

Practitioner Problem Resolution Officer, Toll Free: 1-800-736-2444 ext. 4136.

The public can fully resolve most issues by calling PBGC Customer Service Center staff, 1-800-736-2444, and contacting Ms. Morstein only if the issue is not resolved to one's satisfaction.

Railroad Retirement Board

Railroad Retirement Board Single Point of Contact: Ronald J. Hodapp, Chief, Information Resources Management, Railroad Retirement Board, Telephone: 312-751-3366. E-mail: Ronald.Hodapp@rrb.gov.

Securities and Exchange Commission

Congress created the Securities and Exchange Commission in 1934 to protect investors, and to maintain fair, honest, and efficient national securities markets. The Commission provides extensive compliance assistance to the public. Small businesses subject to SEC regulation include

- issuers of securities,
- investment companies and investment advisers,
- broker-dealers, and
- transfer agents.

Other businesses affected by SEC regulation include auditors of companies whose stocks are publicly held and subject to registration with the SEC. The SEC's Office of Small Business Policy, telephone number (202-942-2950), should generally be the first point of contact for any small business that seeks compliance assistance from the Securities and Exchange Commission. This office is the primary resource for small business issuers of securities. Small regulated entities may wish to contact the appropriate Division or other office directly (Market Regulation for broker-dealers and transfer agents; Investment Management for investment companies and investment advisers; the Office of Chief Accountant for accountants).

Members of the public seeking compliance assistance for Securities and Exchange Commission regulation may contact SEC staff by mail, e-mail, or telephone.

Sources of SEC Information:

- Organization and functions of the SEC: *The Investor's Advocate*: <http://www.sec.gov/about/whatwedo.shtml>
- Brief review of governing federal regulations: *The Laws That Govern the Securities Industry* <http://www.sec.gov/about/laws.shtml>

• SEC regulation of small business capital formation and smaller public companies: *Q & A: Small Business and the SEC* <http://www.sec.gov/info/smallbus/qasbsec.htm>

• SEC regulation of securities brokers and dealers: *Compliance Guide to the Regulation of Brokers and Dealers* <http://www.sec.gov/divisions/marketreg/bdguide.htm>

• Regulations and Forms for Small Securities Issuers that issue securities subject to SEC regulation: Regulations and forms applicable to small businesses, <http://www.sec.gov/divisions/corpfin/forms/smallbus.shtml>

• Regulations and forms for registered investment advisers: Investment Adviser Regulation, <http://sec.gov/divisions/investment/iaregulation.shtml>

• SEC forms and instructions for registered investment advisers: Investment Adviser Forms, <http://www.sec.gov/divisions/investment/iard/iastuff.shtml>

• Procedures for obtaining accounting or auditing advice from the SEC's Chief Accountant's Office; Guidance on Consulting with the Office of the Chief Accountant, <http://www.sec.gov/info/accountants.shtml>

• Descriptions of most commonly used SEC forms: <http://www.sec.gov/info/edgar/forms.htm>

• SEC regulations for recordkeeping and capital requirements for securities brokers and dealers: *Broker-Dealer Net Capital and Books and Records Guidance*, <http://www.sec.gov/divisions/marketreg/bdnetcapital.html>

• Staff analyses of securities laws and regulations as applied to particular legal, regulatory, or accounting issues: Staff Interpretations, <http://www.sec.gov/interp.shtml>

Seminars, classes

• Annual meeting to explore means to improve capital formation for small business: Annual Government-Business Forum on Small Business Capital Formation, <http://www.sec.gov/info/smallbus/sbforum.shtml>

Web based compliance

• Small Cap and Private Companies: <http://www.sec.gov/info/smallbus/qasbsec.htm>

• Investment Adviser Registration: IARD, <http://www.sec.gov/divisions/investment/iaregulation.shtml>

• Registration and disclosure documents required to be and voluntarily filed electronically: EDGAR—electronic filing of SEC disclosure documents, <http://www.sec.gov/edgar.shtml>

Telephone service

• Office of Small Business Policy: 202-942-2950

• Division of Enforcement: 202-942-4530

• Toll-Free Consumer Information: 1-800-SEC-0330

• Small and minority business procurement: (202) 942-4990

• Public company disclosure requirements: 202-942-2825

• Office of Interpretations and Guidance for Market Regulation: 202-942-0069

• Regulation of Investment Companies and Investment Advisers: 202-942-0659

Online/e-mail service

• Inquiries about federal requirements for securities registration and corporate disclosure: <http://www.cfletter@sec.gov>

• Inquiries about applicability of securities laws to small business: <http://www.smallbusiness@sec.gov> (coming June 2003)

• Inquiries about the conduct of federally-regulated securities markets: <http://marketreg@sec.gov>

• Inquiries about federal regulation of investment advisers: <http://www.IARDLIVE@sec.gov>

• Inquiries about federal regulation of investment companies: <http://www.IMOCC@sec.gov>

Contacts

• Homepage: <http://www.sec.gov>

• News: <http://www.sec.gov/news.shtml>

• Regulatory: <http://www.sec.gov/about/laws.shtml>, <http://www.sec.gov/rules.shtml>

• Small Business: <http://www.sec.gov/info/smallbus.shtml>

• E-mail: smallbusiness@sec.gov

• Phone Number: (202) 942-2950

Securities and Exchange Commission Single Point of Contact: Gerald Laporte, Chief, Office of Small Business Policy, Division of Corporation Finance, Securities and Exchange Commission, 450 5th Street NW., Room 3501, Washington, DC 20549-0310, Telephone: 202-942-2950, Fax: 202-942-9516. E-mail: laporteg@sec.gov.

Selective Service System

Selective Service System Single Point of Contact: Calvin Montgomery, 1515 Wilson Blvd., Arlington, VA 22209, Telephone: 703-605-4038. E-mail: cmontgomery@sss.gov.

Small Business Administration

Small businesses wanting access to SBA programs should call SBA's Answer Desk toll-free or e-mail answerdesk@sba.gov. In many cases, the SBA information technician receiving a call will directly answer the question. If a matter needs attention from a particular program specialist in the caller's immediate area of the country, the SBA Answer Desk can put the caller in touch with a specific individual in an SBA District Office or program office.