PCAOB
Public Company Accounting Oversight Board

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PCAOB Forum on Auditing Smaller Broker-Dealers
Huntington Beach, CA November 17, 2011

Welcome Remarks	*Lewis H. Ferguson, Board Member*	**8:30 – 8:45 a.m.**
PCAOB Overview	*Mary Sjoquist, Office of Outreach and Small Business Liaison*	**8:45 – 9:20 a.m.**
The Impact of Economic Trends on Broker-Dealers; the Broker-Dealer Landscape	*George Wilfert, Office of Research and Analysis*	**9:20– 10:05 a.m.**
	BREAK	*10:05 – 10:20 a.m.*
Current Rules Applicable to Broker-Dealer Financial Statements and Reports; Proposed Rule 17a-5 **FINRA Audit Reviews**	*Cecil Mak, SEC Office of Chief Accountant* *Susan DeMando Scott, FINRA Office of Risk Oversight and Operational Regulation*	**10:20—11:05 a.m.**
PCAOB Standards, Part I	*Keith Wilson and Barbara Vanich, Office of Chief Auditor*	**11:05 – 12:05 p.m.**
	LUNCH (on your own)	*12:05 – 1:05 p.m.*
PCAOB Standards, Part II	*Keith Wilson and Barbara Vanich*	**1:05 – 2:05 p.m.**
PCAOB Temporary Inspection Rule and Inspection Process	*Bob Maday, Office of Registration and Inspections*	**2:05 – 3:05 p.m.**
IT Risk Issues	*Bill Powers, Division of Registration and Inspections*	**3:05 – 3:35 p.m.**
	BREAK	*3:35 – 3:50 p.m.*
Disciplinary Process	*R. Davis Taylor, Office of Enforcement and Investigations*	**3:50 – 4:05 p.m.**
PCAOB/SEC/FINRA Panel and Q&A	*Moderator: Lew Ferguson* *PCAOB: Bob Maday, Keith Wilson* *SEC: Cecil Mak* *FINRA: Susan DeMando Scott*	**4:05 – 4:55 p.m.**
Closing Remarks	*Lew Ferguson*	**4:55 – 5:00 p.m.**