

**PCAOB Forum for Auditors of Broker-Dealers
Chicago, IL June 3, 2015**

Welcome Remarks	<i>Mary Sjoquist, Director of Outreach</i>	8:30 – 8:35
PCAOB Highlights	<i>James R. Doty, Chairman</i>	8:35 – 9:00
Compliance and Industry Trends	<i>Tim Gustafson, Research and Analysis</i>	9:00 – 9:20
FINRA Perspectives, SIPC Initiatives and SEC Observations	<i>Susan DeMando Scott, Risk Oversight and Operational Regulation, FINRA</i> <i>Karen Saperstein, Operations, SIPC</i> <i>Khalid Shah, Securities and Exchange Commission</i>	9:20 – 10:45
	BREAK	10:45 – 11:00
Enforcement Matters Including Independence Findings	<i>John Abell, Enforcement and Investigations</i>	11:00 – 11:20
Inspections: Observations and Trends	<i>Bob Maday and Kate Ostasiewski, Registration and Inspections</i>	11:20 – 12:10
	LUNCH (on your own)	12:10—1:25
Inspections: Case Studies	<i>Kate Ostasiewski and Mike Walters, Inspections</i>	1:25 – 2:15
Audit Risk Assessment and Related Case Studies	<i>Barbara Vanich, Office of Chief Auditor</i> <i>Kate Ostasiewski and Mike Walters</i>	2:15 – 3:20
	BREAK	3:20 – 3:35
Audit Risk Assessment and Related Case Studies	<i>Barbara Vanich, Kate Ostasiewski and Mike Walters</i>	3:35 – 4:20
Closing Panel: All Questions Welcome	<i>Moderator: James Doty</i> <i>PCAOB, SEC, FINRA and SIPC Staff</i>	4:20 – 5:00