

## **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](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 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](http://www.SAM.gov).

## **GOVERNMENT WIDE STATUTORY SMALL BUSINESS GOALS FOR FISCAL YEAR (FY) 2016**

**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 may be able to utilize your products or services. You can read more about the SEC Mission at [www.SEC.gov](http://www.SEC.gov).

**Understand what the SEC procures** – Prior to marketing your products or services, research historical procurement data. You may conduct your research via publically available domains via [www.USASpending.gov](http://www.USASpending.gov) (USA Spending) and [www.fpds.gov/fpdsng\\_cms/](http://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 manufactures 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](http://www.FBO.gov)
- On GSA sign up by SIN via [www.GSA.gov](http://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](http://www.SBA.gov)

System for Award Management (SAM) – [www.SAM.gov](http://www.SAM.gov)

Federal Business Opportunities (FedBizOps) – [www.FBO.gov](http://www.FBO.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 VOSBs and SDVOSBs – [www.VETbiz.gov](http://www.VETbiz.gov)

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

For Additional Information Contact the SEC Small Business Specialists  
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