

PCAOB Enforcement

PCAOB Attorneys in Maryland, Virginia and Washington DC

The reach of the Public Company Accounting Oversight Board's (PCAOB) effect on accounting firms is now both national and international, including most recently broker-dealer accounting oversight. In our experience, enforcement issues frequently arise from a firm's lack of knowledge about the interrelation between PCAOB's examinations and potential enforcement proceedings. Shulman Rogers provides insight on the confidential hearings into the PCAOB, an assessment of the PCAOB investigations professionals and guidance in complying with the increasingly complex PCAOB related issues.

As a former assistant director of enforcement at the PCAOB, Russell Duncan is well placed to provide insight into the PCAOB accounting board demand process, an assessment of PCAOB investigations and procedures, evaluation of the PCAOB enforcement staff, and guidance in complying with the increasingly complex PCAOB inspections, enforcement and remediation issues.

Related Attorneys

- [Russell Duncan](#)
- [Paul Huey-Burns](#)

Results

Representative Matters:

- We successfully represented a West Coast accounting firm responding to an investigation demand and convinced the PCAOB Division of Enforcement to close its investigation.
- Following a lengthy investigation of an East Coast accounting firm, we convinced the PCAOB to end its investigation and permit the inspection remediation process to be completed.
- We represent an auditing firm in an investigation by the PCAOB regarding audits of its broker-dealer clients under the new PCAOB oversight in this space.
- We represent a major accounting firm regarding its response to Inspection Comments and inquiries from PCAOB Enforcement.
- We represented a CPA and his firm in PCAOB matters after settlement with the SEC. We convinced the PCAOB to take no further action.