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April 4, 2022

VIA USPS

Office of the Attorney General
Identity Theft Unit
200 St. Paul Place
Baltimore, MD 21202

To Whom It May Concern:

We represent Wealth Strategy Advisors, LLC ("WSA"), a financial services and wealth management firm, with respect to a security incident involving exposure of certain personally identifiable information described in more detail below. WSA is committed to answering any questions you may have about the security incident, its response, and steps taken to minimize the risk of a similar incident in the future.

1. Nature of security incident.

In May 2021, WSA became aware of suspicious activity associated with one of its corporate email accounts. WSA investigated the activity and implemented additional security measures, such as multi-factor authentication, on its email environment. WSA was unable to determine whether any information in the email account was accessed or acquired as a result of the suspicious activity. Thus, out of an abundance of caution, WSA is notifying all clients of the incident and providing them with credit monitoring and identity protection services. Information that may have been present in the account includes individuals' names, addresses, Social Security numbers, and financial information or information related to investment or retirement accounts, if the client sent this information to WSA via email.

2. Number of residents affected.

One (1) Maryland resident was affected and notified of the incident. A notification letter was issued to the impacted individual on April 4, 2022 via regular mail. A copy of the template notification letter is enclosed.

3. Steps taken relating to the incident.

Since the incident, WSA has taken steps to minimize the risk of this happening in the future, including but not limited to resetting all passwords and enabling multi-factor authentication for all email accounts. Additionally, credit monitoring and identity protection services through Kroll were offered at no cost for twelve months.

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4. Contact information.

WSA takes the security of the information in its control seriously and is committed to ensuring it is appropriately protected. If you have any questions or need additional information, please do not hesitate to contact me at mventrone@clarkhill.com or (312) 360-2506.

Very truly yours,

CLARK HILL

A handwritten signature in black ink, appearing to read "M K Ventrone", with a horizontal line extending to the right.

Melissa K. Ventrone
Member

(Enclosure)

April 4, 2022

[Name]
[Address]
[City, State, Zip]

Notice of Data Security Incident

Dear [Name],

As a follow up to our May 4, 2021 email, Wealth Strategy Advisors, LLC ("Wealth Strategy Advisors") wanted to let you know about the results of their investigation into the activity mentioned in that email. The investigation determined that your personal information may have been compromised, and while we are unaware of any misuse of this information, we wanted to let you know about this event, steps you can take to protect your information, and resources we are making available to help you. We respect the privacy and security of your information and sincerely apologize for any concern or inconvenience this may cause you. To date, there have been no complaints or issues from any of our clients and technology support teams.

What Happened?

We discovered suspicious activity relating to an employee's email account. Upon discovery, we took immediate steps to secure the account which included changing passwords and enabling additional security controls and protections. We also began an investigation to determine what occurred and whether any information in the account was at risk of compromise. The investigation determined that there was unauthorized access to the account, and further determined that your information was present in the account at the time of the access. While we believe misuse of your information is unlikely, we wanted to let you know about this incident out of an abundance of caution.

What Information Was Involved?

We reviewed the information in the account and determined that your name, address, date of birth, Social Security number, financial account information, and other information that you may have provided to us via email were present.

What We Are Doing:

We are committed to protecting the confidentiality and security of your personal information. Since the discovery of the incident, we have taken steps to protect our email system and mitigate the risk of future issues including resetting passwords and implementing multi-factor authentication for remote access to our email environment. All National Financial Services (NFS) account information is accessed using multi-factor authentication, limiting any access other than our office.

Although we have **no evidence** of any misuse of your personal information, we have secured the services of Kroll to provide identity monitoring at no cost to you for one year. Kroll is a global leader in risk mitigation and response, and their team has extensive experience helping people who have sustained an unintentional exposure of confidential data. Your identity monitoring services include Credit Monitoring, Fraud Consultation, and Identity Theft Restoration.

Visit <https://enroll.krollmonitoring.com/> to activate and take advantage of your identity monitoring services.

*You have until **June 29, 2022** to activate your identity monitoring services.*

Membership Number: <<**Member ID**>>

Additional information describing your services is included with this letter.

What You Can Do:

We encourage you to contact Kroll with any questions and to take full advantage of the Kroll service offering. To enroll in free identity protection services, call 1-888-653-0511 or go to <https://enroll.krollmonitoring.com/> and enter the Member ID provided above. Kroll representatives are available Monday through Friday from 9:00 am – 6:30 pm Eastern Time, excluding major U.S. holidays.

More information about protecting your identity is included in this letter, including recommendations by the Federal Trade Commission regarding identity theft protection and details on how to place a fraud alert or a security freeze on your credit file. You should also remain vigilant over the next twelve to twenty-four months and monitor your financial accounts, and immediately report any suspicious activity to your financial institution.

For More Information:

If you have any questions or concerns, please call 216-870-8569 Monday through Friday from 8 am to 5 pm Eastern Time. As always, our focus is to take care of you and maintain a high level of confidentiality and confidence.

Sincerely,

Elanna Gould and Leo Rosner

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Recommended Steps to Help Protect Your Information

1. Review your credit reports. We recommend that you remain vigilant by reviewing account statements and monitoring credit reports. Under federal law, you also are entitled every 12 months to one free copy of your credit report from each of the three major credit reporting companies. To obtain a free annual credit report, go to www.annualcreditreport.com or call 1-877-322-8228. You may wish to stagger your requests so that you receive a free report by one of the three credit bureaus every four months.

You should also know that you have the right to file a police report if you ever experience identity fraud. Please note that in order to file a crime report or incident report with law enforcement for identity theft, you will likely need to provide some kind of proof that you have been a victim. A police report is often required to dispute fraudulent items. You can report suspected incidents of identity theft to local law enforcement or to the Attorney General.

2. Place Fraud Alerts with the three credit bureaus. If you choose to place a fraud alert, we recommend you do this after activating your credit monitoring. You can place a fraud alert at one of the three major credit bureaus by phone and also via Experian's or Equifax's website. A fraud alert tells creditors to follow certain procedures, including contacting you, before they open any new accounts or change your existing accounts. For that reason, placing a fraud alert can protect you, but also may delay you when you seek to obtain credit. The contact information for all three bureaus is as follows:

Credit Bureaus

Equifax Fraud Reporting
1-866-349-5191
P.O. Box 105069
Atlanta, GA 30348-5069
www.equifax.com

Experian Fraud Reporting
1-888-397-3742
P.O. Box 9554
Allen, TX 75013
www.experian.com

TransUnion Fraud Reporting
1-800-680-7289
P.O. Box 2000
Chester, PA 19022-2000
www.transunion.com

It is necessary to contact only ONE of these bureaus and use only ONE of these methods. As soon as one of the three bureaus confirms your fraud alert, the others are notified to place alerts on their records as well. You will receive confirmation letters in the mail and will then be able to order all three credit reports, free of charge, for your review. An initial fraud alert will last for one year.

Please Note: No one is allowed to place a fraud alert on your credit report except you.

3. Security Freeze. By placing a security freeze, someone who fraudulently acquires your personal identifying information will not be able to use that information to open new accounts or borrow money in your name. You will need to contact the three national credit reporting bureaus listed above to place the freeze. Keep in mind that when you place the freeze, you will not be able to borrow money, obtain instant credit, or get a new credit card until you temporarily lift or permanently remove the freeze. There is no cost to freeze or unfreeze your credit files.

4. You can obtain additional information about the steps you can take to avoid identity theft from the following agencies. The Federal Trade Commission also encourages those who discover that their information has been misused to file a complaint with them.

California Residents: Visit the California Office of Privacy Protection (www.oag.ca.gov/privacy) for additional information on protection against identity theft.

District of Columbia: Office of the Attorney General, 400 6th Street, NW, Washington, DC 20001; 202-727-3400; oag@dc.gov

Kentucky Residents: Office of the Attorney General of Kentucky, 700 Capitol Avenue, Suite 118 Frankfort, Kentucky 40601; www.ag.ky.gov; Telephone: 1-502-696-5300.

Maryland Residents: Office of the Attorney General of Maryland, Consumer Protection Division 200, St. Paul Place, Baltimore, MD 21202; www.oag.state.md.us/Consumer; Telephone: 1-888-743-0023.

New Mexico Residents: You have rights pursuant to the Fair Credit Reporting Act, such as the right to be told if information in your credit file has been used against you, the right to know what is in your credit file, the right to ask for your credit score, and the right to dispute incomplete or inaccurate information. Further, pursuant to the Fair Credit Reporting Act, the consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information; consumer reporting agencies may not report outdated negative information; access to your file is limited; you must give your consent for credit reports to be provided to employers; you may limit "prescreened" offers of credit and insurance you get based on information in your credit report; and you may seek damages from a violator. You may have additional rights under the Fair Credit Reporting Act not summarized here. Identity theft victims and active duty military personnel have specific additional rights pursuant to the Fair Credit Reporting Act. You can review your rights pursuant to the Fair Credit Reporting Act by visiting www.consumerfinance.gov/f/201904_cfpb_summary_your-rights-under-fcra.pdf, or by writing Consumer Response Center, Room 130-A, Federal Trade Commission, 600 Pennsylvania Ave. N.W., Washington, D.C. 20580.

New York Residents: Office of the Attorney General, The Capitol, Albany, NY 12224-0341; <https://ag.ny.gov/>; Telephone: 1-800-771-7755.

North Carolina Residents: Office of the Attorney General of North Carolina, 9001 Mail Service Center, Raleigh, NC 27699-9001; www.ncdoj.gov; Telephone: 1-919-716-6400.

Oregon Residents: Oregon Department of Justice, 1162 Court Street NE, Salem, OR 97301-4096; www.doj.state.or.us/; Telephone: 877-877-9392.

All US Residents: Identity Theft Clearinghouse, Federal Trade Commission, 600 Pennsylvania Avenue, NW Washington, DC 20580; www.consumer.gov/idtheft; 1-877-IDTHEFT (438-4338); TTY: 1-866-653-4261.

KROLL

TAKE ADVANTAGE OF YOUR IDENTITY MONITORING SERVICES

You have been provided with access to the following services from Kroll:

Single Bureau Credit Monitoring

You will receive alerts when there are changes to your credit data—for instance, when a new line of credit is applied for in your name. If you do not recognize the activity, you'll have the option to call a Kroll fraud specialist, who will be able to help you determine if it is an indicator of identity theft.

Consultation

You have unlimited access to consultation with a Kroll fraud specialist. Support includes showing you the most effective ways to protect your identity, explaining your rights and protections under the law, assistance with fraud alerts, and interpreting how personal information is accessed and used, including investigating suspicious activity that could be tied to an identity theft event.

Identity Theft Restoration

If you become a victim of identity theft, an experienced Kroll licensed investigator will work on your behalf to resolve related issues. You will have access to a dedicated investigator who understands your issues and can do most of the work for you. Your investigator will be able to dig deep to uncover the scope of the identity theft, and then work to resolve it.

Kroll's activation website is only compatible with the current version or one version earlier of Chrome, Firefox, Safari and Edge. To receive credit services, you must be over the age of 18 and have established credit in the U.S., have a Social Security number in your name, and have a U.S. residential address associated with your credit file.