

**PCAOB Forum for Auditors of Broker-Dealers  
Las Vegas, NV December 1, 2015**

<b>Welcome Remarks</b>	<i>Mary Sjoquist, Director of Outreach</i>	<b>8:30 – 8:35</b>
<b>PCAOB Highlights</b>	<i>Jay D. Hanson, Board Member</i>	<b>8:35 – 8:50</b>
<b>Compliance and Industry Trends</b>	<i>Tim Gustafson, Research and Analysis</i>	<b>8:50 – 9:10</b>
<b>FINRA Perspectives</b>	<i>Susan DeMando Scott, Risk Oversight and Operational Regulation, FINRA</i>	<b>9:10 – 10:20</b>
<b>SEC Update</b>	<i>Khalid Shah, Securities and Exchange Commission</i>	
<b>Independence Discussion</b>	<i>Barbara Vanich, Office of Chief Auditor</i>	
	<b>BREAK</b>	<b>10:20 – 10:35</b>
<b>Inspections: Case Studies</b>	<i>Kate Ostasiewski and Mike Walters, Registration and Inspections</i>	<b>10:35 – 11:25</b>
<b>Enforcement Matters, Including Independence Findings</b>	<i>R. Davis Taylor</i>	<b>11:25 – 11:45</b>
	<b>LUNCH (on your own)</b>	<b>11:45 – 1:00</b>
<b>Inspections: Observations and Trends</b>	<i>Bob Maday and Kate Ostasiewski, Inspections</i>	<b>1:00 – 1:50</b>
<b>Audit Risk Assessment and Related Case Studies</b>	<i>Barbara Vanich Kate Ostasiewski, Mike Walters and Greg MacCune, Inspections</i>	<b>1:50 – 3:30</b>
	<b>BREAK</b>	<b>3:30 – 3:45</b>
<b>Audit Risk Assessment and Related Case Studies</b>	<i>Barbara Vanich, Kate Ostasiewski, Mike Walters and Greg MacCune</i>	<b>3:45 – 4:30</b>
<b>Closing Panel: All Questions Welcome</b>	<i>Moderator: Jay Hanson PCAOB, SEC and FINRA Staff</i>	<b>4:30 – 5:00</b>