

Senior/Vulnerable Adult Client Disbursement/Transaction Hold Reporting Requirements (as of 10/15/20)

North Dakota	X	X	YES	NO	65	YES	2	2	2	15	25	YES	http://www.nd.gov/securities/ https://www.nd.gov/dhs/services/adultsaging/vulnerable.html
Ohio				NO									https://www.legislature.ohio.gov/legislation/legislation-documents?id=GA132-SB-158
Oklahoma				YES									http://ifs.ohio.gov/dfs.htm
Oregon	x	x	YES	NO	65	YES	2	2	2	15	25	YES	http://www.ohio.org/services/aps/Pages/default.aspx https://www.oregonlegislature.gov/bills_laws/ors099.html http://www.oregon.gov/DHS/SENIORS-DISABILITIES/ADULT-ABUSE/Pages/index.aspx
Pennsylvania				NO									https://www.doh.pa.gov/Businesses/Securities/Pages/default.aspx http://www.apha.pa.gov/aging-services/Pages/Protective-Services.aspx
Puerto Rico				NO									https://web.archive.org/web/2015011024730/http://www.ocf.gobierno.pr/index_enq.html https://www.seneca-cow.org/get-into-help-to-your-area/quarterly/
Rhode Island	X	X	YES	YES	60	YES	2	3	3	10	NA	YES	https://legiscan.com/RI/bill/S0433/2019 http://www.cha.nj.gov/what-we-do/protect/
South Carolina				YES									http://www.scaa.gov/scasecurities https://dhs.sc.gov/abuseandneglect/report-abuse-and-neglect/ http://dfr.sc.gov/securities/
South Dakota				NO									https://dhs.sd.gov/lts/adultprotective.aspx
Tennessee	X	X	NO	YES	65	YES	2	2	2	15	25	YES	https://www.tn.gov/https://www.tn.gov/commerce/securities-division.html http://www.tn.gov/human-services/article/adult-protective-services http://www.capitol.tn.gov/Bills/110/Bills/HB0304.pdf
Texas	X	X	YES	YES	65	YES	5	5	5	10	30	YES	Notice must be provided the earlier of the date the financial institution completes the assessment of the suspected financial exploitation or five (5) business days after the date the financial institution is notified of the suspected financial exploitation https://www.asb.texas.gov/investor/ https://www.dfps.state.tx.us/adult_Protection/ http://www.capitol.state.tx.us/tlodocs/85R/billtext/pdf/HB03921F.pdf#navpanes=0
Utah	X	X	YES	YES	65	YES	2	2	2	15		YES	https://leg.utah.gov/2018/bills/senate/SB0088.html http://daas.utah.gov/adult-protective-services/#http://daas.utah.gov/adult-protective-services/
Vermont	X	X	YES	NO	65	YES	2	2		15	25	YES	https://dfr.vermont.gov/reg-bul-ord/vermont-securities-regulations https://dip.vermont.gov/aps
Virginia	X	X	NO	YES	60	NO				30		YES	Any financial institution staff who suspects that an adult has been exploited http://www.scc.virginia.gov/sf/index.aspx http://www.dca.virginia.gov/family/aps.aspx
Washington				YES	60	NO	No Specific Timeframe	No Reporting Timeframe	No Specific Timeframe	NA	10 - Sale of a Security 5 - No Sale of a Security	YES	Report of suspected financial exploitation must also be made to Local Law Enforcement Agency http://www.dli.wa.gov/securities https://www.dsha.wa.gov/allsa/home-and-community-services/adult-abuse-and-prevention http://app.leg.wa.gov/RW/default.aspx?cite=74.34.215 http://app.leg.wa.gov/RW/default.aspx?cite=74.34.220
West Virginia	X	X	YES	YES	65	YES	2	2		15	15	Yes	https://www.wvlegislature.gov/Bill_Text_HTML/2020_SESSIONS/RS/bills/HB4377%20SUB%20ENR.pdf https://dhr.wv.gov/bf/Services/Pages/Adult-Protective-Services.aspx
Wisconsin				NO									http://www.wisconsin.gov/securities/ https://www.dhs.wisconsin.gov/aps/index.htm
Wyoming				YES									http://sos.wy.state.wy.us/Investing/Default.aspx https://dfs.wyo.gov/services/elderly-and-disabled/dfs/sites.google.com/a/wyo.gov/dl/web/social-services/adult-protecty-services-app

This report is deemed to be reliable as of October 15, 2020. However, before proceeding verification of requirements should be made with the state securities regulator and/or adult protective services agency, where applicable