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Protecting Older Investors from Investment Fraud

1. Overview of Investment Fraud
 - a. Securities Fraud Generally
 - b. Use of Technology (Internet and Social) by Fraudsters
 - i. Case Example
 - ii. Social Media Examples
 - c. Fraud Targeting Older Americans

2. Helping Older Investors Spot Fraud
 - a. Red Flags of Fraud
 - b. Fraudsters' Persuasion Tactics
 - c. Registration/Licensing and the Importance of Background Checks

3. Planning for Diminished Capacity

4. SEC's Role
 - a. ENF cases
 - b. OCIE examinations
 - c. Outreach – (including video)

5. Actions to Take

- a. Senior Safe Act
- b. FINRA rules
- c. Resources (national, state, and local)