

This matrix is provided as a tool to assist Pilot Program participants in collecting aggregated data for calendar year 2019 inspection as specified under FINRA Rule 3110.18(h)(3). Pilot Program participants are advised to carefully review FINRA Rule 3110.18(h)(3) in its entirety, which governs the requirements for data covering calendar year 2019. This tool may be updated as needed.

REMOTE INSPECTION PILOT PROGRAM (PILOT PROGRAM) / AGGREGATED DATA MATRIX FOR CALENDAR YEAR 2019

In addition to the aggregated data and information requirements set forth under FINRA Rules 3110.18(h)(1) and 3110.18(h)(2), a Pilot Program participant shall act in good faith using best efforts to collect the data items specified in FINRA Rule 3110.18(h)(3) for each office of supervisory jurisdiction (OSJ), supervisory branch office, non-supervisory branch office and non-branch location. Such data set is due to FINRA no later than December 31, 2024.

PERIOD: Year 2019 DUE TO FINRA BY: December 31, 2024

AGGREGATED DATA REQUIRED UNDER FINRA RULE 3110.18(h)(3)		(Rule 3110.18(h)(3)) ON-SITE INSPECTIONS COMPLETED IN CALENDAR YEAR 2019		
OFFICE OR LOCATION CLASSIFICATION	Total Number of Offices and Locations with Inspections Completed During Calendar Year 2019	Number of Offices and Locations Where Findings Were Identified	Number of Findings	List of Significant Findings
	Rule 3110.18(h)(3)(A)	Rule 3110.18(h)(3)(B)	Rule 3110.18(h)(3)(B)	Rule 3110.18(h)(3)(B)
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).