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# International Conference on Financial Education and Financial Awareness: Challenges, Opportunities and Strategies

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## The SEC's Mission

- Protect investors
- Maintain fair, orderly, & efficient markets, and
- Facilitate capital formation



SEC Headquarters, Washington, DC



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# The SEC

Created in 1934



*President Franklin D. Roosevelt*



*Joseph Kennedy*

Independent Agency of the Executive Branch  
3800 Employees



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## The SEC

- Administer federal securities laws
- Oversee brokerage firms and other investment providers
- Review filings by most public companies





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# The SEC

## Five Commissioners





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## The SEC

### Five Divisions:

- Division of Corporation Finance
- Division of Enforcement
- Division of Investment Management
- Division of Trading and Markets
- Division of Risk, Strategy & Financial Innovation





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## FY 2011 Investor Education Goals

- Number of investors reached: 16,000,000
- Number of in-person events: 30
- Number of investor education initiatives organized and produced: 10
- Number of new investor alerts and bulletins: 24





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# Developing the SEC's Investor Education Program

## Five Key Areas

- *Outreach*
- *Communication*
- *Content*
- *Research*
- *Distribution*





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# Outreach

## Focus on target audiences

Examples:

- Seniors
- Teachers





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## Communication

Establish common, trusted brand

Examples:

- Investor.gov
- Print Materials





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# Content

Produce accurate, timely, and easy to read information

- Investor alerts and bulletins
- Fast answers
- Publications





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## Research

Use research on investor knowledge and behavior to inform programs

- Library of Congress Report: Behavioral Patterns of U.S. Investors
- Study Regarding Financial Literacy Among Investors (Section 917 of Dodd-Frank Wall Street Reform and Consumer Protection Act)



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## Distribution

Use partnerships to reach more individuals with key messages

Examples:

- Financial Literacy and Education Commission
- FINRA Investor Education Foundation
- Jump\$tart Coalition for Financial Literacy
- Internal Revenue Service – Financial Management Service



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