

Assets (AS) Section

BOX_00

=====

| THE AS SECTION IS ASKED IN ROUND 5 ONLY. IF IT IS |
ROUND 1, 2, 3, OR 4, CONTINUE TO THE NEXT SECTION.

AS01

=====

Savings and investments are an important part of family finances.

In these next questions, we are going to be asking about a number of different kinds of savings or investments the members of this family may have.

The information you provide us is confidential, and will be analyzed in combination with information from other households.

PRESS ENTER OR SELECT NEXT PAGE TO CONTINUE.

AS02

=====

Does anyone in the family own this home?

IF NECESSARY READ: By 'own' we mean that someone in the family living here now has their name on the title, even if mortgage or loan payments are still being made.

YES 1 {AS03}
NO 2 {AS09}
REF -7 {AS09}
DK -8 {AS09}

AS03
=====

Who in the family owns this home?

PROBE: Does anyone else in the family own this home?

- [1. First Name, [Middle Name], Last Name-65] ...
- [2. First Name, [Middle Name], Last Name-65] ...
- [3. First Name, [Middle Name], Last Name-65] ...

[Code All That Apply]

| DISPLAY 'PERSON DECEASED' AND 'PERSON NOT IN RU' |
AS THE LAST TWO OPTIONS ON THE ROSTER.

CONTINUE WITH AS04

| ROSTER DETAILS: |
| TITLE: RU_MEMBERS_1 |
| |
| COL # 1 HEADER: NAME |
| INSTRUCTIONS: DISPLAY RU MEMBER'S FIRST, MIDDLE, |
AND LAST NAMES (PERS.FULLNAME)

| ROSTER DEFINITION: |
DISPLAY THE RU-MEMBERS-ROSTER FOR SELECTION.

| ROSTER BEHAVIOR: |
| 1. MULTIPLE SELECT ALLOWED. |
| |
2. ADD, EDIT, AND DELETE DISALLOWED.

| ROSTER FILTER: |
NONE. DISPLAY ALL.

AS04
=====

About how much is the current value of this home if sold today?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

IF VALUE IS NOTHING, CODE '0'.

AMOUNT:

[Enter Whole \$ Value] {AS06}
REF -7 {AS06}
DK -8 {AS05}

HELP AVAILABLE FOR DEFINITION OF VALUE.

| HARD CHECK: |
| AMOUNT SHOULD BE 0 OR A WHOLE DOLLAR AMOUNT |
\$1 - \$9,999,999

AS05
=====

SHOW CARD AS-1.

Which category on the card best indicates the current value of this home if sold today?

0 - 10,000 1 {AS06}
10,001 - 25,000 2 {AS06}
25,001 - 50,000 3 {AS06}
50,001 - 100,000 4 {AS06}
100,001 - 250,000 5 {AS06}
250,001 - 500,000 6 {AS06}
500,001 - 1,000,000 7 {AS06}
1,000,001 OR MORE 8 {AS06}
REF -7 {AS06}
DK -8 {AS06}

[Code One]

AS06
=====

Are there any mortgages or other loans outstanding on this home?

YES 1 {AS07}
NO 2 {AS09}
REF -7 {AS09}
DK -8 {AS09}

HELP AVAILABLE FOR DEFINITION OF MORTGAGES AND OUTSTANDING LOANS.

AS07
=====

How much is currently owed on these mortgages or loans?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

AMOUNT:

[Enter Whole \$ Amount Owed] {AS09}
REF -7 {AS09}
DK -8 {AS08}

HELP AVAILABLE FOR DEFINITION OF 'CURRENTLY OWED'.

| HARD RANGE CHECK: |
| AMOUNT SHOULD BE A WHOLE DOLLAR AMOUNT \$1 - |
\$9,999,999

AS08
=====

SHOW CARD AS-1.

Which category on the card best indicates the total current amount owed?

0 - 10,000	1	{AS09}
10,001 - 25,000	2	{AS09}
25,001 - 50,000	3	{AS09}
50,001 - 100,000	4	{AS09}
100,001 - 250,000	5	{AS09}
250,001 - 500,000	6	{AS09}
500,001 - 1,000,000	7	{AS09}
1,000,001 OR MORE	8	{AS09}
REF	-7	{AS09}
DK	-8	{AS09}

[Code One]

AS09
=====

Does anyone in the family own any transportation vehicles, such as cars, trucks, vans, or motorcycles? Please do not include leased vehicles or recreational vehicles, such as trailers, motor homes, boats, or airplanes.

IF NECESSARY READ: By 'own' we mean that someone in the family living here now has their name on the title(s), even if loan payments are still being made.

YES	1	{AS10}
NO	2	{AS16}
REF	-7	{AS16}
DK	-8	{AS16}

AS10
=====

Who in the family owns the transportation vehicles (such as cars, trucks, vans, or motorcycles)?

PROBE: Does anyone else in the family own the transportation vehicles (such as cars, trucks, vans, or motorcycles)?

- [1. First Name, [Middle Name], Last Name-65] ...
- [2. First Name, [Middle Name], Last Name-65] ...
- [3. First Name, [Middle Name], Last Name-65] ...

[Code All That Apply]

| DISPLAY 'PERSON DECEASED' AND 'PERSON NOT IN RU' |
AS THE LAST TWO OPTIONS ON THE ROSTER.

CONTINUE WITH AS11

| ROSTER DETAILS: |
| TITLE: RU_MEMBERS_1 |
| |
| COL # 1 HEADER: NAME |
| INSTRUCTIONS: DISPLAY RU MEMBER'S FIRST, MIDDLE, |
AND LAST NAMES (PERS.FULLNAME)

| ROSTER DEFINITION: |
DISPLAY THE RU-MEMBERS-ROSTER FOR SELECTION.

| ROSTER BEHAVIOR: |
| 1. MULTIPLE SELECT ALLOWED. |
| |
2. ADD, EDIT, AND DELETE DISALLOWED.

| ROSTER FILTER: |
NONE. DISPLAY ALL.

AS11
=====

Altogether, what is the current value of the transportation vehicles (such as cars, trucks, vans, or motorcycles) if they were sold today?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

IF VALUE IS NOTHING, CODE '0'.

AMOUNT:

[Enter Whole \$ Value] {AS13}
REF -7 {AS13}
DK -8 {AS12}

HELP AVAILABLE FOR DEFINITION OF VALUE.

| HARD CHECK: |
| AMOUNT SHOULD BE 0 OR A WHOLE DOLLAR AMOUNT |
\$1 - \$9,999,999

AS12
=====

SHOW CARD AS-2.

Which category on the card best indicates the total current value of these transportation vehicles (such as cars, trucks, vans, or motorcycles) if they were sold today?

0 - 100 1 {AS13}
101 - 500 2 {AS13}
501 - 1,000 3 {AS13}
1,001 - 5,000 4 {AS13}
5,001 - 10,000 5 {AS13}
10,001 - 25,000 6 {AS13}
25,001 - 50,000 7 {AS13}
50,001 - 100,000 8 {AS13}
100,001 OR MORE 9 {AS13}
REF -7 {AS13}
DK -8 {AS13}

[Code One]

AS13
=====

Is any money owed or are there any loans outstanding on these transportation vehicles (such as cars, trucks, vans, or motorcycles)?

YES 1 {AS14}
NO 2 {AS16}
REF -7 {AS16}
DK -8 {AS16}

HELP AVAILABLE FOR DEFINITION OF MONEY OWED AND OUTSTANDING LOANS.

AS14
=====

How much is currently owed on these transportation vehicles (such as cars, trucks, vans, or motorcycles)?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

AMOUNT:

[Enter Whole \$ Amount Owed] {AS16}
REF -7 {AS16}
DK -8 {AS15}

HELP AVAILABLE FOR DEFINITION OF 'CURRENTLY OWED'.

| HARD RANGE CHECK: |
| AMOUNT SHOULD BE A WHOLE DOLLAR AMOUNT \$1 - |
\$9,999,999

AS15
=====

SHOW CARD AS-2.

Which category on the card best indicates the total current amount owed?

- 0 - 100 1 {AS16}
- 101 - 500 2 {AS16}
- 501 - 1,000 3 {AS16}
- 1,001 - 5,000 4 {AS16}
- 5,001 - 10,000 5 {AS16}
- 10,001 - 25,000 6 {AS16}
- 25,001 - 50,000 7 {AS16}
- 50,001 - 100,000 8 {AS16}
- 100,001 OR MORE 9 {AS16}
- REF -7 {AS16}
- DK -8 {AS16}

[Code One]

AS16
=====

Does anyone in the family have any Individual Retirement Accounts often referred to as IRAs, or other retirement accounts (such as 401K, 403(b) or Keogh accounts)?

- YES 1 {AS17}
- NO 2 {AS20}
- REF -7 {AS20}
- DK -8 {AS20}

HELP AVAILABLE FOR DEFINITION OF RETIREMENT ACCOUNTS.

AS17
=====

Who in the family has Individual Retirement Accounts (IRAs) or other retirement accounts (such as 401K, 403(b) or Keogh accounts)?

PROBE: Anyone else?

- [1. First Name, [Middle Name], Last Name-65] ...
- [2. First Name, [Middle Name], Last Name-65] ...
- [3. First Name, [Middle Name], Last Name-65] ...

[Code All That Apply]

| DISPLAY 'PERSON DECEASED' AND 'PERSON NOT IN RU' |
AS THE LAST TWO OPTIONS ON THE ROSTER.

CONTINUE WITH AS18

| ROSTER DETAILS: |
| TITLE: RU_MEMBERS_1 |
| |
| COL # 1 HEADER: NAME |
| INSTRUCTIONS: DISPLAY RU MEMBER'S FIRST, MIDDLE, |
AND LAST NAMES (PERS.FULLNAME)

| ROSTER DEFINITION: |
DISPLAY THE RU-MEMBERS-ROSTER FOR SELECTION.

| ROSTER BEHAVIOR: |
| 1. MULTIPLE SELECT ALLOWED. |
| |
2. ADD, EDIT, AND DELETE DISALLOWED.

| ROSTER FILTER: |
NONE. DISPLAY ALL.

AS18
=====

Altogether, what is the current value of these retirement accounts?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

AMOUNT:

[Enter Whole \$ Value] {AS20}
REF -7 {AS20}
DK -8 {AS19}

HELP AVAILABLE FOR DEFINITION OF VALUE.

| HARD CHECK: |
| AMOUNT SHOULD BE A WHOLE DOLLAR AMOUNT |
\$1 - \$9,999,999

AS19
=====

SHOW CARD AS-3.

Which category on the card best indicates the total current value of these retirement accounts?

0 - 1,000 1 {AS20}
1,001 - 5,000 2 {AS20}
5,001 - 10,000 3 {AS20}
10,001 - 25,000 4 {AS20}
25,001 - 50,000 5 {AS20}
50,001 - 100,000 6 {AS20}
100,001 - 250,000 7 {AS20}
250,001 - 500,000 8 {AS20}
500,001 OR MORE 9 {AS20}
REF -7 {AS20}
DK -8 {AS20}

[Code One]

AS20
=====

Does anyone in the family have any bank accounts, including checking accounts, savings accounts, or money market accounts?

Please do not include any bank accounts that we have already talked about.

YES 1 {AS21}
NO 2 {AS24}
REF -7 {AS24}
DK -8 {AS24}

HELP AVAILABLE FOR DEFINITION OF BANK ACCOUNTS.

AS21
=====

Who in the family has bank accounts, including checking accounts, savings accounts, or money market accounts?

PROBE: Anyone else?

- [1. First Name, [Middle Name], Last Name-65] ...
- [2. First Name, [Middle Name], Last Name-65] ...
- [3. First Name, [Middle Name], Last Name-65] ...

[Code All That Apply]

| DISPLAY 'PERSON DECEASED' AND 'PERSON NOT IN RU' |
AS THE LAST TWO OPTIONS ON THE ROSTER.

CONTINUE WITH AS22

| ROSTER DETAILS: |
| TITLE: RU_MEMBERS_1 |
| |
| COL # 1 HEADER: NAME |
| INSTRUCTIONS: DISPLAY RU MEMBER'S FIRST, MIDDLE, |
AND LAST NAMES (PERS.FULLNAME)

| ROSTER DEFINITION: |
DISPLAY THE RU-MEMBERS-ROSTER FOR SELECTION.

| ROSTER BEHAVIOR: |
| 1. MULTIPLE SELECT ALLOWED. |
| |
2. ADD, EDIT, AND DELETE DISALLOWED.

| ROSTER FILTER: |
NONE. DISPLAY ALL.

AS22
=====

Altogether, what is the current value of these bank accounts?
IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.
IF VALUE IS NOTHING, CODE '0'.
AMOUNT:

[Enter Whole \$ Value] {AS24}
REF -7 {AS24}
DK -8 {AS23}

HELP AVAILABLE FOR DEFINITION OF VALUE.

| HARD CHECK: |
| AMOUNT SHOULD BE 0 OR A WHOLE DOLLAR AMOUNT |
\$1 - \$9,999,999

AS23

====

SHOW CARD AS-2.

Which category on the card best indicates the total current value of these bank accounts?

0 - 100	1 {AS24}
101 - 500	2 {AS24}
501 - 1,000	3 {AS24}
1,001 - 5,000	4 {AS24}
5,001 - 10,000	5 {AS24}
10,001 - 25,000	6 {AS24}
25,001 - 50,000	7 {AS24}
50,001 - 100,000	8 {AS24}
100,001 OR MORE	9 {AS24}
REF	-7 {AS24}
DK	-8 {AS24}

[Code One]

AS24

====

SHOW CARD AS-4.

Now think about the approximate value of some other financial assets your family may own. Please look at this card. Does anyone in the family have any of these assets?

Please do not include any accounts or assets that we have already talked about.

YES	1 {AS25}
NO	2 {AS28}
REF	-7 {AS28}
DK	-8 {AS28}

HELP AVAILABLE FOR DEFINITION OF OTHER ACCOUNTS OR FINANCIAL ASSETS.

AS25
=====

Who in the family owns these other financial assets [such as certificates of deposit (CDs), government savings bonds, individual development accounts, treasury bills, bonds, bond mutual funds, shares of stock, stock mutual funds, education savings accounts, annuities, trusts to which they are beneficiaries, or other financial assets]?

PROBE: Does anyone else in the family own these other financial assets?

- [1. First Name, [Middle Name], Last Name-65] ...
- [2. First Name, [Middle Name], Last Name-65] ...
- [3. First Name, [Middle Name], Last Name-65] ...

[Code All That Apply]

| DISPLAY 'PERSON DECEASED' AND 'PERSON NOT IN RU' |
AS THE LAST TWO OPTIONS ON THE ROSTER.

CONTINUE WITH AS26

| ROSTER DETAILS: |
| TITLE: RU_MEMBERS_1 |
| |
| COL # 1 HEADER: NAME |
| INSTRUCTIONS: DISPLAY RU MEMBER'S FIRST, MIDDLE, |
AND LAST NAMES (PERS.FULLNAME)

| ROSTER DEFINITION: |
DISPLAY THE RU-MEMBERS-ROSTER FOR SELECTION.

| ROSTER BEHAVIOR: |
| 1. MULTIPLE SELECT ALLOWED. |
| |
2. ADD, EDIT, AND DELETE DISALLOWED.

| ROSTER FILTER: |
NONE. DISPLAY ALL.

AS26
=====

Altogether, what is the current value of these accounts or other financial assets?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

IF VALUE IS NOTHING, CODE '0'.

AMOUNT:

[Enter Whole \$ Value] {AS28}
REF -7 {AS28}
DK -8 {AS27}

HELP AVAILABLE FOR DEFINITION OF VALUE.

| HARD CHECK: |
| AMOUNT SHOULD BE 0 OR A WHOLE DOLLAR AMOUNT |
\$1 - \$9,999,999

AS27
=====

SHOW CARD AS-3.

Which category on the card best indicates the total current value of these accounts or other financial assets?

0 - 1,000	1	{AS28}
1,001 - 5,000	2	{AS28}
5,001 - 10,000	3	{AS28}
10,001 - 25,000	4	{AS28}
25,001 - 50,000	5	{AS28}
50,001 - 100,000	6	{AS28}
100,001 - 250,000	7	{AS28}
250,001 - 500,000	8	{AS28}
500,001 OR MORE	9	{AS28}
REF	-7	{AS28}
DK	-8	{AS28}

[Code One]

AS28
=====

SHOW CARD AS-5.

Now please think about the approximate value of all other property and assets your family may own. Please look at this card. Does anyone in the family have any of these assets?

Please do not include any property or assets we have already talked about.

YES	1	{AS29}
NO	2	{AS35}
REF	-7	{AS35}
DK	-8	{AS35}

HELP AVAILABLE FOR DEFINITION OF ALL OTHER PROPERTY AND ASSETS.

AS29
=====

Who in the family owns these other properties and assets [such as second homes, rental real estate, a business or farm, money owed to you by persons outside of the family, boats or other recreational vehicles, or other significant assets such as jewelry, art work or antiques]?

PROBE: Does anyone else in the family own other properties or assets?

- [1. First Name, [Middle Name], Last Name-65] ...
- [2. First Name, [Middle Name], Last Name-65] ...
- [3. First Name, [Middle Name], Last Name-65] ...

[Code All That Apply]

| DISPLAY 'PERSON DECEASED' AND 'PERSON NOT IN RU' |
AS THE LAST TWO OPTIONS ON THE ROSTER.

CONTINUE WITH AS30

| ROSTER DETAILS: |
| TITLE: RU_MEMBERS_1 |
| |
| COL # 1 HEADER: NAME |
| INSTRUCTIONS: DISPLAY RU MEMBER'S FIRST, MIDDLE, |
AND LAST NAMES (PERS.FULLNAME)

| ROSTER DEFINITION: |
DISPLAY THE RU-MEMBERS-ROSTER FOR SELECTION.

| ROSTER BEHAVIOR: |
| 1. MULTIPLE SELECT ALLOWED. |
| |
2. ADD, EDIT, AND DELETE DISALLOWED.

| ROSTER FILTER: |
NONE. DISPLAY ALL.

AS30
=====

Altogether, what is the current value of these other properties and assets if sold today?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

IF VALUE IS NOTHING, CODE '0'.

AMOUNT:

[Enter Whole \$ Value] {AS32}
REF -7 {AS32}
DK -8 {AS31}

HELP AVAILABLE FOR DEFINITION OF VALUE.

| HARD CHECK: |
| AMOUNT SHOULD BE 0 OR A WHOLE DOLLAR AMOUNT |
\$1 - \$9,999,999

AS31
=====

SHOW CARD AS-3.

Which category on the card best indicates the total current value of these other properties and assets if sold today?

0 - 1,000	1 {AS32}
1,001 - 5,000	2 {AS32}
5,001 - 10,000	3 {AS32}
10,001 - 25,000	4 {AS32}
25,001 - 50,000	5 {AS32}
50,001 - 100,000	6 {AS32}
100,001 - 250,000	7 {AS32}
250,001 - 500,000	8 {AS32}
500,001 OR MORE	9 {AS32}
REF	-7 {AS32}
DK	-8 {AS32}

[Code One]

AS32
=====

Is any money owed or are there any loans outstanding on these other properties and assets [such as second homes, rental real estate, a business or farm, boats or other recreational vehicles, or other significant assets]?

YES	1 {AS33}
NO	2 {AS35}
REF	-7 {AS35}
DK	-8 {AS35}

HELP AVAILABLE FOR DEFINITION OF MONEY OWED AND OUTSTANDING LOANS.

AS33
====

How much is currently owed for these other properties and assets [such as second homes, rental real estate, a business or farm, boats or other recreational vehicles, or other significant assets]?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

AMOUNT:

[Enter Whole \$ Amount Owed] {AS35}
REF -7 {AS35}
DK -8 {AS34}

HELP AVAILABLE FOR DEFINITION OF 'CURRENTLY OWED'.

| HARD RANGE CHECK: |
| AMOUNT SHOULD BE A WHOLE DOLLAR AMOUNT \$1 - |
\$9,999,999

AS34
====

SHOW CARD AS-3.

Which category on the card best indicates the total current amount owed?

0 - 1,000 1 {AS35}
1,001 - 5,000 2 {AS35}
5,001 - 10,000 3 {AS35}
10,001 - 25,000 4 {AS35}
25,001 - 50,000 5 {AS35}
50,001 - 100,000 6 {AS35}
100,001 - 250,000 7 {AS35}
250,001 - 500,000 8 {AS35}
500,001 OR MORE 9 {AS35}
REF -7 {AS35}
DK -8 {AS35}

[Code One]

AS35
=====

Does anyone in the family have any debts that we haven't asked about, such as credit card balances, debts owed to medical providers, life insurance policy loans, loans from relatives, and so forth?

Please exclude any debts we have already discussed, such as debts related to your home, vehicles, second homes, rental real estate, a business or farm, boats or other recreational vehicles, and other significant assets.

YES 1 {AS36}
NO 2 {BOX_01}
REF -7 {BOX_01}
DK -8 {BOX_01}

HELP AVAILABLE FOR DEFINITION OF DEBTS.

AS36
=====

Who in the family has these debts [such as credit card balances, debts owed to medical providers, life insurance policy loans, loans from relatives and so forth]?

PROBE: Does anyone else in the family have these debts?

- [1. First Name, [Middle Name], Last Name-65] ...
- [2. First Name, [Middle Name], Last Name-65] ...
- [3. First Name, [Middle Name], Last Name-65] ...

[Code All That Apply]

| DISPLAY 'PERSON DECEASED' AND 'PERSON NOT IN RU' |
AS THE LAST TWO OPTIONS ON THE ROSTER.

CONTINUE WITH AS37

```
-----  
| ROSTER DETAILS: |  
| TITLE: RU_MEMBERS_1 |  
| | |  
| COL # 1 HEADER: NAME |  
| INSTRUCTIONS: DISPLAY RU MEMBER'S FIRST, MIDDLE, |  
| AND LAST NAMES (PERS.FULLNAME) |  
-----
```

```
-----  
| ROSTER DEFINITION: |  
| DISPLAY THE RU-MEMBERS-ROSTER FOR SELECTION. |  
-----
```

```
-----  
| ROSTER BEHAVIOR: |  
| 1. MULTIPLE SELECT ALLOWED. |  
| | |  
| 2. ADD, EDIT, AND DELETE DISALLOWED. |  
-----
```

```
-----  
| ROSTER FILTER: |  
| NONE. DISPLAY ALL. |  
-----
```

AS37
=====

How much do these debts amount to?

IF RESPONDENT IS NOT SURE, DO NOT PROBE. SELECT 'DON'T KNOW'.

AMOUNT:

```
[Enter Whole $ Amount Owed] ..... {BOX_01}  
REF ..... -7 {BOX_01}  
DK ..... -8 {AS38}
```

HELP AVAILABLE FOR DEFINITION OF 'DEBTS AMOUNT TO'.

```
-----  
| HARD RANGE CHECK: |  
| AMOUNT SHOULD BE A WHOLE DOLLAR AMOUNT $1 - |  
| $9,999,999 |  
-----
```

AS38
=====

SHOW CARD AS-3.

Which category on the card best indicates the total current amount owed?

- 0 - 1,000 1 {BOX_01}
- 1,001 - 5,000 2 {BOX_01}
- 5,001 - 10,000 3 {BOX_01}
- 10,001 - 25,000 4 {BOX_01}
- 25,001 - 50,000 5 {BOX_01}
- 50,001 - 100,000 6 {BOX_01}
- 100,001 - 250,000 7 {BOX_01}
- 250,001 - 500,000 8 {BOX_01}
- 500,001 OR MORE 9 {BOX_01}
- REF -7 {BOX_01}
- DK -8 {BOX_01}

[Code One]

BOX_01
=====

GO TO NEXT QUESTIONNAIRE SECTION.