



News

Many of our engagements involve matters in which our clients face significant public attention. The following is a list of news stories about the firm, our clients, cases and the results we have achieved.

Partner Steven Perlstein Explores Considerations for Securities Firms Under SEC Amendments

October 26, 2015

At the Securities Industry and Financial Markets Association (SIFMA) Internal Auditors Society (IAS) Annual Conference, Steven Perlstein provided an overview of the new auditing standards applicable to the examination of broker-dealers under the U.S. Securities and Exchange Commission (SEC) amendments to Rule 17a5. Of particular interest to securities firms, Mr. Perlstein highlighted the significant findings from inspections by the Public Company Accounting Oversight Board of the auditors of broker-dealers. Each year, the SIFMA IAS conference examines how securities industry audit, risk management, and compliance leaders are responding to global challenges including geopolitical, economic, technology, cyberthreats, and data issues.

For more information about the presentation or to receive a copy of the materials, please send an email to inquiries@kobrekim.com.