

**PCAOB Forum on Auditing
Smaller Broker-Dealers
Miami, FL October 29, 2014**

Welcome	<i>Jeanette Franzel, Board Member</i>	8:30 – 8:45
Implementing Rule 17a-5 and the PCAOB Audit and Attestation Standards	<i>Barbara Vanich, 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>Barbara Vanich and Khalid Shah</i>	10:15 – 11:30
Conforming Amendments to PCAOB Rules and Forms for Broker-Dealer Auditors	<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>
Inspections: Observations and Case Studies	<i>Bob Maday, Kate Ostasiewski, Jim Schumacher and Mike Walters, Division of Inspections</i>	2:00 – 3:45
	<i>BREAK</i>	<i>3:45 – 4:00</i>
Division of Enforcement and Investigations: An Overview	<i>Rebecca Mealey, Division of Enforcement</i>	4:00 – 4:20
Closing Panel	<i>Moderator: Jeanette Franzel and all Speakers</i>	4:20 – 5:00