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

									/				/
			State Sta	, se	ation is		g to	est sion .v.	omice's	out oney	of tuest from	, dot	
		xir	dissor indicari	Cas (Na C	Zegula	party	of id Moliton of id F	edunis Report	Se Resolu	With Age	nd Redusion in	W to Erre	
		Report	Reportive	to Belluit	actic 4 Third	Days	Sent Hor Cays and Horize	Days to Protect	Days ton Hon	ner of Vent	with Ed and a April	M.	
		Wartebory Red Corr	addor't Prote	Additionable of St.	horizet	Sue the st Days	it siness Legell section	Siness Adulty	siness Legansion	al Munit Distolys	Age I. It of Colicio.		Website
	BD IA	Mia Sec	Ma' Adt	In F Vull Als	Aut	Br. Dis. Cite	Bus Dis Star	Ang etg. Vag	Bus dis Eur	Total cliento Restate	COR IM. Ext.	Comments	https://www.finra.org/rules-quidance/rulebooks/finra-rules/4512
FINRA	х	NA	NA	x-65	YES	2	NA	NA	NA	NA	YES	State Agency may extend time	https://www.linra.org/rules-quidance/rulebooks/finra-rules/2165
State													
Alabama	хх	YES	YES	65	YES	2	2	Not Specific	15	25	YES		http://www.asc.alabama.gov/ http://asc.alabama.gov/Act_2016-141.aspx
Alabalila	^ ^	123	123	65	123	-		Not Specific	13	23	120		https://dhr.alabama.gov/adult-protective-services/
Alaska	x x	YES	YES	65	YES	2	2	2	15	25	YES		http://www.akieg.gov/basis/Bill/Text/30?Hsid=HB01702# http://dhss.alaska.gov/dsds/Pages/aps/default.aspx
Arizona	x x	YES	NO	65	YES	2	2	2	15	25	YES		https://legiscan.com/AZ/text/SB1483/id/2018405 https://des.az.gov/services/basic-needs/adult-protective-services
Arkansas	x x	YES	YES	65	YES	2	2	2	15	25	YES		http://www.securities.arkansas.gov/ http://www.aradultprotection.com/
California	хх	NO	YES	65	YES	2	2	2	15	25	YES		http://www.arkleg.state.ar.us/assembty/2017/2017R/Acts/Act668.pdf http://www.dbo.ca.gov/ http://www.dbo.ca.gov/Adult-Protective-Services
	x x	YES	YES	70	YES	2	2	2	15	25	YES	Report of Investigation to agencies in 7	https://www.colorado.gov/dora/division-securities
Colorado	X X	YES	NO	70	YES	2	2	2	15	25	YES	days; Mistreatment must be reported to a Local Law Enforcement Agency	http://leg.colorado.gov/bills/hb17-1253
Connecticut			NO										http://www.ct.gov/dob/site/default.asp http://www.ct.gov/dos/site/default.asp
Delaware	x x	YES	YES	62	YES	2	5	5	10	40	YES		http://www.delcode.delaware.gov/little31/c038/index.shtml https://hogis.delaware.gov/BillDefail/26343 https://dhss.delaware.gov/htts://main/aps.html
District of			YES										
Columbia													https://disb.dc.gov/ https://disb.dc.gov/page/adult-protective-services
Florida	x x	YES	YES	65	YES	3	3		15		YES		https://www.midmiles.com/service-programs/adult-protective-services https://www.midmiles.com/service-programs/adult-protective-services
Georgia			YES										http://aging.dhs.georgia.gov/adull-protective-services
Hawaii			NO										http://cca.hawaii.gov/sec/ http://humanservices.hawaii.gov/ssd/home/adult-services/
Idaho			NO										http://www.finance.idaho.gov/Securities/Securities.aspx https://acinc.idahto.gov/Securities/Securities.aspx
Illinois			NO										https://www.cyberdriveillinois.com/departments/securities/ https://www2.illinois.gov/aging/ProtectionAdvocacy/Pages/abuse.aspx
Indiana	хх	YES	YES	65	YES	2	3	3	15	30	YES		http://iga.in.gov/static-documents/d/9/4/I/d94fa5d4/HB1526.04.ENRS.pdf https://secure.in.gov/fssa/da/3479.htm
lowa			NO										http://iga.in.gov/static-documents/7/2/e/e/72ee118f/SB0221.06.ENRH.pdf https://iid.iowa.gov/regulated-entities
Kansas			NO NO										http://dhs.iowa.gov/dependent_adult_abuse https://insurance.kansas.gov/securities/
Kentucky	хх	YES	YES	65	YES	2	2	2	15	25	YES		http://www.dcf.ks.gov/services/PPS/Pages/APS/AdultProtectiveServices.aspx https://insurance.kansas.gov/securities/
Kentucky	X X	TES	TES	65	TES	2	2	2	15	25	155	Although no law to report to Securities	https://chfs.ky.gov/Pages/index.aspx http://www.ofi.state.la.us/
Louisiana	x x	NO	YES	60	YES	2	No Reporting	2	15	25	YES	Commission it is recommended by Securities Commission to file with their	http://www.ofi.louisiana.gov/Securities%20Front.htm
Maine	хх	YES	NO	NO	YES	2	7	7	15	25	YES	office	http://dhh.louisiana.gov/index.cfm/page/120 http://maine.gov/pfr/securities/index.shtml
												14-302 of the Family Law Article; The	http://www.maine.gov/dhhs/oads/aps-guardianship/index.html http://www.marylandattorneygeneral.gov/Pages/Securities/default.aspx
Maryland	x x	YES	YES	65	YES	5	Immediately or up to 5	Immediately or up to 5	15	25	YES	regulation allows for a period of time for	https://dhs.maryland.gov/office-of-adult-services/adult-protective-services/ http://mgaleg.maryland.gov/2017RS/chapters_noln/Ch_837_hb1149T.pdf
Massachusetts			NO										https://www.sec.state.ma.us/sct/sctidx.htm http://www.mass.gov/elders/service-orgs-advocates/protective-services-program.html
Michigan			NO										http://www.michigan.gov/lara/0,4601,7-154-61343 32915,00.html http://www.michigan.gov/som/0,1607,7-192-29941 30590-15663,00.html
Minnesota	x x	YES	YES	65	YES	2	2	2	15	25	YES		https://mn.gov/commerce/industries/securities/senior-safe_jsp https://mn.gov/dhs/people-we-serve/seniors/services/adult-protection/
Mississippi	x x	NO	YES	NO	YES	2	No Reporting	2	15	25	YES		www.sos.ms.gov/Securities/Documents/MS%20Securities%20Act%20of%202010%20as%20amended%20July%202017% 2012.pdf https://www.mdhs.ms.gov/adults-seniors/adult-protective-services/
													https://www.mdns.ms.gov/iadults-seniors/adult-protective-services/ http://revisor.mo.gov/main/ViewChapter.aspx?chapter=409
Missouri	x x	NO	YES	NO	YES		No reporting	3	NA		YES		http://www.sos.mo.gov/securities/statutes
Montana	хх	NO	YES	60	YES	2	2	Not Specific	15	25	YES		http://neath.mo.gov/satety/abuse/ http://cshint.gov/ http://dphhs.mt.gov/seniors
	^ ^	NO	1	60	150		2	Not opecine	15	25	150		http://leg.mt.gov/bills/2017/sesslaws/ch0084.pdf
Nebraska			NO										http://dhhs.ne.gov/Pages/Adult-Protective-Services.aspx
Nevada			NO									Report immediately to Adfult Protective	http://mxss.gov/sss http://adsd.nv.gov/ http://gencourt-state.nh.us-bill: Status-billText.aspx?sy=2019&id=108&&bxlFormat=pdf&v=current
New Hampshire			YES	65	Yes	2	2		15	25	YES	Services Services	http://www.dhhs.nh.gov/dcbcs/beas/adultprotection.htm
New Jersey	x x	YES	NO	65		2	2	2	15	25	YES		Julia-Diviwa dijeci, Saine ir, ju sacu i otomik/varpresizoti i "N.E.P.L." hip//nww. stitle, u ju-humansevijes-divaskevijosskijapi ntip/nww. nd stitle mi uskecurities-division/sbod aspy stip/nww. majorije, stitle mi uskecurities-division/sbod aspy stip/nww.majorije, stitle mi uskradi. Protective-Services aspx
New Mexico	x x	YES	YES	65	YES	2	2	2	15	25	YES		http://www.nnlagis.gov/Sessions/17%20Regular/final/HB0326.PDF
New York			NO									Reported to local APS Agency	https://ag.ny.gov/bureau/investor-protection-bureau http://ocfs.nv.gov/main/psa/Default.asp
North Carolina			YES										https://www.sosnc.gov/discisnus/securities http://www.ncdhhs.gov/assistance/adult-services/adult-protective-services

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/dhe/services/adultsaging/vulnerable.html
Ohio			NO										https://www.legislature.ohio.gov/legislation/legislation-documents?id=GA132-SB-158 http://jfs.ohio.gov/ocf/aps.stm
Oklahoma			YES										https://securities.ok.gov/Main/
Okianoma													http://www.okdhs.org/services/aps/Pages/default.aspx https://www.oregonlegislature.gov/bills_laws/ors/ors059.html
Oregon	x x	YES	NO	65	YES	2	2	2	15	25	YES		http://www.oregon.gov/DHS/SENIORS-DISABILITIES/ADULT-ABUSE/Pages/index.aspx
Pennsylvania			NO										https://www.dobs.pa.gov/Businesses/Securities/Pages/default.aspx http://www.aging.pa.gov/aging-services/Pages/Protective-Services.aspx
Puerto Rico			NO										https://web.archive.org/web/20150131024730/http://www.ocif.gobiemo.pr/index_eng.html https://www.napsa-now.org/get-help/help-in-your-area/puerto-ricp/
Rhode Island	хх	YES	YES	60	YES	2	3	3	10	NA	YES		https://legiscan.com/Rt/bill/S0433/2019 http://www.oha.ri.gov/what-we-do/protect/
South Carolina			YES										http://www.scaq.gov/scsecurities https://dss.sc.gov/abuseneglect/report-abuse-and-neglect/
South Dakota			NO										http://dlr.sd.gov/securities/ https://dlhs.sd.gov/ltss/adultprotective.aspx
Tennessee	x x	NO	YES	65	YES	2	2	2	15	25	YES		https://www.tn.https://www.tn.qov/commerce/securities-division.htmlgov/commerce/section/securities http://www.tn.gov/humanservices/article/adult-protective-services http://www.callot.ln.gov/Bill#1708IBH/B0304 df
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.dfps.state.tx.us/adult_Protection/
Utah	хх	YES	YES	65	YES	2	2	2	15		YES		https://le.utah.gov/~2018/bills/static/SB0088.html http://daas.utah.gov/adult-protective-services/
Vermont	хх	YES	NO	65	YES	2	2		15	25	YES		https://dfr.vermont.gov/reg-bul-ord/vermont-securities-regulations https://dip.vermont.gov/reps
Virginia	хх	NO	YES	60	NO				30		YES	Any financial institution staff who suspects that an adult has been exploited	http://www.scc.virginia.gov/srl/index.aspx http://www.dss.virginia.gov/family/as/aps.cqi
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://app.leg.wa.gov/RCW/default.aspx?cite=74.34.215
West Virginia	хх	YES	YES	65	YES	2	2		15	15	Yes		https://www.wvlegislature.gov/Bill Text HTML/2020 SESSIONS/RS/billis/HB4377%20SUB%20ENR.pdf htthttps://dhhr.wv.gov/bcf/Services/Pages/Adult-Protective-Services.aspxp
Wisconsin			NO										http://www.wdfi.org/fi/securities/ https://www.dhs.wisconsin.gov/aps/index.htm
Wyoming			YES										http://soswy.state.wy.us/investing/Default.aspx hthitps://dis.wpo.gov/services/elderly-and-disabled/lps://sites.google.com/a/wyo.gov/dfsweb/social-services/adult-protectiv- services-aps

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 protectice services agency, where applicable