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) 2019

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 FY19 the SEC exceeded all SBA statutory requirements:

<table>
<thead>
<tr>
<th>SEC Small Business Participation</th>
<th>SEC FY19 Achievement</th>
<th>SEC FY18 Achievement</th>
<th>FY19/18 SBA Statutory Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small Business (SB)</td>
<td>47.1%</td>
<td>52.2%</td>
<td>23%</td>
</tr>
<tr>
<td>Small Disadvantaged Business (SDB)</td>
<td>21.5%</td>
<td>18.8%</td>
<td>5%</td>
</tr>
<tr>
<td>Service-Disabled Veteran Owned Small Business (SDVOSB)</td>
<td>9.0%</td>
<td>9.8%</td>
<td>3%</td>
</tr>
<tr>
<td>Women-Owned Small Business (WOSB)</td>
<td>11.4%</td>
<td>13.0%</td>
<td>5%</td>
</tr>
<tr>
<td>HUBZone small business</td>
<td>5.8%</td>
<td>6.6%</td>
<td>3%</td>
</tr>
</tbody>
</table>

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