

**FINRA**<sup>®</sup>

**Rule 3110.18**

**Remote Inspections Pilot Program**

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Tech Demo: WSP & Pilot Data Form

August 22, 2024

# | Check your Opt-In submission

# Check your Opt-in form



## Dashboard

Dashboard Settings

### Profile Search



### Regulatory Task Catalog



Browse forms, filings or other regulatory items you want to initiate or learn more.

Search Criteria

Search by Form Name or Rule Number



### Links



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### Requests & Filings



1 Drafts



0 eFOCUS Filings



1 Information Requests



0 Overdue

[All Requests](#)

How can we help?

# WSP Submission: Firm Experience in FINRA Gateway

# WSP Submission



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### Requests & Filings



1 Drafts



0 eFOCUS Filings



1 Information Requests



0 Overdue

[All Requests](#)

How can we help?

# WSPs Submission Error

If the Firm has been made Ineligible or not opted-in for the current pilot year



## Firm is Ineligible:

The member firm is ineligible to participate in the Remote Inspections Pilot Program under Rule 3110.18 at this time. For more information, please contact your [Risk Monitoring Contacts](#).

[RETURN TO REQUESTS AND FILINGS](#)



## Firm not Opted-in:

Firm has not yet opted in the program to submit the WSP. Please opt in first before submitting the WSP. For further information, please contact your [Risk Monitoring Contacts](#).

[RETURN TO REQUESTS AND FILINGS](#)

# Pilot Data Form Firm Experience in FINRA Gateway

SUBMIT IDEA



Dashboard

Dashboard Settings

### Profile Search

### Regulatory Task Catalog

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Search Criteria

### Links

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<a href="#">Distribution Manager</a>	<a href="#">E-Bill</a>
<a href="#">eFOCUS</a>	<a href="#">Exam Waiver Form</a>
<a href="#">FINRA ADDS</a>	<a href="#">FINRA.org</a>
<a href="#">Information Requests</a>	<a href="#">OTC Transparency Data</a>
<a href="#">Over-the-Counter Equities Data</a>	<a href="#">Peer-2-Peer Compliance Library</a>
<a href="#">RegT Extension</a>	<a href="#">Requests and Filings</a>
<a href="#">View Public Offering Dashboard</a>	

### Requests & Filings

<b>3</b> Drafts	<b>0</b> eFOCUS Filings
<b>3</b> Information Requests	<b>0</b> Overdue

[All Requests](#)

How can we help?



SUBMIT IDEA

Browse Regulatory Tasks

Filters



Requests & Filings

Need Help?

Expand all Collapse all Reset

Date

All

Status

Draft

Information Request

Reset

Search Criteria

Search for Work Items

Active (3) Completed

Refresh

Sort By

Create Date

Descending

<a href="#">3110.18 Remote Inspection Pilot Data</a>	Filing ID	Version	Filing Period	Created	Last Updated	Due Date	Status	Actions
Information Request	21dt-s657-xl44	1	07/2024 - 09/2024	08/15/24	08/15/24, 12:28 PM	10/15/24	Draft	N/A
Information Request	19ka-c304-kj54	1	01/2019 - 12/2019	08/15/24	08/19/24, 1:19 PM	12/31/24	Draft	N/A
Information Request	37ka-x147-ed21	1	01/2024 - 06/2024	08/15/24		12/31/24	Draft	N/A

How can we help?

# Amendments

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**Requests & Filings** [Need Help?](#) [Browse Regulatory Tasks](#)

Search Criteria [i](#)

Search for Work Items

Active **Completed (2)**

[Refresh](#) Sort By **Last Update Date**  [Descending](#)

	Filing ID	Version	Filing Period	Created	Last Updated	Due Date	Status	Actions
<a href="#">3110.18 Remote Inspection Pilot Data</a> Information Request	xu84-xju47-0004	1	01/2024 - 06/2024	08/15/24	08/15/24, 2:31 PM	12/31/24	Submitted	<a href="#">Create Amendment</a>

# Print Form

## Total Inspections



If the firm did not inspect any location during the reporting period, please enter "0" in the res

**OSJs** are Offices of Supervisory Jurisdiction

**Supervisory branch offices** are any non-OSJ registered branches that supervise one or more non-bi

**Non-supervisory branch offices** are all other registered branches and required to be inspected at l

**Non-branch locations** are required to be inspected on a regular periodic schedule, presumed to be

OSJs

Supervisory Bran

Total number of offices and locations inspected during this time period (includes both remote and on-site).

3

0

[Completeness Check](#)

[Print Preview](#)

[Save](#)

# Contact

- For Form viewing or FINRA gateway error reach out to Customer Support
- For questions regarding the Remote Inspection forms (WSP, Pilot data) contact your firm's RMA/RMD

# Significant Findings Categories

## OSJ Significant Findings

Select all the categories that apply to the significant findings from OSJs.\*

- |   |  |
|---|--|
| <input type="checkbox"/> Supervision of supervisory personnel and potential conflicts of interests                                | <input type="checkbox"/> Advertising and sales material  |
| <input type="checkbox"/> Sales practices/business conduct   | <input type="checkbox"/> Off-Channel Communications  |
| <input type="checkbox"/> Control of non-public information and Reg S-P issues   | <input type="checkbox"/> Customer Complaints   |
| <input type="checkbox"/> Customer account changes   | <input type="checkbox"/> Safeguarding and Handling of Customer Funds and Securities/Transmittals |
| <input type="checkbox"/> Supervisory deficiencies relating to the preparation and/or distribution of Consolidated Account Reports | <input type="checkbox"/> OBAs/PSTs   |
| <input type="checkbox"/> Other Books and Records  | <input type="checkbox"/> Cybersecurity   |
| <input checked="" type="checkbox"/> Branch Correspondence and Internal Communications   | <input checked="" type="checkbox"/> Other  |

Please provide additional details related to significant finding from **OSJs**

Please describe the **"other"** category selected under **OSJs**.\*