



**THE VINCENT C. ROSS INSTITUTE OF ACCOUNTING RESEARCH**  
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## **ROSS ROUNDTABLE**

on

### **Regulating Broker-Dealers and Other Investment Entities**

**Date/Time:** Monday, April 20, 2009/ 4:00pm to 6:00pm

**Location:** New York University  
Leonard N. Stern School of Business  
44 West Fourth Street  
Kaufman Management Center (KMC)  
Barr-Kawamura Commons, 5-50  
New York, NY 10012

**Contact:** 212-998-4143 or email [aallison@stern.nyu.edu](mailto:aallison@stern.nyu.edu)

**Roundtable Coordinators:**

Seymour Jones, Clinical Professor of Accounting, Department of Accounting,  
Taxation & Business Law

Mark Lilling, CPA, Lilling & Company, LLP

**Roundtable Theme:**

It is alleged that lack of or improper regulation has recently caused adverse effects in our economy. Our roundtable of distinguished academics, professionals, and industry experts will address the merits of this allegation and, to the extent that it is deemed correct, what concrete steps policy makers as well as accounting standard setters can and should take to mitigate these effects.

In addition to the foregoing, the roundtable will discuss the following questions:

1. What type of regulation should be imposed on what type of financial entities in light of the current economic environment?
2. Should Representative Paul Kanjorski's proposed legislation be a model?
3. What effect will permanent regulations have on the recovery in the market place of financial institutions?
4. Should investment entities such as hedge funds and private equity firms be regulated?
5. Should the accounting and the related auditing of these entities be changed?

## CONTINUING PROFESSIONAL EDUCATION CREDITS (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:** Adequate business and/or academic experience.

To register for this course, contact: Autherine Allison, 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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