

- 1. Supervision of Supervisory Personnel and Potential Conflicts of Interests**
- 2. Sales Practices/Business Conduct**
- 3. Control of Non-Public Information and Reg S-P Issues**
- 4. Customer Account Changes**
- 5. Supervisory Deficiencies Relating to the Preparation and/or Distribution of Consolidated Account Reports**
- 6. Other Books and Records**
- 7. Branch Correspondence and Internal Communications**
- 8. Advertising and Sales Material**
- 9. Off-Channel Communications**
- 10. Customer Complaints**
- 11. Safeguarding and Handling of Customer Funds and Securities/Transmittals**
- 12. OBAs/PSTs**
- 13. Cybersecurity**
- 14. Other**