

**PCAOB Forum on Auditing
Smaller Broker-Dealers
Jersey City, New Jersey June 13, 2014**

Welcome	<i>Steven Harris, Board Member</i>	8:30 – 8:45
Implementing Rule 17a-5 and the PCAOB Audit and Attestation Standards	<i>Keith Wilson, PCAOB Office of Chief Auditor Khalid Shah, Securities and Exchange Commission Office of Chief Accountant</i>	8:45 – 10:00
	<i>BREAK</i>	<i>10:00 – 10:15</i>
Implementing Rule 17a-5 and the PCAOB Audit and Attestation Standards	<i>Keith Wilson and Khalid Shah</i>	10:15 – 11:30
Independence Rules Related to Providing Tax Services	<i>Mary Sjoquist, Director of Outreach</i>	11:30 – 11:45
FINRA Update	<i>Susan DeMando Scott, Risk Oversight and Operational Regulation, FINRA</i>	11:45 – 12:45
	<i>LUNCH (on your own)</i>	<i>12:45 – 2:00</i>
Division of Enforcement and Investigations: An Overview	<i>Ian Anderson, Division of Enforcement</i>	2:00 – 2:30
Inspections: Observations and Case Studies	<i>Bob Maday and Kate Ostasiewski, Division of Inspections</i>	2:30 – 3:30
	<i>BREAK</i>	<i>3:30 – 3:45</i>
Inspections: Observations and Case Studies	<i>Bob Maday and Kate Ostasiewski</i>	3:45 – 4:15
Closing Panel	<i>Moderator: Steve Harris</i>	4:15 – 5:00