

## American investors oppose sending their personal information to the Consolidated Audit Trail (CAT)

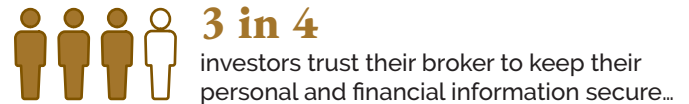
To create a centralized database, the CAT would require investment brokers to share personal and financial investor information with an unregulated third-party.

Investors are overwhelmingly concerned with data breaches and privacy violations, stressing the importance of trust when it comes to sharing personal and financial information.

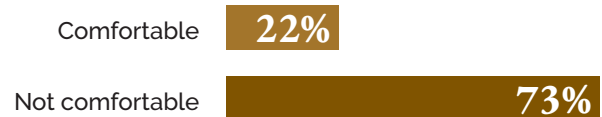


THAT'S WHY  
**9 in 10**

say it's extremely important they trust a company they give their personal information to

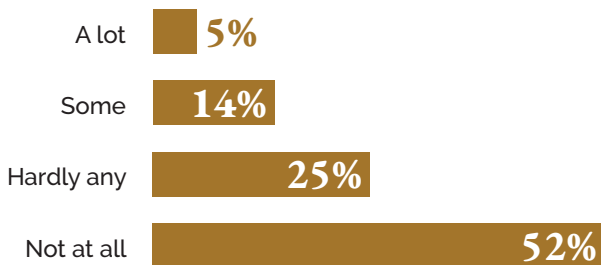


...but would NOT feel comfortable if their broker were forced to send this information to an unregulated third-party.



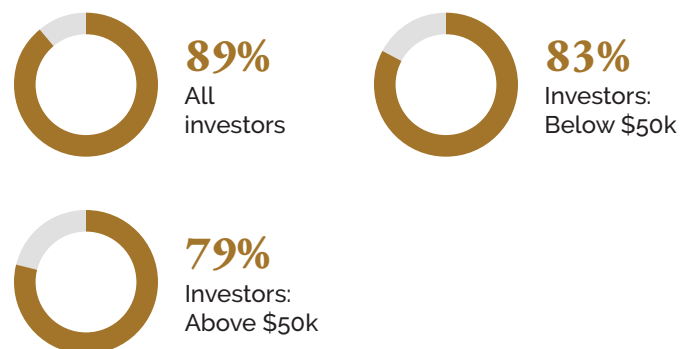
While investors overwhelmingly trust their brokers, nearly 4 in 5 say they would have 'no' or 'hardly any' trust in the third-party to store and safeguard their personal and financial information...

How much would you trust the third-party to store and safeguard your personal information?



...that's why most Americans strongly oppose sending their personal information to the CAT.

Share of investors opposed to the government requiring their broker to send investment information to an unregulated third-party:



**Methodology:** this poll was conducted from November 6-8, 2018, among a national sample of 882 adults with money invested in the stock market. The interviews were conducted online and the data were weighted to approximate a target sample of adults based on age, race/ethnicity, gender, educational attainment, and region. Results from the full survey have a margin of error of plus or minus 3 percentage points.