

<b>GFIN Member: Securities and Exchange Commission (SEC)</b>	
Location: United States	
<b>About Us</b>	<p>The SEC is the primary regulator and supervisor of the U.S. securities markets. Our mission is to protect investors; maintain fair, orderly, and efficient markets; and facilitate capital formation.</p> <p>We work closely with many other institutions that have an interest in the integrity of the U.S. securities markets, including other federal departments and agencies, self-regulatory organizations, and state securities regulators.</p>
<b>Geographical Jurisdiction</b>	United States
<b>Industry Sectors We Regulate</b>	<p>The U.S. federal securities laws require all offers and sales of securities to be registered with us or qualify for an exemption from registration. Companies that offer and sell securities to the public assume initial and ongoing reporting obligations that involve the disclosure of material business, financial, and other information.</p> <p>In addition, market participants may engage in activities that require registration of transactions and persons or entities involved in those transactions. We regulate and supervise key securities market participants, including securities brokers and dealers, securities exchanges, investment advisers, investment funds, clearing agencies, transfer agents, and credit rating agencies.</p> <p>Even if no registration is required, activities involving securities may still be subject to our regulation and oversight.</p> <p>For additional information, please refer to our website: <a href="https://www.sec.gov/">https://www.sec.gov/</a>.</p>
<b>Types of Innovation Services we Offer</b>	<p>GFIN Member: check all that apply. Please do not add any additional categories, except where indicated under “Other”.</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Guidance on the application of laws and rules to innovative business models</li> <li><input checked="" type="checkbox"/> Waivers or exemptions, for any entity meeting certain criteria</li> <li><input checked="" type="checkbox"/> Engagement with firms on regtech and suptech solutions</li> <li><input checked="" type="checkbox"/> Engagement with innovators and/or other third parties (e.g. academics, consultants and other organisations)</li> <li><input checked="" type="checkbox"/> Facilitating hackathons, TechSprints or similar events</li> </ul>
<b>GFIN Cross-Border Testing Participation?</b>	No

<b>Required Criteria for GFIN Cross-Border Testing</b>	N/A
<b>Our Contact Information</b>	<p>Email: <a href="mailto:gfin@sec.gov">gfin@sec.gov</a></p> <p>Contact Persons:</p> <ul style="list-style-type: none"> <li>• Valerie A. Szczepanik, Senior Advisor for Digital Assets and Innovation, Associate Director for Division of Corporation Finance, Head of Strategic Hub for Innovation and Financial Technology (FinHub), 1-212-336-0175</li> <li>• Jonathan Balcom, Assistant Director, Office of International Affairs, 1-202-551-5737</li> </ul>
<b>Website</b>	FinHub website: <a href="https://www.sec.gov/finhub">https://www.sec.gov/finhub</a> .