LEVEL FOUR®
Financial
A DIVISION OF
LEVEL FOUR GROUP, LLC

12400 Coit Road Suite 700
Dallas, TX 75251
866-834-1040 (office)
866-763-9136 (fax)

LFF019	
Form #	Account #
Branch #	FA #

Senior Incident Report

1. Client Name_____
2. Client Age: _____
3. Is client considered disabled or otherwise impaired? ☐ Yes ☐ No
4. Reporting person/representative: _____
5. Date of Incident _____
6. Date incident discovered _____
7. Client State of residence _____
8. Which of the following best describes how you initially learned about the incident?
   - ☐ Red Flags detected by you
   - ☐ Client communication of concern to you
   - ☐ Client whose information was potentially compromised and reported to you
   - ☐ Internal personnel communication to you
   - ☐ Other _____
9. Category of incident:
   - ☐ Third party/abuse/exploration
   - ☐ Distributions/Excessive withdrawals
   - ☐ Family member taking advantage with or without POA, Trustee or POA taking advantage
   - ☐ Diminished capacity
   - ☐ Combined Diminished capacity & Third Party abuse
   - ☐ Fraud
   - ☐ Uncharacteristic activity

10. Describe Incident:

11. Has client reported the issue to any other professional? (Attorney, CPA, etc.) ☐ Yes ☐ No
12. Has the account been documented with notes? Yes/No Where is documentation?
    _____
13. Were funds transferred out of any client account with Level Four? ☐ Yes ☐ No

Details: _____

14. Was the Trusted Contact the person the Senior or the issue is of concern? ☐ Yes ☐ No
15. Name of Trusted Contact Person on account for client:_____
16. Have you reached out to the Trusted Contact Person? ☐ Yes ☐ No If yes, when?_____
17. Were any resources provided to the client? FINRA Senior Hotline, etc. ☐ Yes ☐ No

Describe:_____

18. Action Taken from incident:_____

Resentative Name:_____Representative Signature:_____Date:_____

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Supervisory/Compliance Review

1. Incident Number:
2. Date Reported:
3. Describe Additional Action Taken:
4. State Resources reviewed/submissions/SAR, etc.:
5. Conclusion:

Level Four Financial, LLC - Member FINRA & SIPC

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