



Agencies and Resources



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SECRETARY OF STATE

About this Presentation

- This presentation was created to assist brokerage industry agents and sales assistants in identifying financial exploitation of the elderly, as well as learning key steps in the reporting process.
- Unless otherwise indicated, nothing in this presentation is meant to be construed as legal, statutorily defined language.
- Unless otherwise specifically noted, the term “financial exploitation” should be read in the broad sense to include all adults whether or not dependent or incapacitated.
- The information provided in these materials is general information and is not intended, or to be relied upon, as legal advice. While the information pertains in part to legal issues, it is not intended as a substitute for the particularized advice of your own counsel. Anyone seeking specific legal advice or assistance should retain an attorney.

Missouri Secretary of State Securities Division

- The Securities Division handles investigations of financial exploitation. When you file a Notice of Concern, the Securities Division will assign an investigator and attorney to evaluate the claim.
- The Securities Division is responsible for the administrative enforcement against Securities Fraud.
- Hotline: (800) 721-7996
- Investigations: (573) 751-4704
- Email: securities@sos.mo.gov
- Address: 600 W. Main Room 229
P.O. Box 1276
Jefferson City, MO 65101
- Website: <http://www.sos.mo.gov/securities>

Missouri Department of Health and Senior Services: Special Investigation (“DHSS”)

- When a Notice of Concern is filed, DHSS works with the Securities Division to investigate the claim and runs a parallel investigation into the matter.
- Along with the Attorney General’s Office and local prosecutors, DHSS is responsible for enforcing protections against financial exploitation of the elderly and disabled.
- Hotline: (800) 392-0210
- Investigations: (573) 522-4150
- Email: hlstate@health.mo.gov
- Address: 912 Wildwood
PO Box 570
Jefferson City MO 65102
- Website: health.mo.gov/seniors/mosafe

Missouri Attorney General: Consumer Protection Division

- The Missouri Consumer Protection Division works to ensure businesses and consumers can operate in a fair market without fraud, deception or unfair practices.
- The office investigates complaints, assists in litigation subpoenas and otherwise prepares for trials.
- Further, the Attorney General's Office can settle disputes as well as initiate both civil and criminal prosecution against those accused of financial exploitation.
- The office is responsible for enforcing the Missouri Merchandising Practices Act and protecting against securities fraud and financial exploitation of the elderly or disabled.
- Hotline: (800) 392-8222
- Consumer Protection: (573) 751-6887
- Email: consumer.help@ago.mo.gov
- Address: 207 W. High Street
P.O. Box 899
Jefferson City, MO 65102
- Website:
ago.mo.gov/divisions/consumer

Missouri Department of Insurance, Financial Institutions and Professional Registration (“DIFP”)

- The Missouri DIFP regulates many financial institutions.
- They are responsible for ensuring the safety and soundness of these institutions and monitoring their compliance with laws and regulations.
- The DIFP is responsible for enforcing the Fraudulent Insurance Act.
- Hotline: (800) 726-7390
- Investigations: (573) 751-1922
- Email: finance@dof.mo.gov
- Address: Truman State Office Building
Room 530
P.O. Box 690
Jefferson City, MO 65102
- Website: difp.mo.gov

Sources

- Missouri Department of Health and Senior Services, et al. (2015). Combating Financial Exploitation of the Elderly: The Role of the Brokerage Industry Personnel. [PowerPoint Presentation].
- Missouri Securities Division. (2015). Quick Response Chart for Front Line Personnel.

