

# BakerHostetler

## Baker&Hostetler LLP

811 Main Street  
Suite 1100  
Houston, TX 77002-6111

T 713.751.1600  
F 713.751.1717  
www.bakerlaw.com

William R. Daugherty  
direct dial: 713.646.1321  
wdaugherty@bakerlaw.com

October 5, 2016

### VIA OVERNIGHT MAIL

Joseph Foster  
Office of the Attorney General  
33 Capitol St  
Concord, NH 03301

*Re: Incident Notification*

Dear Attorney General Foster:

Our client, HD Vest Investment Services (HD Vest), is a financial services firm that offers investment planning services through over 4,500 independent, financial advisors across the country. HD Vest understands the importance of protecting the personal information provided by its clients.

On August 1, 2016, HD Vest learned that Patricia Flagg, an HD Vest Advisor, received a message on her computer that it was infected with a virus and provided her with a contact number for assistance in removing the virus. Ms. Flagg contacted the individual at the number provided and the individual was given remote access to Ms. Flagg's computer for approximately 1 hour to remedy the computer issues on or around July 28, 2016; however the individual may have had remote access until August 1, 2016. Suspicious of the incident, Ms. Flagg notified HD Vest. HD Vest immediately began an investigation and learned that, while the unauthorized person was connected to Ms. Flagg's computer, the unauthorized person would have had access to certain individuals' information accessible from the computer. Based on HD Vest's investigation, the information accessible from Ms. Flagg's computer during this limited timeframe includes name, address, date of birth, phone number, and Social Security number for certain HD Vest customers.

While HD Vest has no evidence that affected individuals' information has been acquired by an unauthorized individual or misused in any way, out of an abundance of caution, HD Vest is notifying affected individuals and offering them one-year of complimentary credit monitoring

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and resolution services through ID Experts®. HD Vest also is providing telephone support for those affected.

HD Vest provided written notification via U.S. Mail on October 4, 2016, to 2 New Hampshire residents in accordance with N.H. Rev. Stat. Ann. § 359-C:20 in substantially the same form as the document enclosed herewith. Notice is being provided as soon as possible.

To help prevent something like this from happening in the future, HD Vest has taken a number of actions, including reinforcing education to its advisors regarding the protection of sensitive information.

Please do not hesitate to contact me if you have any questions regarding this matter.

Best regards,

A handwritten signature in black ink, appearing to read "William R. Daugherty". The signature is stylized with a large, sweeping "W" and a long, curved "y" at the end.

William R. Daugherty  
Counsel

Enclosure