



E-learning Webinar:

Event code: EWEB23083001

Managing Risks Related to PCAOB and SEC Investigations (Part 2)

About the topic

The Public Company Accounting Oversight Board (PCAOB) has jurisdiction over audits of all US-listed companies, regardless of where the auditors are based. In [the first, well-received, session of this two-part webinar in May](#), the speakers, who are former PCAOB senior officials, discussed the PCAOB's inspection process, related risks for audit firms, and strategies to manage those risks. Building on the previous event, in the second session, our speakers will recap strategies in managing risks related to PCAOB inspections and questions raised in the first session, and discuss the PCAOB and Securities and Exchange Commission (SEC) investigation processes and strategies, with a view to helping manage the risks arising from PCAOB and SEC investigations.

As the speakers will be presenting live from Washington D.C., kindly note that the event will commence at 10 a.m., 30 August, instead of our usual lunch time at 1 p.m.

About the event

Date & Time **Wednesday, 30 August 2023**
10 a.m. – 12 p.m.

Format **Live Webinar**
 (There will be real time Q&A)

Fee

- HK\$160 per person for ForensIG members/ACFE members
- HK\$360 per person for the participants other than above

Click [here](#) to join ForensIG. If you are a non-member of the Institute, please register as a new web member first before completing an online registration as a ForensIG member.

Participants Auditing and assurance professionals, including members of Small and Medium Practice Discussion Group, ForensIG, and other professionals who want to add to their skillset.

HKICPA CPD credit 2 hours (subject to actual attendance)

Language English

Competency Auditing and Assurance / Forensic Accounting

Rating Foundational / Intermediate level*

Application deadline **Online enrolment by 28 August 2023**
 (Offline enrolment by 25 August 2023)

* Please refer [here](#) for descriptions of the various ratings.

Rundown

10:00 am Introduction
10:05 am Presentation
11:45 am Q&A
12:00 pm Closing

Speakers

Steven Richards
 Senior Managing Director,
 Ankura

David Mardjanov
 Senior Managing Director,
 Ankura

Ke Xu
 Managing Director, Ankura

Chair

Sean Lam
 Member, ForensIG Management
 Committee, and Senior
 Managing Director, Forensic and
 Litigation Consulting, FTI
 Consulting



About the speakers

Steven Richards, Senior Managing Director, Ankura

Steven Richards has over 20 years of experience as an auditor, regulator, forensic accountant, and accounting consultant. Steven has extensive litigation consulting, complex data analysis, forensic accounting, and auditing expertise. Steven has assisted in a variety of investigations, working with both internal and outside counsel in representing accounting firms and partners, boards of directors, special committees, and senior management.

Before joining Ankura, Steve served as advisor to a big four Global and US offices of general counsel. Before that, Steven served as senior advisor to the PCAOB's Director of the Division of Enforcement and Investigations, and special advisor to the PCAOB Chairman on all aspects of PCAOB oversight, including the enforcement program, the inspection program, and risk analysis. Before joining the PCAOB, Steve was an assistant chief accountant in SEC's Division of Enforcement.

David Mardjanov, Senior Managing Director, Ankura

David Mardjanov has 25 years of experience involving financial accounting and reporting, auditing, internal controls, root cause analysis, and PCAOB rules and standards. He has extensive experience across the financial services industry.

Before joining Ankura, David was a regional associate director at the Division of Registration and Inspections of the PCAOB. While at the PCAOB, he served in various leadership roles including leader of the Banking Inspection Group, responsible for executing the domestic and international bank inspections of the six largest global accounting firms, US team leader for a Big Four accounting firm responsible for leading and executing its domestic inspections and related inspection activities: and leader of the broker-dealer inspections of a Big Four accounting firm.

Ke Xu, Managing Director, Ankura

Ke Xu has over 20 years of experience in regulatory oversight with the PCAOB and in auditing with both a big four public accounting firm and a national accounting firm in the U.S.

Before joining Ankura, Ke was an assistant director at the Division of Enforcement and Investigation of the PCAOB. In that role, Ke conducted numerous investigations involving global network accounting firms and both domestic and foreign non-affiliated accounting firms in various auditing and accounting areas, including revenue recognition and allowance for loan losses, resulting in PCAOB's first finding of quality control violations at a domestic global network firm. Prior to her role in enforcement, Ke was an inspection specialist in PCAOB's Division of Registration and Inspections.

Registration

- **Online enrolment by 28 August; offline enrolment by post or e-mail also by 25 August:**

Complete the enrolment form and return it to the Institute by 25 August together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". E-mail registration will be accepted for payment by any VISA/ Master card or the BOC HKICPA UnionPay card.

You may consider your registration to be successful unless you receive notification from us to the contrary.

- Upon successful enrolment, the meeting URL and login password will be provided nearer the event date.
- Contact Ms. Zita Cheung at 2287-7057 or Ms. Ki Wong at 2287-7017 for enquiry.

Disclaimer

- The opinions expressed by external guest speakers are, by their nature, those of the speaker. They are not necessarily endorsed by the Institute or reflect the official policies and views of the Institute or its members.
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- The Institute also takes no responsibility for any loss associated to any person acting or refraining from acting as a result of participation in the event.