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Appendix A: SEC Divisions and Offices

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DIVISION OF INVESTMENT MANAGEMENT

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DIVISION OF ECONOMIC AND RISK ANALYSIS

Mark Flannery, Director and Chief Economist
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DIVISION OF TRADING AND MARKETS

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OFFICE OF ACQUISITIONS

Vance Cathell, Director
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Chief Administrative Law Judge
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OFFICE OF THE CHIEF ACCOUNTANT

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OFFICE OF THE CHIEF OPERATING OFFICER

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OFFICE OF COMPLIANCE INSPECTIONS AND EXAMINATIONS

Andrew Bowden, Director
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OFFICE OF CREDIT RATINGS

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OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY

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OFFICE OF ETHICS COUNSEL

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OFFICE OF HUMAN RESOURCES

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OFFICE OF INFORMATION TECHNOLOGY

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OFFICE OF INSPECTOR GENERAL

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OFFICE OF INTERNATIONAL AFFAIRS

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OFFICE OF THE INVESTOR ADVOCATE

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OFFICE OF INVESTOR EDUCATION AND ADVOCACY

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OFFICE OF LEGISLATIVE AND INTERGOVERNMENTAL AFFAIRS

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OFFICE OF MINORITY AND WOMEN INCLUSION

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OFFICE OF MUNICIPAL SECURITIES

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OFFICE OF PUBLIC AFFAIRS

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OFFICE OF THE SECRETARY

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OFFICE OF SUPPORT OPERATIONS

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Appendix B: Glossary of Selected Terms

Agency Financial Report (AFR)

An annual requirement that provides financial and high-level performance results that enable the President, Congress, and the public to assess an agency's accomplishments each fiscal year (October 1 through September 30). This report includes audited financial statements and provides an overview of an agency's programs, accomplishments, challenges, and management's accountability for entrusted resources. The report is prepared in accordance with the requirements of Office of Management and Budget (OMB) Circular A-136, Financial Reporting Requirements. Under Circular A-136, agencies may prepare an Agency Financial Report and Annual Performance Report, or may combine these two reports into the Performance and Accountability Report.

Alternative Trading Systems (ATS)

A privately operated platform to trade securities outside of traditional exchanges.

The Annual Performance Plan (APP)

A plan that outlines the level of performance to be achieved by the agency during the year in which the plan is submitted and the next fiscal year. The plan describes the strategies the agency will follow, explains why those strategies have been chosen, and identifies performance targets and key milestones that will be accomplished in the current and next fiscal year.

Annual Performance Report (APR)

A report that outlines goals and intended outcomes of an agency's programs and initiatives. This report provides program performance and financial information that enables the President, Congress, and the public to assess an agency's performance and accountability over entrusted resources.

Anti-Deficiency Act (ADA)

Prohibits Federal employees from making or authorizing an expenditure from, or creating or authorizing an obligation under, any appropriation or fund in excess of the amount available in the appropriation or fund unless authorized by law; involving the government in any obligation to pay money before funds have

been appropriated for that purpose, unless otherwise allowed by law; accepting voluntary services for the United States, or employing personal services not authorized by law, except in cases of emergency involving the safety of human life or the protection of property; making obligations or expenditures in excess of an apportionment or reappportionment, or in excess of the amount permitted by agency regulations.

Appropriation

Authorization by an act of parliament to permit government agencies to incur obligations, and to pay for them from the treasury. Appropriation does not mean actual setting aside of cash, but represents the prescribed limit on spendings within a specified period.

Asset

An asset is a resource that embodies economic benefits or services that the reporting entity controls.

Blue Sheets

Blue Sheets are requests from the SEC that are sent out to investment companies which have executed a trade that considerably affected the price of a security. A blue sheet asks for information like the name of the investment house, the name of the security traded and the specific parties involved in the trade. The Blue Sheet system has been digitized through an electronic blue sheet system.

Collateralized Debt Obligation (CDO)

A type of structured asset-backed security (ABS) with multiple "tranches" that are issued by special purpose entities and collateralized by debt obligations including bonds and loans. Each tranche offers a varying degree of risk and return so as to meet investor demand.

Crowdfunding

In the JOBS Act, a new means of raising capital enabling the raising of small amounts of equity capital without having to register with the SEC.

Dark Pool

Alternative trading systems that display little or no information about customer orders are known as dark pools.

Derivative

A contract between two parties that specifies conditions (dates, resulting values of the underlying variables, and notional amounts) under which payments are to be made between the parties.

Disgorgement

A repayment of funds received or losses forgone, with interest, as a result of illegal or unethical business transactions. Disgorged funds are normally distributed to those affected by the action, but in certain cases may be deposited in the General Fund of the Treasury.

Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act)

A Federal law that regulates the U.S. financial industry. The legislation, enacted in July 2010, created new financial regulatory processes that enforce transparency and accountability while implementing rules for consumer protection.

Electronic Data Gathering Analysis and Retrieval (EDGAR) Database

The SEC's Electronic Data Gathering, Analysis and Retrieval database system that performs automated collection, validation, indexing, acceptance, and dissemination of submissions sent to the SEC in electronic format.

Exchange Act

With the Securities Exchange Act of 1934, Congress created the Securities and Exchange Commission. The Act empowers the SEC with broad authority over all aspects of the securities industry. This includes the power to register, regulate, and oversee brokerage firms, transfer agents, and clearing agencies as well as the nation's securities self-regulatory organizations (SROs). The various securities exchanges, such as the New York Stock Exchange, the NASDAQ Stock Market, and the Chicago Board of Options are SROs. The Financial Industry Regulatory Authority (FINRA) is also an SRO. The Act also identifies and prohibits certain types of conduct in the markets and provides

the Commission with disciplinary powers over regulated entities and persons associated with them. The Act also empowers the SEC to require periodic reporting of information by companies with publicly traded securities.

Exchange Traded Fund (ETF)

ETFs are investment companies that are legally classified as open-end companies or Unit Investment Trusts (UITs), but that differ from traditional open-end companies and UITs in the following respects:

ETFs do not sell individual shares directly to investors and only issue their shares in large blocks (blocks of 50,000 shares, for example) that are known as "Creation Units."

Investors generally do not purchase Creation Units with cash. Instead, they buy Creation Units with a basket of securities that generally mirrors the ETF's portfolio. Those who purchase Creation Units are frequently institutions.

After purchasing a Creation Unit, an investor often splits it up and sells the individual shares on a secondary market. This permits other investors to purchase individual shares (instead of Creation Units).

Investors who want to sell their ETF shares have two options: (1) they can sell individual shares to other investors on the secondary market, or (2) they can sell the Creation Units back to the ETF. In addition, ETFs generally redeem Creation Units by giving investors the securities that comprise the portfolio instead of cash. So, for example, an ETF invested in the stocks contained in the Dow Jones Industrial Average (DJIA) would give a redeeming shareholder the actual securities that constitute the DJIA instead of cash. Because of the limited redeemability of ETF shares, ETFs are not considered to be – and may not call themselves – mutual funds.

Federal Accounting Standards Advisory Board (FASAB)

A U.S. Federal advisory committee sponsored by the Secretary of the Treasury, the Director of the Office of Management and Budget, and the Comptroller General of the United States, whose mission is to develop generally accepted accounting principles (GAAP) for the United States Government.

Federal Information Security Management Act (FISMA)

A law that requires Federal agencies to conduct annual assessments of their information security and privacy programs, develop and implement remediation efforts for identified weaknesses and vulnerabilities, and report on compliance to OMB.

Financial Industry Regulatory Authority, Inc. (FINRA)

A private corporation that acts as a self-regulatory organization (SRO). FINRA is the successor to the National Association of Securities Dealers, Inc. (NASD) and is a non-governmental organization that performs financial regulation of member brokerage firms and exchange markets. The Government organization which acts as the ultimate regulator of the securities industry, including FINRA, is the SEC.

Financial Stability Board (FSB)

The Financial Stability Board (FSB) is an international body that monitors and makes recommendations about the global financial system. It was established after the 2009 G-20 London summit in April 2009 as a successor to the Financial Stability Forum (FSF). The Board includes all G-20 major economies, FSF members, and the European Commission. It is based in Basel, Switzerland.

Freedom of Information Act (FOIA)

The Freedom of Information Act (FOIA), which can be found in Title 5 of the United States Code, section 552, was enacted in 1966 and provides that any person has the right to request access to Federal agency records or information. All agencies of the United States government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions and three exclusions of the FOIA. This right of access is enforceable in court.

Full-time Equivalent (FTE)

FTE is a calculation of the cost of labor. It is the basic measurement of the levels of employment used in the budget. It is derived by taking the total number of hours worked (or to be worked) divided by the number of compensable hours application to each fiscal year.

Generally Accepted Accounting Principles (GAAP)

Framework of accounting standards, rules, and procedures defined by the professional accounting industry. The Federal Accounting Standards Advisory Board (FASAB) is the body designated by the American Institute of Certified Public Accounting (AICPA) as the source of GAAP for Federal reporting entities.

Insider Trading

The buying or selling of a security by someone who has access to material, nonpublic information about the security.

International Accounting Standards Board (IASB)

The International Accounting Standards Board (IASB) is an independent, private-sector body that develops and approves International Financial Reporting Standards (IFRSs). The IASB operates under the oversight of the IFRS Foundation. The IASB was formed in 2001 to replace the International Accounting Standards Committee.

International Organization of Securities Commissions (IOSCO)

The International Organization of Securities Commissions (IOSCO) is the international body that brings together the world's securities regulators and is recognized as the global standard setter for the securities sector. IOSCO develops, implements and promotes adherence to internationally recognized standards for securities regulation. It works intensively with the G20 and the Financial Stability Board (FSB) on the global regulatory reform agenda.

International Financial Reporting Standards (IFRS)

International Financial Reporting Standards (IFRS) is a single set of accounting standards, developed and maintained by the IASB with the intention of those standards being capable of being applied on a globally consistent basis – by developed, emerging and developing economies – thus providing investors and other users of financial statements with the ability to compare the financial performance of publicly listed companies on a like-for-like basis with their international peers.

Jumpstart Our Business Startups (JOBS) Act

A Federal law enacted on April 5, 2012 intended to encourage small businesses within the U.S. by easing securities regulations for those businesses.

Liability

A liability is a present obligation of the reporting entity to provide assets or services to another entity at a determinable date, when a specified event occurs, or on demand.

Matters Under Inquiry (MUI)

Matters under inquiry, or MUIs, are the Enforcement division's preliminary looks into potential violations of securities law. MUIs may or may not lead to a formal investigation.

Microcap Securities

Low priced stocks issued by the smallest of companies.

Municipal Securities Rulemaking Board (MSRB)

The Municipal Securities Rulemaking Board (MSRB) was established by Congress as a self-regulatory organization to protect investors and the public interest by promoting a fair and efficient municipal securities market. The MSRB's role includes developing rules to regulate the securities firms and banks involved in underwriting, trading, and selling municipal securities dealers.

NASDAQ

The NASDAQ Stock Market, also known as simply NASDAQ, is an American stock exchange. NASDAQ originally stood for National Association of Securities Dealers Automated Quotations. It is the second- largest stock exchange by market capitalization in the world, after the New York Stock Exchange.

Nationally Recognized Statistical Rating Organization (NRSRO)

A credit rating agency that the Securities and Exchange Commission in the United States uses for regulatory purposes. Credit rating agencies provide assessments of an investment's risk. The issuers of investments, especially debt securities, pay credit rating agencies to provide them with ratings. Investments must receive a high rating from two or more nationally recognized statistical ratings organizations before banks in the United States may purchase them.

Non-Entity Assets

Assets that are held by an entity but are not available to the entity. Examples of non-entity assets are disgorgement, penalties, and interest collected and held on behalf of harmed investors.

Office of Management and Budget (OMB) Circular A-11

Provides an overview of the budget process, covers the development of the President's Budget and tells you how to prepare and submit materials required for OMB and Presidential review of agency requests. Also includes instructions on budget execution and describes requirements under GPRA Modernization Act and the Administration's approach to performance management.

Office of Management and Budget (OMB) Circular A-123

Defines management's responsibilities for internal financial controls in Federal agencies.

Office of Management and Budget (OMB) Circular A-136

Establishes a central point of reference for all Federal financial reporting guidance for Executive Branch departments, agencies, and entities required to submit audited financial statements, interim financial statements, and Performance and Accountability Reports (PAR), and Agency Financial Reports (AFR) under the Chief Financial Officers Act of 1990, the Accountability of Tax Dollars Act of 2002, and Annual Management Reports under the Government Corporations Control Act.

Pay to Play Schemes

Payments or gifts made to influence awarding of lucrative contracts for securities underwriting business.

Public Company Accounting Oversight Board (PCAOB)

A nonprofit corporation established by Congress to oversee the audits of public companies in order to protect the interests of investors and further the public interest in the preparation of informative, accurate, and independent audit reports. The PCAOB also oversees the audits of broker-dealers, including compliance reports filed pursuant to Federal securities laws, to promote investor protection.

Reserve Fund

A fund established by the Dodd-Frank Act that may be used by the SEC to obligate amounts up to a total of \$100 million in one fiscal year as the SEC determines it necessary to carry out its functions.

Sarbanes-Oxley Act (SOX)

The Sarbanes-Oxley Act became law in the US in 2002 and the Act mandated a number of reforms to enhance corporate responsibility and financial disclosures and to combat corporate and accounting fraud. It also created the Public Company Accounting Oversight Board (PCAOB), to oversee the activities of the auditing profession.

Securities Exchange Act of 1934 (Exchange Act)

A law governing the secondary trading of securities (stocks, bonds, and debentures) in the United States. It was this piece of legislation that established the Securities and Exchange Commission. The Exchange Act and related statutes form the basis of regulation of the financial markets and their participants in the United States.

Self-Regulatory Organization (SRO)

An organization that exercises some degree of regulatory authority over an industry or profession. The regulatory authority could be applied in addition to some form of Government regulation, or it could fill the vacuum of an absence of Government oversight and regulation. The ability of an SRO to exercise regulatory authority does not necessarily derive from a grant of authority from the Government.

Swap Data Repositories (SDR)

Swap data repositories (“SDRs”) are new entities created by the Dodd-Frank Wall Street Reform and Consumer Protection Act (“Dodd-Frank Act”) in order to provide a central facility for swap data reporting and recordkeeping. Under the Dodd-Frank Act, all swaps, whether cleared or uncleared, are required to be reported to registered SDRs.

Swap Execution Facility (SEF)

It is defined by the Dodd-Frank Act as “a facility, trading system or platform in which multiple participants have the ability to execute or trade swaps by accepting bids and offers made by other participants that are open to multiple participants in the facility or system, through any means of interstate commerce.”

Strategic Plan

A report initially required by the Government Performance and Results Act (GPRA) that defines the agency mission, long-term goals, strategies planned, and the approaches it will use to monitor its progress in addressing specific national problems, needs, challenges, and opportunities related to its mission. The Plan also presents general and long term goals the agency aims to achieve, what actions the agency will take to realize those goals, and how the agency will deal with challenges and risks that may hinder achieving result. Requirements for the Strategic Plan are presented in OMB Circular A-11, Preparation, Submission and Execution of the Budget.

U.S. Commodity Futures Trading Commission (CFTC)

An independent agency of the U.S. Government that regulates futures and option markets.

U.S. Exchanges

A place (physical or virtual) where stock traders come together to decide on the price of securities.

U.S. Securities and Exchange Commission (SEC)

The SEC is an independent agency of the U.S. Government established pursuant to the Securities Exchange Act of 1934 (Exchange Act), charged with regulating the country’s capital markets. It is charged with protecting investors, maintaining fair, orderly and efficient markets; and facilitating capital formation.

Appendix C: Acronyms

ADA	Antideficiency Act	CRQA	Center for Risk and Quality Analysis
AFR	Agency Financial Report	CSRS	Civil Service Retirement System
AICPA	American Institute of Certified Public Accountants	CTF	Counter-Terrorist Financing
AML	Anti-Money Laundering	DFA	Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act)
APP	Annual Performance Plan	DERA	Division of Economic and Risk Analysis
APR	Annual Performance Report	DOL	U.S. Department of Labor
ARMS	Acquisition Requisition Management System	DOJ	Department of Justice
ARTEMIS	Advanced Relational Trading Enforcement Metrics Investigation System	DRAO	Disclosure Review and Accounting Office
ATS	Alternative Trading Systems	EDGAR	Electronic Data Gathering, Analysis and Retrieval
BCBS	Basel Committee on Banking Supervision	EDW	Enterprise Data Warehouse
C6	Committee 6 (IOSCO)	EEOC	Equal Employment Opportunity Commission
CBOE	Chicago Board Options Exchange	ESC	Enterprise Service Center
CDO	Collateralized Debt Obligation	ESMA	European Securities Market Authority
CEO	Chief Executive Officer	ESP	Employee Suggestion Program
CF	Division of Corporation Finance	ETF	Exchange Traded Fund
CFO	Chief Financial Officer	EU	European Union
CFR	Code of Federal Regulations	EVS	Employee Viewpoint Survey
CFTC	Commodities Futures Trading Commission	Exchange Act	Securities Exchange Act of 1934
CIGFO	Council of Inspectors General on Financial Oversight	FACTS	Filing Activity Tracking System
CIGIE	Council of the Inspectors General on Integrity and Efficiency	FASAB	Federal Accounting Standards Advisory Board
CIRA	Corporate Issuer Risk Assessment	FATIF	Financial Action Task Force
COR	Contracting Officer's Representative	FBI	Federal Bureau of Investigation
CPSS	Committee on Payment and Settlement Systems	FBWT	Fund Balance with Treasury
		FCPA	Foreign Corrupt Practices Act

FDIC	Federal Deposit Insurance Corporation	ICFR	Internal Control over Financial Reporting
FECA	Federal Employees' Compensation Act	IFRB	International Financial Reporting Standards
FedRAMP	Federal Risk Authorization Management Program	IOSCO	International Organization of Securities Commissions
FERS	Federal Employees Retirement System	IM	Division of Investment Management
FDA	Food and Drug Administration	IMF	International Monetary Fund
FFMIA	Federal Financial Management Improvement Act	IPO	Initial Public Offering
FINRA	Financial Industry Regulatory Authority	IRIS	Investor Response Information System
FISMA	Federal Information Security Management Act	IT	Information Technology
FLEC	Financial Literacy and Education Committee	JAB	Joint Authorization Board
FMFIA	Federal Managers' Financial Integrity Act of 1982	JOBS Act	Jumpstart Our Business Startups Act
FOIA	Freedom of Information Act	MCDC	Municipalities Continuing Disclosure Cooperation
FRB	Federal Reserve Board	MD&A	Management's Discussion and Analysis
FSB	Financial Stability Board	MIDAS	Market Information Data and Analytics System
FSOC	Financial Stability Oversight Council	MMF	Money Market Fund
FSIO	Financial Systems Integration Office	MOU	Memoranda of Understanding
FSSP	Federal Shared Services Provider	MSBSP	Major Security --Based Swap Participants
FTC	Federal Trade Commission	MSRB	Municipal Securities Rulemaking Board
FTE	Full-Time Equivalents	MUI	Matter Under Investigation
FY	Fiscal Year	NAFTA	North American Free Trade Agreement
GAAP	Generally Accepted Accounting Principles	NEP	National Examination Program
GAO	Government Accountability Office	NIST	National Institute of Standards and Technology
GPRA	Government Performance and Results Act	NMS	National Market System
GSA	U.S. General Services Administration	NOC	Network Operations Center
GSS	General Support System	NPA	Non-Prosecution Agreement
IA	Investment Adviser	NRSRO	Nationally Recognized Statistical Rating Organization
IAC	Investor Advisory Committee	NYSE	New York Stock Exchange
IASB	International Accounting Standards Board		

OA	Office of Acquisitions	OPA	Office of Public Affairs
OALJ	Office of Administrative Law Judges	OPM	Office Of Personnel Management
OAR	Office of Analytics Research	ORA	Office of Risk Assessment
OBO	Office of Building Operations	ORMS	Office of Record Management Services
OCA	Office of the Chief Accountant	OS	Office of the Secretary
OCIE	Office of Compliance Inspections and Examinations	OSO	Office of Support Operations
OCOO	Office of the Chief Operating Officer	OSS	Office of Security Services
OCR	Office of Credit Ratings	OTC	Over-the-Counter
OEC	Office of the Ethics Counsel	PCAOB	Public Company Accounting Oversight Board
OEEEO	Office of Equal Employment Opportunity	PIA	Privacy Impact Assessment
OFM	Office of Financial Management	PMO	Project Management Office
OFS	Office of Financial Services	PTCS	Personal Trading Compliance System
OGC	Office of the General Counsel	QRADS	Quantitative Research Analytical Data Support
OHR	Office of Human Resources	RAS	Office of Risk Analysis and Surveillance
OIA	Office of International Affairs	REITS	Real Estate Investment Trusts
OIAD	Office of the Investor Advocate	REO	Risk and Examinations Office
OICR	Office of Investment Company Regulation	Reserve Fund	Securities and Exchange Commission Reserve Fund
OIDS	Office of Quantitative Research Information Delivery	SBA	Small business Administration
OIEA	Office of Investor Education and Advocacy	SBR	Statement of Budgetary Resources
OIG	Office of Inspector General	SBSD	Security-Based Swap Dealer
OIP	Order Instituting Cease-and-Desist Proceedings	SBSEF	Security-Based Swap Execution Facility
OIT	Office of Information Technology	SCI	Systems Compliance and Integrity
OLIA	Office of Legislative and Intergovernmental Affairs	SEF	Swap Execution Facility
OMB	Office of Management and Budget	SDR	Swap Data Repositories
OMI	Office of Market Intelligence	SEC	U.S. Securities and Exchange Commission
OMS	Office of Municipal Securities	SECU	SEC University
OMWI	Office of Minority and Women Inclusion		

SFFAS	Statement of Federal Financial Accounting Standards
S/L	Straight-Line
SIPA	Securities Investor Protection Act of 1970
SIPC	Securities Investor Protection Corporation
SRO	Self-Regulatory Organization
SRTS	SRO Rule Tracking System
TM	Division of Trading and Markets

TCP	Technology Controls Program
TCR	Tips, Complaints and Referrals
TRENDS	Tracking and Reporting Exam National Documentation System
TSP	Thrift Savings Plan
UDO	Undelivered Order
UIT	Unit Investment Trust
VOIP	Voice Over Internet Protocol