

**PCAOB Forum on Auditing Smaller Broker-Dealers
Jersey City, NJ October 31, 2013**

Welcome Remarks	<i>Jay Hanson, Board Member</i>	8:30 – 8:45
PCAOB Overview	<i>Mary Sjoquist, Office of Outreach and Small Business Liaison</i>	8:45 – 9:15
Broker-Dealers: Landscape, Trends and Risks	<i>Andres Vinelli, Office of Research and Analysis</i>	9:15 – 9:45
	BREAK	9:45 - 10:00
Current Issues and Observations	<i>Susan DeMando Scott, FINRA Office of Risk Oversight and Operational Regulation</i>	10:00 - 10:30
Results of 2012 Inspections of Auditors of Broker-Dealers and Related Standards, Part I	<i>Bob Maday and Kate Ostasiewski, Division of Registration and Inspections Keith Wilson, Office of Chief Auditor</i>	10:30 – 12:00
	LUNCH (on your own)	12:00 – 1:10
Results of 2012 Inspections and Related Standards, Part II	<i>Bob Maday, Kate Ostasiewski, Keith Wilson</i>	1:10 – 2:10
Rules Applicable to Broker-Dealer Financial Statements and Reports Including Rule 17a-5 Amendments	<i>Kevin Stout, SEC Office of Chief Accountant</i>	2:10 – 2:55
	BREAK	2:55 – 3:10
Guidance for Transition to PCAOB Standards	<i>Keith Wilson</i>	3:10 – 3:55
Disciplinary Process	<i>Ian Anderson, Division of Enforcement and Investigations</i>	3:55 – 4:15
PCAOB/SEC/FINRA Panel and Q&A	<i>Moderator: Jay Hanson Bob Maday, Kevin Stout, Susan DeMando Scott</i>	4:15 – 4:55
Closing Remarks	<i>Jay Hanson</i>	4:55 – 5:00