

**MEMO# 24899**

January 21, 2011

## **Sending Encrypted Email To The SEC**

[24899]

January 21, 2011

TO: COMPLIANCE MEMBERS No. 7-11  
SEC RULES MEMBERS No. 13-11  
SMALL FUNDS MEMBERS No. 8-11  
TECHNOLOGY COMMITTEE No. 2-11 RE: SENDING ENCRYPTED EMAIL TO THE SEC

The SEC's Office of Information Technology has published two guides, the "SEC External Guide for Using the E-Mail Encryption Solution" and the "SEC External Guide for Using Accellion" [\[1\]](#) to assist registrants and other persons (collectively, "external users") who are interested in submitting information to the Commission in a secure, encrypted format. Depending upon the size of the file submitted, the external user can utilize either ZixMail or Accellion to securely transmit information to the Commission staff. [\[2\]](#) The guides provide instructions to external users about how to set up an account and communicate with SEC staff through ZixMail or Accellion.

According to OCIE staff, all SEC staff can receive email via ZixMail or Accellion and any communications or documents sent via these encryption services are received in the staff's inbox as other emails, though obviously such emails are more secure as a result of their encryption. While the external users may initiate contact with members of the staff using either ZixMail or Accellion, if the communication relates to an examination or involves the submission of documents requested by the SEC staff, the external user may first want to talk to the examiner to ensure that she or he wants to receive the documents via these means rather than via hard copy documents or portable media devices.

Persons with technical questions regarding ZixMail or Accellion should direct them to the SEC's Office of Information Technology. Persons with questions regarding use of ZixMail or Accellion for responding to document requests should direct them to the SEC staff member requesting the documents.

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## endnotes

[1] Both guides are available on the OCIE portion of the SEC's website. The ZixMail Guide is available at <http://www.sec.gov/about/offices/ocie/secureemailguide.pdf>; the Accellion Guide is available at <http://www.sec.gov/about/offices/ocie/accellionguide.pdf>.

[2] ZixMail can accommodate up to 15 megabytes of data, while Accellion can accommodate up to 20 gigabytes.

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