



SENIOR INVESTOR PROTECTION SYMPOSIUM – OCTOBER 29, 2020
REFERENCE MATERIALS

PUBLICATIONS and SPEECHES

AARP – Fraud Watch Network <https://www.aarp.org/money/scams-fraud/>

CFPB – Help for Agents Under a Power of Attorney
https://files.consumerfinance.gov/f/201310_cfpb_lay_fiduciary_guides_agents.pdf

CFPB – Help for Court-Appointed Guardians of Property and Conservators
https://files.consumerfinance.gov/f/documents/cfpb_msem_court-appointed-guardians_guide.pdf

CFPB – Help for Representative Payees and VA Fiduciaries
https://files.consumerfinance.gov/f/201310_cfpb_lay_fiduciary_guides_representative.pdf

CFPB – Help for Trustees Under a Revocable Living Trust
https://files.consumerfinance.gov/f/documents/cfpb_msem_help-for-trustees_guide.pdf

CFPB – Protecting Residents from Financial Exploitation – manual for assisted living and nursing facilities https://files.consumerfinance.gov/f/201406_cfpb_guide_protecting-residents-from-financial-exploitation.pdf

CFPB – Protect Your Identity – What Older Adults Should Know
https://files.consumerfinance.gov/f/documents/cfpb_identity_protection_guide.pdf

CFPB/Treasury/FinCEN – Joint Memorandum on Financial Institution and Law Enforcement Efforts to Combat Elder Financial Exploitation
https://www.fincen.gov/sites/default/files/2017-08/8-25-2017_FINAL_CFPB%2BTreasury%2BFinCEN%20Joint%20Memo.pdf

DOJ – Elder Justice Initiative – Financial Scams
<https://www.justice.gov/elderjustice/file/926416/download>

DOJ – Elder Justice Website <https://www.justice.gov/elderjustice/file/926426/download>

FDIC/CFPB – Money Smart for Older Adults – Instructor Guide (2018)
<https://www.fdic.gov/consumers/consumer/moneysmart/olderadult.html>

FDIC/CFPB – Money Smart for Older Adults – Resource Guide (2018)
<https://www.fdic.gov/consumers/consumer/moneysmart/olderadult.html>

FINRA – Fighting Fraud 101 – Smart Tips for Investors

https://secure.in.gov/sos/securities/files/FINRA_Fighting_Fraud_101.pdf

FINRA – Protecting Seniors from Financial Exploitation

https://www.finra.org/sites/default/files/Protecting-Seniors-From-Financial-Exploitation_0.pdf

FINRA – Protecting Senior Investors [https://www.finra.org/sites/default/files/2020-](https://www.finra.org/sites/default/files/2020-04/protecting-senior-investors-2015-2020.pdf)

[04/protecting-senior-investors-2015-2020.pdf](https://www.finra.org/sites/default/files/2020-04/protecting-senior-investors-2015-2020.pdf)

FINRA – Senior Investors Topic Page <https://www.finra.org/rules-guidance/key-topics/senior-investors>

FINRA – Securities Helpline for Seniors [https://www.finra.org/investors/have-](https://www.finra.org/investors/have-problem/helpline-seniors)

[problem/helpline-seniors](https://www.finra.org/investors/have-problem/helpline-seniors)

FINRA – Regulatory Notice – SEC Approves Rules Relating to Financial Exploitation of Seniors

<https://www.finra.org/rules-guidance/notices/17-11>

FINRA – FAQs on Rules 4512 and 2165 [https://www.finra.org/rules-](https://www.finra.org/rules-guidance/guidance/faqs/frequently-asked-questions-regarding-finra-rules-relating-financial-exploitation-seniors)

[guidance/guidance/faqs/frequently-asked-questions-regarding-finra-rules-relating-financial-exploitation-seniors](https://www.finra.org/rules-guidance/guidance/faqs/frequently-asked-questions-regarding-finra-rules-relating-financial-exploitation-seniors)

FTC – Protecting Older Consumers 2018-2019 – Report to Congress

https://www.ftc.gov/system/files/documents/reports/protecting-older-consumers-2018-2019-report-federal-trade-commission/p144401_protecting_older_consumers_2019_1.pdf

FINRA – Office of Investor Education and Advocacy

<https://www.finra.org/investors/insights/consider-adding-trusted-contact-to-your-account>

IL SOS – Identify and Report Investment Fraud – Information for Adult Protective Services

Professionals https://www.cyberdriveillinois.com/publications/pdf_publications/sec344.pdf

IL SOS – Investment Guide for Illinois Consumers

https://www.cyberdriveillinois.com/publications/pdf_publications/sec_pub9.pdf

IL SOS – Securities Fraud against Senior Citizens (Illinois Department of Securities)

https://www.cyberdriveillinois.com/publications/pdf_publications/sec245.pdf

NASAA – Guide for Developing Practices and Procedures for Protecting Senior Investors and Vulnerable Adults from Financial Exploitation

<https://www.tn.gov/content/dam/tn/commerce/documents/securities/posts/NASAA-Guide-For-Developing-Practices-and-Procedures-For-Protecting-Senior-Investors-and-Vulnerable-Adults-From-Financial-Exploitation.pdf>

SEC – 2020 National Examination Program Priorities

<https://www.sec.gov/about/offices/ocie/national-examination-program-priorities-2020.pdf>

SEC – A Guide for Seniors <https://www.sec.gov/investor/seniors/guideforseniors.pdf>

SEC – Commissioner Lee’s Remarks at the SEC Roundtable on Combating Elder Investor Fraud – 2019 <https://www.sec.gov/news/public-statement/lee-remarks-sec-roundtable-combating-elder-investor-fraud>

SEC – Commissioner Roisman’s Remarks at the SEC Roundtable on Combating Elder Investor Fraud – 2019 <https://www.sec.gov/news/public-statement/statement-roisman-100319>

SEC – Elder Financial Exploitation Whitepaper <https://www.sec.gov/files/elder-financial-exploitation.pdf>

SEC – Help for Adult Protective Services Workers Encountering Senior Investor Fraud <https://www.sec.gov/files/IB%20Help%20for%20APS%20Seniors%20508.pdf>

SEC – How the SEC Works to Protect Senior Investors <https://www.sec.gov/files/how-the-sec-works-to-protect-senior-investors.pdf>

SEC – Investor Alert on Ponzi Schemes Targeting Seniors https://www.sec.gov/oiea/investor-alerts-and-bulletins/ia_ponziseniors

SEC – Senior Safe Act Fact Sheet <https://www.investor.gov/senior-safe-act-fact-sheet>

USPIS – Let’s Stay Safe Financially https://www.uspis.gov/wp-content/uploads/2019/08/Lets-Stay-Safe-Financially_508.pdf

USPIS – Supporting and Protecting Senior Victims <https://www.uspis.gov/tips-prevention/older-americans/>

DOJ CASES

USA v. Booy – Press Release <https://www.justice.gov/usao-ndil/pr/north-suburban-man-sentenced-5-years-federal-prison-operating-ponzi-scheme-swindled> and Criminal Complaint <https://www.justice.gov/usao-ndil/press-release/file/920341/download>

USA v. Zamoras – Press Release <https://www.justice.gov/usao-ndil/pr/north-suburban-financial-adviser-charged-fraud-allegedly-swindling-25-million-elderly> and Information Information: <https://www.justice.gov/file/1140691/download>

USA v. Glick – Press Release <https://www.justice.gov/usao-ndil/pr/chicago-investment-advisor-charged-fraud-allegedly-misappropriating-more-5-million> and Information <https://www.justice.gov/opa/page/file/1036986/download>

SEC CASES

SEC v. Ernest J. Romer, III <https://www.sec.gov/litigation/litreleases/2018/lr24274.htm>

SEC v. John Gregory Smith <https://www.sec.gov/litigation/complaints/2018/comp24287.pdf>

SEC v. John Maccoll <https://www.sec.gov/litigation/litreleases/2018/lr24230.htm>

SEC v. Kimberly Sredich <https://www.sec.gov/litigation/litreleases/2019/lr24456.htm>

SEC v. Mark L. Hopkins <https://www.sec.gov/litigation/litreleases/2020/lr24856.htm>

SEC v. Glick <https://www.sec.gov/litigation/litreleases/2017/lr23794.htm>