

October 1, 2024

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: September 19, 2024
- (2) Reason for the breach: On September 19th, 2024, we were informed that an advisor sent a document containing client's personal information to their personal email account in error. While there was no intent for misuse, it is against Ameriprise Financial policy to use personal email for communications with clients or containing Ameriprise client information. There is no indication that the information was accessed by anyone other than the advisor and the file has been deleted from the personal email account.
- (3) Type of information that was accessed: Client's Name, Social Security Number and Account Number.
- (4) The number of Maryland residents affected: 1
- (5) The dates the Maryland residents were notified: October 1, 2024
- (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 resident, a copy of which is enclosed. The letter describes steps Ameriprise Financial is taking to help ensure that the individuals' accounts are not accessed by unauthorized persons and provides them with an opportunity to enroll for one year of Credit Monitoring through Equifax, 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

October 1, 2024

[REDACTED]

NOTICE OF DATA BREACH

Dear [REDACTED],

What Happened?

I am writing to inform you of an incident involving your personal information. On September 19th, 2024, we were informed that an advisor sent a document containing your personal information to their personal email account in error. While there was no intent for misuse, it is against Ameriprise Financial policy to use personal email for communications with clients or containing Ameriprise client information. There is no indication that the information was accessed by anyone other than the advisor and the file has been deleted from the personal email account. Due to the sensitive nature of the information, I wanted to notify you of this incident.

What Information Was Involved?

Name, Account Number and Social Security Number.

What We Are Doing.

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

As a precaution, Ameriprise Financial is providing you an opportunity to enroll in an independently operated credit monitoring program for one year at no expense to you. This program is administered by **Equifax**, one of the three national credit reporting agencies. **Equifax Complete™ Premier** will provide you with an "early warning system" that alerts you to any changes to your credit file. The following page of this letter includes the features of the Equifax Service and the promotional code you need to use to enroll.

What You Can Do.

In situations like this, taking a few prudent steps can help protect you against the potential misuse of your information. We recommend you:

- 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.
- Thoroughly review 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 do not hesitate to contact Dane Burkholder at 717-735-2332 with any questions or to request additional assistance.

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.

Sincerely,

A handwritten signature in black ink, appearing to read "Jen Swihart".

Jen Swihart
Sr. Investigator
Ameriprise Financial, Inc.

Ameriprise Financial Services, LLC. Member FINRA and SIPC.

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2221109CCCPRIVACYNOTIFICATION/^^LETTERID^^



Equifax[®]

Enter your Activation Code



Equifax Complete[™] Premier

Note: You must be over age 18 with a credit file to take advantage of the product

Key Features

- Annual access to your 3-bureau credit report and VantageScore¹ credit scores
- Daily access to your Equifax credit report and 1-bureau VantageScore credit score
- 3-bureau credit monitoring² with email notifications of key changes to your credit reports
- WebScan notifications³ when your personal information, such as Social Security Number, credit/debit card or bank account numbers are found on fraudulent Internet trading sites
- Automatic fraud alerts⁴, which encourages potential lenders to take extra steps to verify your identity before extending credit, plus blocked inquiry alerts and Equifax credit report lock⁵
- Identity Restoration to help restore your identity should you become a victim of identity theft, and a dedicated Identity Restoration Specialist to work on your behalf
- Up to \$1,000,000 of identity theft insurance coverage for certain out of pocket expenses resulting from identity theft⁶
- Lost Wallet Assistance if your wallet is lost or stolen, and one-stop assistance in canceling and reissuing credit, debit and personal identification cards

Enrollment Instructions

Go to www.equifax.com/activate

Enter your unique Activation Code listed above then click "Submit" and follow these 4 steps:

1. Register:

Complete the form with your contact information and click "Continue".

If you already have a myEquifax account, click the **Sign in here** link under the **Let's get started** header.

Once you have successfully signed in, you will skip to the Checkout Page in Step 4.

2. Create Account:

Enter your email address, create a password and accept the terms of use.

3. Verify Identity:

To enroll in your product, we will ask you to complete our identity verification process.

4. Checkout:

Upon successful verification of your identity, you will see the Checkout page.

Click "Sign Me Up" to finish enrollment.

You're done!

The Confirmation page shows your completed enrollment.

Click "View My Product" to access the product features.

¹The credit scores provided are based on the VantageScore[®] 3.0 model. For three-bureau VantageScore credit scores, data from Equifax[®], Experian[®], and TransUnion[®] are used respectively. Any one-bureau VantageScore uses Equifax data. Third parties use many different types of credit scores and are likely to use a different type of credit score to assess your creditworthiness. ²Credit monitoring from Experian and TransUnion will take several days to begin. ³WebScan searches for your Social Security Number, up to 5 passport numbers, up to 6 bank account numbers, up to 6 credit/debit card numbers, up to 6 email addresses, and up to 10 medical ID numbers. WebScan searches thousands of Internet sites where consumers' personal information is suspected of being bought and sold, and regularly adds new sites to the list of those it searches. However, the Internet addresses of these suspected Internet trading sites are not published and frequently change, so there is no guarantee that we are able to locate and search every possible Internet site where consumers' personal information is at risk of being traded. ⁴The Automatic Fraud Alert feature is made available to consumers by Equifax Information Services LLC and fulfilled on its behalf by Equifax Consumer Services LLC. ⁵Locking your Equifax credit report will prevent access to it by certain third parties. Locking your Equifax credit report will not prevent access to your credit report at any other credit reporting agency. Entities that may still have access to your Equifax credit report include: companies like Equifax Global Consumer Solutions, which provide you with access to your credit report or credit score, or monitor your credit report as part of a subscription or similar service; companies that provide you with a copy of your credit report or credit score, upon your request; federal, state and local government agencies and courts in certain circumstances; companies using the information in connection with the underwriting of insurance, or for employment, tenant or background screening purposes; companies that have a current account or relationship with you, and collection agencies acting on behalf of those whom you owe; companies that authenticate a consumer's identity for purposes other than granting credit, or for investigating or preventing actual or potential fraud; and companies that wish to make pre-approved offers of credit or insurance to you. To opt out of such pre-approved offers, visit www.optoutprescreen.co ⁶The Identity Theft Insurance benefit is underwritten and administered by American Bankers Insurance Company of Florida, an Assurant company, under group or blanket policies issued to Equifax, Inc., or its respective affiliates for the benefit of its Members. Please refer to the actual policies for terms, conditions, and exclusions of coverage. Coverage may not be available in all jurisdictions.

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, PA19022
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.

Residents of **New Mexico**:

"The federal Fair Credit Reporting Act provides you certain rights regarding your credit. You may review these rights at https://files.consumerfinance.gov/f/201504_cfpb_summary_your-rights-under-fcra.pdf."

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 800.771.7755	dos.ny.gov/ consumerprotection ag.ny.gov	New York Department of State Division of Consumer Protection One Commerce Plaza, 99 Washington Ave Albany, NY 12231-0001 Office of the Attorney General of NY The Capital 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