

# Jack Clabby Authors Article in ABA Securities Litigation Journal on New FINRA Rules for Senior Investors

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Carlton Fields securities and derivatives litigation Shareholder John “Jack” Clabby co-authored the *American Bar Association Securities Litigation Journal* article, “Two New FINRA Rules for the Protection of Senior Investors,” reviewing recently enacted rule changes designed to protect senior and other vulnerable investors from financial exploitation.

One of the rules allows members to place a temporary hold on the disbursement of funds or securities from the account of a specified adult if the member reasonably believes that financial exploitation of the specified adult has occurred, is occurring, has been attempted, or will be attempted.

The other rule requires members to identify a trusted contact person over the age of 18 who may be contacted about the customer’s account.

Clabby urges members to proactively reexamine their infrastructure, policies, procedures, and training to secure support for the rules and their intended beneficiaries.

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John E. Clabby

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