



HELPLINE FOR SENIORS

SECURITIES HELPLINE FOR SENIORS IS A TOLL-FREE NUMBER THAT INVESTORS CAN CALL. TEN-THOUSAND AMERICANS WILL TURN SIXTY-FIVE YEARS OLD EVERY DAY. WE RECOGNIZE THAT THERE IS AN AGING POPULATION OF INVESTORS WHO HAVE A NEST EGG THAT THEY WANT TO PROTECT. IN THE LAST FIVE YEARS, THE SENIOR HELPLINE HAS FIELDDED OVER EIGHTEEN-THOUSAND CALLS. WE HAVE MADE OVER FOURTEEN-HUNDRED REFERRALS TO OTHER REGULATORY AGENCIES. WE HAVE MADE OVER TWO-HUNDRED REFERRALS TO ADULT PROTECTIVE SERVICES AND OVER SEVEN MILLION DOLLARS HAS BEEN RETURNED TO INVESTORS. SECURITIES HELPLINE FOR SENIORS IS AN ADDITIONAL RESOURCE FOR SENIOR INVESTORS IF THEY HAVE QUESTIONS ABOUT THEIR INVESTMENTS OR CONCERNS ABOUT THEIR BROKERAGE ACCOUNT OR REGISTERED REPRESENTATIVE. WE RECEIVED A CALL INTO THE HELPLINE FROM A SENIOR INVESTOR WHO HAPPENED TO BE A BLIND WAR VETERAN. A REGISTERED REPRESENTATIVE HAD INGRATIATED HIMSELF WITH HIM AND OFFERED TO HELP HIM PURCHASE A CONDO AND BECAUSE THE CALLER WAS BLIND, THE REGISTERED REPRESENTATIVE OFFERED TO FILL OUT THE PAPERWORK FOR HIM. WHEN HE WENT TO SELL THE CONDO, HE REALIZED THAT THE REGISTERED REPRESENTATIVE HAD ADDED HIS OWN NAME TO THE CONDO DOCUMENTS RATHER THAN THE CALLER'S NAME AND HAD USED THE CALLER'S FUNDS IN ORDER TO PURCHASE THE CONDO. ULTIMATELY, WE WERE ABLE TO BAR HIM FROM THE INDUSTRY. A CALLER CAN EXPECT THE CALL TO BE ANSWERED BY AN EXPERIENCED ANALYST WHO WILL ASK A VARIETY OF QUESTIONS. YOU WILL GET AN ACTUAL PERSON WHO IS EXPERIENCED IN DEALING WITH MANY DIFFERENT THINGS. THEY ARE COMPASSIONATE, THEY TAKE THEIR TIME. IT'S DEFINITELY NOT JUST A CALL CENTER. WE REALLY LISTEN TO PEOPLE, HEAR THEIR CONCERNS AND TRY TO POINT THEM IN THE RIGHT DIRECTION.