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State of Utah
Department of Commerce
Division of Securities

MARGARET BUSSE
Executive Director

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Director, Division of Securities

CLEAR FORM BUTTON

POSSIBLE FINANCIAL EXPLOITATION OF A VULNERABLE ADULT REPORT FORM

Instructions: Use this form to comply with the reporting requirements under the Utah Uniform Securities Act § 61-1-202 (1) (a) and 61-1-204 (1) (d) (ii) when a firm or firm agent has a reasonable belief of possible financial exploitation of person age 65 or older and persons under age 65 with diminished capacity that meets the definition of a vulnerable adult.

NOTE: This form does not satisfy the mandatory reporting requirement of Utah Law §62A-3-305 requiring persons who have reason to believe that a vulnerable adult is being abused, neglected, or exploited (including financial exploitation) must immediately notify Utah Adult Protective Services online form <https://utahaps.com/Intake/NewPublicIntakeReport.aspx>, APS Phone 800-371-7897 and/or the nearest law enforcement office.

1. Date of Report to Utah Adult Protective Services
2. Date of Report to the Utah Division of Securities
3. Reporting Firm Name
4. Reporting Firm Address
5. Reporting Firm Agent Name
6. Reporting Firm Agent Contact Information
E-mail Address
Phone Number
7. Attempted Dollar Account Loss
8. Actual Dollar Account Loss

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securities@utah.gov •

The telephone number for questions is (801) 530-6600

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9. Client's Full Name

10. Client's Age

11. Client's Account Number

12. Client's Contact Information

Email Address

Phone Number

Mailing Address

13. A brief description of the incident that led to the firm's reasonable suspicion of financial exploitation.

14. Were any transactions delayed or denied?

15. If Yes to Q11, what was the date(s) of the delayed or denied transaction(s)?

16. If Yes to Q11, provide a brief description of the delayed transaction.

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Additional space for any other information the firm believes to be useful to the Division:

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