Senior Safe Act Webinar: Identifying and Reporting Suspected Exploitation

NASAA-SEC-FINRA Training
June 15, 2023
Goals of Training

Ways to protect people from financial exploitation

How to detect and address financial exploitation

Regulatory framework around and reporting requirements

Senior and Vulnerable Adult Investor Protection
Connecticut, New Mexico, and Washington require that the training provide additional information ...

State-Specific Training Requirements

Require Training on Senior Investor Protection:

- Connecticut
- Florida
- Nevada
- New Mexico
- Puerto Rico
- Washington
Additional Information for CT, NM & WA

**CT**
Connecticut Commission on Women, Children and Seniors provides materials

**NM**
- “Protecting Vulnerable Adults from Exploitation Act”
- Report to APS and Securities Division
- Refer to NMSA 1978, Section 58-13D-5

**WA**
- Contact APS online or call 866-END-HARM
- Report elder financial abuse to local police
- For investment fraud, call WA DFI at 1-877-746-4334