

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

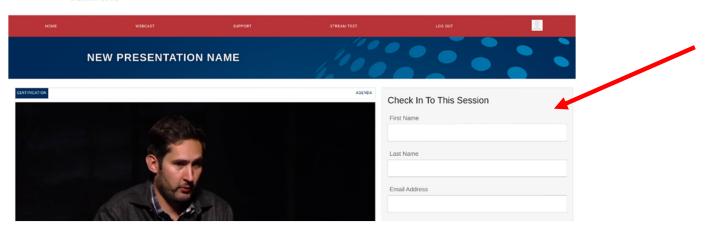
- To discuss important information concerning PCAOB activities
 with registered public accounting firms that audit the financial
 statements of public companies operating in the small business
 community or broker-dealers. The forum also provides an
 opportunity for Board members and PCAOB staff to hear
 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.

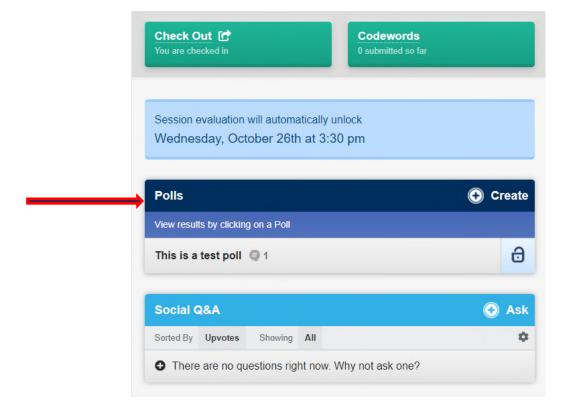
FORUM CHECK IN





Check In To This Session	
First Name	
Last Name	
Email Address	
Check In Now	

POLLING

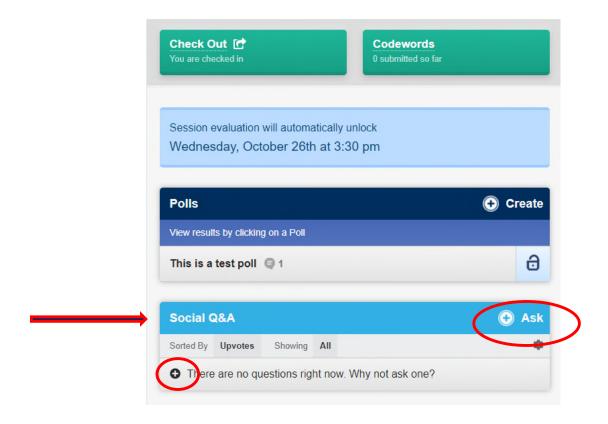


PRACTICE POLLING QUESTION

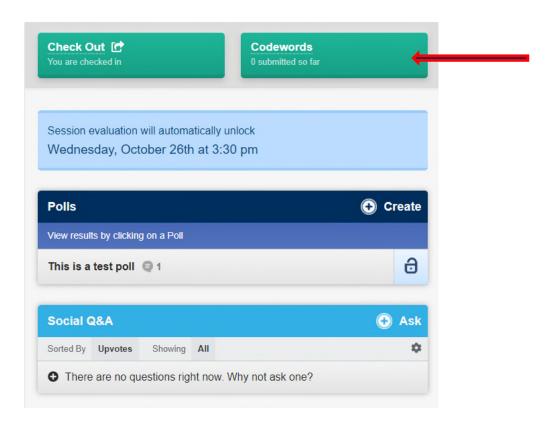
What is your favorite season?

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

Q&A AND COMMENTS



CPE CREDIT



PRACTICE CPE CODE

EVALUATION

