

# Small Business and Broker-Dealer Auditor Forum

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October 26, 2023

# 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




Check Out   
You are checked in

Codewords  
0 submitted so far


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


### Polls + Create

View results by clicking on a Poll

**What is your favorite season?**  Locked  0 

### Social Q&A + Ask

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

 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 for a Q&A session. At the top, there are two green buttons: "Check Out" with a share icon and "Codewords" with the text "0 submitted so far". Below these is a light blue notification box stating "Session evaluation will automatically unlock Thursday, October 26th at 3:30 pm". The main content area is divided into sections. The "Polls" section has a dark blue header with a "+ Create" button and a sub-header "View results by clicking on a Poll". Below this is a poll question "What is your favorite season?" which is locked and has 0 responses. The "Social Q&A" section has a light blue header with a "+ Ask" button circled in red. Below the header, there are sorting options: "Sorted By Upvotes", "Showing All", and a settings gear icon. The main content of the Q&A section shows a message "There are no questions right now. Why not ask one?" with a "+" icon circled in red. A red arrow points from the left towards the "Social Q&A" section.

**Check Out** You are checked in

**Codewords**  
0 submitted so far

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

**Polls** **Create**

View results by clicking on a Poll


What is your favorite season? Locked 0

**Social Q&A** **Ask**

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

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

# CPE CREDIT


**Check Out** 

You are checked in




**Codewords**


0 submitted so far


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


**Polls**  **Create**

View results by clicking on a Poll

**What is your favorite season?**  Locked  0 

**Social Q&A**  **Ask**

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

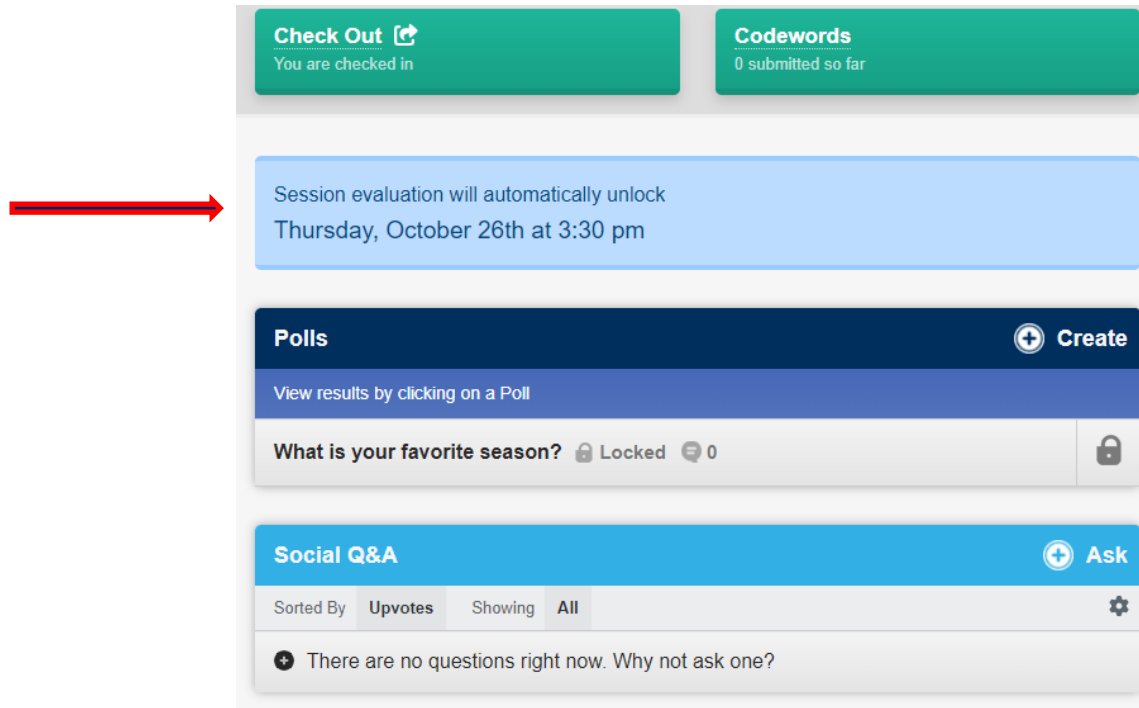
 There are no questions right now. Why not ask one?



# PRACTICE CPE CODE

202

# EVALUATION



The screenshot displays a user interface for session evaluation. At the top, there are two green buttons: "Check Out" with a location pin 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 containing the text "Session evaluation will automatically unlock Thursday, October 26th at 3:30 pm". A red arrow points to this notification box. Underneath is a "Polls" section with a "Create" button. It features a poll question "What is your favorite season?" which is locked and has 0 responses. At the bottom is a "Social Q&A" section with an "Ask" button, a sorting menu set to "Upvotes", and a message stating "There are no questions right now. Why not ask one?"