

Non-Depository Supervision - Rate the Department Survey - 2024 MSB

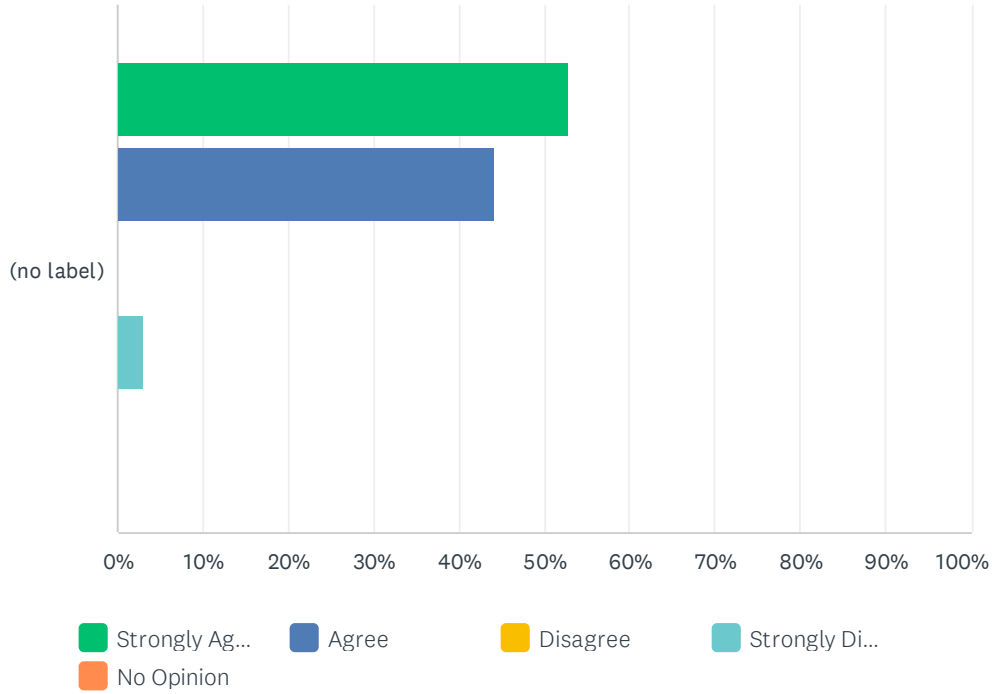
Q1 Person Completing the Survey?

Answered: 16 Skipped: 18

| ANSWER CHOICES | RESPONSES | |
|---------------------------|-----------|----|
| Name (optional) | 100.00% | 16 |
| Name of Entity (optional) | 100.00% | 16 |

Q2 Material changes to the Department's rules, policies and procedures are communicated and explained to us in a timely fashion.

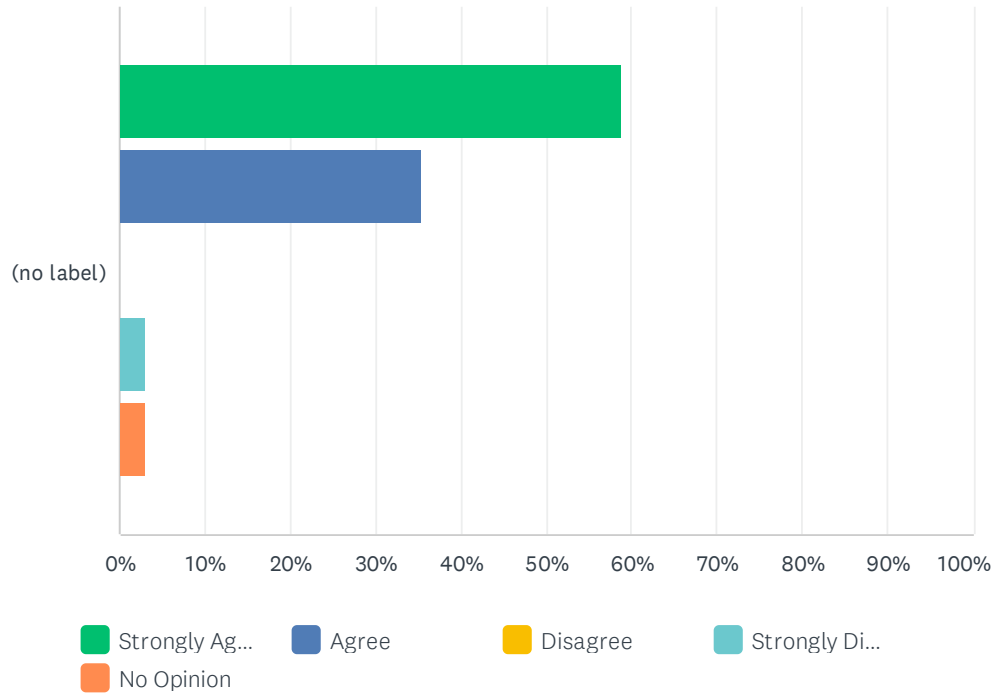
Answered: 34 Skipped: 0



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|------------|-------|------------------|
| (no label) | 52.94% 18 | 44.12% 15 | 0.00% 0 | 2.94% 1 | 0.00% 0 | 34 | 1.53 |

Q3 Headquarters office staff is accessible and provides timely and accurate feedback/answers.

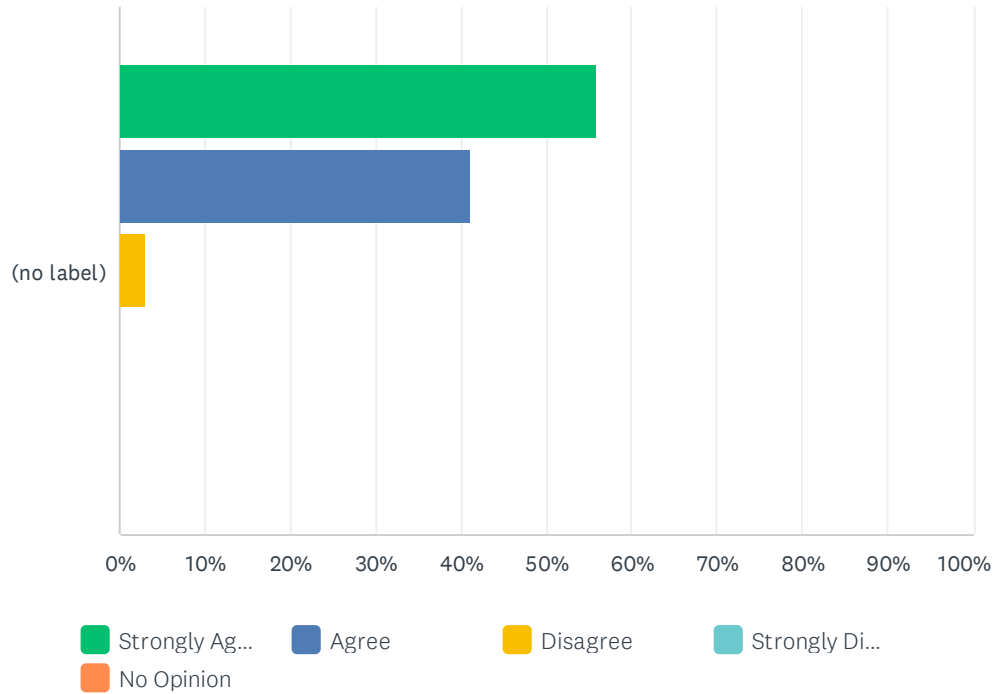
Answered: 34 Skipped: 0



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------|----------|-------------------|------------|-------|------------------|
| (no label) | 58.82% | 35.29% | 0.00% | 2.94% | 2.94% | 34 | 1.56 |
| | 20 | 12 | 0 | 1 | 1 | | |

Q4 Correspondence regarding routine business matters are handled in a prompt and effective manner.

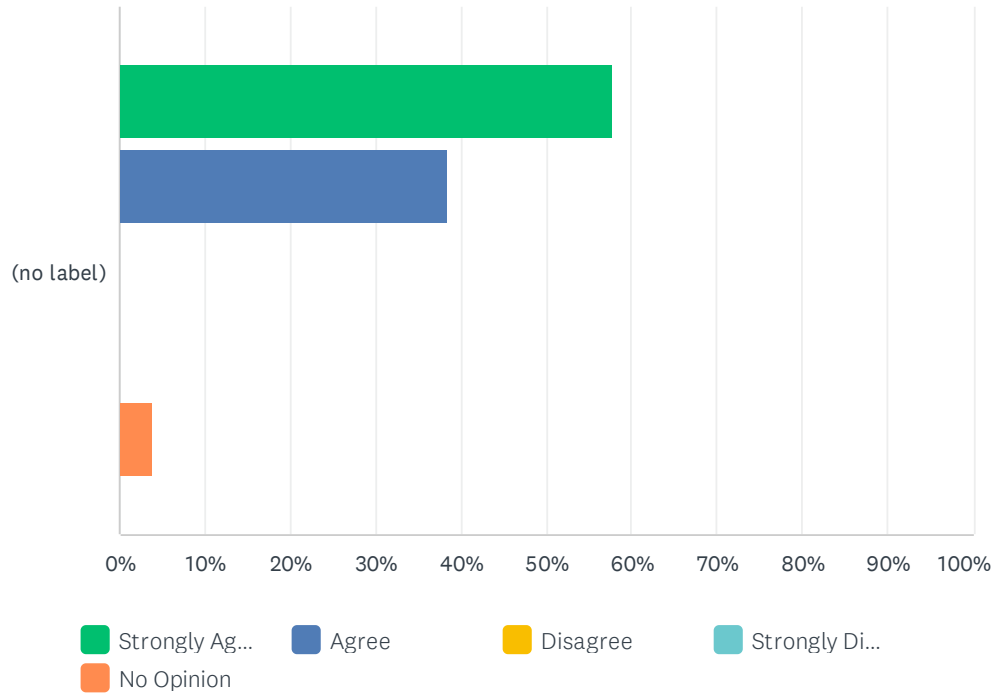
Answered: 34 Skipped: 0



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|------------|-------|------------------|
| (no label) | 55.88% 19 | 41.18% 14 | 2.94% 1 | 0.00% 0 | 0.00% 0 | 34 | 1.47 |

Q8 The scope and goals of examinations are clearly communicated to management prior to the start of the examination.

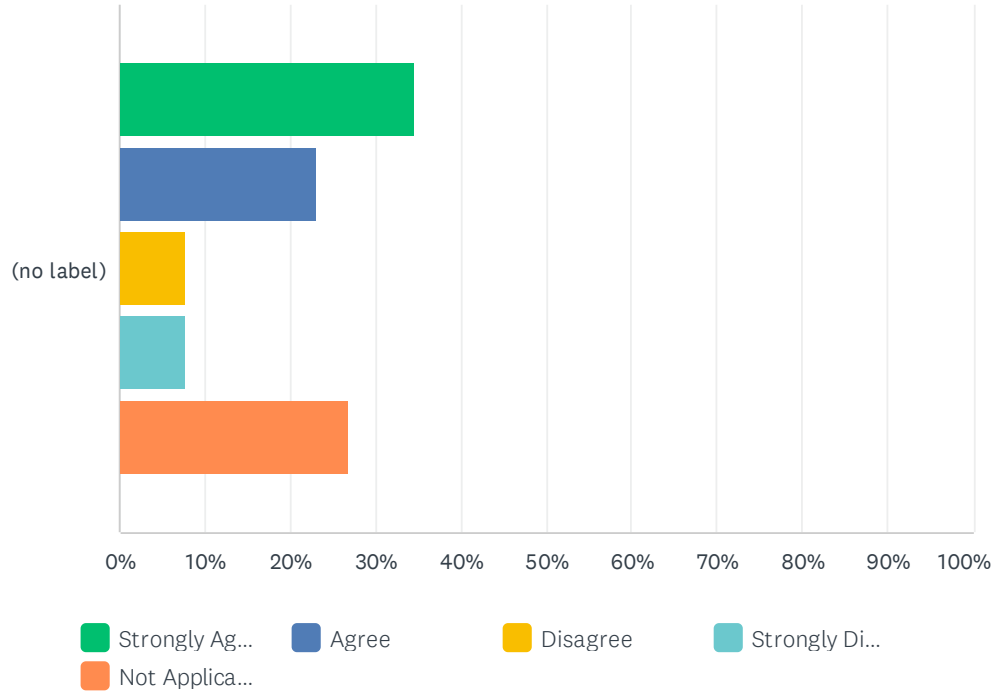
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|------------|-------|------------------|
| (no label) | 57.69% 15 | 38.46% 10 | 0.00% 0 | 0.00% 0 | 3.85% 1 | 26 | 1.54 |

Q9 Access to the Department's Data Exchange (DEX) allowed us to upload, report and exchange data quickly.

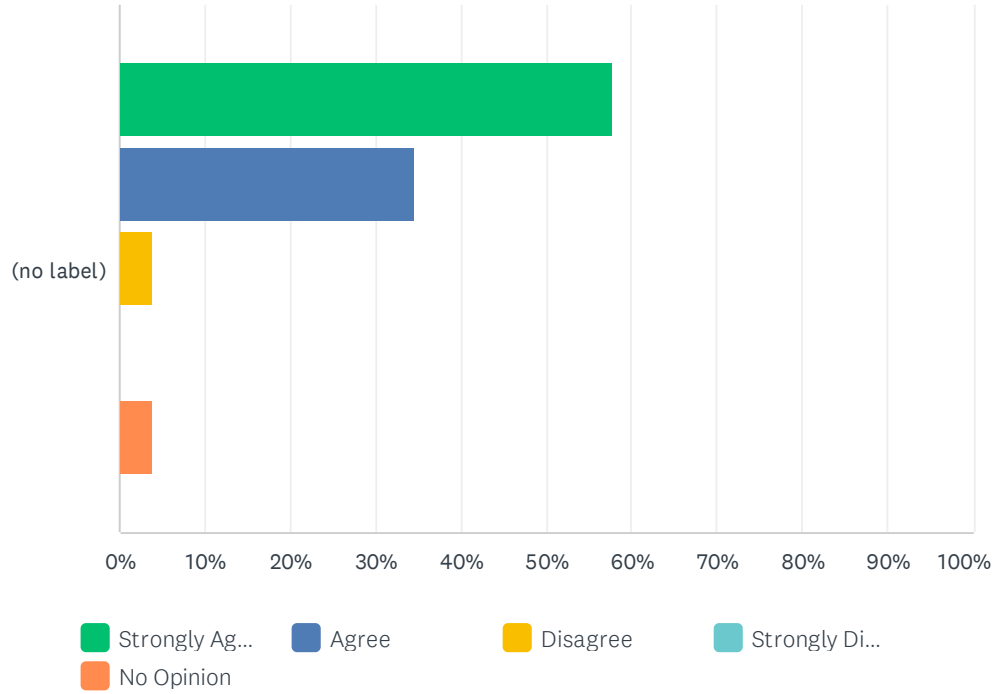
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NOT APPLICABLE | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|----------------|-------|------------------|
| (no label) | 34.62% 9 | 23.08% 6 | 7.69% 2 | 7.69% 2 | 26.92% 7 | 26 | 2.69 |

Q10 Examiners' requests for information prior to and during the examinations are timely and reasonable.

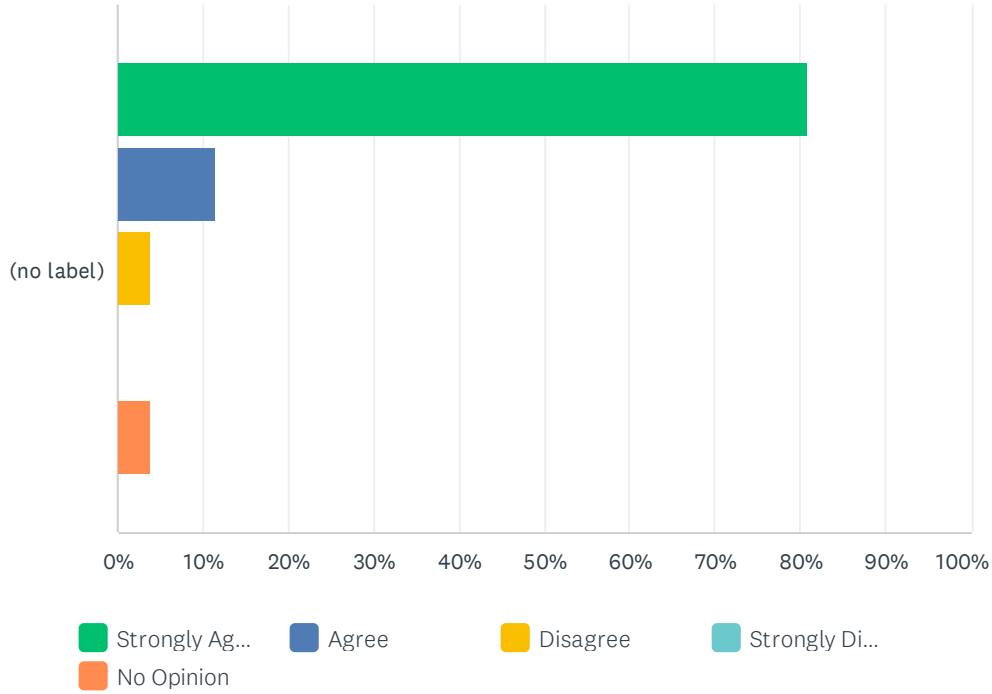
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|------------|-------|------------------|
| (no label) | 57.69% 15 | 34.62% 9 | 3.85% 1 | 0.00% 0 | 3.85% 1 | 26 | 1.58 |

Q11 Department examiners acted in a professional and courteous manner during the examination.

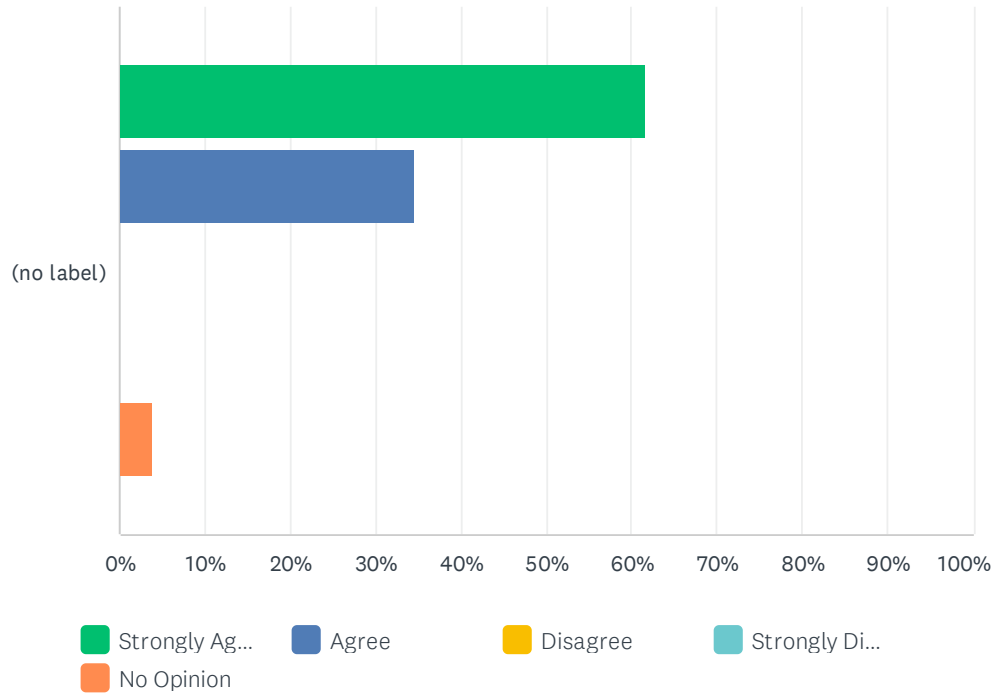
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|------------|-------|------------------|
| (no label) | 80.77% 21 | 11.54% 3 | 3.85% 1 | 0.00% 0 | 3.85% 1 | 26 | 1.35 |

Q12 Examiners adequately communicated with management throughout the examination and at the exit meeting.

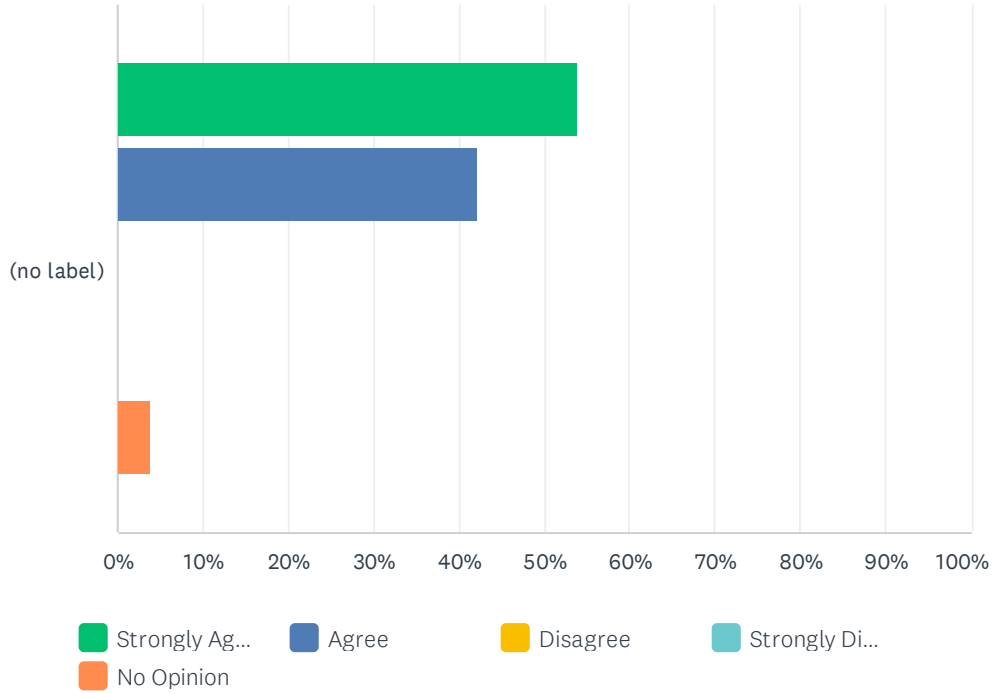
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|------------|-------|------------------|
| (no label) | 61.54% 16 | 34.62% 9 | 0.00% 0 | 0.00% 0 | 3.85% 1 | 26 | 1.50 |

Q13 Examiners appear to be informed of current industry issues and are adequately trained and qualified to examine the licensee.

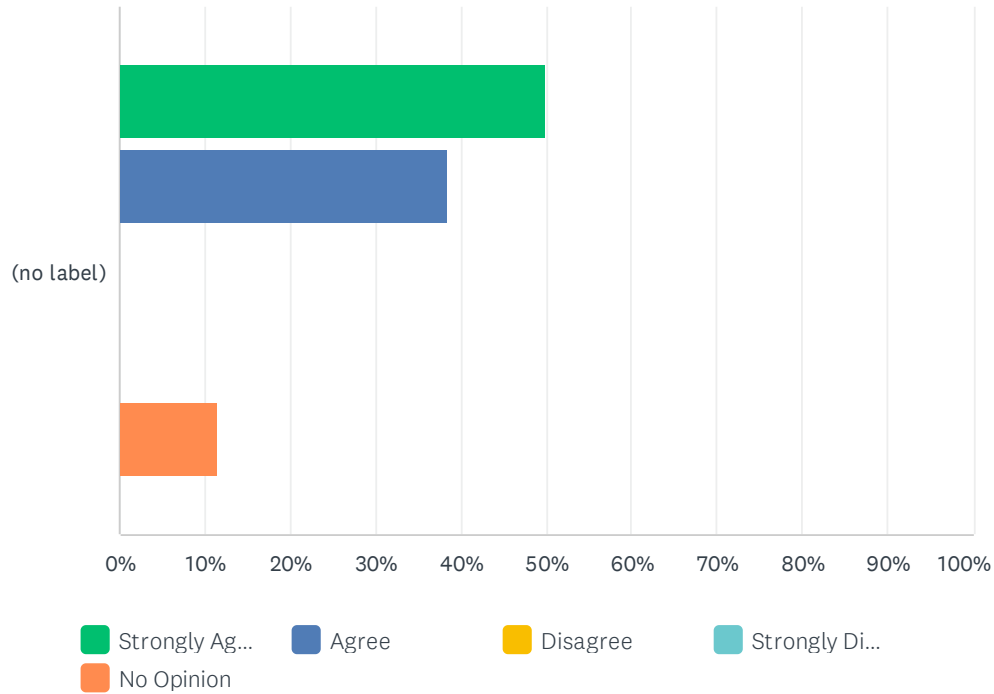
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|------------|-------|------------------|
| (no label) | 53.85% 14 | 42.31% 11 | 0.00% 0 | 0.00% 0 | 3.85% 1 | 26 | 1.58 |

Q14 Examiners remained focused on the key issues confronting your company.

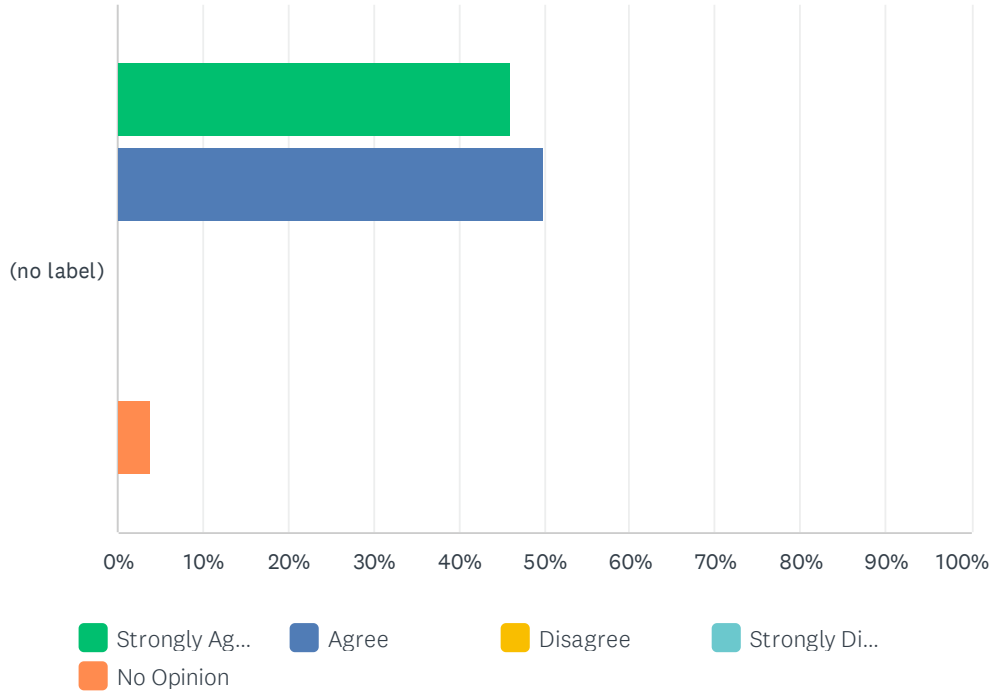
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|-------------|-------|------------------|
| (no label) | 50.00% 13 | 38.46% 10 | 0.00% 0 | 0.00% 0 | 11.54% 3 | 26 | 1.85 |

Q15 Conclusions regarding the company's condition and recommendations for corrective actions were well supported.

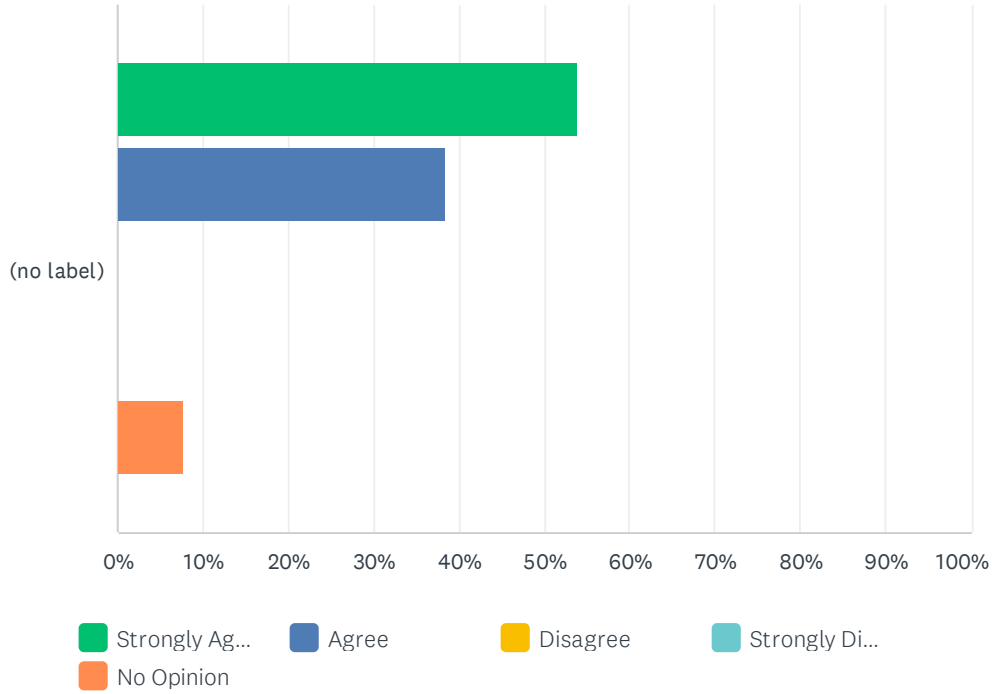
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|------------|-------|------------------|
| (no label) | 46.15% 12 | 50.00% 13 | 0.00% 0 | 0.00% 0 | 3.85% 1 | 26 | 1.65 |

Q17 The timeframe for the examination was reasonable and examiners worked to minimize the disruptions to your daily duties.

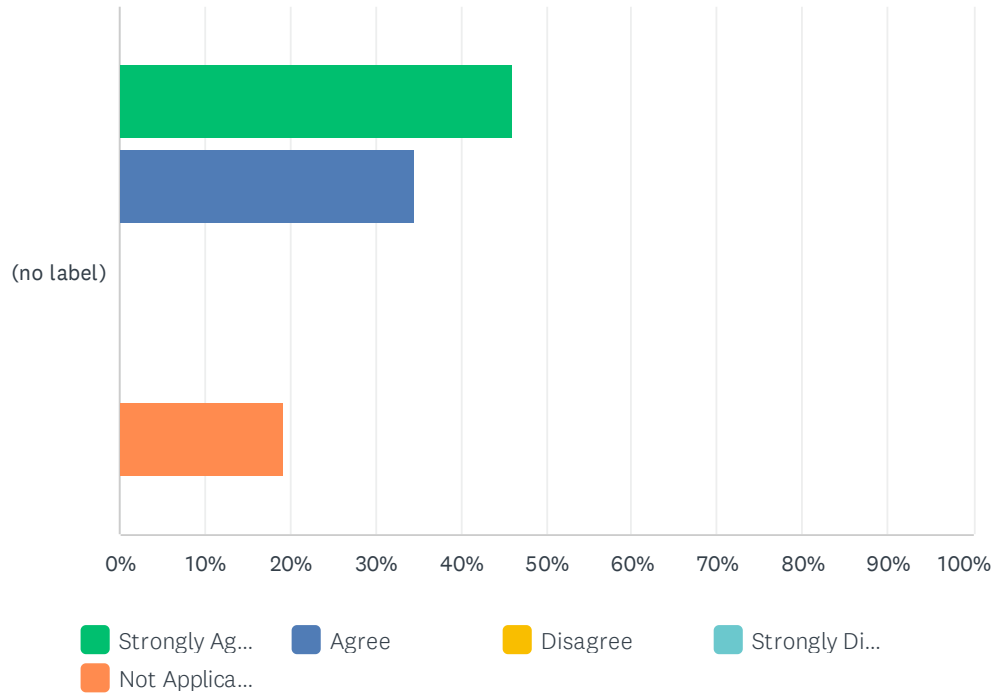
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|------------|-------|------------------|
| (no label) | 53.85% 14 | 38.46% 10 | 0.00% 0 | 0.00% 0 | 7.69% 2 | 26 | 1.69 |

Q19 The Texas independent report of examination was received in a timely fashion.

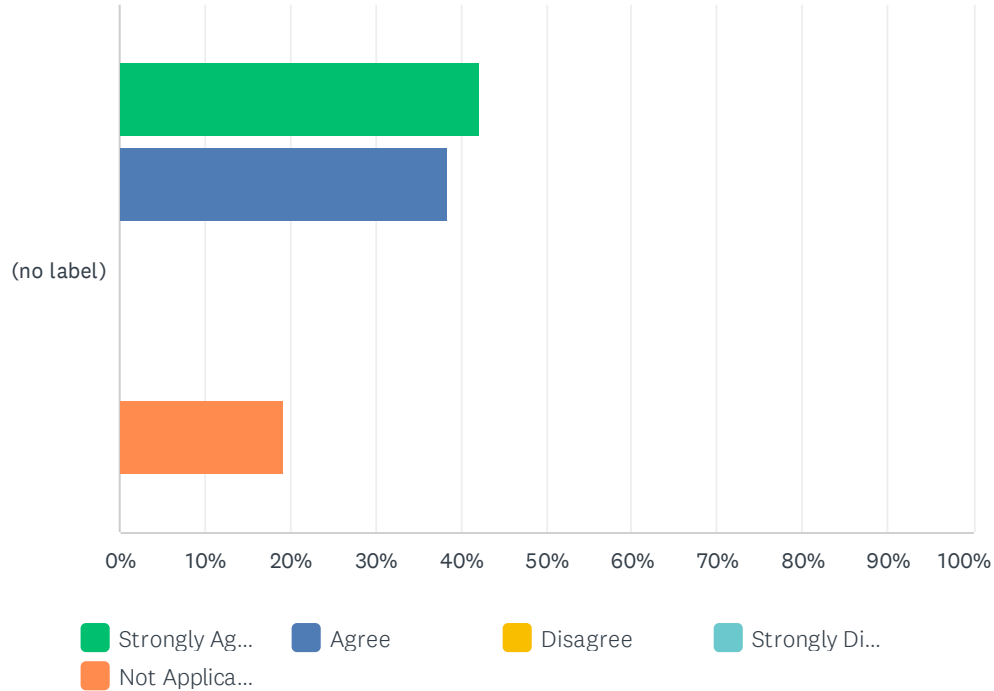
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NOT APPLICABLE | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|----------------|-------|------------------|
| (no label) | 46.15% 12 | 34.62% 9 | 0.00% 0 | 0.00% 0 | 19.23% 5 | 26 | 2.12 |

Q20 The Texas independent report of examination clearly communicated the examination findings from the exit meeting, and corrective actions management needs to take.

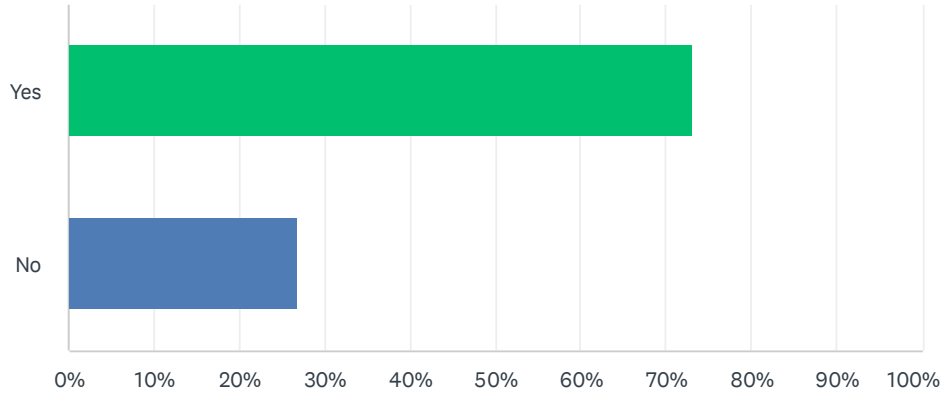
Answered: 26 Skipped: 8



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NOT APPLICABLE | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|----------------|-------|------------------|
| (no label) | 42.31% 11 | 38.46% 10 | 0.00% 0 | 0.00% 0 | 19.23% 5 | 26 | 2.15 |

Q21 Has your company been examined by a multi-state joint examination in the last 12 months?

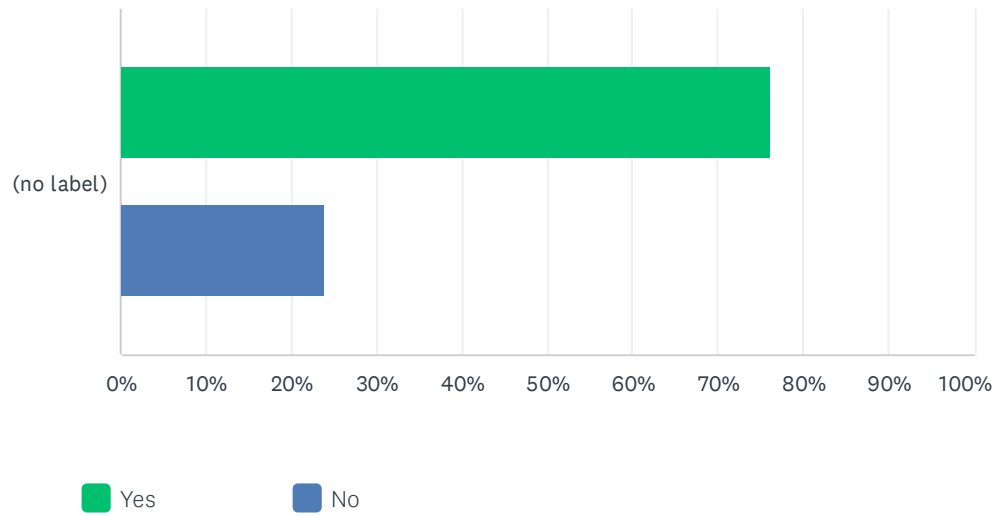
Answered: 26 Skipped: 8



| ANSWER CHOICES | RESPONSES | |
|----------------|-----------|----|
| Yes | 73.08% | 19 |
| No | 26.92% | 7 |
| TOTAL | | 26 |

Q22 Was Texas a participant of this joint examination?

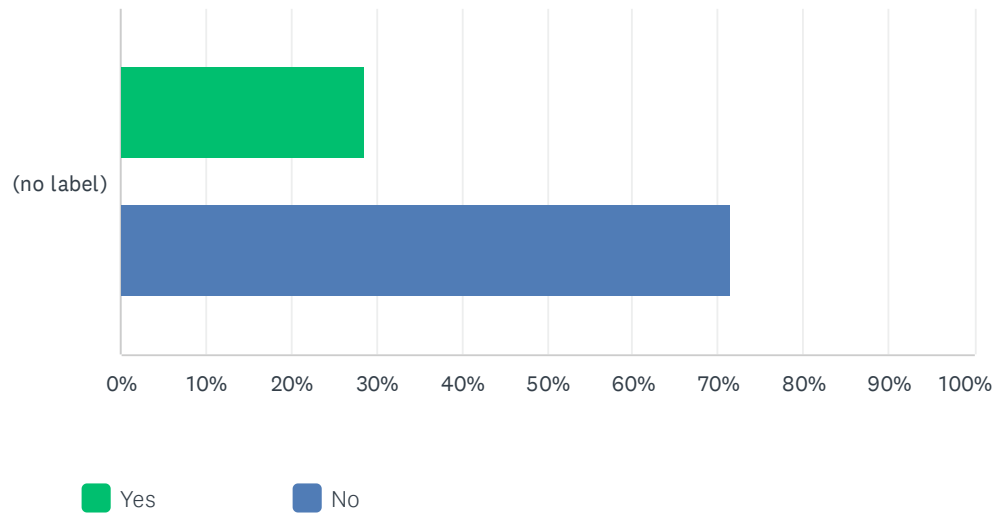
Answered: 21 Skipped: 13



| | YES | NO | TOTAL | WEIGHTED AVERAGE |
|------------|--------------|-------------|-------|------------------|
| (no label) | 76.19% 16 | 23.81% 5 | 21 | 1.24 |

Q23 Was Texas the lead State of the joint examination?

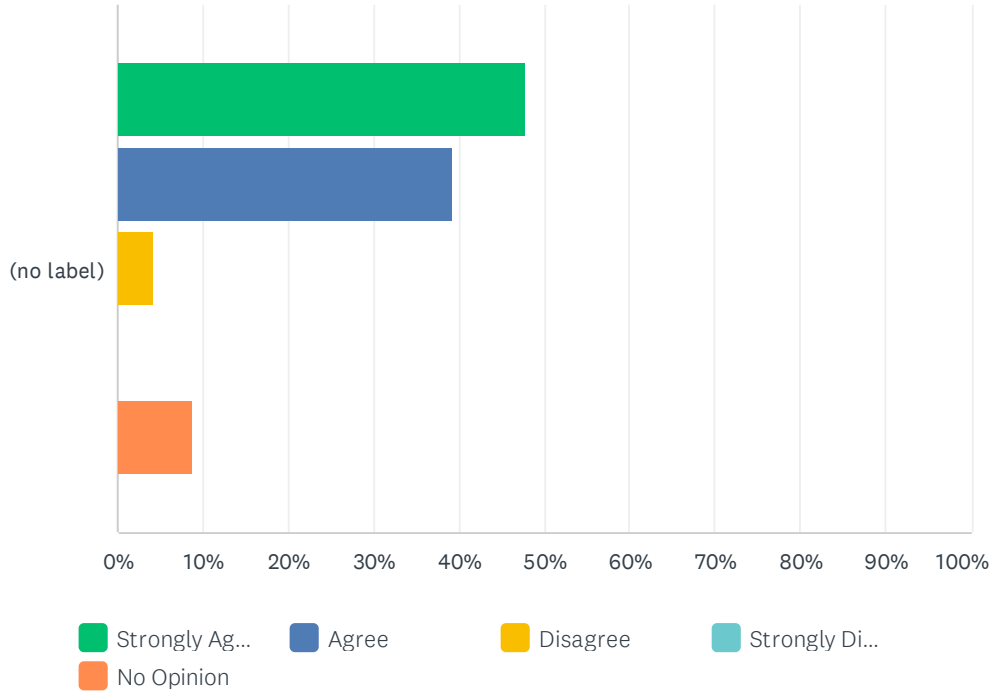
Answered: 21 Skipped: 13



| | YES | NO | TOTAL | WEIGHTED AVERAGE |
|------------|-------------|--------------|-------|------------------|
| (no label) | 28.57% 6 | 71.43% 15 | 21 | 1.71 |

Q24 Multi-state requests for information prior to and during the multi-state examination were timely and reasonable.

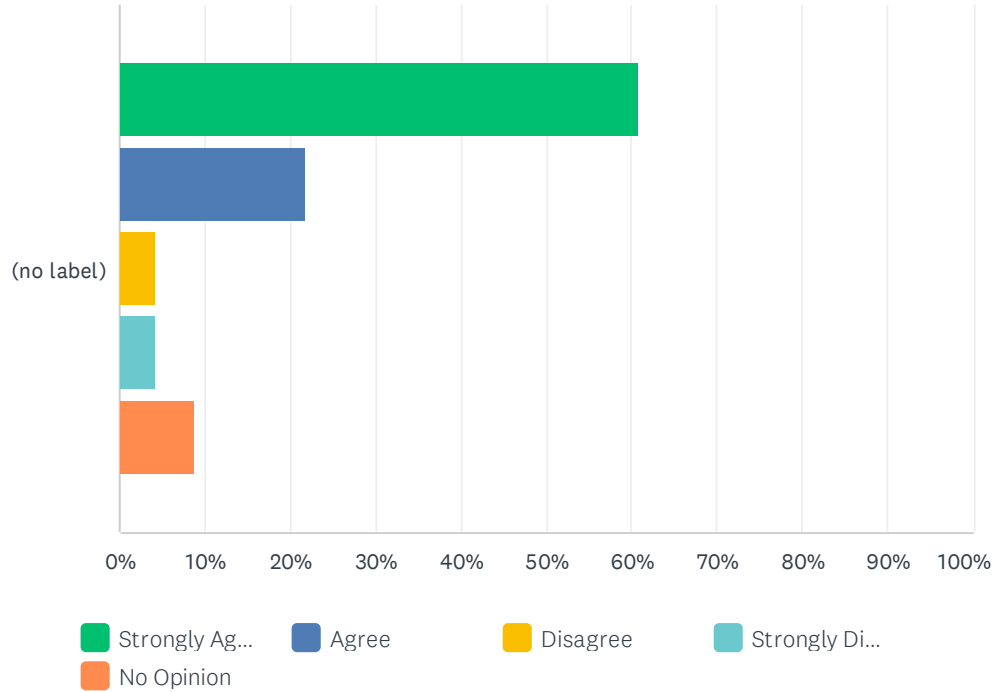
Answered: 23 Skipped: 11



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|------------|-------|------------------|
| (no label) | 47.83% 11 | 39.13% 9 | 4.35% 1 | 0.00% 0 | 8.70% 2 | 23 | 1.83 |

Q25 The lead state adequately managed communication between examining states and the company.

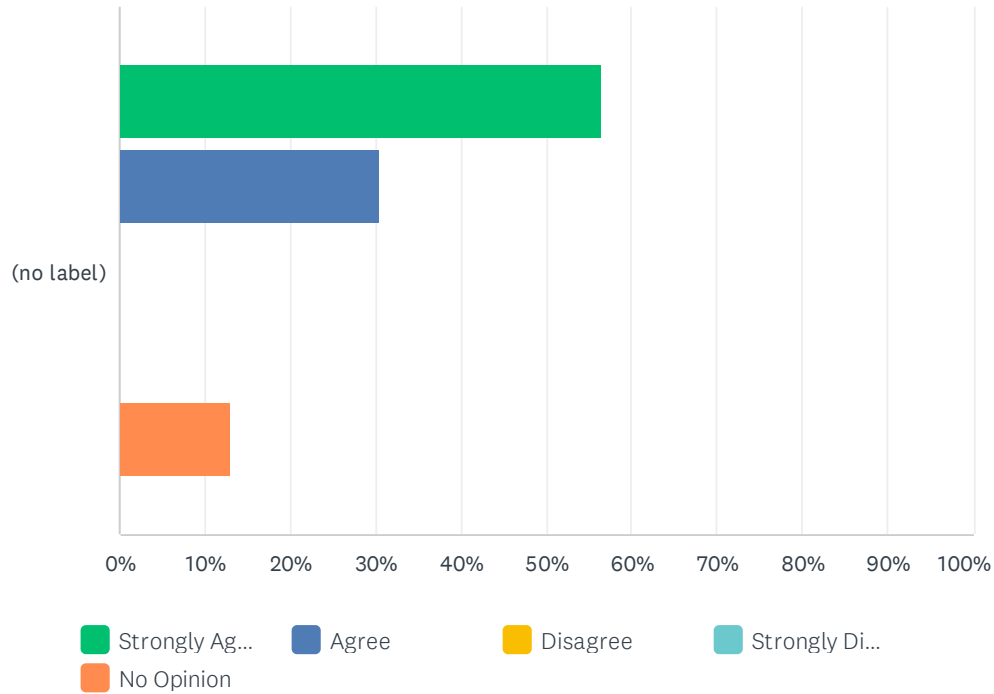
Answered: 23 Skipped: 11



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|------------|-------|------------------|
| (no label) | 60.87% 14 | 21.74% 5 | 4.35% 1 | 4.35% 1 | 8.70% 2 | 23 | 1.78 |

Q26 The multi-state examination timeframe was reasonable and examiners worked to minimize the disruptions to your daily duties.

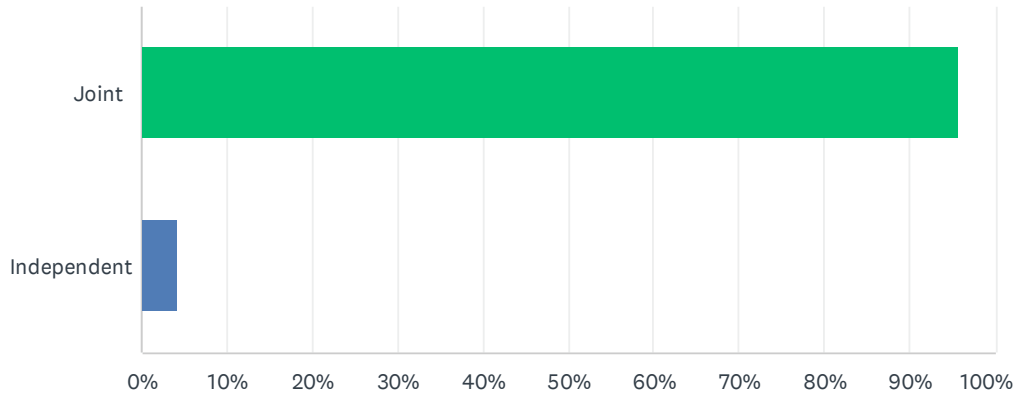
Answered: 23 Skipped: 11



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|-------------|-------|------------------|
| (no label) | 56.52% 13 | 30.43% 7 | 0.00% 0 | 0.00% 0 | 13.04% 3 | 23 | 1.83 |

Q29 Do you prefer one multi-state examination versus multiple independent examinations?

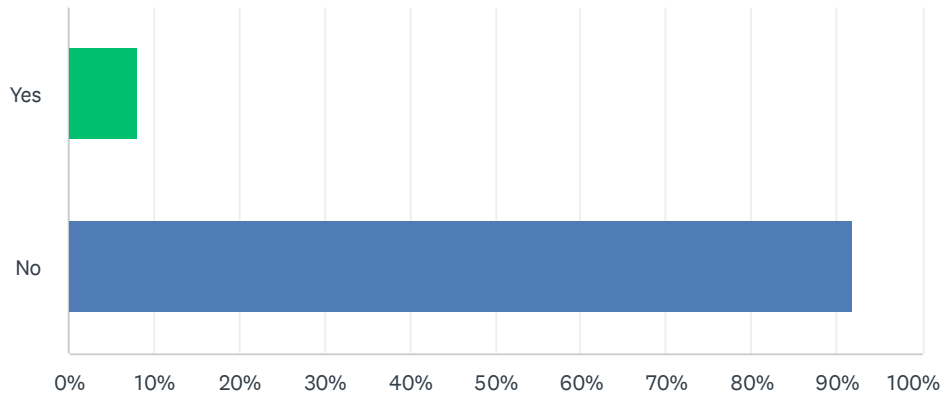
Answered: 24 Skipped: 10



| ANSWER CHOICES | RESPONSES | |
|----------------|-----------|----|
| Joint | 95.83% | 23 |
| Independent | 4.17% | 1 |
| TOTAL | | 24 |

Q34 Have you worked with our Corporate Division for services including license applications and/or change of control within the last 12 months? If no, skip to the next section

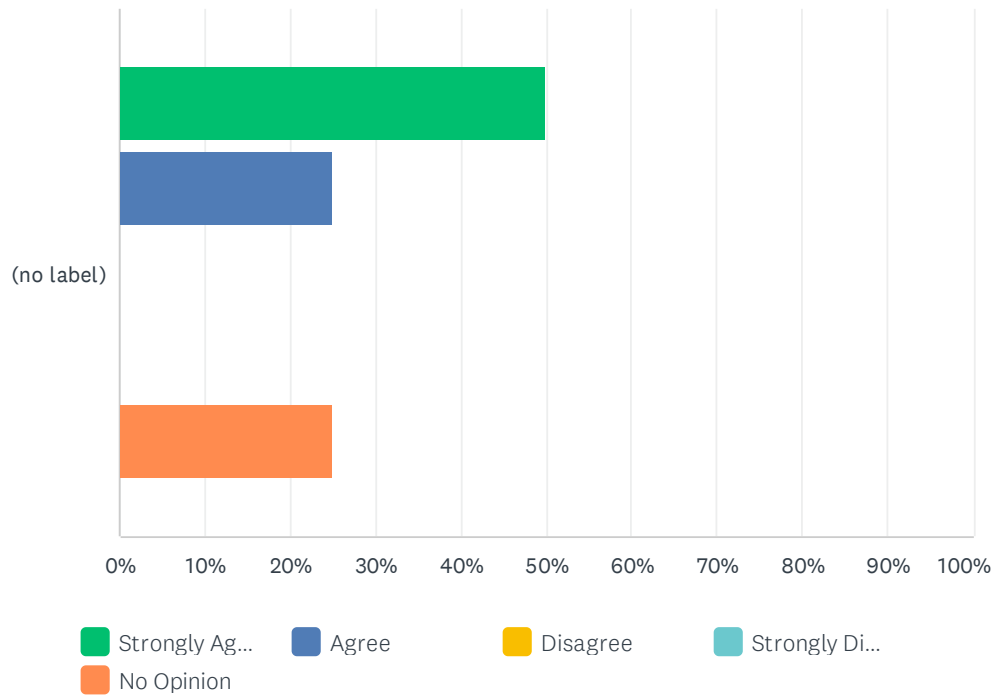
Answered: 25 Skipped: 9



| ANSWER CHOICES | RESPONSES | |
|----------------|-----------|----|
| Yes | 8.00% | 2 |
| No | 92.00% | 23 |
| TOTAL | | 25 |

Q35 The Corporate Division is accessible and professional.

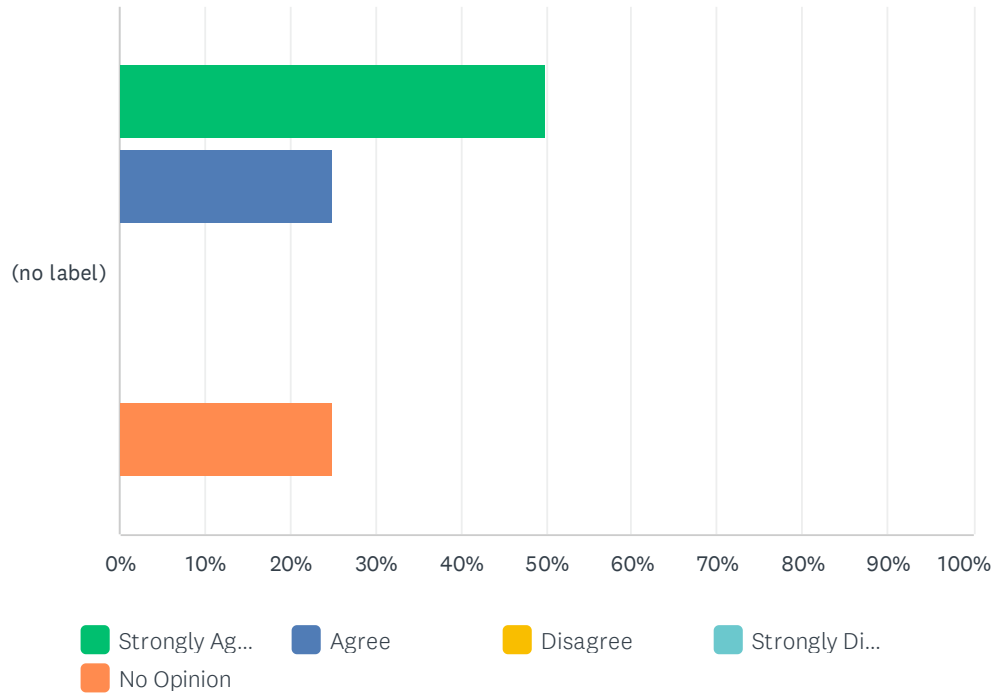
Answered: 4 Skipped: 30



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|-------------|-------|------------------|
| (no label) | 50.00% 2 | 25.00% 1 | 0.00% 0 | 0.00% 0 | 25.00% 1 | 4 | 2.25 |

Q36 Responses are generally timely.

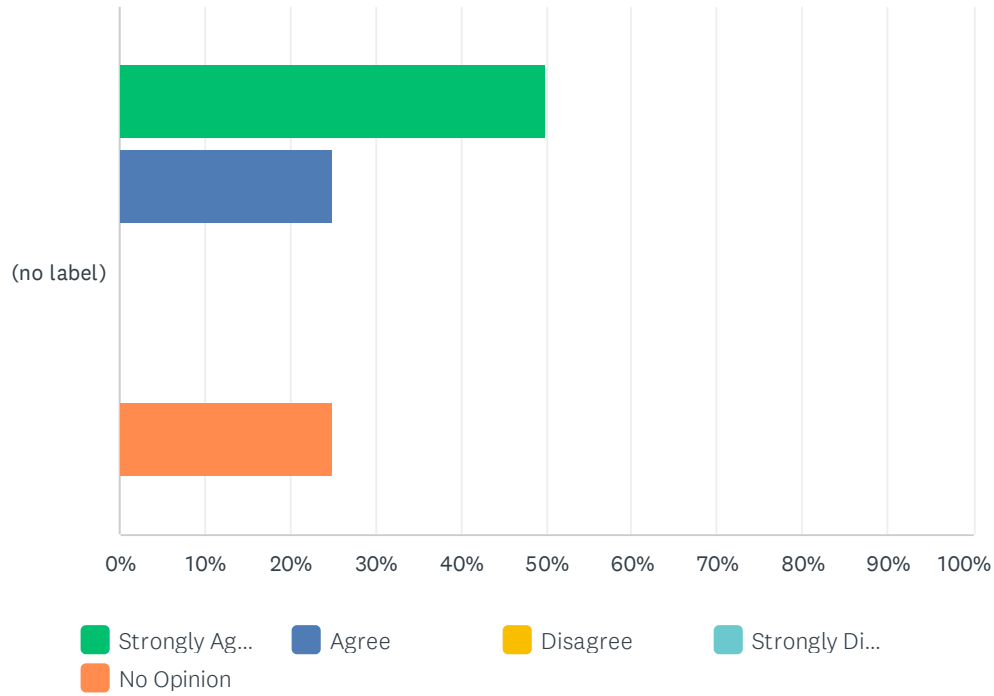
Answered: 4 Skipped: 30



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|-------------|-------|------------------|
| (no label) | 50.00% 2 | 25.00% 1 | 0.00% 0 | 0.00% 0 | 25.00% 1 | 4 | 2.25 |

Q37 The content and substance of responses are appropriate and timely.

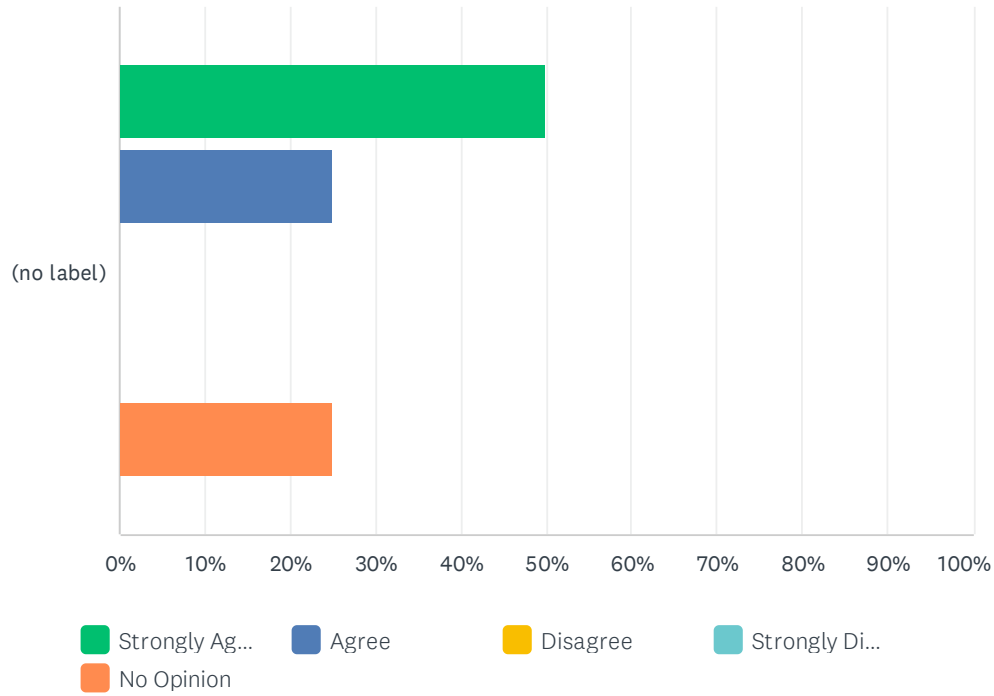
Answered: 4 Skipped: 30



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|-------------|-------|------------------|
| (no label) | 50.00% 2 | 25.00% 1 | 0.00% 0 | 0.00% 0 | 25.00% 1 | 4 | 2.25 |

Q38 Requests for information are reasonable.

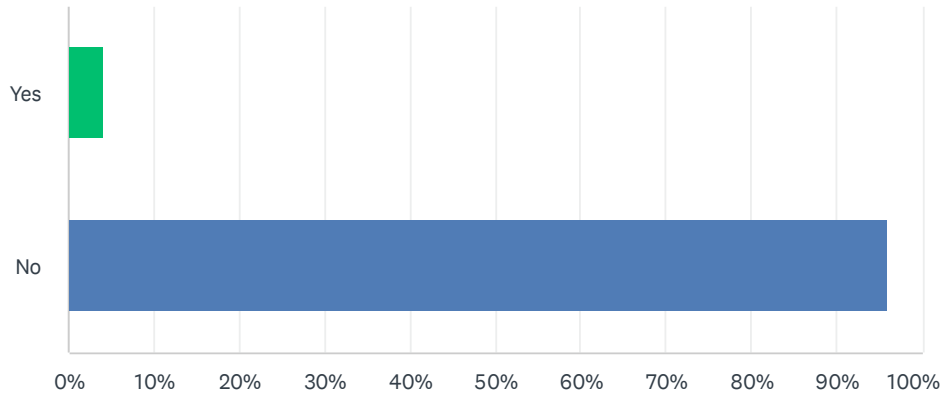
Answered: 4 Skipped: 30



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|-------------|-------|------------------|
| (no label) | 50.00% 2 | 25.00% 1 | 0.00% 0 | 0.00% 0 | 25.00% 1 | 4 | 2.25 |

Q40 Have you used the services of our Legal Division within the last 12 months? If no, skip to the next section

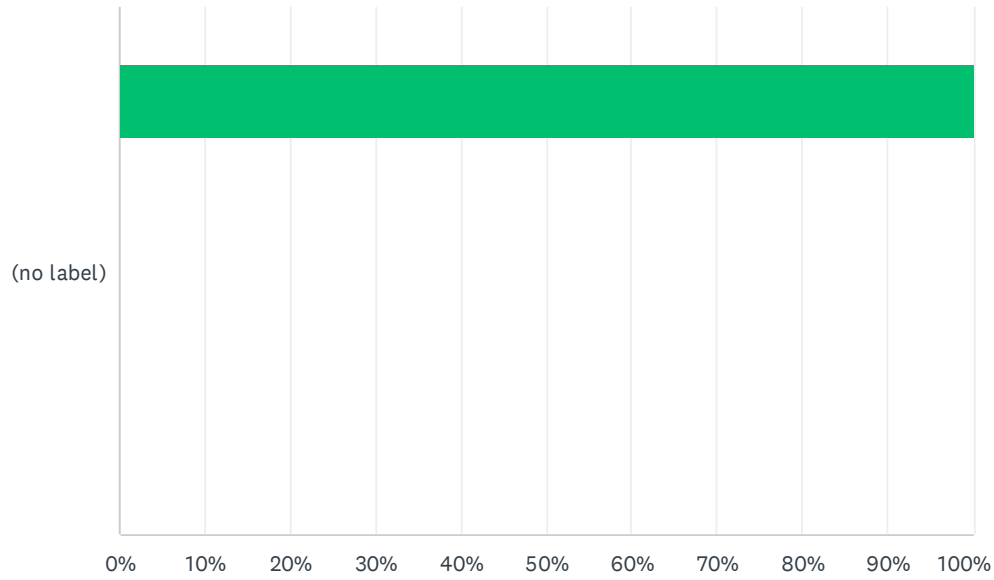
Answered: 25 Skipped: 9



| ANSWER CHOICES | RESPONSES | |
|----------------|-----------|----|
| Yes | 4.00% | 1 |
| No | 96.00% | 24 |
| TOTAL | | 25 |

Q41 The Legal Division is accessible and professional.

Answered: 1 Skipped: 33

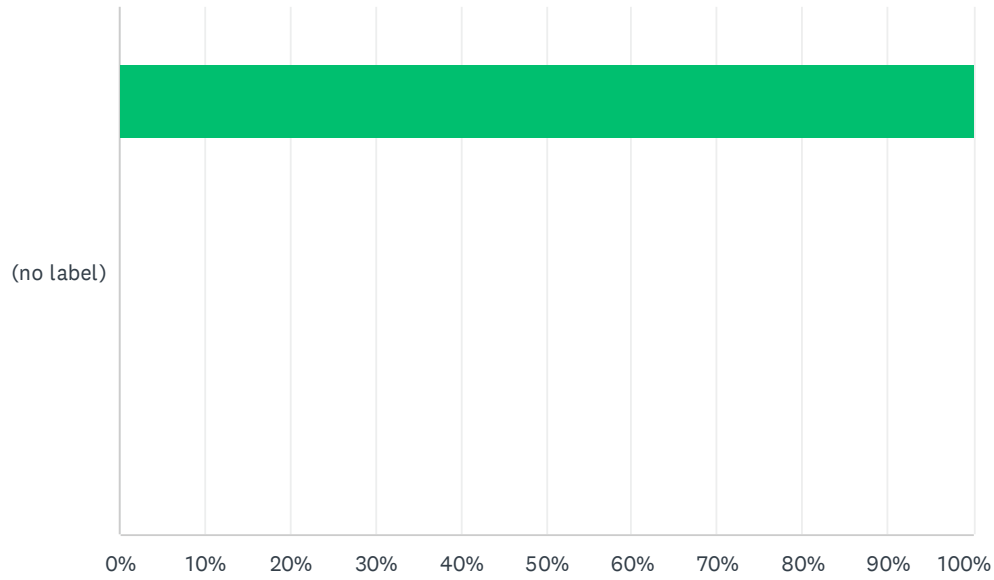


■ Strongly Ag...
 ■ Agree
 ■ Disagree
 ■ Strongly Di...
 ■ No Opinion

| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|------------|------------|-------------------|------------|-------|------------------|
| (no label) | 100.00% 1 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 1 | 1.00 |

Q42 Responses are generally timely.

Answered: 1 Skipped: 33

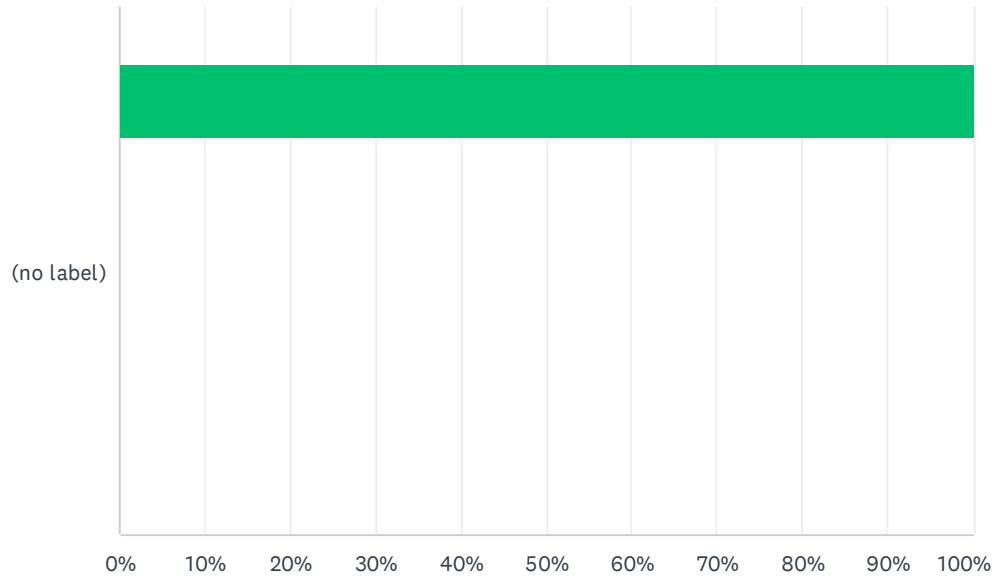


■ Strongly Ag...
 ■ Agree
 ■ Disagree
 ■ Strongly Di...
 ■ No Opinion

| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|------------|------------|-------------------|------------|-------|------------------|
| (no label) | 100.00% 1 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 1 | 1.00 |

Q43 The content and substance of responses are appropriate and timely.

Answered: 1 Skipped: 33

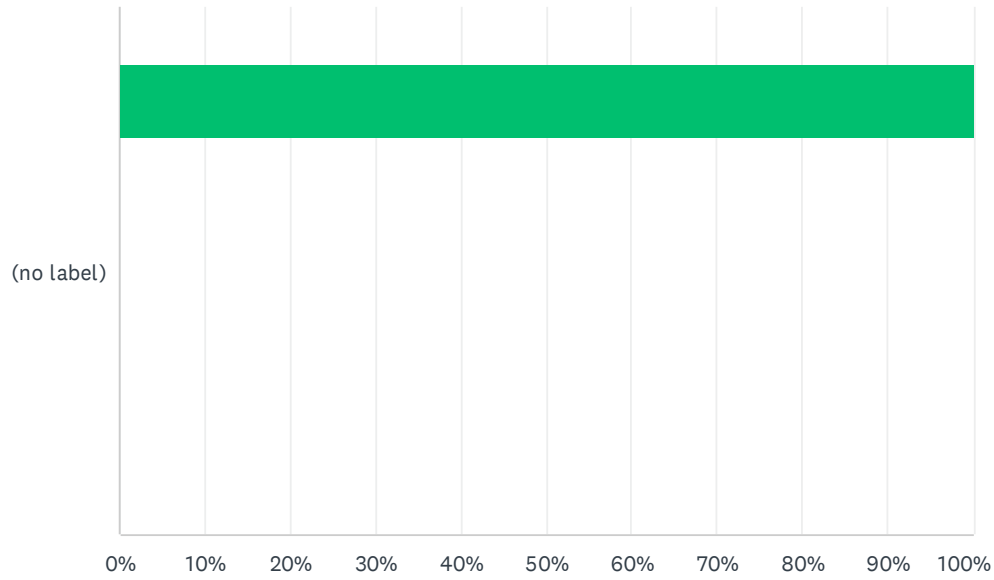


■ Strongly Ag...
 ■ Agree
 ■ Disagree
 ■ Strongly Di...
 ■ No Opinion

| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|------------|------------|-------------------|------------|-------|------------------|
| (no label) | 100.00% 1 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 1 | 1.00 |

Q44 Requests for information are reasonable.

Answered: 1 Skipped: 33

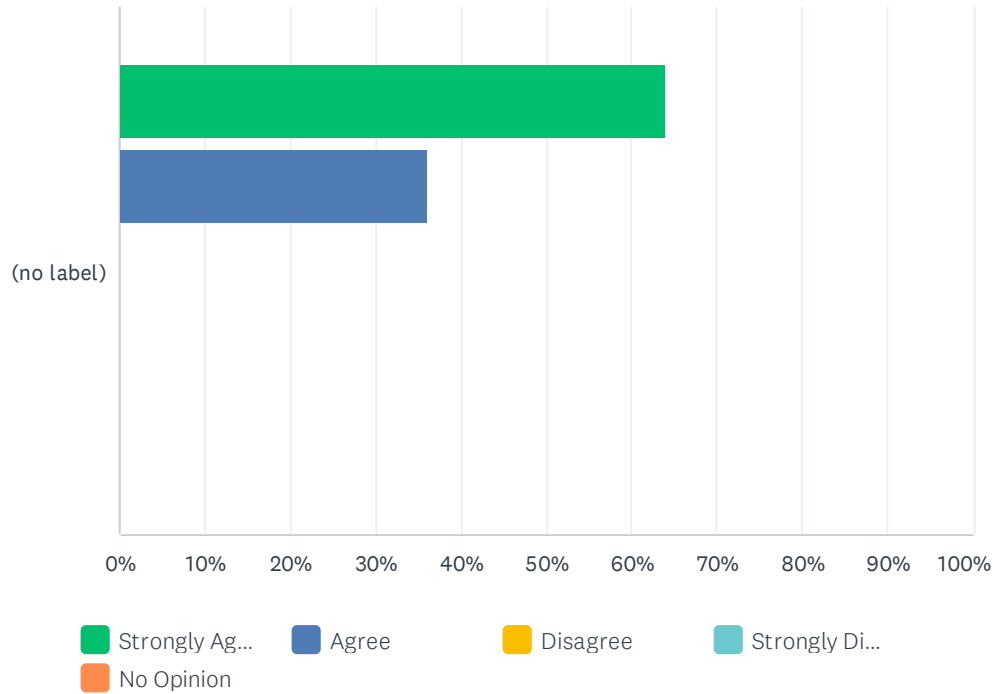


■ Strongly Ag...
 ■ Agree
 ■ Disagree
 ■ Strongly Di...
 ■ No Opinion

| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|------------|------------|-------------------|------------|-------|------------------|
| (no label) | 100.00% 1 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 1 | 1.00 |

Q46 Overall, Department personnel are responding satisfactorily to my needs.

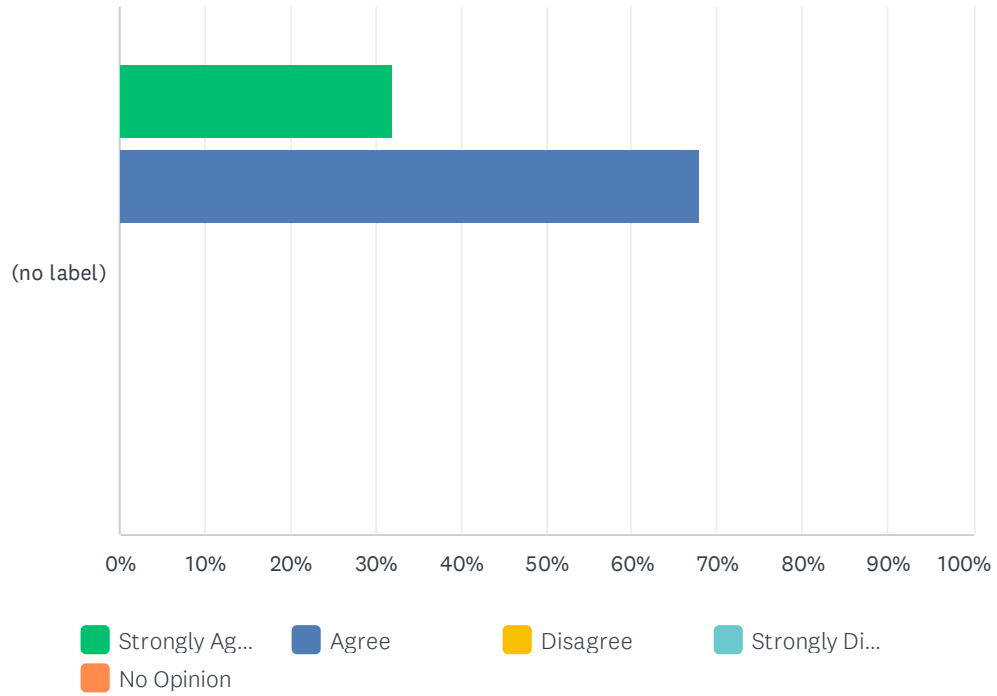
Answered: 25 Skipped: 9



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|-------------|------------|-------------------|------------|-------|------------------|
| (no label) | 64.00% 16 | 36.00% 9 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 25 | 1.36 |

Q47 I find the Department's website easy to navigate.

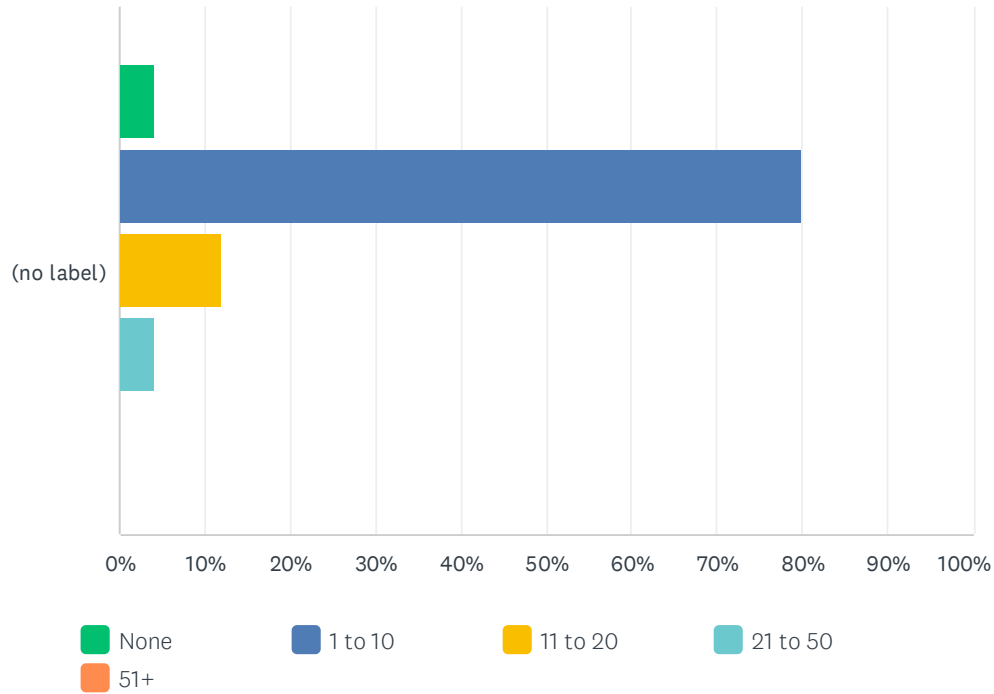
Answered: 25 Skipped: 9



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|------------|----------------|--------------|------------|-------------------|------------|-------|------------------|
| (no label) | 32.00% 8 | 68.00% 17 | 0.00% 0 | 0.00% 0 | 0.00% 0 | 25 | 1.68 |

Q48 I or my staff have visited the Department’s website approximately XX times during the last 12 months.

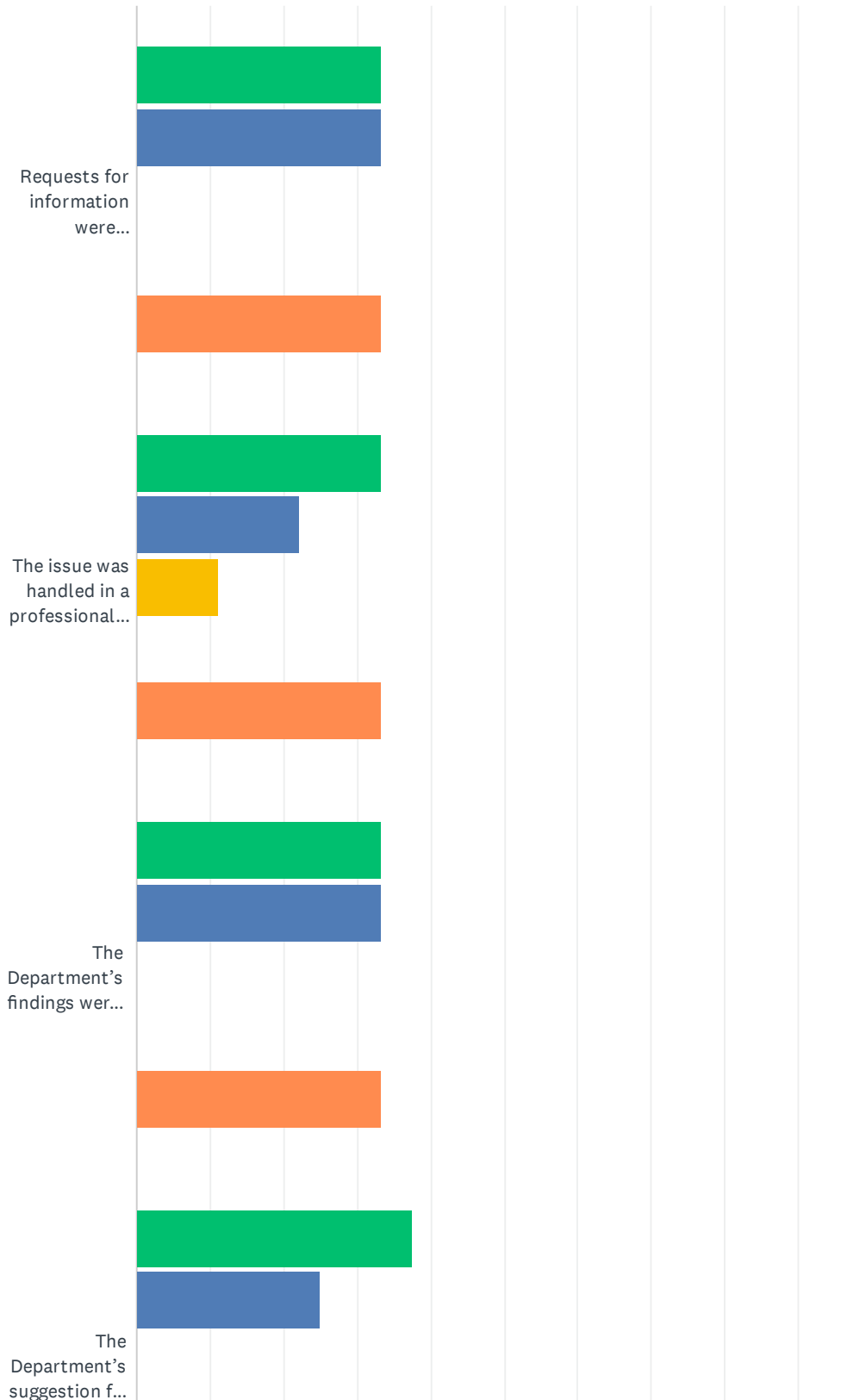
Answered: 25 Skipped: 9



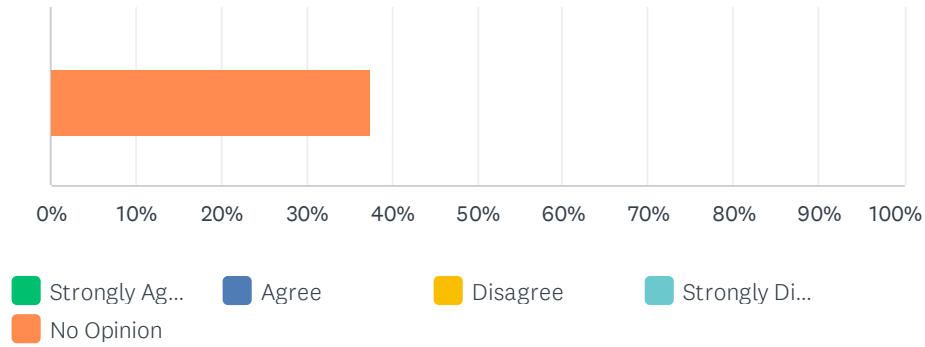
| | NONE | 1 TO 10 | 11 TO 20 | 21 TO 50 | 51+ | TOTAL | WEIGHTED AVERAGE |
|------------|-------|---------|----------|----------|-------|-------|------------------|
| (no label) | 4.00% | 80.00% | 12.00% | 4.00% | 0.00% | 25 | 2.16 |
| | 1 | 20 | 3 | 1 | 0 | | |

Q51 Have you corresponded with the Department on a consumer complaint issue within the last 12 months? (If no, skip to the next section)

Answered: 9 Skipped: 25



Non-Depository Supervision - Rate the Department Survey - 2024 MSB



| | STRONGLY AGREE | AGREE | DISAGREE | STRONGLY DISAGREE | NO OPINION | TOTAL | WEIGHTED AVERAGE |
|---|----------------|-------------|-------------|-------------------|-------------|-------|------------------|
| Requests for information were reasonable. | 33.33% 3 | 33.33% 3 | 0.00% 0 | 0.00% 0 | 33.33% 3 | 9 | 2.67 |
| The issue was handled in a professional manner. | 33.33% 3 | 22.22% 2 | 11.11% 1 | 0.00% 0 | 33.33% 3 | 9 | 2.78 |
| The Department's findings were based on a logical interpretation of applicable law. | 33.33% 3 | 33.33% 3 | 0.00% 0 | 0.00% 0 | 33.33% 3 | 9 | 2.67 |
| The Department's suggestion for resolving the matter was reasonable. | 37.50% 3 | 25.00% 2 | 0.00% 0 | 0.00% 0 | 37.50% 3 | 8 | 2.75 |