



FINRA

# Senior Safe Act Webinar: Identifying and Reporting Suspected Exploitation

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NASAA-SEC-FINRA Training

June 15, 2023

# Goals of Training



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Ways to protect people from financial exploitation

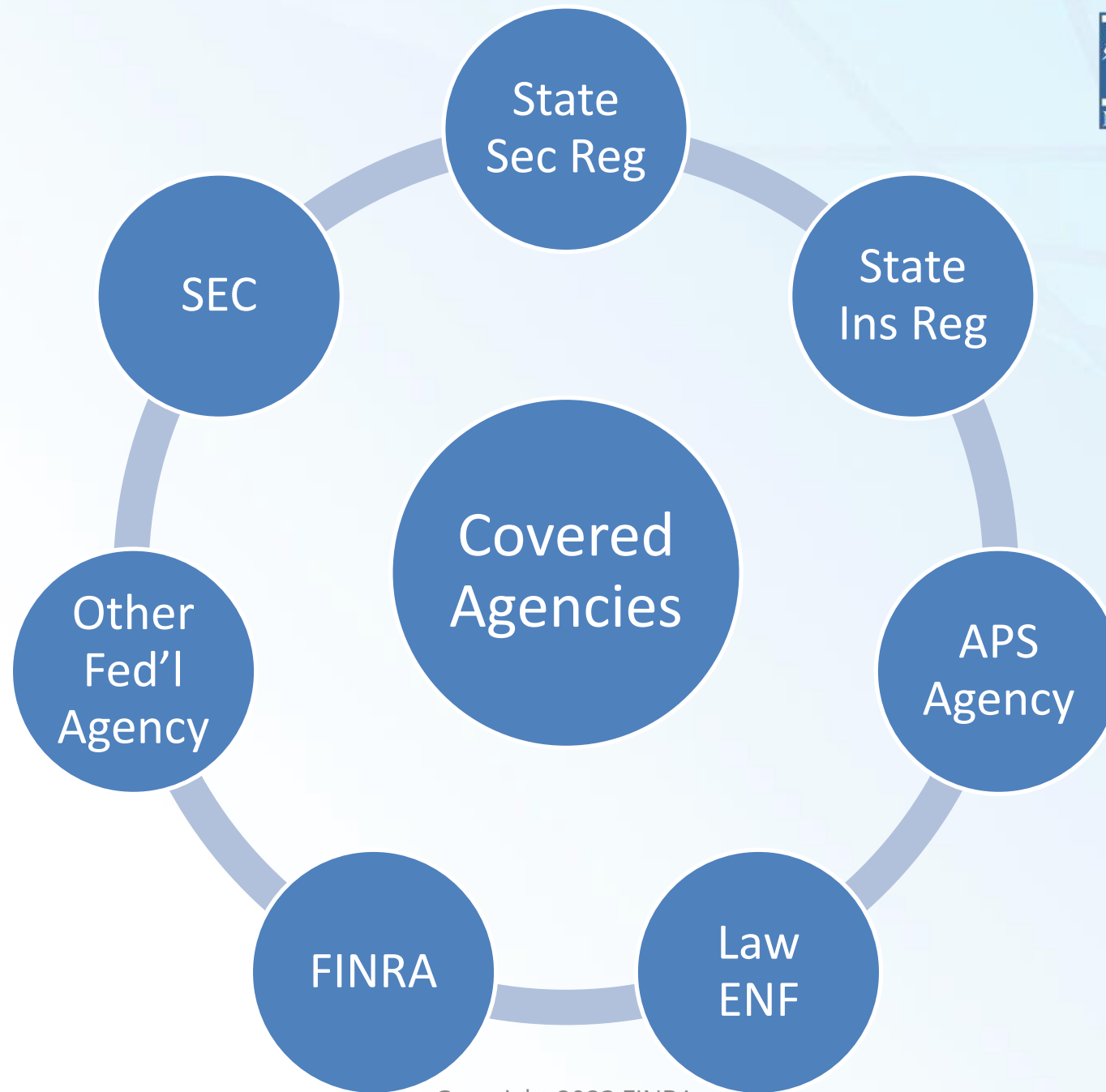


How to detect and address financial exploitation



Regulatory framework around and reporting requirements

Senior and Vulnerable Adult Investor Protection



# State-Specific Training Requirements



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## Require Training on Senior Investor Protection:

- ✓ Connecticut
- ✓ Florida
- ✓ Nevada
- ✓ New Mexico
- ✓ Puerto Rico
- ✓ Washington

**Connecticut**  
**New Mexico, and**  
**Washington** require  
that the training  
provide additional  
information ...

# 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