

**FINra®**

**Rule 3110.18**

**Remote Inspections Pilot Program**

# Opt-in /Opt-out Notice: Firm Experience in FINRA Gateway

***DRAFT CONCEPT OF FUNCTIONALITY  
(May 2024)***

# Entitlement Set-up for Remote Inspection Submission

Firm Users need to confirm with their Super Account Administrator (SAA) if "Information request forms - Submit"- entitlement is present for their FINRA gateway login to view 3110.18 Remote Inspection Opt-in/Opt-out Notice

For the SAA view: Go to Admin → Search User → Edit Entitlement → Search "Information request". Confirm the user checkbox is selected for "Information Request Forms" and "Submit".

***DRAFT CONCEPT OF FUNCTIONALITY (May 2024)***

# Steps for Firm Users to Submit Opt-in/Opt-out Information

- **Log in to FINRA Gateway to find “Forms & Filings”**
  - “Forms & Filings” can be found under quick links; (or)
  - Navigate to “Requests & Filings” to find “Browse Forms & Filings”
- **Click on “Browse Forms & Filings”**
- **Click on “3110.18(i) Remote Inspection Opt-in/Opt-out Notice”.**
  - Click on the “Create” link to opt-in for the pilot program.

# Firm Opt-in/Opt-out Notice Link

## Browse Forms & Filings



Browse forms & filings below to start the process for creating a filing or learn more

### My Filings

### Other Filings

3110.18(i) Remote Inspection Opt-In/Opt-Out Notice

[Create](#) | [Info](#)

Annual Audit

[View](#) | [Info](#)

Customer Margin Balance

[View](#) | [Info](#)

Distribution Manager

[View](#) | [Info](#)

FINRA 4230 (b) - Request for Extension of Time Monthly Report

[View](#) | [Info](#)

FINRA Exam Waivers

[View](#) | [Info](#)

Firm Clearing Arrangements

[View](#) | [Info](#)

Form PF - Private Equity Fund Events Report

[Create](#) | [Info](#)

Form PF - Hedge Fund Events Report

[Create](#) | [Info](#)

Form T Equity Trade Reporting

[View](#) | [Info](#)

Membership

[View](#) | [Info](#)

### Financial Notifications

[View](#) | [Info](#)

### Regulatory Notifications

[Info](#)

Aggregate Indebtedness > 1200% of Net Capital - Rule 17a-11(b)(1)

[Create](#) | [Info](#)

Covered Agency TNC Threshold >\$25 Million or 25% - Rule 4210(e)(2)(H)(ii)d.3

[Create](#) | [Info](#)

Electronic Recordkeeping Systems - Rule 17a-4(f)(3)(v)(A)

[Create](#) | [Info](#)

Failure to Keep Books and Records- Rule 17a-11(c)

[Create](#) | [Info](#)

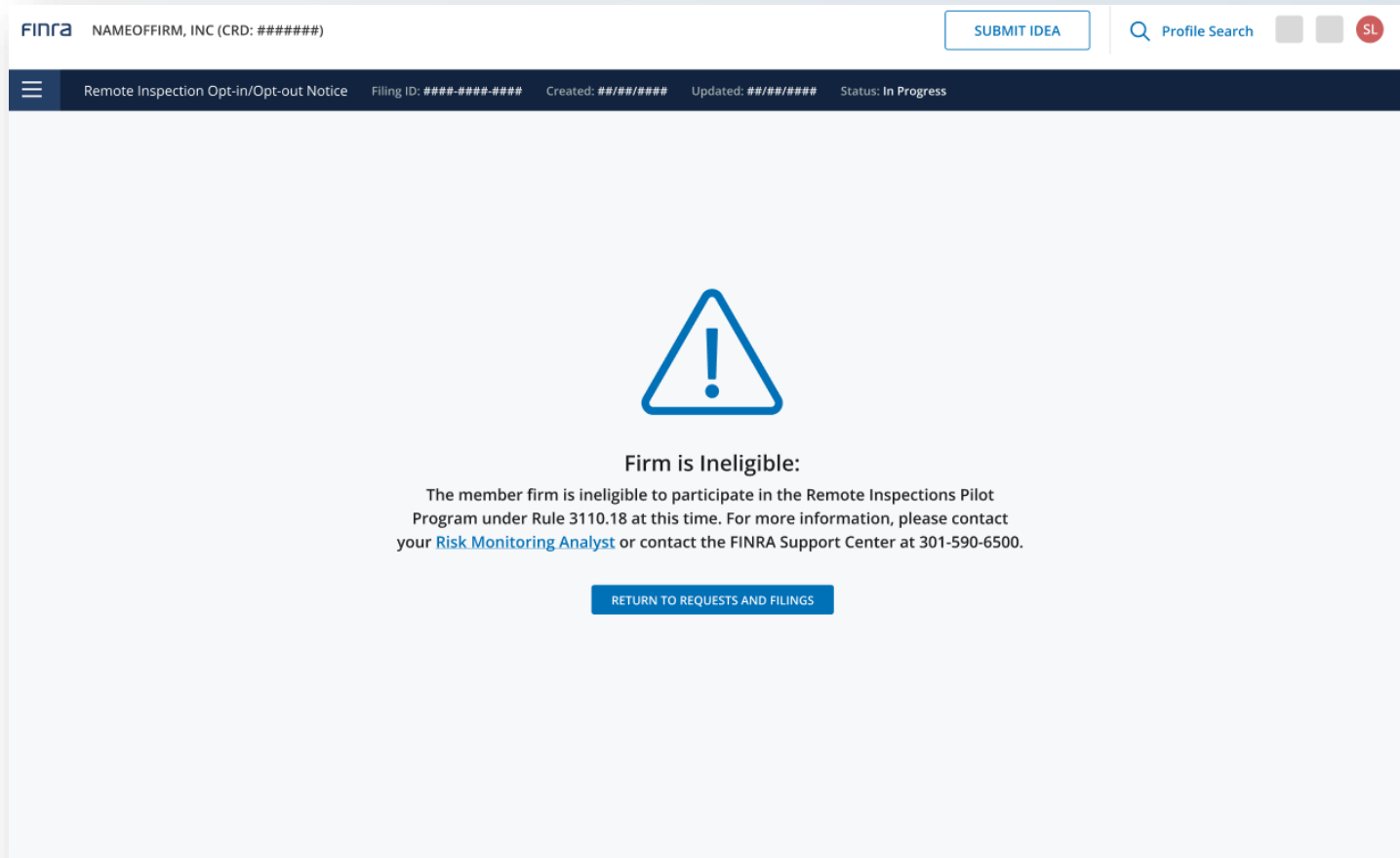
Material Inadequacy and/or Material Weakness - Rule 17A-11(d)(1), (d)(2) & 17a-5(h)

[Create](#) | [Info](#)

Net Capital < 5% Aggregate Debit Items - Rule 17a-11(b)(2)

[Create](#) | [Info](#)

# "Firm Ineligible" View



Certain ineligible firms will see this screen upon clicking the "Create" link to opt-in/opt-out of the Remote Inspections Pilot Program

Clicking the Opt-in/opt-out link will open the form.

Make your selection and click submit.

You will be automatically added to a pilot year based on the window mentioned in the form and your submission time.



# Requests & Filings Card

Filters

Expand all Collapse all Reset

Date

All

Overdue

Status

Scheduled

Draft

Financial / Operational

Regulatory Notifications

Forms and Filings

Information Request

Restricted Firm Deposit Withdrawal Request

Requests & Filings

Browse Forms & Filing

Search Criteria

Search for Work Items

Active (88) Completed

Refresh

Sort By Create Date

Descending

<a href="#">Remote Inspection Opt-In/Opt-Out Notice</a>	Created	Last Updated		Status	Actions	
Information Request	05/08/24	05/09/24, 10:06 AM		Draft		
<a href="#">Regulatory Notifications</a>	Filing ID	Version	Created	Last Updated	Status	Actions
Aggregate Indebtedness > 1200% of Net Capital	250e-2cb5-fd39	1	04/12/24 16:21	04/15/24 14:09	Draft	
<a href="#">Regulatory Notifications</a>	Filing ID	Version	Created	Last Updated	Status	Actions
TNC Threshold >5% or >25%	e3b9-4594-89ac	1	04/05/24 08:33		Draft	
<a href="#">Regulatory Notifications</a>	Filing ID	Version	Created	Last Updated	Status	Actions

The Remote Inspection filing will be in Draft status and on the Active Tab until submission.

The Draft can be deleted if necessary.

Once submitted, filing will be moved to Completed Tab.