



JUN 02 2021

CONSUMER PROTECTION

May 27, 2021

Office of the Attorney General
Consumer Protection and Antitrust Bureau
33 Capital Street
Concord, NH 03301
Phone: (603) 271-3643
Fax: (603) 271-2110

Re: Information Security Breach Notification

Dear Sir or Madam:

This letter is for the purpose of notifying your office that Ameriprise Financial Services, Inc. had a data breach incident involving the theft of information for (1) Ameriprise client who is a resident of New Hampshire. Specifically, On May 3, 2021, it was discovered that the fax service in an advisor's office was configured incorrectly. This resulted in faxed documents being sent to a third-party email account instead of directly to an Ameriprise email account. While there was no intent for misuse, it is against Ameriprise Financial policy to use a third-party email account for client information. There is no indication that the information was accessed by anyone other than the advisors and staff members and the files have been deleted from the email account. Upon discovery, the fax configuration was corrected to use an Ameriprise email account.

At the same time 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 this individual's accounts are not accessed by unauthorized persons and provides him or her with an opportunity to enroll for one year of credit monitoring from Equifax, at Ameriprise Financial's expense

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

Sincerely,

Robert Severson, EnCE
Mgr. - Electronic Crime Investigations | General Counsel's Office

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Enclosures

NOTICE OF A DATA BREACH



<<Mail Date>>

<<First Name>><<Last Name>>
<<Client Address 1>>
<<Client Address 2>>
<<City>>, <<ST>> <<ZIP>>

Dear <<First Name>> <<Last Name>>:

What Happened?

I am writing to inform you of an incident involving your personal information. On May 3, 2021, we were notified that the fax service in our office was not configured correctly. This resulted in faxed documents being sent to a third-party email account instead of directly to an Ameriprise email account. While there was no intent for misuse, it is against Ameriprise Financial policy to use a third-party email account for client information. There is no indication that the information was accessed by anyone other than the advisors and staff members and the files have been deleted from the email account. Upon discovery, the fax configuration was corrected to use an Ameriprise email account. Due to the sensitive nature of the information, I wanted to notify you of this incident.

What Information Was Involved?

The files could have contained your name, address, phone numbers, email address, date of birth, social security number and financial account numbers.

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 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" which 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.

None of us like to hear about incidents involving our personal information. And in situations like this, taking a few prudent steps can further protect you against the potential misuse of your information. That's why we recommend the following actions:

- Register a Fraud Alert or Security Freeze with the three major credit bureaus. Contact information on the Additional Resources page.
- Thoroughly review your account statements and transaction confirmations.
- Closely monitor all of your personal accounts (e.g. checking and savings, credit cards, etc.) to make sure there is no unauthorized activity.
- 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 advisor to verify the validity of the call.
- If you notice any unusual activity, contact your advisor or Ameriprise Financial Customer Service at (800) 862-7919 immediately. We are here to help.

For More Information.

Please contact Mindy Kilby for more information at (585) 344.1262. Please accept my sincere apology regarding this situation and any inconvenience it may cause you.

Sincerely,



Mark E. Woodward, CFP®, CLTC®, APMA®

Private Wealth Advisor | CERTIFIED FINANCIAL PLANNER | Certified in Long Term Care
Fieldstone Private Wealth

A private wealth advisory practice of Ameriprise Financial Services, LLC.

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Enter your Activation Code: <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 enrolling.

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 <ul style="list-style-type: none"> Helpful information on ID Theft | (877) 438-4338 | identitytheft.gov | 600 Pennsylvania Avenue, NW Washington, DC 20580 |
| Equifax <ul style="list-style-type: none"> Register a Fraud Alert or Security Freeze | (800) 525-6285 | equifax.com | P.O. Box 740241 Atlanta, GA 30374 |
| Experian <ul style="list-style-type: none"> Register a Fraud Alert or Security Freeze | (888) 397-3742 | experian.com | P.O. Box 9554 Allen, TX 75013 |
| Transunion <ul style="list-style-type: none"> Register a Fraud Alert or Security Freeze | (800) 680-7289 | transunion.com | 2 Baldwin Place P.O. Box 1000 Chester, PA 19022 |
| Identity Theft Resource Center | (888) 400-5530 | idtheftcenter.org | 3625 Ruffiin Road #204 San Diego, CA 92123 |
| OnGuard Online <ul style="list-style-type: none"> Online Safety Resources | | onguardonline.gov | |

AMERIPRISE RESOURCES

| Resource | Web |
|---|--|
| Privacy, Security & Fraud Center <ul style="list-style-type: none"> Link to our Privacy Notice How we protect your information Reporting and Preventing Fraud | ameriprise.com/privacy-security-fraud |
| Online Security Guarantee | ameriprise.com/privacy-security-fraud/online-security-guarantee |

SECURITY FREEZE

Many state laws also allow consumers to place a security freeze on their credit reports. 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 | (800) 349-9960 | 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 | (888) 909-8872 | transunion.com/credit-freeze | P.O. Box 160 Woodlyn, PA 19094 |

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 you to 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 are the mailing address, website, and phone number for the Office of the Attorney General of 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 4 th Street, NW Washington, DC 20001 |

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.