

MPR Reference No.: 6091-110

MATHEMATICA
Policy Research, Inc.

**Kauffman Firm Survey
Baseline Survey**

*Annotated Questionnaire for
Public Use File*

April 6, 2009

A. INTRODUCTION

INTRO: Hello, my name is _____. I'm calling from Mathematica Policy Research in Princeton, New Jersey on behalf of the Kauffman Foundation of Kansas City.

A1. May I speak with ([CEO/OWNER]/the owner or CEO of [NAME BUSINESS])?

OWNER/CEO—PROCEED WITH INTERVIEW 01 → GO TO A4
OWNER/CEO—BAD TIME/CALL BACK..... 02 → GO TO A2a
OWNER/CEO NOT AVAILABLE 03 → GO TO A3
OWNER/CEO NO LONGER WITH BUSINESS 04 → GO TO A2
OWNER/CEO NOT AVAILABLE,
OTHER OWNER AVAILABLE..... 05 → GO TO A2
BUSINESS NO LONGER IN OPERATION 06 → GO TO A10
DON'T KNOW..... d
REFUSED..... r } → THANK AND TERMINATE

A2. Who is (currently the/another) owner of [NAME BUSINESS]?

INTERVIEWER: UPDATE OWNER INFORMATION IN BUSINESS PROFILE BLOCK.

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.

A3. Please tell me when (OWNER/CEO) will be available and I'll call back later.

INTERVIEWER: ENTER CALLBACK DATE AND TIME.

READ: Is this the best number to reach (him/her)?

INTERVIEWER: UPDATE CONTACT INFORMATION AS NEEDED.

Thank you very much. Good-bye.

A4. We are conducting a study for the Kauffman Foundation about new businesses. Your business has been selected to participate in the interview and represent new businesses across the country. If your business is eligible for the study, you will receive \$50 for completing the interview. Your answers will be kept confidential.

A5. First, 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	
NO	00	} → GO TO A7
DON'T KNOW	d	
REFUSED.....	r	

A6. Were you actively involved in the creation of [NAME BUSINESS]?

YES	01	→ GO TO A8
NO	00	
DON'T KNOW	d	
REFUSED.....	r	

A7. Is there another owner of [NAME BUSINESS]?

YES	01	→ GO BACK TO A2
NO	00	} → THANK AND TERMINATE
DON'T KNOW	d	
REFUSED.....	r	

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

YES 01 → GO TO B1
NO 00 → GO TO A9
DON'T KNOW d }
REFUSED r } → GO TO B1

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 B1

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 OUT OF BUSINESS 04

OTHER (SPECIFY) 05

DON'T KNOW d

REFUSED r

THANK AND TERMINATE

B. ELIGIBILITY SCREENING

All of the following questions I’m going to ask are about [NAME BUSINESS].

B1. I’m going to read you some descriptions of how a business can get started. Please tell me which of the following best describes how [NAME BUSINESS] was started. Was it (READ ITEM FROM LIST) . . .?

- a. A new business, branch or subsidiary owned by an existing business 01
- b. A business inherited from someone else 02
- c. A new, independent business created by a single person or a team of people 03
- d. The purchase of an existing business 04
- e. The purchase of a franchise 05
- f. An organization designed for social and charitable objectives and legally established as a “not-for-profit” 06
- g. Or, the business started some other way? (SPECIFY) 07

DON’T KNOW d

REFUSED r

[B1_Bus_start_0]

INTERVIEWER NOTE: IF RESPONDENT ANSWERS “YES” TO ITEMS a, b, OR f, THANK AND TERMINATE.

B2a. I'm going to read you a list of some different forms of legal status a business can have. As of December 31, 2004, 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
<hr/>	
DON'T KNOW	d
REFUSED.....	r

[B2a_Legal_Status_0]

B2b. Thinking back two years, on December 31, 2003 or before, were the business operations of [NAME BUSINESS] being conducted under one of the **other** legal forms I just read?

IF NEEDED, INTERVIEWER PROBE: WOULD YOU LIKE ME TO READ THEM AGAIN?

YES 01 → **THANK AND TERMINATE**
 NO 00
 DON'T KNOW d
 REFUSED r

[B2b_Prev_Legal_Status_0]

B3. Does [NAME OF BUSINESS] have an Employer's Identification Number, which is also known as an EIN?

YES 01
 NO 00
 DON'T KNOW d
 REFUSED r

} → **GO TO B5**

[B3_EIN_0]

B4. When did the business apply for the Employer Identification Number? Was it . . . ?

During Calendar Year 2005, 01
 During Calendar Year 2004, 02
 Or, During Calendar Year 2003 or Before? 03 → **THANK AND TERMINATE**
 DON'T KNOW d
 REFUSED r

[B4_EIN_Year_0]

IF SOLE PROPRIETORSHIP AT QUESTION B2a, ASK B5. OTHERWISE, GO TO B7.

B5. A Schedule C or Schedule C-EZ is used to report income or loss from a business. It is submitted with your personal income tax.

As part of your 2004 income tax return, did you submit a Schedule C or Schedule C-EZ to report income or loss from [NAME BUSINESS]?

YES, DID SUBMIT 01
 NO, DID NOT SUBMIT 00
 DON'T KNOW d
 REFUSED r

} → **GO TO B7**

[B5_Schedule_C_0]

B6. Was 2004 the first TAX year you submitted a Schedule C or a Schedule C-EZ to report income or loss from this business?

- YES, WAS FIRST YEAR..... 01
- NO, WAS NOT FIRST YEAR..... 02 → **THANK AND TERMINATE**
- DON'T KNOW..... d
- REFUSED..... r

[B6_Schedule_C_Year_0]

B7. Did [NAME BUSINESS] pay any state unemployment insurance taxes for calendar year 2004?

- YES 01
 - NO 00
 - DON'T KNOW..... d
 - REFUSED..... r
- **GO TO B10**

[B7_UI_0]

B8. **IF YES:** Was this the first year the business paid state unemployment taxes?

- YES 01
 - NO 00 → **THANK AND TERMINATE**
 - DON'T KNOW..... d
 - REFUSED..... r
- **GO TO B10**

[B8_UI_Year_0]

B9. **IF YES:** And for what month in 2004 were the first state unemployment taxes paid?

_____ MONTH  **GO TO B10**

DON'T KNOW..... d

REFUSED..... r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:

Would you say it was in . . .

The 1st Quarter Of 2004
(JANUARY TO MARCH), 01

The 2nd Quarter Of 2004 (APRIL TO JUNE), 02

The 3rd Quarter Of 2004
(JULY TO SEPTEMBER), or..... 03

The 4th Quarter Of 2004
(OCTOBER TO DECEMBER)? 04

DON'T KNOW..... d

REFUSED..... r

B10. Did [NAME BUSINESS] pay any federal social security taxes, which are also known as FICA payments, for calendar year 2004?

YES 01

NO 00

DON'T KNOW..... d

REFUSED..... r

 **GO TO B13**

[B10_FICA_0]

B11. **IF YES:** Was this the first year the business paid social security taxes (FICA payments)?

YES 01

NO 00

DON'T KNOW..... d

REFUSED..... r

 **THANK AND TERMINATE**

 **GO TO B13**

[B11_FICA_Year_0]

B12. **IF YES:** And for what month in 2004 were the first social security taxes (FICA payments) paid?

_____ MONTH

DON'T KNOW..... d

REFUSED..... r

IF DON'T KNOW OR REFUSED, PROBE WITH RANGES:

Would you say it was in . . .

The 1st Quarter of 2004
(JANUARY TO MARCH), 01

The 2nd Quarter of 2004 (APRIL TO JUNE), 02

The 3rd Quarter of 2004
(JULY TO SEPTEMBER), or..... 03

The 4th Quarter of 2004
(OCTOBER TO DECEMBER)? 04

DON'T KNOW..... d

REFUSED..... r

B13. **INTERVIEWER NOTE: A RESPONDENT IS ELIGIBLE TO CONTINUE THE INTERVIEW IF THE FOLLOWING CONDITIONS APPLY:**

1. B1 – New business is **not** one of the following: Items a, b, f

AND

2. B2b – Business has **not** had any other legal status prior to 2004.

AND

3. B4 – Business did **not** apply for EIN in 2003 or earlier

AND

4. B6 – Business did **not** submit Schedule C or Schedule C EZ before 2004

AND

5. B8 – Business did **not** make UI payments before 2004

AND

6. B11 – Business did **not** make FICA payments before 2004

AND ONE OF THE FOLLOWING APPLIES:

1. B2a – Names one of the six forms of legal status
2. B4 – Business applied for EIN during calendar year 2004
3. B6 – Business submitted Schedule C or Schedule C-EZ for the first time in 2004
4. B8 – Business paid UI for the first time in 2004
5. B11 – Business paid FICA for the first time in 2004

C. BUSINESS CHARACTERISTICS

I'd like to find out more about [NAME BUSINESS].

C1a. As of December 31, 2004, our records indicate the principal activity of the business was [D&B NAICS CODE DESCRIPTION]. Is that correct?

- YES 01 → **GO TO C2**
- NO 00
- DON'T KNOW d
- REFUSED r

C1b. As of December 31, 2004, what was the principal activity of the business?

IF SOLE PROPRIETORSHIP AT QUESTION B2a, GO TO C5.

C2. As of December 31, 2004, 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_0]

C3. Of the [NUMBER OF OWNERS FROM C2] owners as of December 31, 2004, 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_0]

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

C4. 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 [NAME BUSINESS]?

	FIRST NAME	LAST NAME	
OWNER A (RESPONDENT)	_____	_____	(CONFIRM)
OWNER B	_____	_____	
OWNER C	_____	_____	
OWNER D	_____	_____	

[C4_NumOwners_Confirm_0]

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

**INTERVIEWER: RECORD NAMES OF ALL OWNERS REPORTED AT C4.
CONFIRM SPELLING OF NAMES.**

C5. Not counting owner(s), on December 31, 2004, 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.

|_|_|_| NUMBER OF DECEMBER 31st 2004 EMPLOYEES

DON'T KNOW..... d

REFUSED..... r

[C5_Num_Employees_0]

IF BUSINESS REPORTED "0" EMPLOYEES AT C5, GO TO C8.

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 31st 2004
FULL-TIME EMPLOYEES

DON'T KNOW..... d

REFUSED..... r

[C6_Num_FT_Employees_0]

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

|_|_|_| NUMBER OF DECEMBER 31st 2004
PART-TIME EMPLOYEES

DON'T KNOW..... d

REFUSED..... r

[C7_Num_PT_Employees_0]

C8. How would you describe the primary location where [NAME BUSINESS] operates?
Is it . . .

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_0]

D. STRATEGY AND INNOVATION

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

	YES	NO	DON'T KNOW	REFUSED
a. A service [D1a_Provide_Service_0]	01	00	d	r
b. A product..... [D1a_Provide_Product_0]	01	00	d	r

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 2004, did [NAME BUSINESS] have a competitive advantage over its competitors?

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

[D2_Comp_Advantage_0]

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.

	YES	NO	DON'T KNOW	REFUSED	NUMBER BUSINESS HAS
a. Patents.....	01	00	d	r	__ __
b. Copyrights.....	01	00	d	r	__ __
c. Trademarks.....	01	00	d	r	__ __

D4. “Licensing out” is licensing patents, copyrights, or trademarks owned by the business to other parties under a licensing agreement. In calendar year 2004, did [NAME BUSINESS] **license out** any (READ ITEM)?

	YES	NO	DON'T KNOW	REFUSED
a. Patents..... [D4_a_Lic_Out_Patents_0]	01	00	d	r
b. Copyrights..... [D4_b_Lic_Out_Copyrights_0]	01	00	d	r
c. Trademarks..... [D4_c_Lic_Out_Trademarks_0]	01	00	d	r

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 2004, did [NAME BUSINESS] **license in** any (READ ITEM)?

	YES	NO	DON'T KNOW	REFUSED
a. Patents..... [D5_a_Lic_In_Patents_0]	01	00	d	r
b. Copyrights..... [D5_b_Lic_In_Copyrights_0]	01	00	d	r
c. Trademarks..... [D5_c_Lic_In_Trademarks_0]	01	00	d	r

D6. Did [NAME BUSINESS] have any customers or sales in calendar year 2004?

- YES 01
 - NO 00
 - DON'T KNOW d
 - REFUSED r
- } → GO TO E1

[D6_Have_Sales_0]

D7. I'd like to learn more about the type of customers that [NAME BUSINESS] had during calendar year 2004. 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 2004, what percentage of the business' sales were to private individuals?

|_|_|_| PERCENTAGE

DON'T KNOW d

REFUSED r

[D7_Perc_Sales_Indiv_0]

b. What percentage of the business' sales were to other businesses? **[IF NEEDED: Please include sales to for-profit and not-for-profit business.]**

|_|_|_| PERCENTAGE

DON'T KNOW d

REFUSED r

[D7_Perc_Sales_Bus_0]

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

|_|_| PERCENTAGE

DON'T KNOW..... d

REFUSED..... r

[D7_Perc_Sales_Govt_0]

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, 2004, 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.

	NUMBER EMPLOYEES OR OWNERS	DON'T KNOW	REFUSED
a. Human resources such as employee benefits, recruitment, or hiring [E1_a_Num_Human_Res_0]	_ _	d	r
b. Sales or Marketing such as sales, market research, customer analysis, or promotional activities [E1_b_Num_Sales_0]	_ _	d	r
c. Executive administration functions such as strategic planning, competitive analysis, shareholder relations, or general management [E1_c_Num_Exec_Admin_0]	_ _	d	r
d. Research and development on new products or services [E1_d_Num_ResDev_0]	_ _	d	r
e. Production or manufacturing such as producing materials or products, production planning, production control, quality control, or storage [E1_e_Num_Prod_Manu_0]	_ _	d	r
f. General administration such as office management, responding to maintenance requests, purchase supplies, or training employees in office procedures [E1_f_Num_Gen_Admin_0]	_ _	d	r
g. Financial administration such as accounting procedures, budgeting, financial analysis, or investment activities [E1_g_Num_Fin_Admin_0]	_ _	d	r
h. Does [NAME BUSINESS] have employees with any other key responsibilities? (SPECIFY) [E1_h_Num_Other_0]	_ _	d	r

E2a. As of December 31, 2004, did [NAME BUSINESS] offer full-time employees or owners (READ ITEM):

	YES	NO	DON'T KNOW	REFUSED
a. A health insurance plan either through the business or an association..... [E2a_FT_Emp_Hlth_Plan_0]	01	00	d	r
b. A retirement plan such as profit sharing, pension, including 401K, annuity, Keogh, etc. [E2a_FT_Emp_Retire_Plan_0]	01	00	d	r
c. Stock options or other stock ownership..... [E2a_FT_Emp_Stock_Own_0]	01	00	d	r
d. A bonus plan..... [E2a_FT_Emp_Bonus_Plan_0]	01	00	d	r
e. Tuition reimbursement [E2a_FT_Emp_Tuit_Reim_0]	01	00	d	r
f. Paid vacation [E2a_FT_Emp_Paid_Vaca_0]	01	00	d	r
g. Paid sick days..... [E2a_FT_Emp_Paid_Sick_0]	01	00	d	r
h. Alternative work schedules such as flex time or job sharing [E2a_FT_Emp_Flex_Time_0]	01	00	d	r
i. Any other benefits? (SPECIFY)..... [E2a_FT_Emp_Other_0] <hr/>	01	00	d	r

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

E2b. As of December 31, 2004, did [NAME BUSINESS] offer part-time employees (READ ITEM):

	YES	NO	DON'T KNOW	REFUSED
a. A health insurance plan either through the business or an association..... [E2b_PT_Emp_Hlth_Plan_0]	01	00	d	r
b. A retirement plan such as profit sharing, pension, including 401K, annuity, Keogh, etc. [E2b_PT_Emp_Retire_Plan_0]	01	00	d	r
c. Stock options or other stock ownership..... [E2b_PT_Emp_Stock_Own_0]	01	00	d	r
d. A bonus plan..... [E2b_PT_Emp_Bonus_Plan_0]	01	00	d	r
e. Tuition reimbursement [E2b_PT_Emp_Tuit_Reim_0]	01	00	d	r
f. Paid vacation [E2b_PT_Emp_Paid_Vaca_0]	01	00	d	r
g. Paid sick days..... [E2b_PT_Emp_Paid_Sick_0]	01	00	d	r
h. Alternative work schedules such as flex time or job sharing [E2b_PT_Emp_Flex_Time_0]	01	00	d	r
i. Any other benefits? (SPECIFY)..... [E2b_PT_Emp_Other_0] <hr/>	01	00	d	R

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.

First, in calendar year 2004, did you 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.

YES	01	→ GO TO F2a
NO	00	} → GO TO F2c
DON'T KNOW.....	d	
REFUSED.....	r	

[F2_Owner_Eq_Invest_01_0]

F2a. **IF YES:** How much of your own money did you put into the business during calendar year 2004?

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

F2b. **IF YES:** What percentage of the business did you own on December 31, 2004?

|_|_|_| PERCENTAGE OF BUSINESS

DON'T KNOW..... d

REFUSED..... r

IF MORE THAN ONE OWNER AT C4, ASK F2c. OTHERWISE, GO TO F3.

F2c. In calendar year 2004, did any of the other owners put any of their own money into [NAME BUSINESS] in return for an ownership share of the business?

YES 01 → GO TO F2d

NO 00

DON'T KNOW..... d

REFUSED..... r



[F2_Owner_Eq_Invest_02_0]

F2d. And, in calendar year 2004, how much of his or her money did [OWNER B] put into the business?

OWNER B..... \$ |_|_|_|,|_|_|_|,|_|_|_|

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

F2 series asked of up to 10 owner-operators.

- [F2_Owner_Eq_Invest_03_0]
- [F2_Owner_Eq_Invest_04_0]
- [F2_Owner_Eq_Invest_05_0]
- [F2_Owner_Eq_Invest_06_0]
- [F2_Owner_Eq_Invest_07_0]
- [F2_Owner_Eq_Invest_08_0]
- [F2_Owner_Eq_Invest_09_0]
- [F2_Owner_Eq_Invest_10_0]

IF SOLE PROPRIETORSHIP AT QUESTION B2a, GO TO F7a.

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 2004, did the business obtain equity financing from any of the following sources?

	YES	NO	DON'T KNOW	REFUSED
a. Spouses or life partners of owners of the business. This does not include spouses or life partners already named as owners..... [F3a_Eq_Invest_Spouse_0]	01	00	d	r
b. Parents, in-laws or children of owners of the business [F3b_Eq_Invest_Parents_0]	01	00	d	r
c. Individuals who are not spouses or life partners, parents, in-laws or children of the owners, excluding venture capitalists [F3c_Eq_Invest_Angels_0]	01	00	d	r
d. Other companies [F3d_Eq_Invest_Companies_0]	01	00	d	r
e. Government agencies [F3e_Eq_Invest_Govt_0]	01	00	d	r
f. Venture capitalists [F3f_Eq_Invest_Vent_Cap_0]	01	00	d	r
g. Any other sources? (SPECIFY) [F3g_Eq_Invest_Other_0]	01	00	d	r

F4. **FOR EACH EQUITY FINANCING OPTION REPORTED AS “YES” ABOVE, ASK:** In calendar year 2004, how much money did [NAME BUSINESS] receive from [EQUITY OPTION]?

\$ |_|_|_|_|_|,|_|_|_|_|_|,|_|_|_|_|_| CALENDAR YEAR 2004 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

F5. **FOR EACH EQUITY FINANCING OPTION REPORTED AS "YES" ABOVE, ASK:**
What percentage of the business was owned by the [EQUITY OPTION] who invested money in the business as of December 31, 2004?

|_|_|_| PERCENT

DON'T KNOW d

REFUSED..... r

INTERVIEWER CHECK BOX : CHECK ANSWER FROM F2b, F2e, F2g, F2i, AND F5 FOR TOTAL PERCENTAGE OF BUSINESS ACCOUNTED FOR.

[F6Check_0]

IF TOTAL PERCENTAGE EQUALS 100%, GO TO F7a

IF TOTAL EQUALS LESS OR MORE THAN 100%, GO TO F6

F6. So far, you've given me the following information on who owns [NAME BUSINESS]:
[LIST EQUITY INVESTORS FROM F2b, F2e, F2g, F2i, 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 } → GO TO F7a

- [F6_perc_owned_owner_01_0]
- [F6_perc_owned_owner_02_0]
- [F6_perc_owned_owner_03_0]
- [F6_perc_owned_owner_04_0]
- [F6_perc_owned_owner_05_0]
- [F6_perc_owned_owner_06_0]
- [F6_perc_owned_owner_07_0]
- [F6_perc_owned_owner_08_0]
- [F6_perc_owned_owner_09_0]
- [F6_perc_owned_owner_10_0]
- [F6_perc_owned_owner_11_0]

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

I'm going to ask you about some different types of debt financing **you** may have used on behalf of [NAME BUSINESS] to finance the operation of the business. For each, please tell me if you used this type at any time during calendar year 2004. Did you use (READ ITEM)?

F7b. **IN BELOW LIST, FOR EACH DEBT FINANCING OPTION BUSINESS REPORTED AS HAVING USED IN 2004, ASK:** How many [NAME DEBT FINANCING OPTION] did you use to finance the operation of the business during calendar year 2004?

	YES	NO	DON'T KNOW	REFUSED	NUMBER USED
a. Personal credit cards for business-related purposes [F7a_Pers_CredCard_0]	01	00	d	r	_____ [F7b_Pers_CredCard_NumUsed_0]
b. Personal loans from a bank or other financial institution, such as a mortgage or home equity loan used for the business [F7a_Pers_Loan_Bank_0]	01	00	d	r	_____ [F7b_Pers_Loan_Bank_NumUsed_0]
c. Business or corporate credit cards issued in your name [F7a_Bus_CredCard_0]	01	00	d	r	_____ [F7b_Bus_CredCard_NumUsed_0]
d. Personal loans from any family or friends [F7a_Pers_Loan_Fam_0]	01	00	d	r	_____ [F7b_Pers_Loan_Fam_NumUsed_0]
e. Personal loans from any other individuals not associated with the management of the business..... [F7a_Pers_Loan_Other_0]	01	00	d	r	_____ [F7b_Pers_Loan_Other_NumUsed_0]
f. Any other sources? (SPECIFY)..... [F7a_Pers_Other_0]	01	00	d	r	_____ [F7a_Pers_Other_NumUsed_0]

F8a. **IF ANSWERED “YES” TO F7a ITEMS a, c, ASK:** As of December 31, 2004, what was the maximum credit line on the [NAME DEBT FINANCING OPTION]?

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| DECEMBER 31, 2004
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, 2004, what was the outstanding balance on the [NAME DEBT FINANCING OPTION]?

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| DECEMBER 31, 2004 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

F8c. **IF ANSWERED “YES” TO F7a ITEMS b, d, e, f, ASK:** In calendar year 2004, how much was obtained from the [NAME DEBT FINANCING OPTION]?

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| CALENDAR YEAR 2004
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

IF MORE THAN ONE OWNER, ASK F9a. OTHERWISE, GO TO F11a.

F9a. Now I'm going to ask you about some different types of debt financing that **other owners** of [NAME BUSINESS] may have used on behalf of the business. During calendar year 2004, did any of the other owners of [NAME BUSINESS] use (READ ITEM)?

F9b. **IN BELOW LIST, FOR EACH DEBT FINANCING OPTION BUSINESS REPORTED AS HAVING USED IN 2004, ASK:** How many [NAME DEBT FINANCING OPTION] did other owners use to finance the operation of the business during calendar year 2004?

	YES	NO	DON'T KNOW	REFUSED	NUMBER USED
a. Personal credit cards for business-related purposes [F9a_Pers_CredCard_0]	01	00	d	r	_____ [F9b_Pers_CredCard_NumUsed_0]
b. Personal loans from a bank or other financial institution, such as a mortgage or home equity loan used for the business [F9a_Pers_Loan_Bank_0]	01	00	d	r	_____ [F9b_Pers_Loan_Bank_NumUsed_0]
c. Business or corporate credit cards issued in the other owner's name(s)..... [F9a_Bus_CredCard_0]	01	00	d	r	_____ [F9b_Bus_CredCard_NumUsed_0]
d. Personal loans from any family or friends..... [F9a_Pers_Loan_Fam_0]	01	00	d	r	_____ [F9b_Pers_Loan_Fam_NumUsed_0]
e. Personal loans from any other individuals not associated with the management of the business..... [F9a_Pers_Loan_Other_0]	01	00	d	r	_____ [F9b_Pers_Loan_Other_NumUsed_0]
f. Any other sources? (SPECIFY)..... [F9a_Pers_Other_0]	01	00	d	r	_____ [F9b_Pers_Other_NumUsed_0]

F10a. **IF ANSWERED “YES” TO F9a ITEMS a, c, ASK:** As of December 31, 2004, what was the maximum credit line on the [NAME DEBT FINANCING OPTION] of (one of) the other owner(s)?

\$ |_|_|_|_|, |_|_|_|_|, |_|_|_|_| DECEMBER 31, 2004
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, 2004, what was the outstanding balance on the [NAME DEBT FINANCING OPTION] used by (one of) the other owner(s)?

\$ |__|__|__|,|__|__|__|,|__|__|__| DECEMBER 31, 2004 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

F10c.

IF ANSWERED “YES” TO F9a, ITEMS b, d, e, f, ASK: In calendar year 2004, how much was obtained from the [NAME DEBT FINANCING OPTION] other owners used?

\$ |_|_|_|_|, |_|_|_|_|, |_|_|_|_| CALENDAR YEAR 2004
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

F11a. 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. Not including any personal debt obtained on behalf of the business, did [NAME BUSINESS] use (READ ITEM) during calendar year 2004?

F11b. **IN BELOW LIST, FOR EACH DEBT FINANCING OPTION BUSINESS REPORTED AS HAVING USED IN 2004, ASK:** How many [NAME DEBT FINANCING OPTION] did the business use to finance the operation or the business during calendar year 2004?

	YES	NO	DON'T KNOW	REFUSED	NUMBER USED
a. Business or corporate credit cards issued in the name of the business [F11a_Bus_CredCard_0]	01	00	d	r	_____ [F11b_Bus_CredCard_NumUsed_0]
b. Business loans from a commercial bank [F11a_Bus_Loans_Bank_0]	01	00	d	r	_____ [F11b_Bus_Loans_Bank_NumUsed_0]
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_0]	01	00	d	r	_____ [F11b_Bus_Cred_Line_NumUsed_0]
d. Business loans from a non-bank financial institution [F11a_Bus_Loans_Nonbank_0]	01	00	d	r	_____ [F11b_Bus_Loans_NonBank_NumUsed_0]
e. Business loans from any family or friends of the owners [F11a_Bus_Loans_Fam_0]	01	00	d	r	_____ [F11b_Bus_Loans_Fam_NumUsed_0]
f. Business loans from another owner of the business or a partner [F11a_Bus_Loans_Owner_0]	01	00	d	r	_____ [F11b_Bus_Loans_Owner_NumUsed_0]
g. [IF HAVE EMPLOYEES AT C5] Loans to the business from employees that are not owners of the business [F11a_Bus_Loans_Emp_0]	01	00	d	r	_____ [F11b_Bus_Loans_Emp_NumUsed_0]
h. Loans from government agencies [F11a_Bus_Loans_Govt_0]	01	00	d	r	_____ [F11b_Bus_Loans_Govt_NumUsed_0]
i. Loans from other businesses [F11a_Bus_Loans_Other_Bus_0]	01	00	d	r	_____ [F11b_BusLoans_OtherBus_NumUsed_0]

j. Business loans from any other individuals not associated with the management of the business.....	01	00	d	r	_ _
[F11a_Bus_Loans_Other_Ind_0]					[F11b_BusLoans_OtherInd_NumUsed_0]
k. Any other sources? (SPECIFY).....	01	00	d	r	_ _
[F11a_Bus_Other_0]					[F11b_Bus_Other_NumUsed_0]

F12a. **IF ANSWERED "YES" TO F11a ITEMS a, c, ASK:** As of December 31, 2004, what was the maximum credit line on the [NAME DEBT FINANCING OPTION]?

\$ |_|_|_|, |_|_|_|, |_|_|_| DECEMBER 31, 2004
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, 2004, what was the outstanding balance on the [NAME DEBT FINANCING OPTION]?

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| DECEMBER 31, 2004 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

F12c. **IF ANSWERED “YES” TO F11a ITEMS b, d-k, ASK:** In calendar year 2004, how much was the amount obtained from [NAME DEBT FINANCING OPTION] used by [NAME BUSINESS]?

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| CALENDAR YEAR 2004
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

F13. Trade financing is where a business has an arrangement with a supplier to make purchases on account. In calendar year 2004, did [NAME BUSINESS] make any purchases through trade financing?

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

} → GO TO F15

[F13_Trade_Fin_0]

F14. **IF YES:** In calendar year 2004, what was the amount of purchases made through trade financing?

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| CALENDAR YEAR 2004 AMOUNT
OF TRADE CREDIT

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 2004, 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_2004_0]

F16. What was [NAME BUSINESS]'s total revenue for calendar year 2004?

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| TOTAL REVENUE

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

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 2004?

\$ |__|__|__|,|__|__|__|,|__|__|__| TOTAL EXPENSES
IN CALENDAR YEAR 2004

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

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 2004? 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 2004

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 2004?

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

[F19_Res_Dev_0]

F20. Did [NAME BUSINESS] spend any money on the purchase of new or used machinery or equipment during calendar year 2004?

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

[F20_Mach_0]

F21. Did [NAME BUSINESS] spend any money on rental or lease payments for buildings or other structures during calendar year 2004?

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

[F21_Land_Rent_0]

F22. Did [NAME BUSINESS] spend any money on **rental or lease payments** for machinery or equipment during calendar year 2004?

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

[F22_Mach_Rent_0]

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 2004?

- PROFIT 01 → **GO TO F24**
- LOSS 02 → **GO TO F26**
- DON'T KNOW d
- REFUSED r

[F23_Profit_Or_Loss_0]

F24. ENTER PROFIT AMOUNT

\$ |_|_|_|_|,|_|_|_|_|,|_|_|_|_| TOTAL PROFIT
IN CALENDAR YEAR 2004

- 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 2004
- 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, 2004, did [NAME BUSINESS]'s assets include [NAME ASSET FROM LIST]?

	YES	NO	DON'T KNOW	REFUSED
a. Cash on hand in checking, savings, money market accounts, certificates of deposit and other time deposits..... [F28a_Asset_Cash_0]	01	00	d	r
b. Accounts receivable [F28b_Asset_Acct_Rec_0]	01	00	d	r
c. Product inventory [F28c_Asset_Inv_0]	01	00	d	r
d. Equipment or machinery [F28d_Asset_Equip_0]	01	00	d	r
e. Land, buildings, and other structures..... [F28e_Asset_LandBuild_0]	01	00	d	r
f. Vehicles [F28f_Asset_Veh_0]	01	00	d	r
g. Any other business owned property (SPECIFY) ... [F28g_Other_Bus_Prop_0]	01	00	d	r

h. Any other assets? (SPECIFY) [F28h_Other_Assets_0]	01	00	d	r

F29. **FOR EACH ASSET BUSINESS HAS, ASK:**

As of December 31, 2004, what was the estimated value of the [NAME OF ASSET] owned by [NAME BUSINESS]?

\$ |_|_|_|_|, |_|_|_|_|, |_|_|_|_| ASSET VALUE AS OF
DECEMBER 31, 2004

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, 2004 include [NAME LIABILITY FROM LIST]?

	YES	NO	DON'T KNOW	REFUSED
a. Accounts Payable [F30a_Liab_AcctPay_0]	01	00	d	r
b. Pension and post retirement benefits [F30b_Liab_Pension_0]	01	00	d	r
c. Any other liabilities? (SPECIFY) [F30c_Liab_Other_0]	01	00	d	r

F31. **FOR EACH LIABILITY BUSINESS HAS, ASK:** As of December 31, 2004, what was the estimated value of [NAME BUSINESS]'s [NAME OF LIABILITY]?

\$ |__|__|__|,|__|__|__|,|__|__|__| LIABILITY VALUE AS OF
DECEMBER 31, 2004

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

G. WORK BEHAVIORS AND DEMOGRAPHICS OF OWNER(S)

The last few questions are for classification purposes only.

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_0] THROUGH [G1a_Emp_Owner_10_0]

G1b. During the time [NAME BUSINESS] was in business during 2004, 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

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_0] THROUGH [G2_Work_Exp_Owner_10_0]

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_0] THROUGH [G3a_Oth_Bus_Owner_10_0]

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_0] THROUGH [G3b_Bus_Same_Ind_Owner_10_0]

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

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_0] THROUGH [G5_Hisp-Origin_Owner_10_0]

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_0] THROUGH [G6_Race_AmInd_Owner_10_0]
 - NATIVE HAWAIIAN OR OTHER
PACIFIC ISLANDER 02
[G6_Race_NatHaw_Owner_01_0] THROUGH [G6_Race_NatHaw_Owner_10_0]
 - ASIAN 03
[G6_Race_Asian_Owner_01_0] THROUGH [G6_Race_Asian_Owner_10_0]
 - BLACK OR AFRICAN AMERICAN 04
[G6_Race_Black_Owner_01_0] THROUGH [G6_Race_Black_Owner_10_0]
 - WHITE 05
[G6_Race_White_Owner_01_0] THROUGH [G6_Race_White_Owner_10_0]
 - OTHER (SPECIFY) 06
[G6_Race_Other_Owner_01_0] THROUGH [G6_Race_Other_Owner_10_0]
-

- 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_0] THROUGH [G7_Native_Born_Owner_10_0]

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_0] THROUGH [G8_US_Cit_Owner_10_0]

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_0] THROUGH [G9_Education_Owner_10_0]

BY OBSERVATION:

G10. (Are/Is) (you/[OWNER B-J]) male or female?

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

[G10_Gender_Owner_01_0] THROUGH [G10_Gender_Owner_10_0]

REPEAT ITEMS G1a TO G10 FOR ALL OWNERS

G11. The Kauffman Foundation is interested in how businesses develop and grow over time, so we would like to contact your business for future interviews. Can you give me an email address where you can be reached?

Email: _____ @ _____

DON'T KNOW..... d

REFUSED..... r

G12. Does [NAME BUSINESS] have its own website?

YES 01

NO 00

DON'T KNOW..... d

REFUSED..... r

GO TO G14

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. 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