

This matrix is provided as a tool to assist Pilot Program participants in collecting the quarterly aggregated data required under FINRA Rule 3110.18(h)(1)(A) – (F) only. Pilot Program participants should review FINRA Rule 3110.18(h) in its entirety, which governs the requirements for quarterly data and other information. This tool may be updated as needed.

REMOTE INSPECTION PILOT PROGRAM (PILOT PROGRAM) / AGGREGATED QUARTERLY DATA MATRIX

FINRA Rule 3110.18(h)(1)(A) – (F) governs the quarterly data and information requirements for each office of supervisory jurisdiction (OSJ), supervisory branch office, non-supervisory branch office and non-branch location of a Pilot Program participant. The first data set is due to FINRA no later than October 15, 2024, covering the period July 1, 2024, through September 30, 2024.

PILOT YEAR: 202Y QUARTER: N

AGGREGATED DATA REQUIRED UNDER FINRA RULE 3110.18(h)(1)		REMOTE INSPECTIONS (Rule 3110.18(h)(1)(B))				ON-SITE INSPECTIONS (Rule 3110.18(h)(1)(C))				
OFFICE OR LOCATION CLASSIFICATION	Total Number of Offices and Locations with Inspections Completed During the Quarter	Number of Offices and Locations Inspected Remotely	Number of Offices and Locations Where Findings Were Identified	Number of Findings	List of Significant Findings	Number of Offices and Locations Inspected On-site	Number of Offices and Locations Inspected On-Site Because of a Finding	Number of Offices and Locations Where Findings Were Identified	Number of Findings	List of Significant Findings
	Rule 3110.18(h)(1)(A)	Rule 3110.18(h)(1)(B)	Rule 3110.18(h)(1)(E)	Rule 3110.18(h)(1)(E)	Rule 3110.18(h)(1)(E)	Rule 3110.18(h)(1)(C)	Rule 3110.18(h)(1)(D)	Rule 3110.18(h)(1)(F)	Rule 3110.18(h)(1)(F)	Rule 3110.18(h)(1)(F)
OSJ (RULE 3110(C)(1)(A))										
SUPERVISORY BRANCH OFFICE (RULE 3110(C)(1)(A))										
NON-SUPERVISORY BRANCH OFFICE (RULE 3110(C)(1)(B))										
NON-BRANCH LOCATION (RULE 3110(C)(1)(C); RULE 3110.13)										

NOTES:

1. A “finding” means a discovery made during an inspection that led to a remedial action or was listed on the member’s inspection report. *See* Rule 3110.18(h)(1).
2. A “significant finding” would be one that should prompt the member firm to take further action that could include escalation to the appropriate channels at the firm for further review, the result of which may be enhanced monitoring or surveillance of a particular event or activity through more frequent inspections (remotely or on-site), on an announced or unannounced basis, of the location, or other targeted reviews of the root cause of the finding. Examples of some findings that may prompt escalation or further internal review by the appropriate firm personnel include, among other things, the use of unapproved communication mediums, customer complaints, or undisclosed outside business activities or private securities transactions. *See* Securities Exchange Act Release No. 98982 (November 17, 2023), 88 FR 82464, 82469 n.82 (November 24, 2023) (SEC Approval Order of File No. SR-FINRA-2023-007).
3. *See also* FINRA Rules 3110.18(h)(1)(G) and 3110.18(h)(4) for the requirements related to written supervisory procedures for remote inspections. *See also* FINRA Rule 3110.18(c).