

# About the SEC

## Vision

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The Securities and Exchange Commission (SEC) aims to be the standard against which federal agencies are measured. The SEC will strengthen the integrity and soundness of U.S. securities markets for the

benefit of investors and other market participants, and will conduct its work in a manner that is as sophisticated, flexible, and dynamic as the securities markets it regulates.

## Mission

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The mission of the Securities and Exchange Commission is to protect investors, maintain fair,

orderly, and efficient markets, and facilitate capital formation.

## Values

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In managing the evolving needs of a complex marketplace and in pursuing its mission, the Securities and Exchange Commission embraces the following values:

### Integrity

As the federal agency entrusted with enforcing and regulating the U.S. securities markets,

each member of the SEC staff has a personal responsibility to demonstrate the highest ethical standards to inspire confidence and trust in one another and in the public the agency serves.

### Fairness

As an agency with both regulatory and enforcement powers, the SEC must

treat investors and market participants fairly in accordance with the law. As an employer, the SEC must seek to hire and retain a diverse staff, and ensure that all decisions affecting employees and applicants are fair and ethical. As professionals, the staff must treat all others with respect and dignity.

### Accountability

The SEC staff embraces the responsibility with which it is charged. In carrying out its mission, the staff readily holds itself accountable to the public it serves and takes personal responsibility for achieving SEC goals.

### Resourcefulness

The SEC staff strives to work creatively, proactively, and effectively in assessing and addressing risk to the securities markets, the public, and other market participants. The staff is committed to finding flexible and innovative approaches to

the Commission's work and using independent judgment to explore new ways to fulfill the SEC's mission in the most efficient manner possible.

### Teamwork

The SEC recognizes that its success requires a diverse, coordinated team committed to the highest standards of trust, hard work, cooperation, and communication. The staff is committed to these values and is striving to work more effectively as a team—rather than as separate divisions or offices—and to coordinate more effectively with business, governments, and organizations in the U.S. and abroad.

### Commitment to Excellence

The SEC demands the highest standards of excellence, integrity, commitment and dedication from its staff. The investing public and the U.S. securities markets deserve nothing less.