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Sent: Thursday, March 1, 2018 1:57 PM
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Save The Date

Please mark your calendars for Tuesday, October 9th for our annual client market update seminar and luncheon. It will be held again this year at Lockkeepers in Valley View, Ohio. We plan to

use a similar format to last year with short presentations from our guest speakers followed by an extended question and answer discussion period. More details to come as the date gets closer.

Securities Industry Update

The topic of senior investors, particularly with regard to diminished capacity, elder abuse, and financial exploitation, continues to be a top priority for industry regulators. Two new securities rules have recently been announced to address these concerns.

FINRA recently released rule 2165 with the protection of senior investors in mind. This rule allows our Broker Dealer, Cambridge, to place a temporary hold on a client's account if we have reasonable belief financial exploitation has occurred, is occurring, or will occur in order to further investigate the matter. This rule allows firms to hold requested disbursements for a specified timeframe if it is believed financial exploitation is occurring. If exploitation is suspected an investigation will be conducted.

FINRA rule 4512 requires broker dealers to request "trusted contact" information for every new account opened as part of the customer account information form. A trusted contact is defined as an individual authorized to discuss the client's health status, current contact information, suspicion of dementia or other forms of diminished capacity as well as address concerns of possible financial exploitation. A trusted contact is not authorized to contact us or our broker dealer to transact business on the client's behalf or to obtain confidential information related to the client without appropriate legal authority, such as with a power of

attorney. The trusted contact will be used if our office or Cambridge is unable to reach the client or if financial exploitation concerns arise.

If you would like to add a trusted contact on an existing account, please contact our office and we will be happy to have them added for you on an account level basis.

**Best Regards,
The Parkhurst Team**



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