45A.04 THIRD-PARTY DISCLOSURES.

If a broker-dealer, investment adviser, or financial services provider reasonably believes that financial exploitation of an eligible adult may have occurred, may have been attempted, or is being attempted, a broker-dealer, investment adviser, or financial services provider may notify a third party reasonably associated with the eligible adult or any other person permitted under state or federal law or rule, rules of a self-regulating organization, or customer agreement. Disclosure may not be made to a third party that is suspected of financial exploitation or other abuse of the eligible adult.

History: *2018 c 161 s 4; 2020 c 85 s 4*