Request for Approval under the "Generic Clearance for Feedback to the SEC's Office of the Advocate for Small Business Capital Formation" (OMB Control Number: 3235-0787)

TITLE OF INFORMATION COLLECTION: U.S. Securities and Exchange Commission Registration& Feedback Questions

PURPOSE: The U.S. Securities and Exchange Commission (SEC)'s Office of the Advocate for Small Business Capital Formation (Office) is seeking to collect responses and feedback from individuals who register for, and attendees of, an event (Event). The Event will be organized by the Office and hosted by the SEC and is scheduled for April 10, 2025 (although registration is expected to begin as early as March 1, 2025). The responses and feedback collected will help the Office understand better the audience attending the Event and their role in the small business ecosystem and help guide discussions at the Event so that discussions address issues relevant to the audience. Collecting the responses and feedback will help the Office ensure that future outreach efforts and communication materials and other program initiatives are effective and responsive to customer and stakeholder needs. The SEC may discuss general takeaways from the responses in external reports, to the extent they provide helpful context for such external reports.

DESCRIPTION OF RESPONDENTS: Individuals who register for, and attendees of, the Event will provide responses to registration and feedback questions. These attendees include government officials, entrepreneurs, investors, private businesses, and/or law firms attending on their behalf, and anyone from the public interested in attending.

TYPE OF COLLECTION: (Check one)

[ ] Customer Comment Card/Complaint Form   [ ] Customer Satisfaction Questionnaire
[ ] Usability Testing (e.g., Website or Software)   [ ] Small Discussion Group
[ ] Focus Group   [X] Other: Registration & Feedback Questions

CERTIFICATION:

I certify the following to be true:
1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does <u>not</u> raise issues of concern to other federal agencies.
4. Any results shared will be aggregated and anonymized, and the relevant publication would make clear that the results reflect the views of program participants and are not generalizable to the broader population of small businesses and their investors.
5. Information gathered will not be used for the purpose of <u>substantially</u> informing <u>influential</u> policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

Name: /s/ Kathryn Steinberg

To assist review, please provide answers to the following question:

Personally Identifiable Information:
1. Is personally identifiable information (PII) collected? [X] Yes [ ] No
Email addresses will be collected solely for purposes of providing access to a specific event and communicating with participants regarding that event. The feedback platform may require an email address for purposes of providing access to the questions. Other PII will also be requested on a voluntary basis (e.g. location, professional background).

2. If Yes, is the information that will be collected included in records that are subject to the Privacy Act of 1974?   [X] Yes [ ] No
3. If Applicable, has a System or Records Notice been published? [X] Yes [ ] No

Gifts or Payments:
Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? [ ] Yes [X] No

BURDEN HOURS

Category of Respondent	No. of Respondents	Participation Time	Burden
Event Attendees	800	5 minutes each	66.7 hrs
Totals	**800**	5 minutes each	**66.7 hrs**

FEDERAL COST: There is no anticipated annual cost to the Federal government.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents
1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe?
                         [ ] Yes [X] No

If the answer is yes, please provide a description of both below (or attach the sampling plan)?   If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?
The registration & feedback questions will be shared with event participants or those who register for the Event. The individuals who choose to register and choose to respond will be the

initial universe of respondents for the registration questions. Attendees who choose to complete the feedback questions will comprise the remaining group of respondents.

Administration of the Instrument
1. How will you collect the information? (Check all that apply)
    [X] Web-based or other forms of Social Media
    [ ] Telephone
    [ ] In-person
    [ ] Mail
    [ ] Other, Explain
2. Will interviewers or facilitators be used? [ ] Yes [X] No

Please make sure that all instruments, instructions, and scripts are submitted with the request.