THE VINCENT C. ROSS INSTITUTE OF ACCOUNTING RESEARCH
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ROSS ROUNDTABLE

on

The Sarbanes-Oxley Act of 2002: Ten Years Later

Date/Time: Monday, September 24, 2012 / 4:00 pm to 6:00 pm

Location: New York University
Leonard N. Stern School of Business
44 West Fourth Street
Kaufman Management Center
Cantor Boardroom (Room 11-75)
New York, NY 10012

To Register: Click Here (Please register by Sunday, September 16)

Contact: 212-998-4143 or email jill.seplowitz@stern.nyu.edu

Roundtable Coordinators:

Paul Zarowin, NYU Stern School of Business
April Klein, NYU Stern School of Business

Roundtable Theme:

In response to the accounting scandals enveloping Enron and WorldCom, the U.S. Congress enacted the Sarbanes-Oxley Act of 2002 on July 29, 2002. The preamble of the Act is "to protect investors by improving the accuracy and reliability of corporate disclosures made pursuant to the securities laws, and for other purposes." The Act has received both praise and scorn from regulators, investors, and most recently politicians. This Ross Roundtable brings together a panel of top experts from a range of perspectives to examine in-depth the impact that SOX has had on firms, auditors, investors, and the financial markets. Some questions that they will explore will be:

- Has Sarbanes-Oxley been successful in preventing frauds or was it an overreaction to the accounting scandals of 2001-2001?

- Has Sarbanes-Oxley improved the auditing environment or has it created unnecessary costs for firms and accounting firms?

- What role should the PCAOB play?

- Should small firms be exempt from Sarbanes-Oxley? And if so, from which provisions?

- Has Sarbanes-Oxley improved investor confidence in financial reporting?

Confirmed Roundtable Participants:

- Stephen L. Brown, ***Director of Corporate Governance***, TIAA-CREF

- Matthew Cedergren, ***Ph.D. Student***, Stern School of Business, New York University

- Charles M. Elson, ***Director of the John L. Weinberg Center for Corporate Governance***, University of Delaware and board member of several large U.S. companies

- Adam O. Emmerich, ***Partner***, Wachtell, Lipton, Rosen & Katz

- Kayla J. Gillan, ***Partner***, PwC, and former Deputy Chief of Staff to SEC Commissioner Mary Schapiro, former board member of the PCAOB, and former General Counsel at CalPERS

- Robert H. Herz, ***Executive-in-Residence***, Columbia Business School, and former Chairman of the Financial Accounting Standards Board (FASB) from 2002 to 2010
- Steven B. Harris, ***Board Member***, Public Company Accounting Oversight Board (PCAOB) and former Staff Director and Chief Counsel of the U.S. Senate Banking, Housing, and Urban Affairs Committee under Chairman Paul S. Sarbanes during the consideration and passage of Sarbanes-Oxley
- Paul Washington, ***Deputy General Counsel and Corporate Secretary,*** Time Warner Inc.

CREDITS FOR CONTINUING PROFESSIONAL EDUCATION (CPE)

Learning Objectives:	The Ross Roundtable provides a forum for "public opinion shapers" -- business writers, financial analysts, educators, corporate financial executives, regulators, etc. -- to discuss with policymakers important developments in capital markets and the financial world. To provide ample opportunity for participants to voice their opinions, the size of the Roundtable is limited.
Delivery Method:	Group-live
Program Level:	Update
Prerequisites:	Applicable involvement in the business and/or academic experience in the subject matter.

No fee involved.

No advance preparation needed.

To register for this course, contact Jill Seplowitz, Vincent C. Ross Institute of Accounting Research at 212.998.4143 or visit our website, http://w4.stern.nyu.edu/ross

Complaint Resolution Policy: For information regarding complaint and program cancellation policies, please contact our office at 212.998.4143

Earn 2 CPE credits (based on a 50 minute credit hour).

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