

September 26, 2023

VIA EMAIL

Office of the Maryland Attorney General

Idtheft@oag.state.md.us

Re: Information Security Breach Notification

Dear Anthony Brown:

This letter is for the purpose of notifying your office that Ameriprise Financial Services, Inc. had a data breach incident involving information for 1 Ameriprise client who is a resident of Maryland.

- (1) Date the breach occurred: August 25, 2023
- (2) Reason for the breach: We were notified on September 1, 2023, that documents mailed by the advisor's office were lost in transit by the mail courier.
- (3) Type of information that was accessed: Client's name, address, Date of Birth, Account Number and Social Security Number.
- (4) The number of Maryland residents affected: 1
- (5) The dates the Maryland residents were notified: September 26, 2023
- (6) A sample notification letter: **See attached.**

At the same time that this letter is being sent, Ameriprise Financial will also be sending a notification letter to the affected residents, a copy of which is enclosed. The letter describes steps Ameriprise Financial is taking to help ensure that these individuals' accounts are not accessed by unauthorized persons and provides them with an opportunity to enroll for one year of Credit Monitoring through EZ Shield, at Ameriprise Financial's expense.

If you have any questions regarding this incident, please contact me at (612) 671-2047.

Sincerely,

A handwritten signature in blue ink, appearing to read 'R. Severson', with a stylized flourish at the end.

Robert Severson, EnCE

Mgr. Electronic Crime Investigations | General Counsel's Office

Ameriprise Financial Services, LLC
70100 Ameriprise Financial Center
Minneapolis, MN 55474
ameriprise.com



September 26, 2023

[REDACTED]
[REDACTED]
[REDACTED]

NOTICE OF DATA BREACH

Dear [REDACTED],

What Happened?

I am writing to inform you of an incident involving your personal information. On September 1st, 2023, we were notified that a form containing your personal information, mailed by you to the advisor's office, was lost in transit by the mail courier. Due to the sensitive nature of the information, I wanted to notify you of this incident.

What Information Was Involved?

Name, Address, Date of Birth, Account Number, and Social Security Number.

What We Are Doing.

We have taken steps to protect your accounts from unauthorized activity, which includes instructing our service associates to use extra caution when verifying callers and to confirm the signature on written requests related to your accounts.

As a precaution, Ameriprise Financial is providing you an opportunity to enroll in an independent credit monitoring program for one year at no expense to you. This program is administered by **EZ Shield, Inc.** The services include **resolution assistance** by certified fraud experts, **internet monitoring**, which will alert you if your information is being traded on the dark web, and **credit monitoring** to keep you informed of changes to your information within the Experian credit bureau.

- To take advantage of these services, please go to myidentity.ezshield.com/protection and insert code: [REDACTED]

What You Can Do.

We recommend the following:

- Register a fraud alert or security freeze with the three major credit bureaus. Contact information for each is included on the Additional Resources page enclosed.
- Thorough and timely review of your account statements and transaction confirmations.

- Closely monitor your personal accounts (e.g. checking and savings, credit cards, etc.) to make sure there is no unauthorized activity.
- Closely review any solicitations you receive in the near future.
- Be vigilant if you receive a call from someone who claims to represent Ameriprise Financial. If you have any doubts about the caller, hang up and call your financial advisor to verify the validity of the call.
- **If you notice any unusual activity, please contact your financial advisor or Ameriprise Financial Customer Service at 800.862.7919 immediately. We are here to help.**

For More Information.

Please accept my sincere apology regarding this situation and any inconvenience it may cause you. Ameriprise Financial is committed to protecting your privacy and online security is a top priority for us. Please do not hesitate to contact Harry Slade at 410.308.6161 with any questions or to request additional assistance.

Sincerely,

A handwritten signature in cursive script, reading "Kathleen Dedenbach".

Kathleen Dedenbach
Vice President & Chief Counsel
Global Chief Privacy Officer
Ameriprise Financial, Inc.

Additional Resources

Contact/Resource	Phone Number	Web	Address
Federal Trade Commission Helpful information on ID Theft	877.438.4338	identitytheft.gov	600 Pennsylvania Avenue, NW Washington, DC 20580
Equifax Register a Fraud Alert or Security Freeze	888.378.4329	equifax.com	P.O. Box 740241 Atlanta, GA 30374
Experian Register a Fraud Alert or Security Freeze	888.397.3742	experian.com	P.O. Box 9554 Allen, TX 75013
Transunion Register a Fraud Alert or Security Freeze	800.916.8800	transunion.com	2 Baldwin Place P.O. Box 1000 Chester, PA 19022
Identity Theft Resource Center	888.400.5530	idtheftcenter.org	2514 Jamacha Rd Ste 502-525 El Cajon, CA 92019-4492
OnGuard Online Online Safety Resources		onguardonline.gov	

Ameriprise Resources

Resource	Web
Privacy, Security & Fraud Center	ameriprise.com/privacy-security-fraud
Online Security Guarantee	ameriprise.com/privacy-security-fraud/online-security-guarantee

Security Freeze

Consumers can place a security freeze at no cost on their credit reports through the three major credit bureaus. A security freeze prohibits a credit reporting agency from releasing any information from a consumer's credit report without written authorization. However, please be aware that placing a security freeze on your credit report may delay, interfere with, or prevent the timely approval of any requests you make for new loans, credit mortgages, employment, housing or other services.

To place a freeze, write, go online or call the three credit bureaus below. Documents will be requested to verify your identity and address, possibly including but not limited to: copies of your Social Security card, paystub, state driver's license, or utility bill.

Contact/Resource	Phone Number	Web	Address
Equifax Security Freeze	888.378.4329	equifax.com	P.O. Box 105788 Atlanta, GA 30348-5788
Experian Security Freeze	888.397.3742	experian.com/freeze/center.html	P.O. Box 9554 Allen, TX 75013
Trans Union Security Freeze	800.916.8800	transunion.com/credit-freeze	P.O. Box 160 Woodlyn, PA 19094

Residents of **Massachusetts** and **Rhode Island**:

As a resident of Massachusetts or Rhode Island, you have the right to obtain any police report filed regarding this incident. If you are the victim of identity theft, you also have the right to file a police report and obtain a copy of it.

Residents of **Iowa, Maryland, North Carolina, New York, Kentucky, Rhode Island and Oregon**:

The Identity Theft Unit in your state gives you step-by-step advice on how to protect yourself and help address some of the issues that identity theft causes. Report suspected identity theft to your local law enforcement, the Attorney General and the Federal Trade Commission. Below is the mailing address, website, and phone number for the Attorney General office in your state.

State	Phone Number	Web	Address
Iowa	515.281.5044 800.373.5044	iowaattorneygeneral.gov	Office of the Attorney General of IA Hoover State Office Building 1305 E. Walnut Street Des Moines, IA 50319
New York	800.697.1220	dos.ny.gov/ consumerprotection	New York Department of State Division of Consumer Protection One Commerce Plaza, 99 Washington Ave Albany, NY 12231-0001
	800.771.7755	ag.ny.gov	Office of the Attorney General of NY The Capitol Albany, NY 12224-0341
North Carolina	(877) 5-NO-SCAM Toll-free within North Carolina 919.716.6000	ncdoj.gov	Office of the Attorney General of NC Consumer Protection Division 9001 Mail Service Center Raleigh, NC 27699-9001
Oregon	503.378.4400	doj.state.or.us	Oregon Department of Justice 1162 Court Street NE Salem, OR 97301-4096
Maryland	410.576.6491	oag.state.md.us	Office of the Attorney General of MD 200 St. Paul Place Baltimore, MD 21202
Kentucky	502.696.5300	ag.ky.gov	Office of the Attorney General of KY 700 Capitol Avenue, Suite 118 Frankfort, Kentucky 40601
Rhode Island	401.274.4400	riag.ri.gov	Office of the Attorney General of RI 150 South Main Street Providence, Rhode Island 02903

**District of
Columbia**

202.727.3400

oag.dc.gov

Office of the Attorney General
of DC
441 4th Street, NW
Washington, DC 20001

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