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help public company auditing firms address potential risks in a proactive and accelerated manner.

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The Center for Audit Quality (CAQ) has published two new member alerts that can help public company auditing firms address potential risks in a proactive and accelerated manner.

“The CAQ and the public company auditing profession are deeply committed to continuously improving audit quality in order to better serve investors and capital markets,” said CAQ Executive Director Cindy Fornelli. “As risks and regulatory

priorities evolve, the CAQ will continue to issue alerts and disseminate the latest

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1. Improving Transparency through Disclosure of Engagement Partner and Certain Other Participants
2. Improper Alteration of Audit Documentation
3. Effective Communication with Audit Committees
4. Assessing and Responding to Risks of Material Misstatement
5. Internal Control over Financial Reporting (ICFR)
6. Segment Identification and Disclosure
7. Going Concern
8. Additional Considerations for the 2016 Audit Cycle

The second of these alerts, [\*Select Auditing Considerations for the 2016 Audit Cycle for Brokers and Dealers\*](#), provides considerations for the 2016 audit cycle that may be relevant for audit and attestation engagements of brokers and dealers registered with the U.S. Securities and Exchange Commission (SEC), including areas that have recently been the subject of attention and focus by the PCAOB in its inspection process.

While these CAQ member alerts highlight certain areas for consideration, they should not be relied upon as definitive or all-inclusive and should be read in conjunction with the applicable rules, standards, and guidance in their entirety.

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