
| Office of the Secretary | 20 | 85.6% | 4.3% | 10.0% |
| O. of the Chief Operating Officer | 10 | 90.3% | 9.7% | 0.0% |
| National Examination Program | 746 | 77.8% | 9.8% | 12.4% |
| National Enforcement Program | 990 | 74.4% | 13.6% | 12.0% |
| Regional Operations | 114 | 73.9% | 10.6% | 15.4% |
| Other (OIAD, OMS, OMWI) | 21 | 77.2% | 14.0% | 8.8% |
| O. of Administrative Law Judges | 9 | 66.5% | 22.1% | 11.4% |
| Office of Ethics Counsel | 14 | 92.0% | 0.0% | 8.0% |
| O. of Equal Employment Opportunity | 11 | 90.5% | 0.0% | 9.5% |
| O. of Public Affairs | 13 | 85.0% | 15.0% | 0.0% |
| O. of Strategic Initiatives | 9 | 88.2% | 0.0% | 11.8% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Satisfaction (continued)

71. Considering everything, how satisfied are you with your organization?

| | N | Positive | Neutral | Negative |
|---|--------------|--------------|--------------|-------------|
| Governmentwide | 467,295 | 59.9% | 20.7% | 19.4% |
| Securities and Exchange Commission | 3,457 | 80.3% | 12.4% | 7.3% |
| Division of Corporation Finance | 356 | 81.6% | 11.3% | 7.2% |
| Division of Investment Management | 135 | 82.1% | 12.7% | 5.2% |
| Division of Economic and Risk Analysis | 118 | 80.3% | 12.1% | 7.6% |
| Division of Trading and Markets | 151 | 81.3% | 14.0% | 4.7% |
| Office of Acquisitions | 47 | 72.3% | 17.2% | 10.5% |
| O. of Chief Accountant | 32 | 93.6% | 3.3% | 3.1% |
| Office of Financial Management | 84 | 89.1% | 9.7% | 1.2% |
| Office of Support Operations | 89 | 84.3% | 9.0% | 6.7% |
| Office of General Counsel | 95 | 82.3% | 14.4% | 3.3% |
| Office of Human Resources | 108 | 72.1% | 18.9% | 9.1% |
| Office of Information Technology | 121 | 61.5% | 14.9% | 23.6% |
| Office of the Inspector General | 41 | 76.0% | 5.0% | 19.0% |
| Office of International Affairs | 38 | 76.4% | 18.0% | 5.6% |
| Office of Investor Education and Advocacy | 36 | 76.8% | 14.4% | 8.8% |
| Office of Credit Ratings | 38 | 60.2% | 21.0% | 18.7% |
| Office of the Secretary | 20 | 90.5% | 9.5% | 0.0% |
| O. of the Chief Operating Officer | 10 | 90.3% | 9.7% | 0.0% |
| National Examination Program | 745 | 80.9% | 12.7% | 6.4% |
| National Enforcement Program | 987 | 81.5% | 11.6% | 6.9% |
| Regional Operations | 113 | 78.9% | 11.6% | 9.5% |
| Other (OIAD, OMS, OMWI) | 21 | 84.5% | 10.4% | 5.2% |
| O. of Administrative Law Judges | 9 | 66.2% | 22.8% | 11.0% |
| Office of Ethics Counsel | 14 | 92.0% | 0.0% | 8.0% |
| O. of Equal Employment Opportunity | 11 | 83.3% | 16.7% | 0.0% |
| O. of Public Affairs | 12 | 67.5% | 24.4% | 8.2% |
| O. of Strategic Initiatives | 10 | 79.9% | 9.8% | 10.3% |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life

72. Have you been notified whether or not you are eligible to telework?

| | N | Notified eligible | Notified not eligible | Not notified | Not sure notified |
|---|--------------|-------------------|-----------------------|--------------|-------------------|
| Governmentwide | 465,495 | 42.6% | 21.9% | 26.7% | 8.7% |
| Securities and Exchange Commission | 3,442 | 90.0% | 1.5% | 3.3% | 5.2% |
| Division of Corporation Finance | 350 | 90.0% | 1.7% | 2.8% | 5.5% |
| Division of Investment Management | 134 | 93.3% | 0.0% | 0.7% | 6.0% |
| Division of Economic and Risk Analysis | 119 | 89.1% | 0.8% | 4.2% | 5.8% |
| Division of Trading and Markets | 152 | 82.8% | 4.6% | 4.6% | 7.9% |
| Office of Acquisitions | 47 | 97.8% | 0.0% | 2.2% | 0.0% |
| O. of Chief Accountant | 32 | 93.9% | 0.0% | 3.0% | 3.0% |
| Office of Financial Management | 83 | 90.3% | 1.2% | 3.7% | 4.7% |
| Office of Support Operations | 88 | 77.0% | 6.9% | 9.2% | 6.8% |
| Office of General Counsel | 95 | 94.3% | 0.0% | 2.3% | 3.4% |
| Office of Human Resources | 107 | 93.4% | 2.0% | 1.0% | 3.7% |
| Office of Information Technology | 119 | 92.4% | 0.0% | 2.5% | 5.0% |
| Office of the Inspector General | 42 | 97.7% | 0.0% | 0.0% | 2.3% |
| Office of International Affairs | 38 | 89.4% | 0.0% | 2.8% | 7.8% |
| Office of Investor Education and Advocacy | 34 | 91.4% | 0.0% | 2.7% | 5.9% |
| Office of Credit Ratings | 38 | 92.0% | 0.0% | 5.4% | 2.6% |
| Office of the Secretary | 19 | 90.0% | 4.6% | 5.5% | 0.0% |
| O. of the Chief Operating Officer | 10 | 90.3% | 9.7% | 0.0% | 0.0% |
| National Examination Program | 744 | 91.3% | 1.0% | 3.5% | 4.2% |
| National Enforcement Program | 984 | 89.7% | 1.0% | 3.4% | 5.9% |
| Regional Operations | 113 | 87.2% | 4.6% | 3.8% | 4.5% |
| Other (OIAD, OMS, OMWI) | 21 | 75.7% | 0.0% | 4.4% | 19.9% |
| O. of Administrative Law Judges | 9 | 77.5% | 22.5% | 0.0% | 0.0% |
| Office of Ethics Counsel | 14 | 100.0% | 0.0% | 0.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 90.5% | 0.0% | 0.0% | 9.5% |
| O. of Public Affairs | 13 | 100.0% | 0.0% | 0.0% | 0.0% |
| O. of Strategic Initiatives | 10 | 100.0% | 0.0% | 0.0% | 0.0% |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

73. Please select the response below that BEST describes your current teleworking situation.

| | N | Telework | | | |
|---|--------------|------------------|-------------------|---------------------------------|--------------|
| | | 3+ Days Per Week | 1-2 Days Per Week | No More Than 1-2 Days Per Month | Infrequently |
| Governmentwide | 463,482 | 6.5% | 13.2% | 4.7% | 11.7% |
| Securities and Exchange Commission | 3,458 | 11.8% | 41.4% | 13.2% | 23.1% |
| Division of Corporation Finance | 353 | 31.5% | 41.0% | 6.3% | 11.8% |
| Division of Investment Management | 135 | 13.5% | 46.9% | 13.4% | 16.2% |
| Division of Economic and Risk Analysis | 119 | 4.2% | 43.9% | 17.5% | 26.0% |
| Division of Trading and Markets | 152 | 3.3% | 34.1% | 16.5% | 32.9% |
| Office of Acquisitions | 47 | 27.8% | 59.6% | 4.0% | 4.2% |
| O. of Chief Accountant | 32 | 3.3% | 12.6% | 34.4% | 37.4% |
| Office of Financial Management | 84 | 40.7% | 39.0% | 2.4% | 10.6% |
| Office of Support Operations | 89 | 15.9% | 18.9% | 10.2% | 26.6% |
| Office of General Counsel | 96 | 7.5% | 27.3% | 13.5% | 35.0% |
| Office of Human Resources | 108 | 16.7% | 57.8% | 8.9% | 5.4% |
| Office of Information Technology | 121 | 5.8% | 58.2% | 10.9% | 20.0% |
| Office of the Inspector General | 42 | 0.0% | 52.6% | 19.1% | 21.5% |
| Office of International Affairs | 38 | 2.8% | 54.2% | 14.8% | 20.9% |
| Office of Investor Education and Advocacy | 35 | 17.5% | 51.3% | 12.0% | 16.5% |
| Office of Credit Ratings | 37 | 10.7% | 57.5% | 7.8% | 18.5% |
| Office of the Secretary | 20 | 10.2% | 45.7% | 9.8% | 14.0% |
| O. of the Chief Operating Officer | 10 | 0.0% | 30.3% | 20.8% | 38.8% |
| National Examination Program | 746 | 14.7% | 53.1% | 8.4% | 17.1% |
| National Enforcement Program | 986 | 4.7% | 32.7% | 19.6% | 32.1% |
| Regional Operations | 113 | 5.8% | 39.2% | 8.7% | 24.6% |
| Other (OIAD, OMS, OMWI) | 21 | 0.0% | 28.9% | 28.5% | 23.6% |
| O. of Administrative Law Judges | 10 | 0.0% | 0.0% | 9.6% | 29.6% |
| Office of Ethics Counsel | 14 | 0.0% | 42.5% | 13.7% | 20.8% |
| O. of Equal Employment Opportunity | 11 | 27.5% | 57.1% | 0.0% | 8.4% |
| O. of Public Affairs | 13 | 0.0% | 15.5% | 14.9% | 54.7% |
| O. of Strategic Initiatives | 10 | 0.0% | 28.9% | 30.8% | 40.3% |

(continued)

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

73. Please select the response below that BEST describes your current teleworking situation. (continued)

| | N | Must Be Physically Present | Technical Issues | Do Not Telework | |
|---|--------------|----------------------------|------------------|-------------------------|------------------------|
| | | | | Not Allowed To Telework | Choose Not To Telework |
| Governmentwide | 463,482 | 30.1% | 3.8% | 17.9% | 12.2% |
| Securities and Exchange Commission | 3,458 | 0.9% | 0.3% | 0.8% | 8.5% |
| Division of Corporation Finance | 353 | 0.9% | 0.6% | 0.5% | 7.3% |
| Division of Investment Management | 135 | 0.0% | 0.8% | 0.0% | 9.1% |
| Division of Economic and Risk Analysis | 119 | 0.0% | 0.0% | 0.8% | 7.5% |
| Division of Trading and Markets | 152 | 2.0% | 0.0% | 1.3% | 9.8% |
| Office of Acquisitions | 47 | 0.0% | 0.0% | 0.0% | 4.4% |
| O. of Chief Accountant | 32 | 0.0% | 3.0% | 0.0% | 9.3% |
| Office of Financial Management | 84 | 0.0% | 0.0% | 1.2% | 6.1% |
| Office of Support Operations | 89 | 8.0% | 1.2% | 5.6% | 13.6% |
| Office of General Counsel | 96 | 2.3% | 0.0% | 0.0% | 14.4% |
| Office of Human Resources | 108 | 0.9% | 0.0% | 1.0% | 9.3% |
| Office of Information Technology | 121 | 0.9% | 0.0% | 0.0% | 4.3% |
| Office of the Inspector General | 42 | 0.0% | 0.0% | 2.1% | 4.8% |
| Office of International Affairs | 38 | 0.0% | 0.0% | 0.0% | 7.3% |
| Office of Investor Education and Advocacy | 35 | 0.0% | 0.0% | 0.0% | 2.6% |
| Office of Credit Ratings | 37 | 0.0% | 0.0% | 0.0% | 5.4% |
| Office of the Secretary | 20 | 10.3% | 0.0% | 0.0% | 10.0% |
| O. of the Chief Operating Officer | 10 | 0.0% | 0.0% | 0.0% | 10.2% |
| National Examination Program | 746 | 0.1% | 0.3% | 0.9% | 5.4% |
| National Enforcement Program | 986 | 0.4% | 0.2% | 0.3% | 9.9% |
| Regional Operations | 113 | 2.8% | 1.0% | 3.0% | 15.0% |
| Other (OIAD, OMS, OMWI) | 21 | 0.0% | 0.0% | 5.1% | 14.0% |
| O. of Administrative Law Judges | 10 | 9.8% | 0.0% | 10.4% | 40.6% |
| Office of Ethics Counsel | 14 | 0.0% | 0.0% | 0.0% | 23.1% |
| O. of Equal Employment Opportunity | 11 | 0.0% | 0.0% | 0.0% | 7.1% |
| O. of Public Affairs | 13 | 0.0% | 0.0% | 0.0% | 15.0% |
| O. of Strategic Initiatives | 10 | 0.0% | 0.0% | 0.0% | 0.0% |

Securities and Exchange Commission

1st Level Subagency Comparison Report

Work/Life (continued)

74. Do you participate in the following Work/Life programs? Alternative Work Schedules (AWS)

| | N | Yes | No | Not Available To Me |
|---|--------------|--------------|--------------|---------------------|
| Governmentwide | 465,405 | 33.7% | 47.0% | 19.3% |
| Securities and Exchange Commission | 3,446 | 51.4% | 47.4% | 1.2% |
| Division of Corporation Finance | 354 | 59.3% | 40.4% | 0.3% |
| Division of Investment Management | 135 | 48.4% | 51.6% | 0.0% |
| Division of Economic and Risk Analysis | 118 | 47.4% | 52.6% | 0.0% |
| Division of Trading and Markets | 151 | 51.2% | 46.1% | 2.7% |
| Office of Acquisitions | 47 | 83.2% | 16.8% | 0.0% |
| O. of Chief Accountant | 32 | 25.1% | 74.9% | 0.0% |
| Office of Financial Management | 83 | 65.2% | 32.4% | 2.4% |
| Office of Support Operations | 88 | 52.6% | 41.8% | 5.6% |
| Office of General Counsel | 95 | 25.5% | 73.4% | 1.1% |
| Office of Human Resources | 107 | 55.5% | 43.6% | 0.9% |
| Office of Information Technology | 121 | 56.2% | 42.9% | 0.9% |
| Office of the Inspector General | 42 | 30.6% | 57.3% | 12.0% |
| Office of International Affairs | 38 | 48.4% | 51.6% | 0.0% |
| Office of Investor Education and Advocacy | 35 | 51.7% | 42.4% | 5.9% |
| Office of Credit Ratings | 38 | 25.9% | 68.7% | 5.4% |
| Office of the Secretary | 20 | 24.4% | 75.6% | 0.0% |
| O. of the Chief Operating Officer | 10 | 30.1% | 69.9% | 0.0% |
| National Examination Program | 746 | 62.3% | 37.0% | 0.7% |
| National Enforcement Program | 981 | 44.6% | 54.4% | 0.9% |
| Regional Operations | 111 | 51.7% | 46.4% | 1.9% |
| Other (OIAD, OMS, OMWI) | 21 | 42.1% | 53.4% | 4.4% |
| O. of Administrative Law Judges | 10 | 20.7% | 69.5% | 9.8% |
| Office of Ethics Counsel | 14 | 44.8% | 55.2% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 25.2% | 74.8% | 0.0% |
| O. of Public Affairs | 12 | 17.6% | 82.4% | 0.0% |
| O. of Strategic Initiatives | 10 | 71.2% | 28.8% | 0.0% |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

75. Do you participate in the following Work/Life programs? Health and Wellness Programs (for example, exercise, medical screening, quit smoking programs)

| | N | Yes | No | Not Available To Me |
|---|--------------|--------------|--------------|---------------------|
| Governmentwide | 464,589 | 26.4% | 61.9% | 11.7% |
| Securities and Exchange Commission | 3,443 | 21.3% | 75.0% | 3.6% |
| Division of Corporation Finance | 353 | 26.1% | 73.6% | 0.3% |
| Division of Investment Management | 135 | 23.7% | 75.6% | 0.7% |
| Division of Economic and Risk Analysis | 118 | 21.2% | 78.0% | 0.8% |
| Division of Trading and Markets | 151 | 22.6% | 77.4% | 0.0% |
| Office of Acquisitions | 47 | 25.8% | 72.0% | 2.2% |
| O. of Chief Accountant | 32 | 18.4% | 81.6% | 0.0% |
| Office of Financial Management | 84 | 21.5% | 76.0% | 2.5% |
| Office of Support Operations | 89 | 33.9% | 64.9% | 1.2% |
| Office of General Counsel | 95 | 42.9% | 57.1% | 0.0% |
| Office of Human Resources | 108 | 34.9% | 64.1% | 1.0% |
| Office of Information Technology | 121 | 24.8% | 71.1% | 4.1% |
| Office of the Inspector General | 42 | 71.2% | 26.5% | 2.3% |
| Office of International Affairs | 38 | 31.5% | 68.5% | 0.0% |
| Office of Investor Education and Advocacy | 35 | 37.9% | 62.1% | 0.0% |
| Office of Credit Ratings | 38 | 10.1% | 84.7% | 5.2% |
| Office of the Secretary | 19 | 37.3% | 62.7% | 0.0% |
| O. of the Chief Operating Officer | 10 | 29.5% | 70.5% | 0.0% |
| National Examination Program | 744 | 15.4% | 77.3% | 7.3% |
| National Enforcement Program | 977 | 14.9% | 80.5% | 4.6% |
| Regional Operations | 113 | 17.6% | 74.3% | 8.2% |
| Other (OIAD, OMS, OMWI) | 21 | 9.6% | 90.4% | 0.0% |
| O. of Administrative Law Judges | 10 | 60.0% | 40.0% | 0.0% |
| Office of Ethics Counsel | 14 | 36.0% | 64.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 46.4% | 53.6% | 0.0% |
| O. of Public Affairs | 13 | 15.6% | 76.3% | 8.1% |
| O. of Strategic Initiatives | 10 | 30.1% | 69.9% | 0.0% |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

76. Do you participate in the following Work/Life programs? Employee Assistance Program (EAP)

| | N | Yes | No | Not Available To Me |
|---|--------------|-------------|--------------|---------------------|
| Governmentwide | 462,760 | 13.4% | 81.5% | 5.1% |
| Securities and Exchange Commission | 3,415 | 7.3% | 90.7% | 2.1% |
| Division of Corporation Finance | 347 | 6.9% | 92.3% | 0.9% |
| Division of Investment Management | 131 | 4.7% | 94.4% | 0.8% |
| Division of Economic and Risk Analysis | 117 | 4.3% | 94.9% | 0.8% |
| Division of Trading and Markets | 148 | 4.8% | 95.2% | 0.0% |
| Office of Acquisitions | 47 | 23.6% | 76.4% | 0.0% |
| O. of Chief Accountant | 32 | 0.0% | 100.0% | 0.0% |
| Office of Financial Management | 84 | 7.1% | 90.5% | 2.4% |
| Office of Support Operations | 86 | 17.8% | 79.8% | 2.4% |
| Office of General Counsel | 93 | 7.9% | 92.1% | 0.0% |
| Office of Human Resources | 108 | 14.9% | 84.1% | 1.0% |
| Office of Information Technology | 121 | 13.1% | 86.9% | 0.0% |
| Office of the Inspector General | 42 | 9.6% | 83.5% | 6.9% |
| Office of International Affairs | 38 | 5.5% | 94.5% | 0.0% |
| Office of Investor Education and Advocacy | 35 | 12.0% | 88.0% | 0.0% |
| Office of Credit Ratings | 38 | 2.6% | 92.2% | 5.2% |
| Office of the Secretary | 20 | 30.6% | 69.4% | 0.0% |
| O. of the Chief Operating Officer | 10 | 0.0% | 100.0% | 0.0% |
| National Examination Program | 738 | 6.5% | 89.1% | 4.4% |
| National Enforcement Program | 975 | 5.0% | 92.7% | 2.3% |
| Regional Operations | 112 | 10.5% | 87.7% | 1.8% |
| Other (OIAD, OMS, OMWI) | 21 | 5.2% | 94.8% | 0.0% |
| O. of Administrative Law Judges | 10 | 20.6% | 79.4% | 0.0% |
| Office of Ethics Counsel | 14 | 0.0% | 100.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 28.4% | 71.6% | 0.0% |
| O. of Public Affairs | 12 | 8.8% | 91.2% | 0.0% |
| O. of Strategic Initiatives | 10 | 20.2% | 79.8% | 0.0% |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

77. Do you participate in the following Work/Life programs? Child Care Programs (for example, daycare, parenting classes, parenting support groups)

| | N | Yes | No | Not Available To Me |
|---|--------------|-------------|--------------|---------------------|
| Governmentwide | 464,201 | 3.4% | 79.8% | 16.8% |
| Securities and Exchange Commission | 3,431 | 9.2% | 86.9% | 3.9% |
| Division of Corporation Finance | 351 | 10.1% | 89.3% | 0.6% |
| Division of Investment Management | 135 | 12.7% | 86.6% | 0.7% |
| Division of Economic and Risk Analysis | 118 | 6.8% | 89.8% | 3.4% |
| Division of Trading and Markets | 151 | 11.3% | 86.7% | 2.0% |
| Office of Acquisitions | 47 | 8.6% | 91.4% | 0.0% |
| O. of Chief Accountant | 31 | 10.2% | 89.8% | 0.0% |
| Office of Financial Management | 82 | 2.4% | 91.4% | 6.1% |
| Office of Support Operations | 88 | 11.5% | 83.8% | 4.7% |
| Office of General Counsel | 93 | 7.6% | 92.4% | 0.0% |
| Office of Human Resources | 107 | 11.4% | 87.7% | 1.0% |
| Office of Information Technology | 121 | 5.6% | 91.1% | 3.2% |
| Office of the Inspector General | 42 | 16.5% | 76.4% | 7.1% |
| Office of International Affairs | 38 | 2.7% | 97.3% | 0.0% |
| Office of Investor Education and Advocacy | 35 | 6.2% | 90.6% | 3.2% |
| Office of Credit Ratings | 38 | 0.0% | 89.3% | 10.7% |
| Office of the Secretary | 20 | 10.3% | 89.7% | 0.0% |
| O. of the Chief Operating Officer | 10 | 0.0% | 100.0% | 0.0% |
| National Examination Program | 740 | 7.2% | 84.9% | 7.9% |
| National Enforcement Program | 977 | 11.6% | 85.0% | 3.5% |
| Regional Operations | 113 | 4.2% | 88.8% | 7.0% |
| Other (OIAD, OMS, OMWI) | 21 | 0.0% | 94.8% | 5.2% |
| O. of Administrative Law Judges | 10 | 20.0% | 80.0% | 0.0% |
| Office of Ethics Counsel | 14 | 19.7% | 80.3% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 0.0% | 100.0% | 0.0% |
| O. of Public Affairs | 13 | 15.6% | 84.4% | 0.0% |
| O. of Strategic Initiatives | 10 | 9.8% | 90.2% | 0.0% |

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

78. Do you participate in the following Work/Life programs? Elder Care Programs (for example, support groups, speakers)

| | N | Yes | No | Not Available To Me |
|---|--------------|-------------|--------------|---------------------|
| Governmentwide | 464,386 | 2.2% | 81.1% | 16.7% |
| Securities and Exchange Commission | 3,431 | 2.6% | 94.0% | 3.4% |
| Division of Corporation Finance | 353 | 3.0% | 96.5% | 0.6% |
| Division of Investment Management | 134 | 1.6% | 97.7% | 0.7% |
| Division of Economic and Risk Analysis | 118 | 0.7% | 94.2% | 5.1% |
| Division of Trading and Markets | 151 | 4.0% | 95.3% | 0.7% |
| Office of Acquisitions | 47 | 8.5% | 91.5% | 0.0% |
| O. of Chief Accountant | 30 | 0.0% | 100.0% | 0.0% |
| Office of Financial Management | 83 | 0.0% | 95.2% | 4.8% |
| Office of Support Operations | 89 | 5.7% | 89.6% | 4.6% |
| Office of General Counsel | 94 | 3.0% | 97.0% | 0.0% |
| Office of Human Resources | 108 | 6.6% | 91.5% | 1.9% |
| Office of Information Technology | 120 | 6.6% | 91.7% | 1.7% |
| Office of the Inspector General | 42 | 7.2% | 85.8% | 6.9% |
| Office of International Affairs | 38 | 0.0% | 100.0% | 0.0% |
| Office of Investor Education and Advocacy | 35 | 3.1% | 96.9% | 0.0% |
| Office of Credit Ratings | 38 | 0.0% | 92.0% | 8.0% |
| Office of the Secretary | 20 | 5.2% | 94.8% | 0.0% |
| O. of the Chief Operating Officer | 9 | 0.0% | 100.0% | 0.0% |
| National Examination Program | 739 | 3.0% | 89.7% | 7.4% |
| National Enforcement Program | 978 | 1.3% | 95.9% | 2.8% |
| Regional Operations | 113 | 0.9% | 93.0% | 6.1% |
| Other (OIAD, OMS, OMWI) | 21 | 5.1% | 94.9% | 0.0% |
| O. of Administrative Law Judges | 10 | 10.4% | 89.6% | 0.0% |
| Office of Ethics Counsel | 14 | 0.0% | 100.0% | 0.0% |
| O. of Equal Employment Opportunity | 11 | 0.0% | 100.0% | 0.0% |
| O. of Public Affairs | 13 | 8.1% | 91.9% | 0.0% |
| O. of Strategic Initiatives | 9 | 0.0% | 100.0% | 0.0% |

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1st Level Subagency Comparison Report

Work/Life (continued)

79. How satisfied are you with the following Work/Life programs in your agency? Telework

| | N | Positive | Neutral | Negative | NBJ |
|---|--------------|--------------|-------------|-------------|-----------|
| Governmentwide | 236,481 | 80.8% | 10.9% | 8.3% | 6,455 |
| Securities and Exchange Commission | 3,084 | 91.5% | 5.3% | 3.2% | 14 |
| Division of Corporation Finance | 321 | 94.0% | 3.8% | 2.2% | 0 |
| Division of Investment Management | 121 | 98.4% | 1.6% | 0.0% | 0 |
| Division of Economic and Risk Analysis | 108 | 93.5% | 3.8% | 2.7% | 1 |
| Division of Trading and Markets | 133 | 87.2% | 9.0% | 3.8% | 0 |
| Office of Acquisitions | 45 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Chief Accountant | 27 | 88.9% | 7.2% | 3.9% | 1 |
| Office of Financial Management | 78 | 94.9% | 2.6% | 2.6% | 0 |
| Office of Support Operations | 64 | 82.8% | 12.6% | 4.6% | 0 |
| Office of General Counsel | 79 | 90.6% | 6.6% | 2.7% | 0 |
| Office of Human Resources | 95 | 94.7% | 2.2% | 3.1% | 1 |
| Office of Information Technology | 114 | 80.8% | 8.5% | 10.7% | 0 |
| Office of the Inspector General | 39 | 87.4% | 5.1% | 7.5% | 0 |
| Office of International Affairs | 35 | 97.5% | 0.0% | 2.5% | 0 |
| Office of Investor Education and Advocacy | 33 | 84.5% | 12.7% | 2.8% | 0 |
| Office of Credit Ratings | 35 | 97.1% | 0.0% | 2.9% | 0 |
| Office of the Secretary | 16 | 88.4% | 11.6% | 0.0% | 0 |
| O. of the Chief Operating Officer | 9 | 77.8% | 22.2% | 0.0% | 0 |
| National Examination Program | 691 | 90.3% | 5.2% | 4.4% | 5 |
| National Enforcement Program | 879 | 93.0% | 4.9% | 2.1% | 3 |
| Regional Operations | 87 | 89.8% | 9.3% | 0.9% | 2 |
| Other (OIAD, OMS, OMWI) | 17 | 89.1% | 10.9% | 0.0% | 0 |
| O. of Administrative Law Judges | 3 | 33.0% | 32.5% | 34.5% | 1 |
| Office of Ethics Counsel | 11 | 89.6% | 10.4% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 10 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 11 | 91.3% | 8.7% | 0.0% | 0 |
| O. of Strategic Initiatives | 10 | 69.4% | 0.0% | 30.6% | 0 |

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

80. How satisfied are you with the following Work/Life programs in your agency? Alternative Work Schedules (AWS)

| | N | Positive | Neutral | Negative | NBJ |
|---|--------------|--------------|-------------|-------------|-----------|
| Governmentwide | 172,594 | 90.3% | 6.7% | 3.0% | 3,366 |
| Securities and Exchange Commission | 1,745 | 96.2% | 2.7% | 1.1% | 18 |
| Division of Corporation Finance | 209 | 94.0% | 5.0% | 1.0% | 1 |
| Division of Investment Management | 62 | 98.3% | 1.7% | 0.0% | 0 |
| Division of Economic and Risk Analysis | 56 | 96.5% | 1.8% | 1.7% | 1 |
| Division of Trading and Markets | 77 | 98.7% | 1.3% | 0.0% | 0 |
| Office of Acquisitions | 39 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Chief Accountant | 8 | 86.8% | 13.2% | 0.0% | 0 |
| Office of Financial Management | 55 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Support Operations | 46 | 97.9% | 2.1% | 0.0% | 0 |
| Office of General Counsel | 22 | 100.0% | 0.0% | 0.0% | 1 |
| Office of Human Resources | 59 | 94.9% | 5.1% | 0.0% | 1 |
| Office of Information Technology | 66 | 97.3% | 2.7% | 0.0% | 0 |
| Office of the Inspector General | 13 | 92.4% | 0.0% | 7.6% | 0 |
| Office of International Affairs | 18 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Investor Education and Advocacy | 17 | 94.6% | 5.4% | 0.0% | 0 |
| Office of Credit Ratings | 10 | 100.0% | 0.0% | 0.0% | 0 |
| Office of the Secretary | 5 | 82.2% | 0.0% | 17.8% | 0 |
| O. of the Chief Operating Officer | 3 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 457 | 95.3% | 3.0% | 1.7% | 7 |
| National Enforcement Program | 432 | 97.2% | 1.9% | 0.9% | 6 |
| Regional Operations | 57 | 91.6% | 5.1% | 3.3% | 1 |
| Other (OIAD, OMS, OMWI) | 8 | 88.0% | 12.0% | 0.0% | 0 |
| O. of Administrative Law Judges | 2 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Ethics Counsel | 5 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 3 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 3 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 7 | 86.3% | 0.0% | 13.7% | 0 |

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

81. How satisfied are you with the following Work/Life programs in your agency? Health and Wellness Programs (for example, exercise, medical screening, quit smoking programs)

| | N | Positive | Neutral | Negative | NBJ |
|---|------------|--------------|-------------|-------------|-----------|
| Governmentwide | 119,164 | 81.3% | 15.1% | 3.7% | 7,694 |
| Securities and Exchange Commission | 699 | 89.1% | 9.1% | 1.9% | 43 |
| Division of Corporation Finance | 88 | 81.9% | 14.7% | 3.4% | 6 |
| Division of Investment Management | 31 | 93.4% | 6.6% | 0.0% | 1 |
| Division of Economic and Risk Analysis | 25 | 95.9% | 4.1% | 0.0% | 0 |
| Division of Trading and Markets | 34 | 91.1% | 8.9% | 0.0% | 1 |
| Office of Acquisitions | 12 | 91.4% | 8.6% | 0.0% | 0 |
| O. of Chief Accountant | 6 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Financial Management | 17 | 93.9% | 6.1% | 0.0% | 1 |
| Office of Support Operations | 29 | 89.4% | 7.1% | 3.5% | 1 |
| Office of General Counsel | 40 | 92.2% | 5.1% | 2.8% | 0 |
| Office of Human Resources | 36 | 94.4% | 5.6% | 0.0% | 1 |
| Office of Information Technology | 26 | 92.5% | 3.5% | 4.0% | 3 |
| Office of the Inspector General | 28 | 93.1% | 3.5% | 3.5% | 1 |
| Office of International Affairs | 11 | 100.0% | 0.0% | 0.0% | 1 |
| Office of Investor Education and Advocacy | 13 | 83.5% | 16.5% | 0.0% | 0 |
| Office of Credit Ratings | 3 | 100.0% | 0.0% | 0.0% | 1 |
| Office of the Secretary | 8 | 100.0% | 0.0% | 0.0% | 0 |
| O. of the Chief Operating Officer | 3 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 104 | 86.9% | 11.4% | 1.7% | 10 |
| National Enforcement Program | 141 | 88.8% | 9.0% | 2.1% | 12 |
| Regional Operations | 19 | 74.0% | 20.4% | 5.6% | 1 |
| Other (OIAD, OMS, OMWI) | 2 | 54.0% | 46.0% | 0.0% | 0 |
| O. of Administrative Law Judges | 6 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Ethics Counsel | 4 | 100.0% | 0.0% | 0.0% | 1 |
| O. of Equal Employment Opportunity | 4 | 100.0% | 0.0% | 0.0% | 1 |
| O. of Public Affairs | 1 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 3 | 67.2% | 32.8% | 0.0% | 0 |

**The results for this item only include employees who indicated that they participated in this program.*

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

82. How satisfied are you with the following Work/Life programs in your agency? Employee Assistance Program (EAP)

| | N | Positive | Neutral | Negative | NBJ |
|---|------------|--------------|--------------|-------------|-----------|
| Governmentwide | 60,783 | 77.6% | 18.3% | 4.2% | 7,854 |
| Securities and Exchange Commission | 240 | 86.6% | 10.9% | 2.5% | 52 |
| Division of Corporation Finance | 22 | 76.8% | 23.2% | 0.0% | 10 |
| Division of Investment Management | 7 | 100.0% | 0.0% | 0.0% | 3 |
| Division of Economic and Risk Analysis | 5 | 80.2% | 0.0% | 19.8% | 1 |
| Division of Trading and Markets | 10 | 80.1% | 19.9% | 0.0% | 1 |
| Office of Acquisitions | 10 | 89.8% | 10.2% | 0.0% | 1 |
| O. of Chief Accountant | 0 | -- | -- | -- | 0 |
| Office of Financial Management | 6 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Support Operations | 15 | 86.9% | 13.1% | 0.0% | 3 |
| Office of General Counsel | 7 | 88.1% | 11.9% | 0.0% | 2 |
| Office of Human Resources | 16 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Information Technology | 14 | 100.0% | 0.0% | 0.0% | 2 |
| Office of the Inspector General | 3 | 100.0% | 0.0% | 0.0% | 1 |
| Office of International Affairs | 2 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Investor Education and Advocacy | 4 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Credit Ratings | 1 | 100.0% | 0.0% | 0.0% | 0 |
| Office of the Secretary | 6 | 100.0% | 0.0% | 0.0% | 0 |
| O. of the Chief Operating Officer | 0 | -- | -- | -- | 0 |
| National Examination Program | 40 | 79.8% | 14.6% | 5.6% | 14 |
| National Enforcement Program | 48 | 82.3% | 11.7% | 5.9% | 12 |
| Regional Operations | 12 | 76.5% | 23.5% | 0.0% | 1 |
| Other (OIAD, OMS, OMWI) | 1 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Administrative Law Judges | 2 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Ethics Counsel | 0 | -- | -- | -- | 0 |
| O. of Equal Employment Opportunity | 3 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Public Affairs | 2 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 2 | 100.0% | 0.0% | 0.0% | 0 |

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

83. How satisfied are you with the following Work/Life programs in your agency? Child Care Programs (for example, daycare, parenting classes, parenting support groups)

| | N | Positive | Neutral | Negative | NBJ |
|---|------------|--------------|-------------|-------------|-----------|
| Governmentwide | 12,057 | 73.0% | 22.2% | 4.7% | 4,915 |
| Securities and Exchange Commission | 305 | 89.2% | 8.8% | 2.0% | 39 |
| Division of Corporation Finance | 35 | 76.5% | 23.5% | 0.0% | 5 |
| Division of Investment Management | 18 | 100.0% | 0.0% | 0.0% | 0 |
| Division of Economic and Risk Analysis | 7 | 72.0% | 28.0% | 0.0% | 1 |
| Division of Trading and Markets | 17 | 88.3% | 11.7% | 0.0% | 1 |
| Office of Acquisitions | 2 | 100.0% | 0.0% | 0.0% | 1 |
| O. of Chief Accountant | 3 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Financial Management | 2 | 100.0% | 0.0% | 0.0% | 2 |
| Office of Support Operations | 9 | 88.6% | 11.4% | 0.0% | 2 |
| Office of General Counsel | 7 | 85.6% | 14.4% | 0.0% | 2 |
| Office of Human Resources | 12 | 100.0% | 0.0% | 0.0% | 1 |
| Office of Information Technology | 7 | 84.8% | 0.0% | 15.2% | 0 |
| Office of the Inspector General | 6 | 100.0% | 0.0% | 0.0% | 1 |
| Office of International Affairs | 1 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Investor Education and Advocacy | 2 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Credit Ratings | 0 | -- | -- | -- | 0 |
| Office of the Secretary | 2 | 100.0% | 0.0% | 0.0% | 0 |
| O. of the Chief Operating Officer | 0 | -- | -- | -- | 0 |
| National Examination Program | 49 | 85.8% | 12.0% | 2.2% | 9 |
| National Enforcement Program | 112 | 90.9% | 5.6% | 3.5% | 12 |
| Regional Operations | 5 | 100.0% | 0.0% | 0.0% | 1 |
| Other (OIAD, OMS, OMWI) | 0 | -- | -- | -- | 0 |
| O. of Administrative Law Judges | 2 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Ethics Counsel | 3 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Equal Employment Opportunity | 0 | -- | -- | -- | 0 |
| O. of Public Affairs | 2 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 1 | 100.0% | 0.0% | 0.0% | 0 |

**The results for this item only include employees who indicated that they participated in this program.*

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

84. How satisfied are you with the following Work/Life programs in your agency? Elder Care Programs (for example, support groups, speakers)

| | N | Positive | Neutral | Negative | NBJ |
|---|-----------|--------------|--------------|-------------|-----------|
| Governmentwide | 8,738 | 67.9% | 29.3% | 2.7% | 4,560 |
| Securities and Exchange Commission | 86 | 83.3% | 12.0% | 4.7% | 34 |
| Division of Corporation Finance | 9 | 77.2% | 22.8% | 0.0% | 4 |
| Division of Investment Management | 2 | 100.0% | 0.0% | 0.0% | 1 |
| Division of Economic and Risk Analysis | 1 | 100.0% | 0.0% | 0.0% | 0 |
| Division of Trading and Markets | 6 | 83.2% | 0.0% | 16.8% | 1 |
| Office of Acquisitions | 3 | 100.0% | 0.0% | 0.0% | 1 |
| O. of Chief Accountant | 0 | -- | -- | -- | 1 |
| Office of Financial Management | 0 | -- | -- | -- | 1 |
| Office of Support Operations | 3 | 100.0% | 0.0% | 0.0% | 2 |
| Office of General Counsel | 3 | 100.0% | 0.0% | 0.0% | 1 |
| Office of Human Resources | 6 | 100.0% | 0.0% | 0.0% | 1 |
| Office of Information Technology | 8 | 62.1% | 24.8% | 13.1% | 0 |
| Office of the Inspector General | 2 | 100.0% | 0.0% | 0.0% | 1 |
| Office of International Affairs | 0 | -- | -- | -- | 0 |
| Office of Investor Education and Advocacy | 1 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Credit Ratings | 0 | -- | -- | -- | 0 |
| Office of the Secretary | 1 | 100.0% | 0.0% | 0.0% | 0 |
| O. of the Chief Operating Officer | 1 | 100.0% | 0.0% | 0.0% | 0 |
| National Examination Program | 18 | 90.8% | 9.2% | 0.0% | 11 |
| National Enforcement Program | 16 | 68.3% | 20.8% | 11.0% | 7 |
| Regional Operations | 1 | 100.0% | 0.0% | 0.0% | 1 |
| Other (OIAD, OMS, OMWI) | 1 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Administrative Law Judges | 1 | 100.0% | 0.0% | 0.0% | 0 |
| Office of Ethics Counsel | 0 | -- | -- | -- | 0 |
| O. of Equal Employment Opportunity | 0 | -- | -- | -- | 0 |
| O. of Public Affairs | 1 | 100.0% | 0.0% | 0.0% | 0 |
| O. of Strategic Initiatives | 1 | 100.0% | 0.0% | 0.0% | 0 |

**The results for this item only include employees who indicated that they participated in this program.*

Securities and Exchange Commission *1st Level Subagency Comparison Report*

Demographic Questions

Where do you work?

| | N | % |
|--------------|-------|-------|
| Headquarters | 2,008 | 58.4% |
| Field | 1,432 | 41.6% |

What is your supervisory status?

| | N | % |
|----------------|-------|-------|
| Non-Supervisor | 2,396 | 70.0% |
| Team Leader | 365 | 10.7% |
| Supervisor | 412 | 12.0% |
| Manager | 159 | 4.6% |
| Senior Leader | 89 | 2.6% |

Are you:

| | N | % |
|--------|-------|-------|
| Male | 1,834 | 54.6% |
| Female | 1,523 | 45.4% |

Are you Hispanic or Latino?

| | N | % |
|-----|-------|-------|
| Yes | 203 | 6.1% |
| No | 3,108 | 93.9% |

Race

| | N | % |
|---|-------|-------|
| American Indian or Alaska Native | 10 | 0.3% |
| Asian | 289 | 9.1% |
| Black or African American | 440 | 13.9% |
| Native Hawaiian or Other Pacific Islander | 6 | 0.2% |
| White | 2,316 | 73.0% |
| Two or more races | 111 | 3.5% |

Note: Percentages for demographic questions are unweighted.

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Demographic Questions (continued)

What is the highest degree or level of education you have completed?

| | N | % |
|--|-------|-------|
| Less than High School | 2 | 0.1% |
| High School Diploma/GED or equivalent | 33 | 1.0% |
| Trade or Technical Certificate | 13 | 0.4% |
| Some College (no degree) | 138 | 4.1% |
| Associate's Degree (e.g., AA, AS) | 56 | 1.7% |
| Bachelor's Degree (e.g., BA, BS) | 823 | 24.3% |
| Master's Degree (e.g., MA, MS, MBA) | 733 | 21.6% |
| Doctoral/Professional Degree (e.g., Ph.D., MD, JD) | 1,591 | 46.9% |

What is your pay category/grade?

| | N | % |
|--|-------|-------|
| Federal Wage System | 18 | 0.5% |
| GS 1-6 | 10 | 0.3% |
| GS 7-12 | 213 | 6.3% |
| GS 13-15 | 1,289 | 38.2% |
| Senior Executive Service | 82 | 2.4% |
| Senior Level (SL) or Scientific or Professional (ST) | 28 | 0.8% |
| Other | 1,736 | 51.4% |

How long have you been with the Federal Government (excluding military service)?

| | N | % |
|--------------------|-----|-------|
| Less than 1 year | 45 | 1.3% |
| 1 to 3 years | 468 | 13.8% |
| 4 to 5 years | 369 | 10.9% |
| 6 to 10 years | 678 | 20.0% |
| 11 to 14 years | 589 | 17.4% |
| 15 to 20 years | 543 | 16.1% |
| More than 20 years | 690 | 20.4% |

Note: Percentages for demographic questions are unweighted.

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Demographic Questions (continued)

How long have you been with your current agency (for example, Department of Justice, Environmental Protection Agency)?

| | N | % |
|--------------------|-------|-------|
| Less than 1 year | 84 | 2.5% |
| 1 to 3 years | 724 | 21.5% |
| 4 to 5 years | 437 | 13.0% |
| 6 to 10 years | 605 | 18.0% |
| 11 to 20 years | 1,049 | 31.2% |
| More than 20 years | 462 | 13.7% |

Are you considering leaving your organization within the next year, and if so, why?

| | N | % |
|---|-------|-------|
| No | 2,825 | 83.5% |
| Yes, to retire | 77 | 2.3% |
| Yes, to take another job within the Federal Government | 133 | 3.9% |
| Yes, to take another job outside the Federal Government | 258 | 7.6% |
| Yes, other | 92 | 2.7% |

I am planning to retire:

| | N | % |
|------------------------------|-------|-------|
| Within one year | 30 | 0.9% |
| Between one and three years | 173 | 5.2% |
| Between three and five years | 222 | 6.6% |
| Five or more years | 2,934 | 87.3% |

Self-Identify as:

| | N | % |
|--|-------|-------|
| Heterosexual or Straight | 2,695 | 84.5% |
| Gay, Lesbian, Bisexual, or Transgender | 123 | 3.9% |
| I prefer not to say | 371 | 11.6% |

What is your US military service status?

| | N | % |
|---|-------|-------|
| No Prior Military Service | 3,049 | 91.5% |
| Currently in National Guard or Reserves | 16 | 0.5% |
| Retired | 61 | 1.8% |
| Separated or Discharged | 205 | 6.2% |

Note: Percentages for demographic questions are unweighted.

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Demographic Questions (continued)

Are you an individual with a disability?

| | N | % |
|-----|-------|-------|
| Yes | 234 | 7.0% |
| No | 3,104 | 93.0% |

What is your age group?

| | N | % |
|--------------|-------|-------|
| 25 and under | 1 | 0.0% |
| 26-29 | 53 | 1.5% |
| 30-39 | 905 | 25.7% |
| 40-49 | 1,328 | 37.7% |
| 50-59 | 912 | 25.9% |
| 60 or older | 327 | 9.3% |

Note: Percentages for demographic questions are unweighted.