

Small Business and Broker-Dealer Auditor Forum

October 26, 2022

WELCOME AGENDA

- Disclaimer
- Learning Objectives and Course Description
- Forum Information
 - Evaluation
 - Polling
 - Q&A
 - CPE Codes

DISCLAIMER

One of the benefits of today's session is that you will hear firsthand from numerous PCAOB staff members. You should keep in mind, though, that when we share our views they are those of the speaker alone, and do not necessarily reflect the views of the Board, its members or staff.

LEARNING OBJECTIVES

- To discuss important information concerning PCAOB activities with registered public accounting firms that audit the financial statements of public companies operating in the small business community or broker-dealers. The forum also provides an opportunity for Board members and PCAOB staff to hear comments, concerns and questions from auditors.
- PCAOB presentations will include updates from the PCAOB's Standards and Enforcement groups. Additionally, staff from the PCAOB's Division of Registration and Inspections will provide an overview of inspections and discuss recent inspection findings.
- In addition, staff from the Securities and Exchange Commission and FINRA will provide updates on topics of current interest.

COURSE DESCRIPTION

The PCAOB Small Business and Broker-Dealer Forum is a one-day program that will offer attendees the opportunity to interact with the PCAOB and learn more about its programs and activities, including updates on current activities.

FORUM CHECK IN



HOME WEBCAST SUPPORT STREAM TEST LOG OUT

NEW PRESENTATION NAME


CERTIFICATION AGENDA

Check In To This Session

First Name

Last Name

Email Address



Check In To This Session

First Name

Last Name

Email Address

Check In Now

POLLING

The screenshot displays a user interface with several components:

- Check Out** (with an external link icon) and **Codewords** (with 0 submitted so far) are shown in green buttons at the top.
- A light blue notification box states: "Session evaluation will automatically unlock Wednesday, October 26th at 3:30 pm".
- The **Polls** section is highlighted with a red arrow. It includes a "Create" button, a sub-header "View results by clicking on a Poll", and a poll titled "This is a test poll" with 1 comment and a lock icon.
- The **Social Q&A** section features an "Ask" button, sorting options (Sorted By: Upvotes, Showing: All), and a message: "There are no questions right now. Why not ask one?"

PRACTICE POLLING QUESTION

What is your favorite season?

1. Spring
2. Summer
3. Autumn
4. Winter

Q&A AND COMMENTS

The screenshot shows a user interface with several components:

- Check Out** (with a share icon) and **Codewords** (0 submitted so far) buttons at the top.
- A blue notification box: "Session evaluation will automatically unlock Wednesday, October 26th at 3:30 pm".
- Polls** section with a **Create** button and a poll titled "This is a test poll" (1 comment, locked).
- Social Q&A** section with a **Sorted By** dropdown (set to **Upvotes**), **Showing** dropdown (set to **All**), and a **+** **Ask** button circled in red.
- A message at the bottom: **+** There are no questions right now. Why not ask one? (The **+** icon is circled in red).

A red arrow points from the left towards the **Social Q&A** section.

CPE CREDIT

The screenshot displays a user interface for CPE credit. At the top, there are two green buttons: "Check Out" with a checkmark icon and the text "You are checked in", and "Codewords" with the text "0 submitted so far". A red arrow points to the "Codewords" button. Below these buttons is a light blue box containing the text: "Session evaluation will automatically unlock Wednesday, October 26th at 3:30 pm". Underneath is a dark blue "Polls" section with a "+ Create" button. Below the polls section is a light blue "Social Q&A" section with a "+ Ask" button. The "Social Q&A" section includes a "Sorted By" dropdown set to "Upvotes", a "Showing" dropdown set to "All", and a gear icon for settings. A message at the bottom of the "Social Q&A" section reads: "+ There are no questions right now. Why not ask one?".

Check Out You are checked in

Codewords 0 submitted so far

Session evaluation will automatically unlock
Wednesday, October 26th at 3:30 pm

Polls **Create**

View results by clicking on a Poll

This is a test poll 1

Social Q&A **Ask**

Sorted By **Upvotes** Showing **All**

There are no questions right now. Why not ask one?

PRACTICE CPE CODE

202

EVALUATION

The screenshot shows a user interface for a session evaluation. At the top, there are two green buttons: "Check Out" with a share icon and the text "You are checked in", and "Codewords" with the text "0 submitted so far". Below these is a light blue notification box with a red arrow pointing to it from the left. The notification text reads: "Session evaluation will automatically unlock Wednesday, October 26th at 3:30 pm". Underneath the notification is a "Polls" section with a dark blue header, a "+ Create" button, and the instruction "View results by clicking on a Poll". A single poll is listed: "This is a test poll" with a speech bubble icon and the number "1", and a lock icon on the right. Below the polls is a "Social Q&A" section with a light blue header, a "+ Ask" button, and sorting options: "Sorted By Upvotes", "Showing All", and a gear icon. At the bottom of the Q&A section, there is a message: "+ There are no questions right now. Why not ask one?"