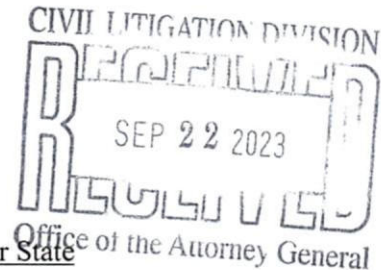




5707 Southwest Parkway, Bldg. 2, Ste. 400, Austin, Texas 78735 844-5-KESTRA (844-553-7872)

September 14, 2023

Office of the Attorney General, Mr. Anthony Brown
200 Saint Paul St.
Baltimore, MD 21202



Re: Notification of a Data Breach for Certain Kestra Clients Residing in Your State

Dear Mr. Attorney General,

We are writing to notify your office of an incident that may have exposed some personally identifiable information ("PII") of a small number of our clients residing in your state. We take the protection and proper use of our clients' PII very seriously. This notification is made pursuant to state regulations requiring notification to your office.

Kestra Financial, located in Austin, Texas, is the parent company of Kestra Investment Services, LLC, Kestra Advisory Services, LLC, Kestra Private Wealth Services LLC, and Kestra Institutional Services, LLC. We provide retail broker-dealer and registered investment advisory services through independent contractor financial advisors, advisors employed by our affiliates and their respective offices.

What Happened?

On or around August 29, 2023, a computer associated with one of our independent contractor offices was accessed by an unauthorized party. The unauthorized party was able to gain access to certain PII of the branch office's clients including: first and last names, social security number, date of birth, and financial account numbers. The breach was discovered on September 1, 2023. The unauthorized access was immediately terminated, and countermeasures were deployed to prevent further unauthorized access.

The breach affected an estimated 1 client in your state.

What We Are Doing.

In addition to the actions noted above, we secured the services of Kroll to assist with the notifications to affected clients. In addition, Kroll will provide identity monitoring services for 12 months at no cost to the client. 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.

We believe the matter to be completely remediated. If you require additional information, please do not hesitate to contact me at tom.delaney@kestrafinancial.com or contact me at (737) 212-9795.

Kind regards,

A handwritten signature in black ink, appearing to read "Tom Delaney".

Tom Delaney
Senior Vice-President, Compliance Services
Kestra Financial

KESTRAFINANCIAL.COM



5707 Southwest Parkway, Bldg. 2, Ste. 400, Austin, Texas 78735 844-5-KESTRA (844-553-7872)

November 3, 2023

Office of the Attorney General
200 Saint Paul St.
Baltimore, MD 21202



Re: Notification of a Possible Data Breach for Certain Kestra Clients Residing in Your State

Dear Attorney General,

We are writing to notify your office of an incident that may have exposed some personally identifiable information ("PII") of a small number of our clients residing in your state. We take the protection and proper use of our clients' PII very seriously. This notification is made pursuant to state regulations requiring notification to your office.

Kestra Financial, located in Austin, Texas, is the parent company of Kestra Investment Services, LLC, Kestra Advisory Services, LLC, Kestra Private Wealth Services LLC, and Kestra Institutional Services, LLC. We provide retail broker-dealer and registered investment advisory services through independent contractor financial advisors, advisors employed by our affiliates and their respective offices.

What Happened?

On or around September 18, 2023, a computer associated with one of our independent contractor offices began sending what appeared to be malicious emails to many recipients, indicating some sort of computer hack. The office contacted her IT contractor who was able to perform system scans and stop the process. We have no specific evidence that the unauthorized party was able to gain access to certain PII of the branch office's clients. The breach was discovered on September 18, 2023 and Kestra completed its investigation on October 12, 2023

The breach affected an estimated 2 client(s) in your state.

What We Are Doing.

In addition to the actions noted above, we secured the services of Kroll to assist with the notifications to affected clients. In addition, Kroll will provide identity monitoring services for 12 months at no cost to the client. 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.

We believe the matter to be completely remediated. If you require additional information, please do not hesitate to contact me at tom.delaney@kestrafinancial.com or contact me at (737) 212-9795.

Kind regards,

A handwritten signature in blue ink, appearing to read "Tom Delaney".

Tom Delaney
Senior Vice-President, Compliance Services
Kestra Financial

KESTRAFINANCIAL.COM



5707 Southwest Parkway, Bldg. 2, Ste. 400, Austin, Texas 78735 844-5-KESTRA (844-553-7872)

Date

Name

Address

Address

Dear XXX,

We are writing to notify you about an incident that may have exposed some of your personal information. We take the protection and proper use of your information very seriously. For this reason, we are contacting you directly to explain the circumstances of the incident.

Kestra Financial is the parent company of Kestra Investment Services, LLC, Kestra Advisory Services, LLC, Kestra Private Wealth Services LLC, and Kestra Institutional Services, LLC. Your financial advisor affiliated with Maleta Wealth, has associated with a Kestra Financial company as his/her broker-dealer and/or investment adviser, to provide you investment products and services.

What Happened?

On or around September 18, 2023, a computer associated with Maleta Wealth was accessed by an unauthorized party. The breach was discovered on September 18, 2023 and fully remediated.

What Information Was Involved?

We do not have any specific evidence that your Personally Identifiable Information (PII) was stolen such as: first and last names, social security number, date of birth, and financial account numbers. However, we are providing this notice in an abundance of caution.

What We Are Doing.

To help relieve concerns and restore confidence following this incident, we have secured the services of Kroll to provide identity monitoring services at no cost to you for 12 months. 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.

How to Activate Your Identity Monitoring Services

1. You must activate your identity monitoring services by XXXXXX. Your Activation Code will not work after this date.
2. Visit <https://enroll.idheadquarters.com/redeem> to activate your identity monitoring services.
3. Provide Your Activation Code: XXXXXXXXXX and Your Verification ID: XXXXXXXXXX

To sign in to your account after you have activated your identity monitoring services, please visit <https://login.idheadquarters.com/>



5707 Southwest Parkway, Bldg. 2, Ste. 400, Austin, Texas 78735 844-5-KESTRA (844-553-7872)

Take Advantage of Your Identity Monitoring Services

You've been provided with access to the following services¹ 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 can help you determine if it's an indicator of identity theft.

Fraud 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 can dig deep to uncover the scope of the identity theft, and then work to resolve it.

Important Contact Information

Equifax PO Box 740241 Atlanta, GA 30374 800-525-6285 www.equifax.com	Experian PO Box 4500 Allen, TX 75013 888-397-3742 www.experian.com	TransUnion PO Box 2000 Chester, PA 19016 877-322-8228 www.transunion.com	Federal Trade Commission 600 Pennsylvania Ave. NW Washington DC 20580 877-438-4338 www.ftc.gov/theft
--	--	--	---

¹ Kroll's activation website is only compatible with the current version or one version earlier of Internet Explorer, Chrome, Firefox, and Safari. 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.

KESTRAFINANCIAL.COM

Kestra Financial, Inc is the parent company of Kestra Investment Services, LLC member FINRA/SIPC, Kestra Advisory Services, LLC, and Kestra Private Wealth Services, LLC