

# 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 Operational Offices in the DC Metropolitan area and 11 Regional Offices located in the following places: New York, NY; Boston, MA; Philadelphia, PA; Miami, FL; Atlanta, GA; Chicago, IL; Denver, CO; Fort Worth, TX; Salt Lake City, UT; Los Angeles, CA; and San Francisco, CA.

Go to [www.SEC.gov](http://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 great Marketing Plan
- Ability to accept a Government Credit Card
- Registration in CCR, FEDBIZOPPS and all other systems that the Federal Government uses to announce business
- Develops relationships with vendors in their industry to get subcontracts.
- An effective marketing strategy
- A plan to use their resources effectively
- In depth knowledge regarding their niche product or service
- Certifications by the SBA
- Teaming Arrangements and Mentor-Protégé Opportunities
- Industry knowledge by having done their research
- Ability to perform and provide product and/or service timely

## **GOVERNMENT WIDE STATUTORY SMALL BUSINESS GOALS FOR 2011**

**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.**

### **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 can truly utilize your supplies or services. You can read more about our mission at [www.sec.gov](http://www.sec.gov).

**Understand What the SEC Buys** - Prior to marketing your supplies or services, do a little research. Information about what agencies buy and what they spend for a particular supply or service is publicly available on [www.USASpending.gov](http://www.USASpending.gov) (USA Spending) and [www.fpds.gov/fpdsng.cms/](http://www.fpds.gov/fpdsng.cms/) (FPDS). Please don't waste time marketing to agencies that cannot utilize your supplies or services. For example: Companies that make uniforms, or medicine, or missiles should utilize their resources more effectively by not marketing to the SEC as we do not buy those items.

#### **Get “Plugged-In” to Federal Opportunities**

•The SEC announces many of its opportunities on FEDBIZOPPS and GSA E-buy:

Sign up by NAICS code on FEDBIZOPPS at [www.FBO.gov](http://www.FBO.gov).

Sign up by SIN on GSA at [www.GSA.gov](http://www.GSA.gov).

Both systems are utilized regularly by the SEC contracting office.

**Register Your Company in CCR** - All companies that do business with the Federal Government are required to be registered in the Central Contractors Registration (CCR) system found at [www.CCR.gov](http://www.CCR.gov).

## **HELPFUL WEBSITES AND CONTACTS**

Federal Business Opportunities (FEDBIZOPPS) - [www.FBO.gov](http://www.FBO.gov)

Small Business Administration (SBA) - [www.SBA.gov](http://www.SBA.gov)

Central Contractor Registration (CCR) - [www.CCR.gov](http://www.CCR.gov)

Minority Business Development Agency (MBDA) - [www.MBDA.gov](http://www.MBDA.gov)

National Women's Business Council (NWBC) - [www.Womenbiz.gov](http://www.Womenbiz.gov)

General Services Administration (GSA) - [www.GSA.gov](http://www.GSA.gov)

North American Industry Classification Systems (NAICS codes) -  
[www.census.gov/eos/www/naics/](http://www.census.gov/eos/www/naics/)

Association of Procurement Technical Assistance Centers (APTAC) - [www.APTAC-us.org/new/](http://www.APTAC-us.org/new/)

Veterans Affairs Webpage for VOSB's and SDVOSB's - [www.VETbiz.gov](http://www.VETbiz.gov)

USA Spending - [www.USASpending.gov](http://www.USASpending.gov)

For Additional Info Contact us at: [VendorOutreach@SEC.gov](mailto:VendorOutreach@SEC.gov)

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