

# FINCA. Rule 3110.18 Remote Inspections Pilot Program

Tech Demo: WSP & Pilot Data Form

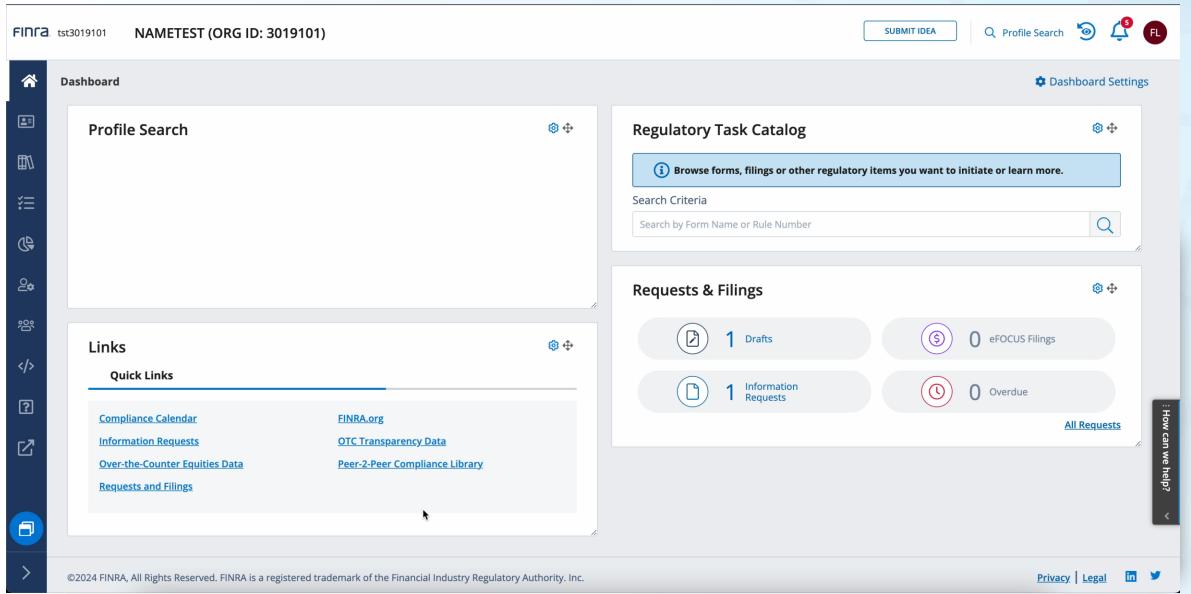
August 22, 2024



## Check your Opt-In submission

## Check your Opt-in form



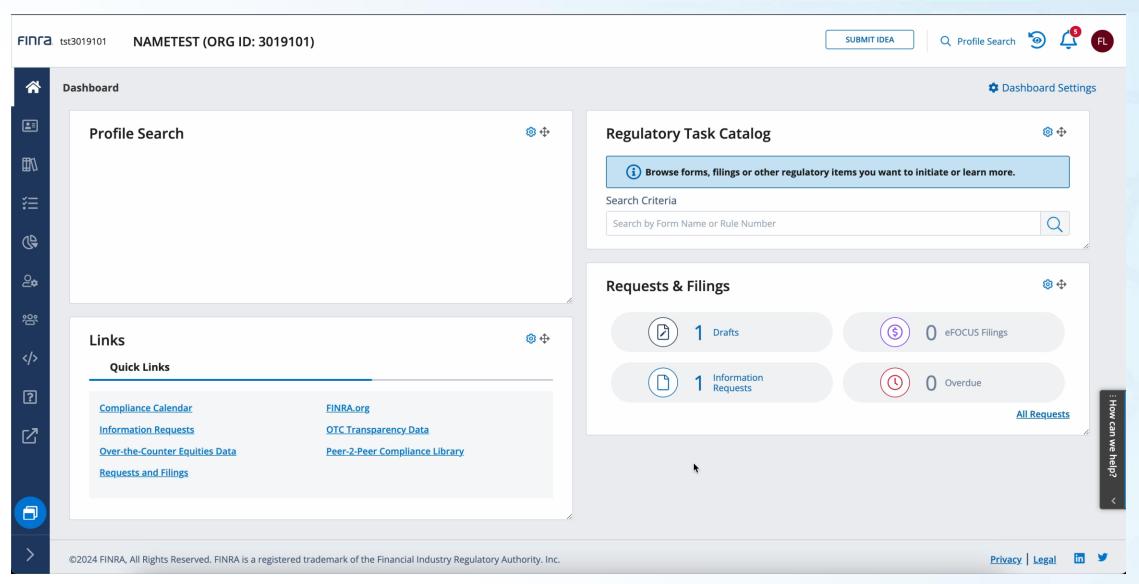




# WSP Submission: Firm Experience in FINRA Gateway







## **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** 



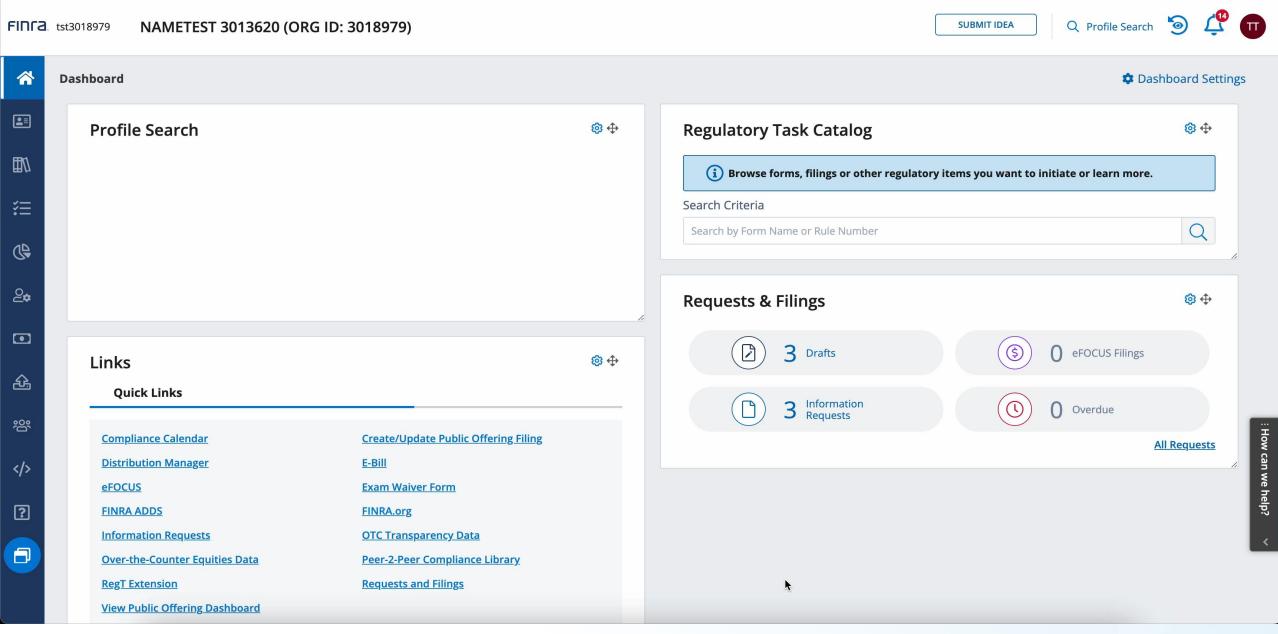
#### Firm not Opted-in:

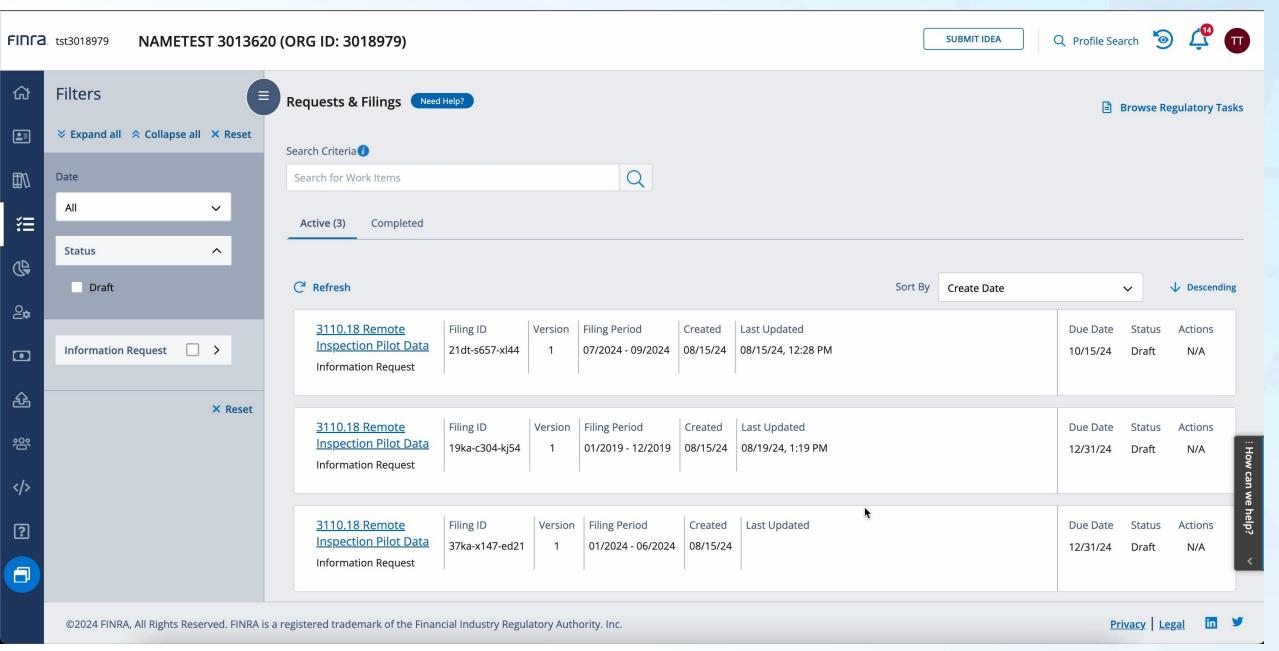
Firm has not yet opted in the program to submit the WSP. Please opt in first before submitting the WSP. For further information, please contact your Risk Monitoring Contacts.

**RETURN TO REQUESTS AND FILINGS** 



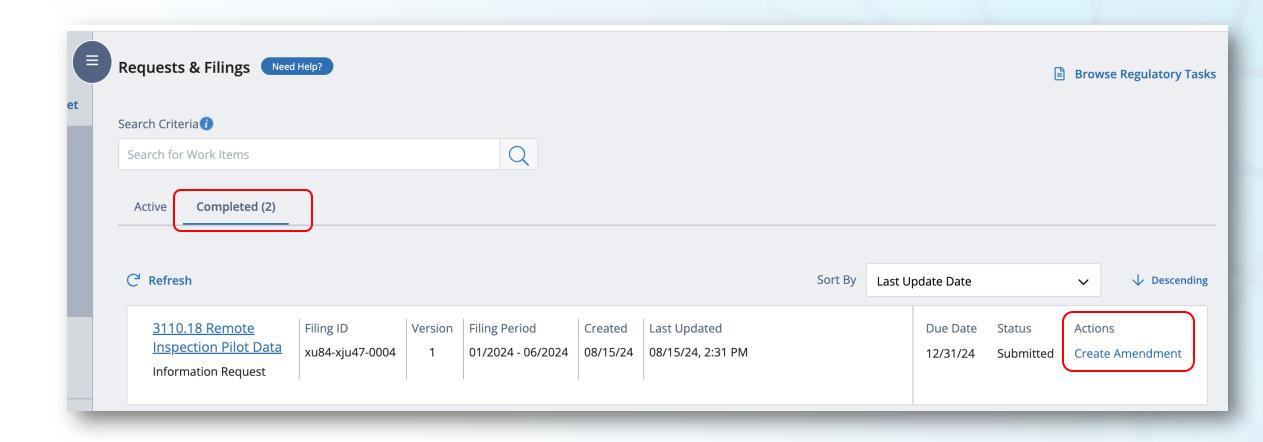
# Pilot Data Form Firm Experience in FINRA Gateway











### **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 le

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

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

OSJs

Supervisory Bran

0

**≡** Completeness Check







- 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





| OSJ Significant Findings   |   |
|--|---|
| Select all the categories that apply to the significant findings from OSJs.*                             |   |
| Supervision of supervisory personnel and potential conflicts of interests                                | Advertising and sales material  |
| Sales practices/business conduct   | Off-Channel Communications  |
| Control of non-public information and Reg S-P issues   | Customer Complaints   |
| Customer account changes   | Safeguarding and Handling of Customer Funds and Securities/Transmittals |
| Supervisory deficiencies relating to the preparation and/or distribution of Consolidated Account Reports | OBAs/PSTs   |
| Other Books and Records  | Cybersecurity   |
| Branch Correspondence and Internal Communications  | <b>✓</b> Other  |
| Please provide additional details related to significant finding from <b>OSJs</b>                        |   |
| Please describe the "other" category selected under OSJs.*   |   |