

RECEIVED

SEP 04 2020

CONSUMER PROTECTION

August 31, 2020

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

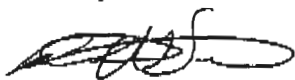
Dear Sir or Madam:

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 August 25, 2020, we were notified that an envelope containing client information was mailed to the incorrect client by the advisor's office. The advisor asked the incorrect client to return back the document to the advisor's office. The envelope contained client's name, account number, Date of Birth and Social Security Number.

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 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 EZ Shield, Inc., 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

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**NOTICE OF A DATA BREACH**

August 31, 2020

[Client Name]  
[Client Address]

Dear [Client]:

**What Happened?**

I am writing to inform you of an incident involving your personal information. On August 25, 2020, we were notified that an envelope containing your personal information was mailed to the incorrect client by your advisor's office. The advisor asked the incorrect client to return back the document to the advisor's office.

**What Information Was Involved?**

Your name, account number, Date of Birth and Social Security Number.

**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 EZ Shield, Inc. The services include resolution assistance by certified fraud experts, Internet Monitoring which will alert you if your information is being traded on the dark web, and credit monitoring to keep you informed of changes to your information within the Experian credit bureau. To obtain these services, please go to <https://myidentity.ezshield.com/protection> and insert code:

**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 do not hesitate to contact Gabriella Gineo at 603.606.4255. Please accept my sincere apology regarding this situation and any inconvenience it may cause you.

Sincerely,

Neha Jagota  
Legal Analyst  
Global Privacy Office  
Ameriprise Financial, Inc.

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**Additional Resources**

Contact/Resource	Phone Number	Web	Address
<b>Federal Trade Commission</b> • Helpful information on ID Theft	(877) 438-4338	<a href="http://identitytheft.gov">identitytheft.gov</a>	600 Pennsylvania Avenue, NW Washington, DC 20580
<b>Equifax</b> • Register a Fraud Alert or Security Freeze	(800) 525-6285	<a href="http://equifax.com">equifax.com</a>	P.O. Box 740241 Atlanta, GA 30374
<b>Experian</b> • Register a Fraud Alert or Security Freeze	(888) 397-3742	<a href="http://experian.com">experian.com</a>	P.O. Box 9564 Allen, TX 75013
<b>Transunion</b> • Register a Fraud Alert or Security Freeze	(800) 680-7289	<a href="http://transunion.com">transunion.com</a>	2 Baldwin Place P.O. Box 1000 Chester, PA 19022
<b>Identity Theft Resource Center</b>	(888) 400-5530	<a href="http://idtheftcenter.org">idtheftcenter.org</a>	3625 Ruffin Road #204 San Diego, CA 92123
<b>OnGuard Online</b> • Online Safety Resources		<a href="http://onguardonline.gov">onguardonline.gov</a>	

**AMERIPRISE RESOURCES**

Resource	Web
<b>Privacy, Security &amp; Fraud Center</b> • Link to our Privacy Notice • How we protect your information • Reporting and Preventing Fraud	<a href="http://ameriprise.com/privacy-security-fraud">ameriprise.com/privacy-security-fraud</a>
<b>Online Security Guarantee</b>	<a href="http://ameriprise.com/privacy-security-fraud/online-security-guarantee">ameriprise.com/privacy-security-fraud/online-security-guarantee</a>

**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
<b>Equifax Security Freeze</b>	(800) 349-9960	<a href="http://equifax.com">equifax.com</a>	P.O. Box 105788 Atlanta, GA 30348-5788
<b>Experian Security Freeze</b>	(888) 397-3742	<a href="http://experian.com/freeze/center.html">experian.com/freeze/center.html</a>	P.O. Box 9554 Allen, TX 75013
<b>Trans Union Security Freeze</b>	(888) 909-8872	<a href="http://transunion.com/credit-freeze">transunion.com/credit-freeze</a>	P.O. Box 160 Woodlyn, PA 19094

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**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) 281-3044 (800) 375-6044	<a href="http://iowaattorneygeneral.gov">iowaattorneygeneral.gov</a>	Office of the Attorney General of IA Hoover State Office Building 1305 E. Walnut Street Des Moines, IA 50319
New York	(800) 697-1220	<a href="http://dos.ny.gov/consumerprotection">dos.ny.gov/consumerprotection</a>	New York Department of State Division of Consumer Protection One Commerce Plaza, 99 Washington Ave Albany, NY 12231-0001
	(800) 771-4755	<a href="http://ag.ny.gov">ag.ny.gov</a>	Office of the Attorney General of NY The Capitol Albany, NY 12244-0241
North Carolina	(877) 5-NO-SCAM Toll-free within North Carolina (919) 716-6000	<a href="http://ncdoj.gov">ncdoj.gov</a>	Office of the Attorney General of NC Consumer Protection Division 9001 Mail Service Center Raleigh, NC 27699-9001
Oregon	(503) 378-4400	<a href="http://doj.state.or.us">doj.state.or.us</a>	Oregon Department of Justice 1162 Court Street NE Salem, OR 97301-4096
Maryland	(410) 576-6491	<a href="http://oag.state.md.us">oag.state.md.us</a>	Office of the Attorney General of MD 200 St. Paul Place Baltimore, MD 21202
Kentucky	(502) 696-5300	<a href="http://ag.ky.gov">ag.ky.gov</a>	Office of the Attorney General of KY 700 Capitol Avenue, Suite 118 Frankfort, Kentucky 40601
Rhode Island	(401) 274-4400	<a href="http://riag.ri.gov">riag.ri.gov</a>	Office of the Attorney General of RI 150 South Main Street Providence, Rhode Island 02903
District of Columbia	(202) 727-3400	<a href="http://oag.dc.gov">oag.dc.gov</a>	Office of the Attorney General of DC 441 4 <sup>th</sup> 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.

August 31, 2020

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 (3) Ameriprise clients who are residents of New Hampshire. Specifically, on August 12, 2020, an employee, of an entity providing services to Ameriprise, uploaded a file to their personal email account prior to departing our firm. This file contained the clients' name, account number and social security number. It is against Ameriprise Financial policy to use personal email accounts. The individual has confirmed they have deleted the file from their personal email account.

At the same time that this letter is being sent, Ameriprise Financial will also be sending a notification letter to the affected residents, a copy of which is enclosed. The letter describes steps Ameriprise Financial is taking to help ensure that these individuals' accounts are not accessed by unauthorized persons and provides them 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

1632 &lt;&lt;Client ID&gt;&gt; &lt;&lt;Check Digit&gt;&gt; 001

**NOTICE OF A DATA BREACH**

&lt;&lt;Mail Date&gt;&gt;

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

Dear &lt;&lt;First Name&gt;&gt; &lt;&lt;Last Name&gt;&gt;:

**What Happened?**

I am writing to inform you of an incident involving your personal information. On August 12, 2020, an employee, of an entity providing services to Ameriprise, uploaded a file to their personal email account prior to departing our firm. This file contained your personal information. It is against Ameriprise Financial policy to use personal email accounts. The individual has confirmed they have deleted the file from their personal email account. Because of this policy violation, I wanted to notify you of this incident.

**What Information Was Involved?**

The file contained your name, social security number and account number.

**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 Credit Watch 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:

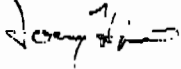
- Register a Fraud Alert or Security Freeze with the three major credit bureaus. Contact information on the Additional Resources page.
- Thoroughly review your account statements and transaction confirmations.
- Closely monitor all of your personal accounts (e.g. checking and savings, credit cards, etc.) 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.

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**For More Information.**

Please call Ameriprise Financial Customer Service at (800) 862-7919 and say, "Privacy and Security". Please accept my sincere apology regarding this situation and any inconvenience it may cause you.

Sincerely,



**Jeremy Hipps**

**Vice President, Advice and Wealth Management Technologies  
Ameriprise Financial, Inc.**

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**Activation Code: <<GIFT CODE>>**

**Equifax® Credit Watch™ Gold with 3-in-1 Credit Monitoring provides you with the following key features:**

- 3- Bureau credit file monitoring<sup>1</sup> and alerts of key changes to your Equifax®, Transunion®, and Experian® credit reports
- One Equifax 3-Bureau credit report
- Automatic Fraud Alerts<sup>2</sup> With a fraud alert, potential lenders are encouraged to take extra steps to verify your ID before extending credit
- Wireless alerts (available online only) Data charges may apply.
- Access to your Equifax® credit report
- Up to \$1 MM Identity Theft Insurance<sup>3</sup>
- Live agent Customer Service 7 days a week from 8 a.m. to 3 a.m.

**To sign up online for online delivery go to [www.myservices.equifax.com/tri](http://www.myservices.equifax.com/tri)**

- 1. Welcome Page:** Enter the Activation Code provided above in the "Activation Code" box and click the "Submit" button.
- 2. Register:** Complete the form with your contact information (name, gender, home address, date of birth, Social Security Number and telephone number) and click the "Continue" button.
- 3. Create Account:** Complete the form with your email address, create a User Name and Password, review the Terms of Use and then check the box to accept and click the "Continue" button.
- 4. Verify ID:** The system will then ask you up to four security questions to verify your identity. Please answer the questions and click the "Submit Order" button.
- 5. Order Confirmation:** This page shows you your completed enrollment. Please click the "View My Product" button to access the product features.

**To sign up for US Mail delivery, dial 1-855-833-9162 for access to the Equifax Credit Watch Gold with 3-in-1 Credit Monitoring automated enrollment process. Note that all credit reports and alerts will be sent to you via US Mail only.**

- 1. Activation Code:** You will be asked to enter your Activation Code provided above.
- 2. Customer Information:** You will be asked to enter your home telephone number, home address, name, date of birth and Social Security Number.
- 3. Permissible Purpose:** You will be asked to provide Equifax with your permission to access your credit file and to monitor your file. Without your agreement, Equifax cannot process your enrollment.
- 4. Order Confirmation:** Equifax will provide a confirmation number with an explanation that you will receive your Fulfillment Kit via the US Mail (when Equifax is able to verify your identity) or a Customer Care letter with further instructions (if your identity can not be verified using the information provided). Please allow up to 10 business days to receive this information.

1. Credit monitoring from Experian® and Transunion® will take several days to begin.

2. The Automatic Fraud Alert feature is made available to consumers by Equifax Information Services LLC and fulfilled on its behalf by Equifax Consumer Services LLC.

3. Identity theft insurance is underwritten by American Bankers Insurance Company of Florida or its affiliates. The description herein is a summary and intended for informational purposes only and does not include all terms, conditions and exclusions of the policies described. Please refer to the actual policies for terms, conditions and exclusions of coverage. Coverage may not be available in all jurisdictions.

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1632 &lt;&lt;Client ID&gt;&gt; &lt;&lt;Check Digit&gt;&gt; 001

**Additional Resources**

Contact/Resource	Phone Number	Web	Address
<b>Federal Trade Commission</b> • Helpful information on ID Theft	(877) 438-4338	<a href="http://identitytheft.gov">identitytheft.gov</a>	600 Pennsylvania Avenue, NW Washington, DC 20580
<b>Equifax</b> • Register a Fraud Alert or Security Freeze	(800) 525-6285	<a href="http://equifax.com">equifax.com</a>	P.O. Box 740241 Atlanta, GA 30374
<b>Experian</b> • Register a Fraud Alert or Security Freeze	(888) 397-3742	<a href="http://experian.com">experian.com</a>	P.O. Box 9554 Allen, TX 75013
<b>Transunion</b> • Register a Fraud Alert or Security Freeze	(800) 680-7289	<a href="http://transunion.com">transunion.com</a>	2 Baldwin Place P.O. Box 1000 Chester, PA 19022
<b>Identity Theft Resource Center</b> <b>OnGuard Online</b> • Online Safety Resources	(888) 400-5530	<a href="http://idtheftcenter.org">idtheftcenter.org</a> <a href="http://onguardonline.gov">onguardonline.gov</a>	3625 Ruffin Road #204 San Diego, CA 92123

**AMERIPRISE RESOURCES**

Resource	Web
<b>Privacy, Security &amp; Fraud Center</b> • Link to our Privacy Notice • How we protect your information • Reporting and Preventing Fraud	<a href="http://ameriprise.com/privacy-security-fraud">ameriprise.com/privacy-security-fraud</a>
<b>Online Security Guarantee</b>	<a href="http://ameriprise.com/privacy-security-fraud/online-security-guarantee">ameriprise.com/privacy-security-fraud/online-security-guarantee</a>

**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
<b>Equifax Security Freeze</b>	(800) 349-9960	<a href="http://equifax.com">equifax.com</a>	P.O. Box 105788 Atlanta, GA 30348-5788
<b>Experian Security Freeze</b>	(888) 397-3742	<a href="http://experian.com/freeze/center.html">experian.com/freeze/center.html</a>	P.O. Box 9554 Allen, TX 75013
<b>Trans Union Security Freeze</b>	(888) 909-8872	<a href="http://transunion.com/credit-freeze">transunion.com/credit-freeze</a>	P.O. Box 160 Woodlyn, PA 19094

1632 &lt;&lt;Client ID&gt;&gt; &lt;&lt;Check Digit&gt;&gt; 001

**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) 281-8044 (800) 373-8044	<a href="http://iowaattorneygeneral.gov">iowaattorneygeneral.gov</a>	Office of the Attorney General of IA Hoover State Office Building 1305 E. Walnut Street Des Moines, IA 50319
New York	(800) 697-1220	<a href="http://dos.ny.gov/consumerprotection">dos.ny.gov/consumerprotection</a>	New York Department of State Division of Consumer Protection One Commerce Plaza, 99 Washington Ave Albany, NY 12231-0001
	(800) 771-7755	<a href="http://ag.ny.gov">ag.ny.gov</a>	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	<a href="http://ncdoj.gov">ncdoj.gov</a>	Office of the Attorney General of NC Consumer Protection Division 9001 Mail Service Center Raleigh, NC 27699-9001
Oregon	(503) 378-4400	<a href="http://doj.state.or.us">doj.state.or.us</a>	Oregon Department of Justice 1162 Court Street NE Salem, OR 97301-4096
Maryland	(410) 576-6491	<a href="http://oag.state.md.us">oag.state.md.us</a>	Office of the Attorney General of MD 200 St. Paul Place Baltimore, MD 21202
Kentucky	(502) 696-3300	<a href="http://ag.ky.gov">ag.ky.gov</a>	Office of the Attorney General of KY 700 Capitol Avenue, Suite 118 Frankfort, Kentucky 40601
Rhode Island	(401) 274-4400	<a href="http://riag.ri.gov">riag.ri.gov</a>	Office of the Attorney General of RI 150 South Main Street Providence, Rhode Island 02903
District of Columbia	(202) 727-3400	<a href="http://oag.dc.gov">oag.dc.gov</a>	Office of the Attorney General of DC 441 4 <sup>th</sup> 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.