Kauffman Firm Survey
Second Follow-Up

Annotated Questionnaire for
Public Use File

April 6, 2009
A. INTRODUCTION

INTRO: Hello, my name is ______________. I'm calling on behalf of the Kauffman Foundation.

May I speak with ([CEO/OWNER]/the owner or CEO of [NAME BUSINESS])?

CEO/OWNER = First Follow-Up Respondent for Section A.

OWNER/CEO—PROCEED WITH INTERVIEW .......... 01
OWNER/CEO—BAD TIME/CALL BACK .................. 02 ➔ GO TO A2a
OWNER/CEO NOT AVAILABLE .......................... 03 ➔ GO TO Inform
OWNER/CEO NO LONGER WITH BUSINESS ........ 04 ➔ GO TO A1a [then A4web if A1a=1]
BUSINESS NO LONGER IN OPERATION .............. 05 ➔ GO TO A10
DON'T KNOW ........................................... d
REFUSED ............................................... r ➔ THANK AND TERMINATE

A1a. Your business has been participating in the Kauffman Firm Survey. Last year we asked you some questions about [NAME BUSINESS]'s operations in 2004 and 2005. Now we’d like to ask about calendar year 2006.

We'd like to confirm that the name of the business is [NAME BUSINESS] and that [NAME BUSINESS] is still operating.

[NAME BUSINESS] IS THE CURRENT NAME AND [NAME BUSINESS] IS STILL OPERATING ........ 01
THE BUSINESS NAME IS INCORRECT .............. 02 ➔ GO TO A2Web
[NAME BUSINESS] IS OUT OF BUSINESS ........... 03 ➔ GO TO A10

A1b. We’d like to confirm that you are [OWNER NAME] and you are still an owner of [NAME BUSINESS]?

[OWNER NAME] IS THE RESPONDENT AND IS STILL AN OWNER OF [NAME BUSINESS] .............. 01
[OWNER NAME] IS THE RESPONDENT AND IS STILL AN OWNER OF [NAME BUSINESS], BUT CORRECT [OWNER NAME]'s NAME .......................... 02 ➔ GO TO A4aWeb
RESPONDENT IS NOT [OWNER NAME] .................. 03 ➔ GO TO A4Webz
THE RESPONDENT [OWNER NAME] IS NO LONGER AN OWNER OF [NAME BUSINESS] .......... 07 ➔ GO TO A5a Box

A1c. We’d like to confirm that the title of your position is [TITLE]? Is that correct?

YES ................................................................................................................. 01 ➔ GO TO A5
NO ....................................................................................................................... 00
DON’T KNOW .............................................................................................. d ➔ GO TO A5
REFUSED ......................................................................................................... r ➔ GO TO A5

A1d. What is your job title?

INTERVIEWER: ENTER JOB TITLE.

.................................................................................................................... Update Title

GO TO A5

A2a. I’m sorry. When would be a better time to reach (you/[OWNER])?

INTERVIEWER: ENTER CALLBACK DATE AND TIME.

READ: Is this the best number to reach you?

INTERVIEWER: UPDATE CONTACT INFORMATION AS NEEDED.

Thank you very much. Good-bye.

THANK AND TERMINATE

A2Web. What is the correct business name?

INTERVIEWER: TYPE IN BUSINESS NAME.

A3Web. Is this a corrected spelling, a name change but the same business, or a different business?

SPELLING CORRECTION ........................................... 01 ➔ GO TO A1b
NAME CHANGE/SAME COMPANY ............ 02 ➔ GO TO A1b
DIFFERENT COMPANY ................................. 03 ➔ GO TO A1b
A3Webz. We are trying to find out what happened to [NAME BUSINESS]. Is [NAME BUSINESS] still in operation?

YES ......................................................... 01 ➔ GO TO A1b
NO .............................................................. 00 ➔ GO TO A10

A4Webz Is [OWNER NAME] still an owner and actively involved in running [NAME BUSINESS]?

IF NEEDED: By actively involved, we mean providing regular assistance or advice with day-to-day operations of the business rather than providing only money or occasional operating assistance.

YES ......................................................... 01
NO .............................................................. 00 ➔ GO TO A5a Box
DON’T KNOW............................................... d
REFUSED.................................................... r

A4Webz1 Would [OWNER NAME] be available to do the study at another time?

YES ......................................................... 01 ➔ ENTER CALLBACK DATE AND TIME ➔ GO TO A5a Box
NO .............................................................. 00
DON’T KNOW............................................... d
REFUSED.................................................... r

A4aWeb What is the correct spelling of your name?

NAME: ________________________________

A5. Are you still actively involved in running [NAME BUSINESS]? By actively involved in running the business, we mean providing regular assistance or advice with day-to-day operations of the business rather than providing only money or occasional operating assistance.

YES ......................................................... 01 ➔ GO TO A4
NO .............................................................. 00
DON’T KNOW............................................... d ➔ GO TO A4
REFUSED.................................................... r ➔ GO TO A4

[A5_Actively_involved_2]
A5A BOX:
IF MORE THAN ONE OWNER-OPERATOR-FOUNDER FROM FIRST FOLLOW-UP, ASK A5a.
ELSE, ASK A4Web.

A5a. During the last interview with your business, we recorded other owners of [NAME BUSINESS]. Please tell me the person who is an owner of the business, is actively involved in running [NAME BUSINESS], and will answer this study.

By actively involved in running the business, we mean providing regular assistance or advice with day-to-day operations of the business rather than providing only money or occasional operating assistance.

READ THE OWNER NAMES BELOW. SELECT ONLY ONE.

NEW OWNER-OPERATOR WILL ANSWER......................00 ➔ GO TO A5aweb1
[NAME OWNER] .................................................................2-9 ➔ GO TO A7Title
NON-OWNER WILL ANSWER...........................................11 ➔ GO TO A5aweb1

INTERVIEWER: CODE 11 ONLY WITH SUPERVISOR PERMISSION AND WRITE NOTE DOCUMENTING CIRCUMSTANCES

A4Web Who is currently an (OWNER/CEO) of [NAME BUSINESS]?

NAME:__________________________________________

A4Webz2 Are you (OWNER/CEO)?

YES ..................................................................................01
NO ..................................................................................00 ➔ GO TO Inform

A5new. And are you actively involved in running [NAME BUSINESS]? By actively involved in running the business, we mean providing regular assistance or advice with day-to-day operations of the business rather than providing only money or occasional operating assistance.

YES ..................................................................................01 ➔ GO TO A4new
NO ..................................................................................00

[A5New_Actively_involved_2]
A7. Is there another owner of [NAME BUSINESS] who is actively involved in running [NAME BUSINESS], and can answer questions about the business?

PROBE: By actively involved in running the business, we mean providing regular assistance or advice with day-to-day operations of the business rather than providing only money or occasional operating assistance.

YES................................................................. 01
NO ................................................................. 00 ➔ GO TO Stop5

A5aWeb1 Who is another owner of [NAME BUSINESS] who is actively involved in running [NAME BUSINESS], and can answer questions about the business?

ENTER FIRST NAME ________________________________
ENTER LAST NAME ________________________________
ENTER JOB TITLE ________________________________

A4Webz2 Are you (OWNER/CEO)?

YES................................................................. 01 ➔ GO TO A4new
NO ................................................................. 00

Inform. Do you know a good time and date I can call to contact (OWNER/CEO)?

INTERVIEWER: ENTER CALLBACK DATE AND TIME.

THANK AND TERMINATE

Stop5. Thank you for your time.

THANK AND TERMINATE

A7Title. What is the title of [OWNER NAME]?


A4Webz2 Are you (OWNER NAME)?

YES................................................................. 01 ➔ GO TO A4new
NO ................................................................. 00 ➔ GO TO Inform
A4. You participated last year in the Kauffman Firm Survey. We asked some questions about [NAME BUSINESS] operations in 2004 and 2005. Now we'd like to ask about the year 2006. Again, your answers will be completely confidential, and you will once again receive a $50 payment as a token of our appreciation.

GO TO A8

A4new. Your business participated last year in the Kauffman Firm Study. We asked some questions about [NAME BUSINESS]’s operation in 2004 and 2005. Now we’d like to ask about the year 2006. Again, your answers will be kept confidential, and you will receive a $50 payment as a token of our appreciation.

A8. I’d like to confirm your business’ mailing address. Is [NAME BUSINESS]’s mailing address (ADDRESS, CITY, STATE, ZIP)?

WEB: Our records indicate that the mailing address for [NAME BUSINESS] is (ADDRESS, CITY, STATE, ZIP). Is this correct?

YES ................................................................. 01 → GO TO C1z
NO ................................................................. 00 → GO TO A9
DON’T KNOW ...................................................... d → GO TO C1z
REFUSED ......................................................... r

[A8_Addr_ver_2]

A9. What is [NAME BUSINESS]’s correct mailing address?

INTERVIEWER: UPDATE MAILING ADDRESS INFORMATION.

ADDRESS:__________________________________________
CITY:______________________________________________
STATE:_____________ ZIP:_____________
DON’T KNOW ...................................................... d
REFUSED ......................................................... r

GO TO C1z
A10. What is the **main** reason [NAME BUSINESS] is out of business?

SOLD TO ANOTHER BUSINESS .................. 01
MERGED WITH ANOTHER BUSINESS .......... 02
TEMPORARILY STOPPED OPERATIONS .......... 03
PERMANENTLY STOPPED OPERATIONS ........ 04  ➔ GO TO A11a
OTHER (SPECIFY) ................................ 05

______________________________

______________________________

DON’T KNOW ................................. d
REFUSED ....................................... r

[A10_Out_Of_Business_2]

THANK AND TERMINATE

A11a. Did [NAME BUSINESS] file for bankruptcy?

YES .................................................. 01
NO ..................................................... 00
DON’T KNOW ...................................... d
REFUSED .......................................... r

[A11a_Bankruptcy_2]

THANK AND TERMINATE
C. BUSINESS CHARACTERISTICS

All of the following questions I’m going to ask are about [NAME BUSINESS]. Some of the questions will ask to confirm information about your business which you provided to us previously. As we go through the interview, please tell me if any of the information about your business is incorrect and needs to be updated.

C1z. Our records show that [NAME BUSINESS] had a legal status of [OWNERshipModel]. As of December 31, 2006, is that still the legal status of [NAME BUSINESS]?

   YES................................................................. 01 → GO TO C1a
   NO ................................................................. 00
   DON’T KNOW ................................................. d
   REFUSED ......................................................... r

[C1z_Confirm_Legal_Status_2]
I’m going to read you a list of some different forms of legal status a business can have. As of December 31, 2006, which form of legal status did [NAME BUSINESS] have? Was it a . . .

READ LIST AND READ DESCRIPTIONS AS NEEDED:

**Sole Proprietorship:** A type of business ownership in which a business is owned and managed by one individual and no subchapter S-corporation or C-corporation has been established.

**Limited Liability Company:** A cross between a corporation and a partnership, and offering some of the benefits of both. Similar to S corporations, income produced by a limited liability company flows through to owners (known as “members”) who pay their own taxes as individuals. Unlike S-corporations, however, limited liability companies are not subject to as many government restrictions.

**Subchapter S-Corporation:** Corporations in which all profits and losses are passed through to shareholders, just as they are passed through to partners in a partnership.

**C-Corporation:** Legal entities separate from their owners that may engage in business, make contracts, own property, pay taxes, and sue and be sued by others.

**General Partnership:** An association of two or more people who co-own a business for the purpose of making a profit and no subchapter S-corporation or C-corporation has been established.

**Limited Partnership:** A partnership in which one or more partners are general partners who manage the business and others are limited partners who invest in the business but forego any right to manage the company.

Sole Proprietorship, .................................................. 01
Limited Liability Company, ................................. 02
Subchapter S-Corporation, ................................. 03
C-Corporation, .................................................. 04
General Partnership, ................................. 05
Limited Partnership, or ........................................ 06
Something else? (SPECIFY) ................................. 07

DON’T KNOW .................................................. d
REFUSED .................................................. r

[C1z2_Legal_Status_2]
C1a. Our records indicate the principal activity of the business was \([D&B\ NAICS\ CODE\ DESCRIPTION]\). Was that still the principal activity of the business as of December 31, 2006?

YES.........................................................................................01 ➞ GO TO C2
NO .......................................................................................00
DON'T KNOW..............................................................................d
REFUSED..................................................................................r

[C1a_NAICS_verification_2]

C1b. As of December 31, 2006, what was the principal activity of the business?

______________________________________________________________

______________________________________________________________

IF SOLE PROPRIETORSHIP IN [tOWNERshipModel] [or C1z2], GO TO C5.

C2. As of December 31, 2006, how many individuals or entities owned [NAME BUSINESS]? Please include all individuals or entities who owned shares in the business.

|  |  |  | NUMBER OF OWNERS

DON'T KNOW..............................................................................d
REFUSED..................................................................................r

[C2_Owners_2]

C3. Of the [NUMBER OF OWNERS FROM C2] owners as of December 31, 2006, how many owners actively helped to run [NAME BUSINESS]? By helped to run the business we mean that they provided regular assistance or advice with day-to-day operations of the business, rather than providing only money or occasional operating assistance.

|  |  |  | NUMBER OF OWNER/OPERATORS

DON'T KNOW..............................................................................d
REFUSED..................................................................................r

[C3a_Owner_Operators_2]
IF ONE OWNER/OPERATOR REPORTED AT C3, GO TO C5. IF MORE THAN ONE
OWNER/OPERATOR REPORTED AT C3, ASK:

C4. FOR EACH FIRST FOLLOW-UP OWNER/OPERATOR WHO IS NOT THE
RESPONDENT, ASK:

Was [OWNER NAME] still an owner who actively helped run [NAME BUSINESS]—as
of December 31, 2006?

YES .................................................................................. 01
NO ................................................................................... 00
YES BUT THE NAME IS MISSPELLED............................ 02
DON'T KNOW................................................................. d
REFUSED................................................................................. r

FOR ALL MISSPELLED NAMES, ASK:
How do you spell (your/his/her) name?

INTERVIEWER: ENTER NAME

THEN ASK:
How many other people, not previously listed, were owners actively helping to run

INTERVIEWER: PREVIOUSLY LISTED PEOPLE ARE STATED BELOW.
NUMBER OF OWNERS STATED IN C3: [FILL FROM C3]

I want to record with you the first and last names of these owners. These are the
people who joined the business between the last time we talked to you and
December 31, 2006. I'm going to be asking some questions about each of the owners
who actively helped run [NAME BUSINESS]. Can you tell me the first and last name
of the other owner(s) of ABC Business?

INTERVIEWER: ENTER FIRST AND LAST NAMES.
C4Confirm. I have listed:

<table>
<thead>
<tr>
<th>FIRST NAME</th>
<th>LAST NAME</th>
</tr>
</thead>
<tbody>
<tr>
<td>OWNER A (RESPONDENT)</td>
<td></td>
</tr>
<tr>
<td>OWNER B</td>
<td></td>
</tr>
<tr>
<td>OWNER C</td>
<td></td>
</tr>
<tr>
<td>OWNER D</td>
<td></td>
</tr>
</tbody>
</table>

[C4_NumOwners_Confirm_2]

Are there any other owner-operators as of December 31, 2006 of [NAME BUSINESS] that I have not mentioned?

INTERVIEWER: CONFIRM SPELLING OF NAMES. TO CORRECT NAMES, ARROW BACK TO TABLE.

ADD ANOTHER NAME OR CORRECT A MISSPELling ........................................01

NO CHANGES.........................................................................................02

NOTE: UP TO 10 OWNER/OPERATOR/FOUNDERS WILL BE INCLUDED.

C5. Not counting owner(s), on December 31, 2006, how many people worked for [NAME BUSINESS]? Please include all full- and part-time employees, but exclude contract workers who work for the business either full- or part-time but are not on the business' official payroll.

<table>
<thead>
<tr>
<th>NUMBER OF EMPLOYEES ON DECEMBER 31, 2006</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

DON’T KNOW................................................................. d

REFUSED................................................................. r

[C5_Num_Employees_2]

C5b. Was this change an increase, a decrease, or no change in the number of people who worked for [NAME BUSINESS] on December 31, 2006 compared to December 31, 2005?

<table>
<thead>
<tr>
<th>NUMBER OF EMPLOYEES CHANGED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

INCREASE .............................................................. 01

DECREASE .............................................................. 02

NO CHANGE ............................................................ 03

DON’T KNOW......................................................... d

REFUSED................................................................. r

[C5b_Num_Employees_Change_2]
C5c. And what was the (increase/decrease) in the number of people who worked for [NAME BUSINESS] on December 31, 2006 compared to December 31, 2005? Your best estimate is fine.

|___|___|___| CHANGE IN NUMBER OF EMPLOYEES

DON'T KNOW..................................................d

REFUSED.......................................................r

[C5c_Num_Employees_Change_Amt_2]

IF BUSINESS REPORTED “0” EMPLOYEES AT C5, GO TO C8z.

C6. And of those [NUMBER FROM C5], how many were full-time? (IF NEEDED: Full-time is considered 35 hours or more per week)

|___|___|___| NUMBER OF DECEMBER 31, 2006 FULL-TIME EMPLOYEES

DON'T KNOW..................................................d

REFUSED.......................................................r

[C6_Num_FT_Employees_2]

C7. And how many were part-time? (IF NEEDED: Part-time is considered less than 35 hours per week)

|___|___|___| NUMBER OF DECEMBER 31, 2006 PART-TIME EMPLOYEES

DON'T KNOW..................................................d

REFUSED.......................................................r

[C7_Num_PT_Employees_2]

C8z. Our records show that the primary location where [NAME BUSINESS] operates is [PrimaryLocation]. Is that correct?

YES ................................................................. 01  ➔  GO TO C10

NO ................................................................. 00

DON'T KNOW..................................................d ➔  GO TO C10

REFUSED.......................................................r ➔  GO TO C10

[C8z_Primary_Loc_Confirm_2]

- A residence such as a home or garage, ................... 01
- A rented or leased space, ................................... 02
- Space the business purchased, .............................. 03
- A site where a client is located, or .......................... 04
- Some other location? (SPECIFY) .............................. 05

DON’T KNOW ............................................ d
REFUSED .................................................. r

[C8_Primary_Loc_2]

C9. What was the main reason for the change of location?

- Previous location too expensive ......................... 01
- Needed more space due to growth of business ......... 02
- Moved closer to customers .................................. 03
- Moved business and residence to new location ........ 04
- OTHER (SPECIFY) ........................................ 05

DON’T KNOW ............................................ d
REFUSED .................................................. r

[C9_Loc_Change_Reason_2]

C10. As of December 31, 2006, did [NAME BUSINESS] operate in more than one location?

- YES ................................................................... 01
- NO ................................................................... 00

GO TO D1

[C10_MoreLocations_2]

C11. And as of December 31, 2006, how many locations did [NAME BUSINESS] operate in?

| __ | __ | __ | NUMBER OF LOCATIONS AS OF DECEMBER 31, 2006

[C11_Num_Locations_2]

C11a. In what month and year did you open your second location?

Month ____________________ Year | 2 | 0 | 0 |__|
D. STRATEGY AND INNOVATION

D1. Does [NAME BUSINESS] provide (READ ITEM)?

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>DON’T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. A service</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
</tr>
<tr>
<td>[D1a_Provide_Service_2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. A product</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
</tr>
<tr>
<td>[D1a_Provide_Product_2]</td>
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</tbody>
</table>

D2. Businesses often have to compete with other businesses. A competitive advantage is something unique or distinctive a business provides that gives it an advantage compared to competitors. In calendar year 2006, did [NAME BUSINESS] have a competitive advantage over its competitors?

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>DON’T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
</tr>
</tbody>
</table>

[D2_Comp_Advantage_2]

D3. Whether assigned by an owner or obtained in some other way, does [NAME BUSINESS] have any of the following? (READ LIST)

FOR EACH “YES,” ASK: How many (READ ITEM) does [NAME BUSINESS] have?

INTERVIEWERS IF NEEDED:

Patent: A patent is a right given by the government to preclude others from making and selling an invention for 20 years from the date of application in return for disclosure of how the invention operates.

Copyright: The legal right granted to authors, composers, artists and publishers to protect their thoughts and ideas for exclusive publication, reproduction, sale and distribution of their works.

Trademark: Words, names, symbols or devices, or any combination of these used to identify the goods of a business and to distinguish these goods from the goods of others.

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>DON’T KNOW</th>
<th>REFUSED</th>
<th>NUMBER BUSINESS HAS</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Patents</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
</tr>
<tr>
<td>b. Copyrights</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
</tr>
<tr>
<td>c. Trademarks</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
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</tbody>
</table>
D4. “Licensing out” is licensing patents, copyrights, or trademarks owned by the business to other parties under a licensing agreement. In calendar year 2006, did [NAME BUSINESS] license out any (READ ITEM)?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
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</thead>
<tbody>
<tr>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
</tr>
</tbody>
</table>

  a. Patents .................................................. [D4_a_Lic_Out_Patents_2]
  b. Copyrights ............................................... [D4_b_Lic_Out_Copyrights_2]
  c. Trademarks ............................................... [D4_c_Lic_Out_Trademarks_2]

D5. “Licensing in” is acquiring the right to use intellectual property such as patents, copyrights, or trademarks created by someone outside the business through a licensing agreement. In calendar year 2006, did [NAME BUSINESS] license in any (READ ITEM)?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
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<tbody>
<tr>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
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</table>

  a. Patents .................................................. [D5_a_Lic_In_Patent_2]
  b. Copyrights ............................................... [D5_b_Lic_In_Copyright_2]
  c. Trademarks ............................................... [D5_c_Lic_In_Trademark_2]

D6. Did [NAME BUSINESS] have any customers or sales in calendar year 2006?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td></td>
<td></td>
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</table>

  GO TO E1

[D6_Have_Sales_2]
D7. I’d like to learn more about the type of customers that [NAME BUSINESS] had during calendar year 2006. I am going to ask you to estimate the percent of the business’ sales that were made to individuals, businesses, and government agencies. The total should equal 100%.

a. During calendar year 2006, what percentage of the business’ sales were to private individuals?

<table>
<thead>
<tr>
<th>PERCENTAGE</th>
<th>DON’T KNOW</th>
<th>REFUSED</th>
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</table>

[D7_Perc_Sales_Indiv_2]

b. What percentage of the business’ sales were to other businesses?

[IF NEEDED: Please include sales to for-profit and not-for-profit business.]

<table>
<thead>
<tr>
<th>PERCENTAGE</th>
<th>DON’T KNOW</th>
<th>REFUSED</th>
</tr>
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<tbody>
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</table>

[D7_Perc_Sales_Bus_2]

c. What percentage of the business’ sales were to government agencies?

<table>
<thead>
<tr>
<th>PERCENTAGE</th>
<th>DON’T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

[D7_Perc_Sales_Govt_2]
E. BUSINESS ORGANIZATION AND HR BENEFITS

IF ONE OWNER REPORTED AT C2 AND BUSINESS REPORTED “0” EMPLOYEES AT C5, GO TO F1.

Next, I’d like to ask about how [NAME BUSINESS] is organized and about the benefits that are offered to employees.

E1. On December 31, 2006, how many employees or owners, if any, did [NAME BUSINESS] have who were primarily responsible for (READ ITEM)? Please include only full- and part-time employees, but not contract workers who work for the business but are not on the business’ official payroll.

<table>
<thead>
<tr>
<th>NUMBER EMPLOYEES OR OWNERS</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Human resources such as employee benefits, recruitment, or hiring</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[E1_a_Num_Human_Res_2]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Sales or Marketing such as sales, market research, customer analysis, or promotional activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[E1_b_Num_Sales_2]</td>
<td></td>
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<tr>
<td>c. Executive administration functions such as strategic planning, competitive analysis, shareholder relations, or general management</td>
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<tr>
<td>[E1_c_Num_Exec_Admin_2]</td>
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<tr>
<td>d. Research and development on new products or services</td>
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<td>[E1_d_Num_ResDev_2]</td>
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<tr>
<td>e. Production or manufacturing such as producing materials or products, production planning, production control, quality control, or storage</td>
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<td>[E1_e_Num_Prod_Manu_2]</td>
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<tr>
<td>f. General administration such as office management, responding to maintenance requests, purchase supplies, or training employees in office procedures</td>
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<tr>
<td>[E1_f_Num_Gen_Admin_2]</td>
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<td></td>
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<tr>
<td>g. Financial administration such as accounting procedures, budgeting, financial analysis, or investment activities</td>
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<tr>
<td>[E1_g_Num_Fin_Admin_2]</td>
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<tr>
<td>h. Does [NAME BUSINESS] have employees with any other key responsibilities? (SPECIFY)</td>
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<td>[E1_h_Num_Other_2]</td>
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</table>
E2a. As of December 31, 2006, did [NAME BUSINESS] offer full-time employees or owners (READ ITEM):

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
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</table>

- a. A health insurance plan either through the business or an association.................................................. [E2a_FT_Emp_Hlth_Plan_2]
- b. A retirement plan such as profit sharing, pension, including 401K, annuity, Keogh, etc. .................. [E2a_FT_Emp_Retire_Plan_2]
- c. Stock options or other stock ownership ......................... [E2a_FT_Emp_Stock_Own_2]
- d. A bonus plan........................................................................... [E2a_FT_Emp_Bonus_Plan_2]
- e. Tuition reimbursement........................................................ [E2a_FT_Emp_Tuit_Reim_2]
- f. Paid vacation........................................................................ [E2a_FT_Emp_Paid_Vaca_2]
- g. Paid sick days....................................................................... [E2a_FT_Emp_Paid_Sick_2]
- h. Alternative work schedules such as flex time or job sharing ................................................................ [E2a_FT_Emp_Flex_Time_2]
- i. Any other benefits? (SPECIFY)............................................ [E2a_FT_Emp_Other_2]

IF ZERO PART-TIME EMPLOYEES AT C7, GO TO F1.

E2b. As of December 31, 2006, did [NAME BUSINESS] offer part-time employees (READ ITEM):

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
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<tbody>
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<td></td>
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</tbody>
</table>

- a. A health insurance plan either through the business or an association.................................................. [E2b_PT_Emp_Hlth_Plan_2]
- b. A retirement plan such as profit sharing, pension, including 401K, annuity, Keogh, etc. .................. [E2b_PT_Emp_Retire_Plan_2]
- c. Stock options or other stock ownership ......................... [E2b_PT_Emp_Stock_Own_2]
- d. A bonus plan........................................................................... [E2b_PT_Emp_Bonus_Plan_2]
- e. Tuition reimbursement........................................................ [E2b_PT_Emp_Tuit_Reim_2]
- f. Paid vacation........................................................................ [E2b_PT_Emp_Paid_Vaca_2]
- g. Paid sick days....................................................................... [E2b_PT_Emp_Paid_Sick_2]
- h. Alternative work schedules such as flex time or job sharing ................................................................ [E2b_PT_Emp_Flex_Time_2]
- i. Any other benefits? (SPECIFY)............................................ [E2b_PT_Emp_Other_2]
F. BUSINESS FINANCES

F1. Now I’d like to ask about [NAME BUSINESS]’s financing. Businesses can get money from the savings or investments of the owner(s), money from spouses, family or other individuals, from companies, borrowing in an owner’s name, venture funds, or by borrowing in the name of the business. Some of the funds must be paid back and other funds represent an equity stake or share of the business. We will ask some questions about what happened during calendar year 2006, some questions about what has happened since the business began, and other questions about balances as of December 31, 2006.

F1a. First, in calendar year 2006, did [you/OWNER B-J] put any of your own money into [NAME BUSINESS] in return for an ownership share of the business? Please do not include any money borrowed from others or from credit cards.

IF NEEDED: This would include all additional money invested by [you/OWNER B-J] in the business during calendar year 2006.

YES ......................................................................................... 01
NO ......................................................................................... 00
DON’T KNOW ...................................................................... d
REFUSED .............................................................................. r

[GO TO F2a1]

[F2_Owner_Eq_Invest_01_2]
F2a. **IF YES:** How much of [your/her/his] own money did [you/he/she] put into the business during calendar year 2006?

**IF NEEDED:** Your best estimate is fine.

OWNER A.......................... $ | | | | | | | | | | | | | | | | |
DON’T KNOW............................ d
REFUSED........................................ r

**IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ...................................................... 01
$501 to $1,000, .................................................... 02
$1,001 to $3,000, .................................................. 03
$3,001 to $5,000, ............................................... 04
$5,001 to $10,000, .............................................. 05
$10,001 to $25,000, ............................................. 06
$25,001 to $100,000, .......................................... 07
$100,001 to $1,000,000, .................................... 08
$1,000,001 or more? ...................................... 09
DON’T KNOW................................................. d
REFUSED................................................... r
F2a1. Counting all years, how much of [your/OWNER B-J’s] own money did [you/she/he] put into [NAME BUSINESS] as of December 31, 2006?

IF NEEDED: This includes all money [you/she/he] invested in the business as of December 31, 2006.

$ |____|____|____|____|____|____| TOTAL EQUITY

DON’T KNOW................................................. d
REFUSED..................................................... r

PROBE: IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:
Would you say it was . . .

$500 or less, ............................................... 01
$501 to $1,000,................................................. 02
$1,001 to $3,000,........................................... 03
$3,001 to $5,000,.......................................... 04
$5,001 to $10,000,......................................... 05
$10,001 to $25,000,....................................... 06
$25,001 to $100,000,.................................... 07
$100,001 to $1,000,000,................................. 08
$1,000,001 or more?...................................... 09
DON’T KNOW................................................. d
REFUSED..................................................... r

IF F2a IS GREATER THAN F2a1:
I may have made a mistake. The amount invested in 2006 is greater than the amount invested in all years combined. Is there an error?

F2b. What percentage of the business did [you/OWNER B-J] own on December 31, 2006?

|____|____|____| PERCENTAGE OF BUSINESS

DON’T KNOW................................................. d
REFUSED..................................................... r

IF MORE THAN ONE OWNER/OPERATOR AT C4, ASK F1a-F2b FOR EACH OWNER/OPERATOR. OTHERWISE, GO TO F3.

IF SOLE PROPRIETORSHIP AT QUESTION C1z OR C1z2, GO TO F6b.
F2 series asked of up to 10 owner-operators.

[F2_Owner_Eq_Invest_02_2]
[F2_Owner_Eq_Invest_03_2]
[F2_Owner_Eq_Invest_04_2]
[F2_Owner_Eq_Invest_05_2]
[F2_Owner_Eq_Invest_06_2]
[F2_Owner_Eq_Invest_07_2]
[F2_Owner_Eq_Invest_08_2]
[F2_Owner_Eq_Invest_09_2]
[F2_Owner_Eq_Invest_10_2]
F3. Equity investment is money received in return for some portion of ownership, and it is another way to fund business expenses. During calendar year 2006, did the business obtain equity financing from any of the following sources?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

| a. Spouses or life partners of owners of the business. This does not include spouses or partners already named as owners. | 01 | 00 | d | r |
| [F3a_Eq_Invest_Spouse_2] |

| b. Parents, in-laws or children of owners of the business | 01 | 00 | d | r |
| [F3b_Eq_Invest_Parents_2] |

| c. Individuals who are not spouses or life partners, parents, in-laws or children of the owners, excluding venture capitalists | 01 | 00 | d | r |
| [F3c_Eq_Invest_Angels_2] |

| d. Other companies | 01 | 00 | d | r |
| [F3d_Eq_Invest_Companies_2] |

| e. Government agencies | 01 | 00 | d | r |
| [F3e_Eq_Invest_Govt_2] |

| f. Venture capitalists | 01 | 00 | d | r |
| [F3f_Eq_Invest_Vent_Cap_2] |

| g. Any other sources? (SPECIFY) | 01 | 00 | d | r |
| [F3g_Eq_Invest_Other_2] |

F4. FOR EACH EQUITY FINANCING OPTION REPORTED AS “YES” ABOVE, ASK:

In calendar year 2006, how much money did [NAME BUSINESS] receive from [EQUITY OPTION]?

$ | | | |

| CALENDAR YEAR 2006 AMOUNT FROM EQUITY OPTION |

DON'T KNOW………………………………………d
REFUSED…………………………………………r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

$500 or less, …………………………………………01
$501 to $1,000,………………………………………02
$1,001 to $3,000,………………………………………03
$3,001 to $5,000,………………………………………04
$5,001 to $10,000,………………………………………05
$10,001 to $25,000,………………………………………06
$25,001 to $100,000,………………………………………07
$100,001 to $1,000,000,………………………………………08
$1,000,001 or more?………………………………………09
DON'T KNOW………………………………………d
REFUSED…………………………………………r
F4a. Counting all years, how much did [EQUITY OPTION] put into [NAME BUSINESS] as of December 31, 2006?

PROBE: This includes all money invested by [EQUITY OPTION] in all years.

$ |___|___|___|___|___|___|___|___| TOTAL EQUITY

DON'T KNOW............................................. d
REFUSED..................................................... r

PROBE: IF DON'T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

$500 or less, ................................................ 01
$501 to $1,000, ...................................... 02
$1,001 to $3,000, ......................................... 03
$3,001 to $5,000, ......................................... 04
$5,001 to $10,000, ........................................ 05
$10,001 to $25,000, ....................................... 06
$25,001 to $100,000, ..................................... 07
$100,001 to $1,000,000, ............................ 08
$1,000,001 or more? .................................... 09
DON'T KNOW............................................. d
REFUSED..................................................... r

IF F4 IS GREATER THAN F4a:
I may have made a mistake. The amount invested in 2006 is greater than the amount invested in all years combined. Is there an error?

F5. FOR EACH EQUITY FINANCING OPTION REPORTED AS “YES” ABOVE, ASK:
What was the total percentage of the business owned by the [EQUITY OPTION] who invested money in the business as of December 31, 2006?

|___|___|___| PERCENT

DON'T KNOW............................................. d
REFUSED..................................................... r
INTERVIEWER CHECK BOX: CHECK ANSWER FROM F2b AND F5 FOR TOTAL PERCENTAGE OF BUSINESS ACCOUNTED FOR.

[F6Check_2]

IF TOTAL PERCENTAGE EQUALS 100%, GO TO F6a
IF TOTAL EQUALS LESS OR MORE THAN 100%

F6. So far, you’ve given me the following information on who owns [NAME BUSINESS]: [LIST EQUITY INVESTORS FROM F2b AND F5]. Can we review this list?

REVIEW LIST OF OWNERS AND PERCENTAGES WITH RESPONDENT. MAKE CHANGES AS NEEDED, ADDING NEW OWNERS AND/OR PERCENTAGES AS NECESSARY.

DON’T KNOW.............................................................. d
REFUSED................................................................. r

[F6_perc_owned_owner_01_2]
[F6_perc_owned_owner_02_2]
[F6_perc_owned_owner_03_2]
[F6_perc_owned_owner_04_2]
[F6_perc_owned_owner_05_2]
[F6_perc_owned_owner_06_2]
[F6_perc_owned_owner_07_2]
[F6_perc_owned_owner_08_2]
[F6_perc_owned_owner_09_2]
[F6_perc_owned_owner_10_2]
[F6_perc_owned_owner_11_2]
[F6_perc_owned_owner_12_2]

F6a. Have you or other owners withdrawn money from the business for personal use in 2006?

INTERVIEWER: IF NEEDED This does not include owner salaries.

YES ................................................................. 01
NO ................................................................. 00
DON’T KNOW.............................................................. d
REFUSED................................................................. r

GO TO F7a

[GO6a_Personal_Use_2]
F6b. **IF YES:** Thinking of calendar year **2006 only**, how much money, if any, did you and other owners withdraw from the business for personal use? This includes any dividends paid.

$ |   |   |   |   |   |   |   |   |   |   |   | TOTAL DRAWINGS 2006

DON'T KNOW................................................. d

REFUSED...................................................... r

**IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ................................................01

$501 to $1,000, ..............................................02

$1,001 to $3,000, ..........................................03

$3,001 to $5,000, ..........................................04

$5,001 to $10,000, .........................................05

$10,001 to $25,000, .......................................06

$25,001 to $100,000, ....................................07

$100,001 to $1,000,000, .................................08

$1,000,001 or more? ........................................09

DON'T KNOW.................................................. d

REFUSED...................................................... r

F7a. Another way to finance a business is debt financing. Debt is money borrowed that has to be paid back with or without interest.

We will be talking about categories of debt based on who is responsible for paying it back. For each category, I'll ask you about several sources of debt business owners or businesses can use to fund operations. We want to make sure that any business-related debt is reported in the right category, and is reported only once. I will identify each category and remind you when I change categories. Here is the first category.

I'm going to ask you about some different types of debt financing **you** may have borrowed **in your name** on behalf of [NAME BUSINESS]. For each, please tell me if you used this type at any time during calendar year 2006. Did you use [NAME FINANCING OPTION FROM LIST]?
IN BELOW LIST, FOR EACH DEBT FINANCING OPTION BUSINESS REPORTED, ASK: How many [NAME DEBT FINANCING OPTION] did you use to finance the operation of the business during calendar year 2006?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
<th>NUMBER USED</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td></td>
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<td>01</td>
<td>00</td>
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<td>b.</td>
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<td>01</td>
<td>00</td>
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<td></td>
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<tr>
<td>c.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>01</td>
<td>00</td>
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<td>e.</td>
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<tr>
<td>f.</td>
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<tr>
<td></td>
<td>01</td>
<td>00</td>
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</tbody>
</table>
F8a. **IF ANSWERED “YES” TO F7a ITEMS a, c, ASK:** As of December 31, 2006, what was the maximum credit line on the [NAME DEBT FINANCING OPTION]?

$ | | | | | DECEMBER 31, 2006 CREDIT LINE

DON’T KNOW............................................................................. d

REFUSED............................................................................... r

**IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ................................................................. 01

$501 to $1,000, ................................................................. 02

$1,001 to $3,000, ............................................................... 03

$3,001 to $5,000, ............................................................... 04

$5,001 to $10,000, ......................................................... 05

$10,001 to $25,000, ....................................................... 06

$25,001 to $100,000, ...................................................... 07

$100,001 to $1,000,000, ............................................... 08

$1,000,001 or more? ...................................................... 09

DON’T KNOW............................................................................. d

REFUSED............................................................................... r
F8b. **IF ANSWERED “YES” TO F7a ITEMS a, c, ASK:** As of December 31, 2006, what was the outstanding balance on the [NAME DEBT FINANCING OPTION]?

$[_________],_________ DECEMBER 31, 2006 OUTSTANDING CREDIT CARD BALANCE

DON’T KNOW................................................. d

REFUSED......................................................... r

**IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ....................................................................................... 01

$501 to $1,000,.................................................................................. 02

$1,001 to $3,000,.............................................................................. 03

$3,001 to $5,000,.............................................................................. 04

$5,001 to $10,000,........................................................................... 05

$10,001 to $25,000,......................................................................... 06

$25,001 to $100,000,................................................................. 07

$100,001 to $1,000,000,........................................................... 08

$1,000,001 or more?................................................................. 09

DON’T KNOW............................................................................... d

REFUSED......................................................................................... r

**IF F8b IS GREATER THAN F8a:**

Perhaps I made a mistake. The amount I recorded as the balance outstanding is greater than the amount reported as the maximum credit limit.
F8c. IF ANSWERED “YES” TO F7a ITEMS b, d, e, f, ASK: In calendar year 2006, how much was obtained from the [NAME DEBT FINANCING OPTION]?

$ |____|____|____|____|____|____|____|____|____|____|____|

CALENDAR YEAR 2006 DEBT AMOUNT

DON’T KNOW................................................. d
REFUSED...................................................... r

IF DON’T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

$500 or less, .............................................. 01
$501 to $1,000, ............................................. 02
$1,001 to $3,000, .......................................... 03
$3,001 to $5,000, .......................................... 04
$5,001 to $10,000, ......................................... 05
$10,001 to $25,000, ....................................... 06
$25,001 to $100,000, ..................................... 07
$100,001 to $1,000,000, ................................. 08
$1,000,001 or more? .................................... 09
DON’T KNOW................................................. d
REFUSED...................................................... r
F8d. As of December 31, 2006, what was the estimated amount of the [NAME DEBT FINANCING OPTION] owed by you on behalf of [NAME BUSINESS]?

$ |____|____|____|____|____|____| DEBT FINANCING VALUE AS OF DECEMBER 31, 2006

DON'T KNOW................................................................................... d
REFUSED......................................................................................... r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was...

$500 or less, ................................................................. 01
$501 to $1,000,................................................................. 02
$1,001 to $3,000,................................................................. 03
$3,001 to $5,000,................................................................. 04
$5,001 to $10,000,................................................................. 05
$10,001 to $25,000,................................................................. 06
$25,001 to $100,000,................................................................. 07
$100,001 to $1,000,000,......................................................... 08
$1,000,001 or more?......................................................... 09
DON'T KNOW................................................................. d
REFUSED......................................................................................... r
IF MORE THAN ONE OWNER/OPERATOR AT C4, ASK F9a. OTHERWISE, GO TO 
F11a.

F9a. Here is the next debt category. I’m going to ask you about some different 
types of debt financing that other owners may have borrowed on behalf of [NAME 
BUSINESS]. This debt does not include amounts already reported in the previous 
section about your debt. For each, please tell me if other owners used this type at 
any time during calendar year 2006. Did other owners use [NAME DEBT 
FINANCING OPTION FROM LIST]?

F9b. IN BELOW LIST, FOR EACH DEBT FINANCING OPTION BUSINESS REPORTED,
ASK: How many [NAME DEBT FINANCING OPTION] did other owners use to 
finance the operation of the business during calendar year 2006?

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>DON'T</th>
<th>REFUSED</th>
<th>NUMBER</th>
<th>USED</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal credit cards for business-related purposes</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[F9a Pers_CredCard_2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>[F9b Pers_CredCard_NumUsed_2]</td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal loans from a bank or other financial institution, such as a mortgage or home equity loan used for the business</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[F9a Pers_Loan_Bank_2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>[F9b Pers_Loan_Bank_NumUsed_2]</td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business or corporate credit cards issued in the other owner’s name(s)</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
<td></td>
</tr>
<tr>
<td>[F9a Bus_CredCard_2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>[F9b Bus_CredCard_NumUsed_2]</td>
<td></td>
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<tr>
<td>d.</td>
<td></td>
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<tr>
<td>Personal loans from any family or friends</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
<td></td>
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<tr>
<td>[F9a Pers_Loan_Fam_2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>[F9b Pers_Loan_Fam_NumUsed_2]</td>
<td></td>
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<tr>
<td>e.</td>
<td></td>
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<tr>
<td>Personal loans from any other individuals not associated with the management of the business</td>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
<td></td>
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<tr>
<td>[F9a Pers_Loan_Other_2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>[F9b Pers_Loan_Other_NumUsed_2]</td>
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<td>f.</td>
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<tr>
<td>Any other sources? (SPECIFY)</td>
<td>01</td>
<td>00</td>
<td>d</td>
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<tr>
<td>[F9a Pers_Other_2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>[F9b Pers_Other_NumUsed_2]</td>
<td></td>
</tr>
</tbody>
</table>
F10a. **IF ANSWERED “YES” TO F9a ITEMS a, c, ASK:** As of December 31, 2006, what was the maximum credit line on the [NAME DEBT FINANCING OPTION] of (one of) the other owner(s)?

$ | | | | | | | | | | DECEMBER 31, 2006 CREDIT LINE

DON’T KNOW.............................................. d

REFUSED.................................................. r

**IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, .................................................... 01

$501 to $1,000, .................................................. 02

$1,001 to $3,000, ............................................. 03

$3,001 to $5,000, ............................................. 04

$5,001 to $10,000, .......................................... 05

$10,001 to $25,000, ....................................... 06

$25,001 to $100,000, ....................................... 07

$100,001 to $1,000,000, ................................. 08

$1,000,001 or more? ................................. 09

DON’T KNOW.............................................. d

REFUSED.................................................. r
F10b. **IF ANSWERED “YES” TO F9a ITEMS a, c, ASK:** As of December 31, 2006, what was the outstanding balance on the [NAME DEBT FINANCING OPTION] used by (one of) the other owner(s)?

$ | | | | | | | | | | | | | |
DECEMBER 31, 2006 OUTSTANDING CREDIT CARD BALANCE

DON'T KNOW........................................................................d
REFUSED..............................................................................r

**IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ................................................................. 01
$501 to $1,000,................................................................. 02
$1,001 to $3,000,.......................................................... 03
$3,001 to $5,000,......................................................... 04
$5,001 to $10,000,......................................................... 05
$10,001 to $25,000,...................................................... 06
$25,001 to $100,000,.................................................... 07
$100,001 to $1,000,000,............................................. 08
$1,000,001 or more?................................................... 09
DON'T KNOW.................................................................d
REFUSED..............................................................................r

**IF F10b IS GREATER THAN F10a:**
Perhaps I made a mistake. The amount I recorded as the balance outstanding is greater than the amount reported as the maximum credit limit.
F10c. **IF ANSWERED “YES” TO F9a, ITEMS b, d, e, f, ASK:** In calendar year 2006, how much was obtained from the [NAME DEBT FINANCING OPTION] other owners used?

$ |____|____|____|____|____|____|____|____| CALENDAR YEAR 2006 DEBT AMOUNT

DON’T KNOW .................................................................................. d

REFUSED............................................................................................ r

**IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, .................................................................................. 01

$501 to $1,000, ................................................................................ 02

$1,001 to $3,000, ............................................................................. 03

$3,001 to $5,000, ............................................................................. 04

$5,001 to $10,000, .......................................................................... 05

$10,001 to $25,000, ........................................................................ 06

$25,001 to $100,000, ................................................................. 07

$100,001 to $1,000,000, ............................................................. 08

$1,000,001 or more? ...................................................................... 09

DON’T KNOW................................................................................... d

REFUSED............................................................................................ r
F10d.  As of December 31, 2006, what was the estimated amount of the [NAME DEBT FINANCING OPTION] owed by other owners on behalf of [NAME BUSINESS]?

$ |___|___|___|___|___|___|___|___| DEBT AMOUNT AS OF DECEMBER 31, 2006

DON'T KNOW................................................................. d
REFUSED........................................................................... r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:  Would you say it was . . .

$500 or less, ......................................................... 01
$501 to $1,000, .................................................. 02
$1,001 to $3,000, .............................................. 03
$3,001 to $5,000, ........................................... 04
$5,001 to $10,000, ........................................ 05
$10,001 to $25,000, ..................................... 06
$25,001 to $100,000, ................................... 07
$100,001 to $1,000,000, ............................... 08
$1,000,001 or more?................................. 09
DON'T KNOW....................................................... d
REFUSED................................................................. r
F11a. We are once again switching to another debt category. Now I’m going to ask you about some different types of debt financing that may have been obtained in the name of the business during calendar year 2006. This debt does not include amounts already reported in the previous sections about your debt or the debt of other owners. During calendar year 2006, did [NAME BUSINESS] use [NAME DEBT FINANCING OPTION FROM LIST]?

F11b. IN BELOW LIST, FOR EACH DEBT FINANCING OPTION BUSINESS REPORTED, ASK: How many [NAME DEBT FINANCING OPTION] did the business use to finance the operation or the business during calendar year 2006?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
<th>NUMBER USED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. Business or corporate credit cards
   issued in the name of the business......
   [F11a_Bus_CredCard_2]
   [F11b_Bus_CredCard_NumUsed_2]

b. Business loans from a commercial
   bank....................................
   [F11a_Bus_Loans_Bank_2]
   [F11b_Bus_Loans_Bank_NumUsed_2]

c. Business line of credit **(READ IF NEEDED)**: a business line of credit is when a business has an agreement with a bank or other financial institution to borrow up to a certain amount of funds)
   [F11a_Bus_Cred_Line_2]
   [F11b_Bus_Cred_Line_NumUsed_2]

d. Business loans from a non-bank
   financial institution ....................
   [F11a_Bus_Loans_Nonbank_2]
   [F11b_Bus_Loans_NonBank_NumUsed_2]

e. Business loans from any family or friends of the owners ....................
   [F11a_Bus_Loans_Fam_2]
   [F11b_Bus_Loans_Fam_NumUsed_2]

f. Business loans from another owner of
   the business or a partner ..............
   [F11a_Bus_Loans_Owner_2]
   [F11b_Bus_Loans_Owner_NumUsed_2]

g. [IF HAVE EMPLOYEES AT C5]
   Loans to the business from employees
   that are not owners of the business ....
   [F11a_Bus_Loans_Emp_2]
   [F11b_Bus_Loans_Emp_NumUsed_2]

h. Loans from government agencies........
   [F11a_Bus_Loans_Govt_2]
   [F11b_Bus_Loans_Govt_NumUsed_2]

i. Loans from other businesses............
   [F11a_BusLoans_OtherBus_2]
   [F11b_BusLoans_OtherBus_NumUsed_2]

j. Business loans from any other individuals not associated with the
   management of the business...............[F11a_Bus_Loans_Other_Ind_2]
   [F11b_BusLoans_OtherInd_NumUsed_2]

k. Any other sources? (SPECIFY) ...........
   [F11a_Bus_Other_2]
   [F11b_Bus_Other_NumUsed_2]
F12a. **IF ANSWERED “YES” TO F11a ITEMS a, c, ASK:** As of December 31, 2006, what was the maximum credit line on the [NAME DEBT FINANCING OPTION]? 

$ |____|_____|_____|_____|_____|_____| DECEMBER 31, 2006 CREDIT LINE

DON’T KNOW............................................................................. d

REFUSED.................................................................................... r

**IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ................................................................. 01

$501 to $1,000,................................................................. 02

$1,001 to $3,000,............................................................. 03

$3,001 to $5,000,......................................................... 04

$5,001 to $10,000,...................................................... 05

$10,001 to $25,000,................................................... 06

$25,001 to $100,000,............................................... 07

$100,001 to $1,000,000,......................................... 08

$1,000,001 or more?.................................................. 09

DON’T KNOW................................................................. d

REFUSED.................................................................................... r
F12b. IF ANSWERED “YES” TO F11a ITEMS a, c, ASK: As of December 31, 2006, what was the outstanding balance on the [NAME DEBT FINANCING OPTION]?

$ | | | | | | | | |  DECEMBER 31, 2006 OUTSTANDING CREDIT BALANCE

DON'T KNOW...................................................... d
REFUSED.............................................................. r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

$500 or less, ....................................................... 01
$501 to $1,000, ...................................................... 02
$1,001 to $3,000, .................................................. 03
$3,001 to $5,000, ............................................... 04
$5,001 to $10,000, ................................................. 05
$10,001 to $25,000, ............................................. 06
$25,001 to $100,000, ......................................... 07
$100,001 to $1,000,000, ...................................... 08
$1,000,001 or more?............................................. 09
DON'T KNOW...................................................... d
REFUSED.............................................................. r

IF F12a IS GREATER THAN F12b: Perhaps I made a mistake. The amount I recorded as the balance outstanding is greater than the amount reported as the maximum credit limit.
F12c. **IF ANSWERED “YES” TO F11a ITEMS b, d-k, ASK:** In calendar year 2006, how much was the amount obtained from [NAME DEBT FINANCING OPTION] used by [NAME BUSINESS]?

$ |____|____|____|____|____|____|____|____|____|____| CALENDAR YEAR 2006 DEBT AMOUNT

DON'T KNOW......................................................... d

REFUSED............................................................... r

**IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ............................................................. 01

$501 to $1,000, ......................................................... 02

$1,001 to $3,000, ..................................................... 03

$3,001 to $5,000, ..................................................... 04

$5,001 to $10,000, ................................................... 05

$10,001 to $25,000, ............................................... 06

$25,001 to $100,000, .............................................. 07

$100,001 to $1,000,000, ......................................... 08

$1,000,001 or more? .............................................. 09

DON'T KNOW......................................................... d

REFUSED............................................................... r
F12d. As of December 31, 2006, what was the estimated amount of the [NAME DEBT FINANCING OPTION] owed by [NAME BUSINESS]?

| $ | ├──|─|--|─|--|─|--|─| DEBT AMOUNT AS OF DECEMBER 31, 2006 |
|   | DON'T KNOW..................................................... d |
|   | REFUSED................................................................ r |

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

$500 or less, ......................................................... 01
$501 to $1,000, ....................................................... 02
$1,001 to $3,000, .................................................... 03
$3,001 to $5,000, .................................................... 04
$5,001 to $10,000, ................................................... 05
$10,001 to $25,000, .................................................. 06
$25,001 to $100,000, ............................................... 07
$100,001 to $1,000,000, .......................................... 08
$1,000,001 or more? ............................................. 09
DON'T KNOW......................................................... d
REFUSED................................................................ r

F13. Trade financing is where a business has an arrangement with a supplier to make purchases on account. In calendar year 2006, did [NAME BUSINESS] make any purchases through trade financing?

YES ................................................................. 01
NO ................................................................. 00
DON'T KNOW......................................................... d
REFUSED............................................................. r

[GO TO F15]
F14.  **IF YES:** In calendar year 2006, what was the amount of purchases made through trade financing?

$ | | | | | | | | | | |

CALENDAR YEAR 2006 AMOUNT OF TRADE PURCHASES

DON'T KNOW......................................................... d

REFUSED................................................................. r

**IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ......................................................... 01

$501 to $1,000,......................................................... 02

$1,001 to $3,000,......................................................... 03

$3,001 to $5,000,......................................................... 04

$5,001 to $10,000,......................................................... 05

$10,001 to $25,000,......................................................... 06

$25,001 to $100,000,......................................................... 07

$100,001 to $1,000,000,......................................................... 08

$1,000,001 or more?......................................................... 09

DON'T KNOW......................................................... d

REFUSED................................................................. r

F15.  In calendar year 2006, did [NAME BUSINESS] receive any revenue (money), from the sales of goods, services, or intellectual property? [IF SOLE PROPRIETORSHIP, ADD: This would be gross receipts reported on a Schedule C or C-EZ with your personal income tax return.]

YES ................................................................. 01

NO ................................................................. 00

DON'T KNOW......................................................... d

REFUSED................................................................. r

GO TO F17

[F15_Revenue_2006_2]
F16. What was [NAME BUSINESS]'s total revenue for calendar year 2006? [IF SOLE PROPRIETORSHIP, ADD: This would be gross receipts reported on a Schedule C or C-EZ with your personal income tax return.]

$ | ___|___|___|___|___|___|___ | TOTAL REVENUE 2006

DON'T KNOW............................................d
REFUSED....................................................r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

$500 or less, ................................................. 01
$501 to $1,000, ........................................... 02
$1,001 to $3,000, ........................................ 03
$3,001 to $5,000, ....................................... 04
$5,001 to $10,000, ...................................... 05
$10,001 to $25,000, .................................... 06
$25,001 to $100,000, .................................. 07
$100,001 to $1,000,000, ................................ 08
$1,000,001 or more? ..................................... 09
DON'T KNOW........................................... d
REFUSED.................................................... r

F16b. Was this an increase, a decrease, or no change in the amount of revenue for [NAME BUSINESS] in 2006 compared to 2005?

INCREASE ..................................................... 01
DECREASE ................................................... 02
NO CHANGE ................................................. 03 ➔ GO TO F17
DON'T KNOW........................................... d
REFUSED.................................................... r

[F16b_Rev_2006_Change_2]

F16c. And what was the percentage change in revenue in 2006 compared 2005? Your best estimate is fine.

| ___|___|___|___ | % CHANGE IN REVENUE

DON'T KNOW........................................... d
REFUSED.................................................... r

[F16c_Perc_Change_2]
F17. Now I’m going to ask about the expenses the business paid. Expenses are the costs paid for the operation of the business, including wages, salaries, interest on loans, capital leases, materials, etc. How much, if any, did [NAME BUSINESS] pay in expenses during calendar year 2006?

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th>TOTAL EXPENSES IN CALENDAR YEAR 2006</th>
</tr>
</thead>
<tbody>
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<td>DON’T KNOW............................................. d</td>
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<tr>
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<td></td>
<td></td>
<td></td>
<td>REFUSED..................................................... r</td>
</tr>
</tbody>
</table>

IF DON’T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

- $500 or less, .................................................. 01
- $501 to $1,000, .................................................. 02
- $1,001 to $3,000, .................................................. 03
- $3,001 to $5,000, .................................................. 04
- $5,001 to $10,000, .................................................. 05
- $10,001 to $25,000, .............................................. 06
- $25,001 to $100,000, ............................................. 07
- $100,001 to $1,000,000, ......................................... 08
- $1,000,001 or more? .............................................. 09
- DON’T KNOW..................................................... d
- REFUSED......................................................... r

F17b. Was this an increase, a decrease, or no change in total expenses for [NAME BUSINESS] in 2006 compared to 2005?

- INCREASE ...................................................... 01
- DECREASE ....................................................... 02
- NO CHANGE .................................................... 03 ➔ GO TO F18
- DON’T KNOW..................................................... d
- REFUSED......................................................... r

[F17b_Total_Exp_2006_Change_2]

F17c. And what was the percentage change in total expenses in 2006 compared 2005? Your best estimate is fine.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th>% CHANGE IN EXPENSES</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
<td></td>
<td></td>
<td>DON’T KNOW..................................................... d</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>REFUSED......................................................... r</td>
</tr>
</tbody>
</table>

[F17c_Perc_Change_2]
F18. **IF BUSINESS REPORTED “0” EMPLOYEES AT C5, GO TO F19.**

How much, if any, did [NAME BUSINESS] pay in wages, salaries, and benefits to full-and part-time employees in calendar year 2006? Please do not include wages, salaries, and benefits to contract workers who work for the business but are not on the business’ official payroll.

$ | | | | | | TOTAL PAYROLL EXPENSES IN CALENDAR YEAR 2006

DON’T KNOW............................................ d
REFUSED....................................................... r

**IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

$500 or less, ............................................ 01
$501 to $1,000,............................................. 02
$1,001 to $3,000,......................................... 03
$3,001 to $5,000,......................................... 04
$5,001 to $10,000,....................................... 05
$10,001 to $25,000,................................. 06
$25,001 to $100,000,................................. 07
$100,001 to $1,000,000,......................... 08
$1,000,001 or more?............................... 09
DON’T KNOW............................................ d
REFUSED....................................................... r

F19. Did [NAME BUSINESS] spend any money on research and development of new products and services during calendar year 2006?

YES ............................................................. 01
NO ............................................................... 00
DON’T KNOW............................................ d
REFUSED....................................................... r

[F19_Res_Dev_2]

F20. Did [NAME BUSINESS] spend any money on the purchase of new or used machinery or equipment during calendar year 2006?

YES ............................................................. 01
NO ............................................................... 00
DON’T KNOW............................................ d
REFUSED....................................................... r

[F20_Mach_2]
F21. Did [NAME BUSINESS] spend any money on rental or lease payments for buildings or other structures during calendar year 2006?

YES ................................................................. 01
NO ................................................................. 00
DON'T KNOW .................................................... d
REFUSED .......................................................... r

[F21_Land_Rent_2]

F22. Did [NAME BUSINESS] spend any money on rental or lease payments for machinery or equipment during calendar year 2006?

YES ................................................................. 01
NO ................................................................. 00
DON'T KNOW .................................................... d
REFUSED .......................................................... r

[F22_Mach_Rent_2]

F23. Profit is the business' income after all expenses and taxes have been deducted. What was [NAME BUSINESS]'s total profit or loss for calendar year 2006?

PROFIT ............................................................ 01 ➞ GO TO F24
LOSS ............................................................... 02 ➞ GO TO F26
DON'T KNOW .................................................... d
REFUSED .......................................................... r

[F23_Profit_Or_Loss_2]

F24. ENTER PROFIT AMOUNT

$ |____|____|____|____|____|____|____| TOTAL PROFIT IN CALENDAR YEAR 2006

DON'T KNOW .................................................... d
REFUSED .......................................................... r
F25. **IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

- $500 or less, .............................................................. 01
- $501 to $1,000, ........................................................... 02
- $1,001 to $3,000, ....................................................... 03
- $3,001 to $5,000, ....................................................... 04
- $5,001 to $10,000, ..................................................... 05
- $10,001 to $25,000, ................................................... 06
- $25,001 to $100,000, ................................................ 07
- $100,001 to $1,000,000, ........................................... 08
- $1,000,001 or more? .................................................. 09
- DON’T KNOW................................................................... d
- REFUSED.......................................................................... r

F26. **ENTER LOSS AMOUNT**

$ |___|___|___|___|___|___|___|___|___| TOTAL LOSS IN CALENDAR YEAR 2006

- DON’T KNOW................................................................... d
- REFUSED.......................................................................... r

F27. **IF DON’T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say it was . . .

- $500 or less, .............................................................. 01
- $501 to $1,000, ........................................................... 02
- $1,001 to $3,000, ....................................................... 03
- $3,001 to $5,000, ....................................................... 04
- $5,001 to $10,000, ..................................................... 05
- $10,001 to $25,000, ................................................... 06
- $25,001 to $100,000, ................................................ 07
- $100,001 to $1,000,000, ........................................... 08
- $1,000,001 or more? .................................................. 09
- DON’T KNOW................................................................... d
- REFUSED.......................................................................... r
F28. Assets are what the business owns. As of December 31, 2006, did [NAME BUSINESS]'s assets include [NAME ASSET FROM LIST]?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- a. Cash on hand in checking, savings, money market accounts, certificates of deposit and other time deposits
  [F28a_Asset_Cash_2] 01 00 d r
- b. Accounts receivable
  [F28b_Asset_Acct_Rec_2] 01 00 d r
- c. Product inventory
  [F28c_Asset_Inv_2] 01 00 d r
- d. Equipment or machinery
  [F28d_Asset_Equip_2] 01 00 d r
- e. Land, buildings, and other structures
  [F28e_Asset_LandBuild_2] 01 00 d r
- f. Vehicles
  [F28f_Asset_Veh_2] 01 00 d r
- g. Any other business owned property (SPECIFY)...
  [F28g_Other_Bus_Prop_2] 01 00 d r
- h. Any other assets? (SPECIFY)
  [F28h_Other_Assets_2] 01 00 d r

F29. FOR EACH ASSET BUSINESS REPORTED, ASK:
As of December 31, 2006, what was the estimated value of the [NAME OF ASSET] owned by [NAME BUSINESS]?

$ | ___|___|___|___|___|___|___|___|___|___|___|___|___|___|___|___|___|
ASSET VALUE AS OF DECEMBER 31, 2006

DON'T KNOW............................................... d
REFUSED................................................. r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES: Would you say it was . . .

$500 or less, ................................................. 01
$501 to $1,000, .............................................. 02
$1,001 to $3,000, .......................................... 03
$3,001 to $5,000, .......................................... 04
$5,001 to $10,000, .......................................... 05
$10,001 to $25,000, ........................................ 06
$25,001 to $100,000, ...................................... 07
$100,001 to $1,000,000, .................................. 08
$1,000,001 or more?...................................... 09
DON'T KNOW............................................... d
REFUSED................................................. r
F30. Liabilities are what the business owes. Other than the loans and the financial debt we've already talked about, did [NAME BUSINESS]'s liabilities as of December 31, 2006 include [NAME LIABILITY FROM LIST]?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
<th>DON'T KNOW</th>
<th>REFUSED</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>00</td>
<td>d</td>
<td>r</td>
</tr>
</tbody>
</table>

a. Accounts Payable ..............................................
[F30a_Liab_AcctPay_2]

b. Pension and post retirement benefits .................
[F30b_Liab_Pension_2]

c. Any other liabilities? (SPECIFY) ......................
[F30c_Liab_Other_2]

F31. FOR EACH LIABILITY BUSINESS HAS, ASK: As of December 31, 2006, what was the estimated value of [NAME BUSINESS]'s [NAME OF LIABILITY]?

$ |  |  |  |  |  |  | LIABILITY VALUE AS OF DECEMBER 31, 2006

DON'T KNOW.......................................................... d

REFUSED........................................................................... r
**G. WORK BEHAVIORS AND DEMOGRAPHICS OF OWNER/OPERATOR(S)**

The last section contains questions for classification purposes only.

**C4 LISTING OF OWNER/OPERATORS SHOULD BE ASKED THIS SERIES IN THE ORDER THEY APPEAR IN C4**

**NO QUESTIONS WILL BE ASKED ABOUT OWNER/OPERATORS WHO HAVE LEFT THE BUSINESS.**

**FOR ALL FIRST FOLLOW-UP OWNER/OPERATORS IN C4, ASK BLOCK G1**

**FOR ALL NEW OWNER/OPERATORS, ASK BLOCK G2**

**BLOCK G1—**

G1a.  (Are/Is) (you/[OWNER B-J]) also a paid employee at [NAME BUSINESS]?

- YES ................................................................. 01
- NO ................................................................. 00
- DON'T KNOW............................................... d
- REFUSED........................................................... r

  [G1a_Emp_Owner_01_2] THROUGH [G1a_Emp_Owner_10_2]

G1b.  During the time [NAME BUSINESS] was in business during 2006, how many hours in an average week did (you/[OWNER B-J]) spend working at [NAME BUSINESS]?

<table>
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<th>HOURS WORKED IN AVERAGE WEEK</th>
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<tbody>
<tr>
<td></td>
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<td></td>
<td>DON'T KNOW........................... d</td>
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<td></td>
<td></td>
<td>REFUSED........................................ r</td>
</tr>
</tbody>
</table>

  **IF DON'T KNOW OR REFUSED PROBE:**  Would you say it was . . .

- Less than 20 hours, ........................................ 01
- 20 hours to 35 hours, ........................................ 02
- 36 hours to 45 hours, ....................................... 03
- 46 hours to 55 hours, ....................................... 04
- 56 hours to 65 hours, ....................................... 05
- 66 hours or more? ............................................. 06
- DON'T KNOW............................................... d
- REFUSED........................................................... r
FIRST FOLLOW-UP OWNERS/OPERATORS: ANY DEMOGRAPHIC QUESTION G1d-G10a NOT ANSWERED IN FIRST FOLLOW-UP WILL BE ASKED AGAIN.

ENDBLOCK G1—FOR ALL FIRST FOLLOW-UP OWNERS.

BLOCK bSectionG2—for all NEW OWNERS

G1a. (Are/Is) (you/[OWNER B-J]) also a paid employee at [NAME BUSINESS]?

   YES ........................................................................... 01  
   NO .............................................................................. 00  
   DON'T KNOW .............................................................. d  
   REFUSED ....................................................................... r

   [G1a_Emp_Owner_01_2] THROUGH [G1a_Emp_Owner_10_2]

G1b. During the time [NAME BUSINESS] was in business during 2006, how many hours in an average week did (you [OWNER B-J] spend working at [NAME BUSINESS]?  

   [___] [___] [___] HOURS WORKED IN AVERAGE WEEK  
   DON'T KNOW .............................................................. d  
   REFUSED ....................................................................... r

G1b1. IF DON'T KNOW OR REFUSED, PROBE: Would you say it was . . .  

   Less than 20 hours, ...................................................... 01  
   20 hours to 35 hours, .................................................... 02  
   36 hours to 45 hours, .................................................... 03  
   46 hours to 55 hours, .................................................... 04  
   56 hours to 65 hours, .................................................... 05  
   66 hours or more? ......................................................... 06  
   DON'T KNOW .............................................................. d  
   REFUSED ....................................................................... r
G2. How many years of work experience (have/has) (you/[OWNER B-J]) had in this industry—the one in which [NAME BUSINESS] competes?

|_____| YEARS

DON'T KNOW.............................................. d
REFUSED................................................. r

[G2_Work_Exp_Owner_01_2] THROUGH [G2_Work_Exp_Owner_10_2]

G3a. How many other new businesses (have/has) (you/[OWNER B-J]) started besides [NAME BUSINESS]?

|_____| NUMBER OF BUSINESSES (ENTER “0” FOR NONE)

DON'T KNOW.............................................. d
REFUSED................................................. r

[G3a_Oth_Bus_Owner_01_2] THROUGH [G3a_Oth_Bus_Owner_10_2]

**IF ZERO NEW BUSINESSES AT G3a, GO TO G4.**

G3b. (Was this/Were any of the) business(es) in the same industry as [NAME BUSINESS]?

YES ......................................................... 01
NO ......................................................... 00
DON'T KNOW.............................................. d
REFUSED................................................. r

[G3b_Bus_Same_Ind_Owner_01_2] THROUGH [G3b_Bus_Same_Ind_Owner_10_2]

G4. How old will (you/[OWNER B-J]) be on (your/his/her) next birthday?

OWNER A................................................. |_____|

DON'T KNOW.............................................. d
REFUSED................................................. r

**IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:** Would you say . . .

18-24, ......................................................... 01
25-34, ......................................................... 02
35-44, ......................................................... 03
45-54, ......................................................... 04
55-64, ......................................................... 05
65-74, ......................................................... 06
75 or older?................................................... 07
DON'T KNOW.............................................. d
REFUSED................................................. r
If G4 is less than G2

CATI hard edit with wording as follows:

Perhaps I made a mistake in recording your answer. (OWNER B-J/Your) age is less than (OWNER B-J) years of experience.

Now I have a few questions about race and ethnicity.

G5. (Are/Is) (you/[OWNER B-J]) of Hispanic or Latino origin?

   YES ......................................................... 01
   NO ........................................................... 00
   DON'T KNOW............................................... d
   REFUSED....................................................... r

   [G5_Hisp_Origin_Owner_01_2] THROUGH [G5_Hisp_Origin_Owner_10_2]

G6. I am going to read a list of race categories. Please choose one or more that best describes (your/[OWNER B-J]’s) race. Are (you [OWNER B-J]) American Indian or Alaska Native, Native Hawaiian or other Pacific Islander, Asian, Black or African American, or White?

   AMERICAN INDIAN OR ALASKA NATIVE ...................... 01
   [G6_Race_AmInd_Owner_01_2] THROUGH [G6_Race_AmInd_Owner_10_2]

   NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER . 02
   [G6_Race_NatHaw_Owner_01_2] THROUGH [G6_Race_NatHaw_Owner_10_2]

   ASIAN.............................................................. 03
   [G6_Race_Asian_Owner_01_2] THROUGH [G6_Race_Asian_Owner_10_2]

   BLACK OR AFRICAN AMERICAN ................................. 04
   [G6_Race_Black_Owner_01_2] THROUGH [G6_Race_Black_Owner_10_2]

   WHITE ............................................................. 05
   [G6_Race_White_Owner_01_2] THROUGH [G6_Race_White_Owner_10_2]

   OTHER (SPECIFY).................................................. 06
   [G6_Race_Other_Owner_01_2] THROUGH [G6_Race_Other_Owner_10_2]

   DON'T KNOW...................................................... d
   REFUSED........................................................... r

G7. (Were/Was) (you/[OWNER B-J]) born in the United States?

   YES ............................................................. 01 ➔ GO TO G9
   NO ............................................................... 00
   DON'T KNOW.................................................... d
   REFUSED........................................................... r

   [G7_Native_Born_Owner_01_2] THROUGH [G7_Native_Born_Owner_10_2]
G8. (Are/Is) (you/[OWNER B-J]) a U.S. citizen?

YES ................................................................. 01
NO ................................................................. 00
DON'T KNOW .................................................. d
REFUSED ......................................................... r

[G8_US_Cit_Owner_01_2] THROUGH [G8_US_Cit_Owner_10_2]

G9. What is the highest level of education (you/[OWNER B-J]) (have/has) completed so far? Would you say . . .

Less than 9th grade, .............................................. 01
Some high school, but no diploma, ......................... 02
High school graduate (diploma or equivalent diploma [GED]), .................................................. 03
Technical, trade or vocational degree, ...................... 04
Some college, but no degree, .............................. 05
Associate's degree, ........................................... 06
Bachelor's degree, ............................................. 07
Some graduate school but no degree, .................... 08
Master's degree, or .......................................... 09
Professional school or doctorate? ......................... 10
DON'T KNOW .................................................. d
REFUSED ......................................................... r

[G9_Education_Owner_01_2] THROUGH [G9_Education_Owner_10_2]

BY OBSERVATION:

G10a. (Are/Is) (you/[OWNER B-J]) male or female?

MALE .............................................................. 01
FEMALE ........................................................... 02
DON'T KNOW .................................................. d
REFUSED ......................................................... r

[G10_Gender_Owner_01_2] THROUGH [G10_Gender_Owner_10_2]

ENDBLOCK bSectionG2

SECTION G ARRAYED UP TO 10 TIMES, ONCE FOR EACH NEW OWNER.
G11. **IF EMAIL ADDRESS COLLECTED AT BASELINE OR FIRST FOLLOW-UP:**
Can we confirm your email address?

**INTERVIEWER:** READ EMAIL ADDRESS AND CORRECT AS NECESSARY.

**IF EMAIL ADDRESS FIELD BLANK FROM BASELINE AND FIRST FOLLOW-UP:**
Can you give us an email address where you can be reached?

EMAIL: ___________________ @ ___________________

DON'T KNOW............................................... d

REFUSED..................................................... r

G12. **IF WEBSITE ADDRESS COLLECTED AT BASELINE OR FIRST FOLLOW-UP:**
May we confirm your web site address as:

Web Address:_________________________ • ____________

**INTERVIEWER:** CORRECT AS NECESSARY ➔ GO TO G14

**IF WEBSITE ADDRESS BLANK FROM BASELINE AND FIRST FOLLOW-UP:**
Does [NAME BUSINESS] have its own website?

YES ...................................................................... 01

NO ..................................................................... 00

DON'T KNOW............................................... d

REFUSED..................................................... r

G13. Can you give me the web address?

WEB ADDRESS:_________________________ • ____________

DON'T KNOW............................................... d

REFUSED..................................................... r

G14. Is the business likely to move to another location in the next 12 months?

YES ...................................................................... 01

NO ..................................................................... 00

DON'T KNOW............................................... d

REFUSED..................................................... r

GO TO G16
G15.  What city and state is the business likely to move to?

CITY: .................................................................
STATE: .............................................................

DON'T KNOW.................................................... d
REFUSED........................................................... r

G16.  IF CONTACT INFORMATION COLLECTED AT BASELINE OR FIRST FOLLOW-UP:
Here is the information we have for a contact person. This information will be held in
the strictest confidence, and will only be used if we cannot contact you or someone
else associated with the business at the current business phone number or address.

INTERVIEWER: PLEASE ASK FOR ANY INFORMATION THAT IS NOT FILLED IN.

NAME: .............................................................
ADDRESS: ................................................................
CITY: ..............................................................
STATE: ..............................................................
PHONE: ..............................................................
EMAIL: ____________________________ @ __________________________

DON'T KNOW.................................................... d
REFUSED........................................................... r

IF CONTACT INFORMATION IS BLANK FROM BASELINE AND FIRST
FOLLOW-UP:
In case we are unable to contact you, can you provide a name and contact information
for a person besides yourself who would know how to reach you or someone else
associated with [NAME BUSINESS]? All information collected will be held in the
strictest confidence, and will only be used if we cannot contact you or someone else
associated with the business at the current business phone number or address.

NAME: .............................................................
ADDRESS: ................................................................
CITY: ..............................................................
STATE: ..............................................................
PHONE: ..............................................................
EMAIL: ____________________________ @ __________________________

DON'T KNOW.................................................... d
REFUSED........................................................... r

THANK AND TERMINATE
MPR DOCUMENTATION:

P:\Questionnaires (for Survey)\KFS (6083 and 6091)\KFS Second Follow-Up annotated_public use1.doc

(REV—4/9/08)  4/6/2009 4:09 PM

Lynne formatted for Betsy Santos

KFS – 6091-370