

**PCAOB Forum on Auditing Smaller Broker-Dealers
Chicago, Illinois
May 28, 2014**

Welcome	<i>Jeanette Franzel, Board Member</i>	8:30 a.m. - 8:45 a.m.
Implementing Rule 17a-5 and the PCAOB Audit and Attestation Standards	<i>Barbara Vanich, PCAOB Office of the Chief Auditor Kevin Stout, SEC Office of the Chief Accountant</i>	8:45 a.m. – 10 a.m.
	<i>BREAK</i>	<i>10 a.m. - 10:15 a.m.</i>
Implementing Rule 17a-5 and the PCAOB Audit and Attestation Standards	<i>Barbara Vanich and Kevin Stout</i>	10:15 a.m. - 11:30 a.m.
Independence Rules Related to Providing Tax Services	<i>Mary Sjoquist, Office of Outreach and Small Business Liaison</i>	11:30 a.m. - 11:45 a.m.
FINRA Update	<i>Susan DeMando Scott, FINRA, Risk Oversight and Operational Regulation</i>	11:45 a.m. - 12:45 p.m.
	<i>LUNCH (on your own)</i>	<i>12:45 p.m. - 2 p.m.</i>
Division of Enforcement and Investigations: An Overview	<i>John Abell, Division of Enforcement</i>	2 p.m. - 2:30 p.m.
Inspections: Observations and Case Studies	<i>Bob Maday and Kate Ostasiewski, Division of Registration and Inspections</i>	2:30 p.m. - 3:30 p.m.
	<i>BREAK</i>	<i>3:30 p.m. - 3:45 p.m.</i>
Inspections: Observations and Case Studies	<i>Bob Maday and Kate Ostasiewski</i>	3:45 p.m. - 4:15 p.m.
Closing Panel	<i>Moderator: Jeanette Franzel</i>	4:15 p.m. - 5 p.m.