

AGENDA - OLDER INVESTOR ROUNDTABLE

HOSTED BY SEC AND NASAA, FEATURING AARP

April 28, 2022 | 10:00 am to 12:00 pm | [Webcast on sec.gov](https://www.sec.gov)

The **Older Investor Roundtable - hosted by SEC and NASAA, featuring AARP** is a multi-topic listening session intended to encourage input and feedback from senior and older communities. Designed to take a closer look at the needs of older Americans as they relate to investing, this roundtable will focus on issues surrounding the lived experiences of older investors, those with diminished capacity, their loved ones, and caregivers. With a specific eye on rulemaking and policy, this roundtable is an opportunity where older individuals and advocates can share their perspectives with SEC and NASAA Staff and Leadership.

During this two hour-long virtual session, older investors and advocates will engage in a moderated panel discussion with The Investor Advocate and other SEC and NASAA Staff on topics related to their experiences investing. The panelists selected have been screened by AARP, and include diverse and representative viewpoints of their membership. The intent is for the presentations to describe real experiences from seniors, and better understand the “main street investor” perspective from the participants.

Agenda:

10:00 – 10:02 Opening Remarks Adam Anicich

10:02 – 10:07 Welcome Remarks Investor Advocate Rick Fleming and Richard Szuch

10:07 – 10:12 Introductory Remarks Commissioner Hester M. Peirce

10:12 – 11:05 Fraud Overview and Panel Discussion, common frauds perpetrated against older investors, risks associated with digital assets and blockchain technology, rising interest rates and the impact on “safe” bond funds.

Moderated by Nancy LeaMond, Executive Vice President, AARP – a discussion and Q&As

Featuring: Amy Nofziger, Director of Fraud Victim Support, AARP
Mary Bach, Independent Consumer Advocate, and
Chair, AARP Pennsylvania Consumer Issues Task Force
Bill Raker, Retired CEO, Firefly Credit Union (MN)
Byron Peterson, AARP Connecticut Executive Council and Lead
Fraud Watch Network Volunteer
Gary Miller, Senior Enforcement Attorney, SEC’s Miami

AGENDA - OLDER INVESTOR ROUNDTABLE

HOSTED BY SEC AND NASAA, FEATURING AARP

Regional Office

11:05 – 11:10 Mid-Session Remarks Commissioner Caroline A. Crenshaw

11:10 – 11:50 Older Client Servicing and Related Issues Panel Discussion, point-of-Sale Disclosures, Fiduciary responsibilities, Reg BI and Suitability.

Moderated by Richard Szuch, Chief, Enforcement Division, Bureau of Securities, NJ Attorney General's Office, and Chair, NASAA's Senior and Diminished Capacity Working Group – a discussion and Q&As.

Featuring: Lee Baker, AARP Regional Volunteer Director, and Certified Financial Planner
Phillip (Phil) Aidikoff, Securities arbitration attorney, and past President of PIABA
Stephen Brundage, AARP Tax Aide Volunteer

11:50 – 11:55 Program Summary and Recommendations Nancy LeaMond

11:55 – 11:58 Keynote Remarks Chair Gary Gensler

11:58 – 12:00 Closing Remarks Investor Advocate Rick Fleming

Disclaimers: (1) The Securities and Exchange Commission, as a matter of policy, disclaims responsibility for any private publication or statement by any of its employees. The views expressed herein and during the event are those of the author or speaker and do not necessarily reflect the views of the Commission or of the staff of the Commission, or any participating organization. (2) Pursuant to statute, the Investor Advocate shall (A) assist retail investors in resolving significant problems such investors may have with the Commission or with self-regulatory organizations; (B) identify areas in which investors would benefit from changes in the regulations of the Commission or the rules of self-regulatory organizations; (C) identify problems that investors have with financial service providers and investment products; (D) analyze the potential impact on investors of (i) proposed regulations of the Commission; and (ii) proposed rules of self-regulatory organizations registered under this title; and to the extent practicable, propose to the Commission changes in the regulations or orders of the Commission and to Congress any legislative, administrative, or personnel changes that may be appropriate to mitigate problems identified under this paragraph and to promote the interests of investors.