

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 by 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 10 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; Los Angeles, CA; and San Francisco, CA.

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 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](#).

GOVERNMENTWIDE SMALL BUSINESS GOALS

The SEC follows the governmentwide small business goals below:

Small Business – 23%

Small Disadvantaged Business – 5%

Women Owned Small Business – 5%

HUBZone Small Business – 3%

Service-Disabled Veteran-Owned Small Business – 5%

Annual SEC small business accomplishments can be viewed on the [GSA Small Business Dashboard](#).

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 the SEC may be able to utilize your products or services.

Understand what the SEC procures – Prior to marketing your products or services, research historical procurement data. You may conduct your research via publicly available domains such as USAspending.gov. Please consider marketing to agencies that can or do utilize your products or services (e.g.: A company that manufacturers' uniforms, medicine, or missiles should not utilize resources by marketing to the SEC as we do not purchase these items).

Please visit <https://www.sec.gov> for more information.

Get “Plugged-In” to Federal Opportunities

The SEC announces many of its opportunities in SAM or on GSA e-Buy. Vendors can sign up for alerts:

- On SAM sign up by NAICS Code(s)
- On GSA sign up by SIN

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

HELPFUL WEBSITES AND CONTACTS

Small Business Administration ([SBA](#))

System for Award Management ([SAM](#))

Minority Business Development Agency ([MBDA](#))

National Women’s Business Council ([NWBC](#))

General Services Administration ([GSA](#))

North American Industry Classification System ([NAICS](#))

National Apex Accelerator Alliance ([NAPEX](#))

Veterans Small Business Certification ([VetCert](#))

USASpending.gov

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