

Doing Business with the Securities and Exchange Commission (SEC)

PURPOSE: The purpose of this document is to maximize industry awareness of doing business with the SEC.

MISSION: The mission of the U.S. SEC is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

OVERVIEW: The SEC was established in 1934 as a result of the Securities Exchange Act of 1934. The SEC is made up of Headquarters and Operation Offices in the District of Columbia (DC) Metropolitan area and 11 Regional Offices located in the following places: New York City, NY; Boston, MA; Philadelphia, PA; Miami, FL; Atlanta, GA; Chicago, IL; Denver, CO; Fort Worth, TX; Salt Lake, UT; Los Angeles, CA; and San Francisco, CA.

Go to www.SEC.gov for additional office and division specific information.

THE “MODEL” SMALL BUSINESS

A model small business understands and is equipped with the following:

- A great reputation they protect
- A niche and a great marketing strategy and plan
- Ability to accept payments with a Government Purchase Card
- Active registration in the System for Award Management (SAM) and Federal Business Opportunities (FedBizOps) and all other systems the Federal Government utilizes to announce business opportunities
- Develops relationships with vendors in their industry for subcontracting opportunities
- In depth knowledge regarding their niche product and/ or service
- Socio-Economic certifications with the Small Business Administration (SBA)
- Teaming and Mentor-Protégé Arrangements
- Proof of concepts and technologies
- Ability to perform and provide timely services and/ or products

Register your Company in the System for Award Management (SAM) – All companies that do business with the Federal Government are required to maintain an active registration in SAM via www.SAM.gov.

**GOVERNMENT WIDE STATUTORY SMALL BUSINESS GOALS FOR
FISCAL YEAR (FY) 2017**

Small Business – 23% of all Prime Contracts

Small Disadvantaged Business – 5%

Women Owned Small Business – 5%

HUBZone – 3%

Service Disabled Veteran-Owned Small Business – 3%

The SEC seeks to maximize its collaboration with small business in reaching Government – wide statutory small business goals.

In FY16 the SEC exceeded all SBA statutory requirements:

SEC Small Business Participation	SEC FY16 Achievement	SEC FY15 Achievement	FY15/16 SBA Statutory Requirement
Small Business (SB)	60.4%	59.4%	23%
Small Disadvantaged Business (SDB)	21.9%	22.3%	5%
Service-Disabled Veteran Owned Small Business (SDVOSB)	8.9%	8.5%	3%
Women-Owned Small Business (WOSB)	16.2%	17.2%	5%
HUBZone small business	4.5%	3.9%	3%
8(a) small business	10%	11.2%	0%

Things You Should Know to Make Doing Business with the Government Easier

Know the Mission of the Agency - Knowing the mission of the SEC will help you make a determination as to whether or not the SEC may be able to utilize your products or services. You can read more about the SEC Mission at www.SEC.gov.

Understand what the SEC procures – Prior to marking your products or services, research historical procurement data. You may conduct your research via publically available domains via www.USASpending.gov (USA Spending) and www.fpds.gov/fpdsng_cms/ (FPDS-NG). Please do not waste time marketing to agencies that cannot or do not utilize your products or services. For example: A company that manufacturers’ uniforms, medicines, or missiles should not utilize resources by marketing to the SEC as we do not purchase these items.

Get “Plugged-In” to Federal Opportunities

The SEC announces many of its opportunities on FedBizOps or on GSA e-Buy. Vendors are able to sign up for alerts:

- On FedBizOps sign up by NAICS Code(s) via www.FBO.gov
- On GSA sign up by SIN via www.GSA.gov

Both systems are utilized regularly by the SEC Office of Acquisitions (OA)

HELPFUL WEBSITES AND CONTACTS

Small Business Administration (SBA) – www.SBA.gov

System for Award Management (SAM) – www.SAM.gov

Federal Business Opportunities (FedBizOps) – www.FBO.gov

Minority Business Development Agency (MBDA) – www.MBDA.gov

National Women’s Business Council (NWBC) – www.Womenbiz.gov

General Services Administration (GSA) – www.GSA.gov

North American Industry Classification Systems (NAICS codes) – www.census.gov/eos/www/naics

Association of Procurement Technical Assistance Centers (APTAC) – www.APTAC-us.org/new/

Veterans Affairs Webpage for VOSBs and SDVOSBs – www.VETbiz.gov

USA Spending – www.USASpending.gov

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