

Good Afternoon,

I am with the Raymond James Privacy Office and working on a Privacy incident regarding 1 client that resides in MD. The details of the breach are below:

What happened?

On August 17, 2023, a Raymond James associate inadvertently emailed a document containing client PII to the wrong recipient.

What information was involved?

- Name
- Brokerage or Advisory Account Number(s)

What are we doing?

Upon becoming aware of the incident, Raymond James took all of the following actions:

- Notified the Registered Investment Advisor of the issue; and
- Placed ID Theft Alerts on all affected accounts.

Sample notification to client is attached. 12 months of credit monitoring is included. Please let me know if you need any additional details. The client notification letter will be mailed out tomorrow 9/30/23.

Thank You,
SAMI VERON
Advisor
Global Data Privacy & Protection Office

RJF Compliance
T 727.567.2066
880 Carillon Parkway, St. Petersburg, FL 33716

RAYMOND JAMES

RAYMOND JAMES

September 30, 2023

Name
Address
City State Zip

Raymond James Client Services
800.647.7378
Monday through Friday 8 a.m. to 8 p.m. ET
raymondjames.com/clientaccess

ACTION RECOMMENDED: Possible account exposure related to a data incident

As part of our commitment to putting clients first, we regularly monitor accounts for suspicious activity or security threats. We also value your relationship with your Registered Investment Advisor, which is why we encourage you to discuss the following with your Registered Investment Advisor and take precautionary measures to safeguard your private account information at your earliest convenience.

Why are we reaching out?

We recently identified that your private account information has been exposed. Raymond James takes the protection of personal information very seriously and as such wanted to make you aware of the potential exposure.

What happened?

On August 17, 2023, a Raymond James associate inadvertently emailed a document to the wrong recipient. During the analysis of this event, we identified that this document contained some of your personal information.

What information was involved?

The following data points were exposed:

- Name
- Brokerage or Advisory Account Number(s)

What are we doing?

Upon becoming aware of the incident, Raymond James took all of the following actions:

- Notified your Registered Investment Advisor of the issue; and
- Placed ID Theft Alerts on all affected accounts.

What can you do?

While **login credentials for Raymond James' online portal, Client Access, were not impacted** as part of this event, if you are enrolled, we recommend changing your password(s) and security question(s) and answer(s) for any online account(s) as soon as possible. We also encourage you to add an extra layer of security to your online account(s) by enrolling in enhanced authentication/two-factor authentication, if you haven't already.

Additionally, as a precautionary measure, we encourage you to take advantage of the free credit report offering and credit monitoring service detailed below. Although law enforcement is currently not engaged in investigating this incident, please report any suspected identity theft to law enforcement, including your state's attorney general and the Federal Trade Commission. Please note that you have the right to obtain a police report with respect to any reported incident.

Free credit report offering

While we believe there is a low risk of harm that your information will be used, we encourage you to remain vigilant in monitoring your financial account statements and credit reports for unauthorized activity. You can obtain information from the Federal Trade Commission, Attorney General, and consumer reporting agencies about steps to take to avoid identity theft, fraud alerts, security freezes, and a free credit report annually.

Equifax

800-685-1111
P.O. Box 740241
Atlanta, GA 30374
www.equifax.com

Experian

888-397-3742
P.O. Box 4500
Allen, TX 75013
www.experian.com

TransUnion

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

Federal Trade Commission

877-382-4357
600 Pennsylvania Avenue, NW
Washington, D.C. 20580
www.ftc.gov

Maryland Attorney General

Brian E. Frosh
888-743-0023
200 St. Paul Place
Baltimore, MD 21202
www.marylandattorneygeneral.gov

Credit monitoring service

As a precautionary measure, we would like to offer you a complimentary, 1-year membership in Experian's IdentityWorks®, a credit monitoring and identity theft protection service. Experian's IdentityWorks® service provides you with access to your credit report from the three national credit reporting agencies and daily monitoring of your credit file.

To enroll, please visit <https://www.experianidworks.com/3bplus> and enter the activation code provided to you. Your activation code is XXXXXXXX. Please ensure you activate your membership by September 30, 2024.

Once the IdentityWorks® membership is activated, you will receive the following features:

- Experian credit report at signup: See what information is associated with your credit file. Daily credit reports are available for online members only.
- Credit Monitoring: Actively monitors Experian, Equifax, and TransUnion files for indicators of fraud.
- Internet Surveillance: Technology searches the web, chat rooms & bulletin boards 24/7 to identify trading or selling of your personal information on the Dark Web.
- Identity Restoration: Identity Restoration specialists are immediately available to help you address credit and non-credit-related fraud.
- Experian IdentityWorks ExtendCARE™: You receive the same high level of Identity Restoration support even after your Experian IdentityWorks membership has expired.
- \$1 Million Identity Theft Insurance: Provides coverage for certain costs and unauthorized electronic fund transfers.

If you have questions about IdentityWorks® or need an alternative to enrolling online, please call Experian at 1-877-890-9332 and provide engagement #XXXXXXX.

**Additional Support**

We regret any inconvenience this may cause you, and encourage you to take advantage of the services listed above. Please be assured that the confidentiality of your personal information is of utmost importance to us. If you have any questions or concerns, please contact Raymond James Client Services at 800-647-7378.

Sincerely,

Rob Patchett
Chief Privacy Officer
Raymond James Financial, Inc.