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November 22, 2021

RECEIVED

NOV 23 2021

VIA FEDEX

CONSUMER PROTECTION

Office of the New Hampshire Attorney General
33 Capitol Street
Concord, NH 03301

RE: **NOTICE OF DATA SECURITY INCIDENT**

Dear Sir/Madam:

We write on behalf of InvestX Capital Ltd., along with its subsidiaries, InvestX Markets LLC, InvestX Financial (Canada) Ltd., and InvestX Master GP1 Inc. (collectively, "InvestX"), to notify you of a data security incident that InvestX recently experienced. Specifically, on September 24, 2021, InvestX experienced a security incident in which an intruder encrypted certain files in the InvestX environment. InvestX discovered the incident on the same day. Data was able to be restored quickly with no data loss, preventing any significant disruption to operations without engaging with the perpetrator. However, further investigation revealed that the perpetrator may also have been able to access a file with some client information. InvestX's investigation did not allow it to conclusively determine that the report was downloaded, but that it might have been. As a result, InvestX is in the process of identifying and notifying those potentially affected.

After discovering the incident, InvestX worked to determine the nature and scope of the potentially affected personal information. After extensive review, InvestX determined that the file that may have been accessed holds information about some clients, including name, email address, mailing address, and phone number, as well as Social Security Number, investment details, and in some limited cases, bank account information. InvestX is notifying 5 New Hampshire residents of this incident. At this time InvestX does not have any evidence that any individual's personal information has been misused or that any individual has suffered from identity theft as a result of the incident.

InvestX is taking prompt action to assist the New Hampshire residents who may be impacted by this event. InvestX is promptly notifying the residents and recommending actions they can take to protect themselves, such as monitoring account statements, obtaining credit reports, and instituting a security freeze on their credit files. InvestX also will make available 24 months of identity protection services from Experian IdentityWorks, at no cost to the individual. A template copy of the notice to be sent to the individuals is attached to this letter. InvestX is undertaking a review of its systems to help guard against a similar incident occurring in the future.

Thank you for your attention to this matter.



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Sincerely,

David S. Kantrowitz

David S. Kantrowitz



Return Mail Processing
PO Box 589
Claysburg, PA 16625-0589

November 10, 2021



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SAMPLE A SAMPLE - L01 US
APT ABC
123 ANY STREET
ANYTOWN, ST 12345-6789



Notice of Data Breach

Dear Sample A. Sample,

We are contacting you because InvestX Capital Ltd., along with its subsidiaries, InvestX Markets LLC, InvestX Financial (Canada) Ltd., and InvestX Master GP1 Inc. (collectively, "InvestX") recently experienced a cybersecurity incident that could affect some of your personal information. Please review this letter carefully to learn about the incident and resources you can use to monitor your personal information and help protect against fraud and identity theft.

What Happened?

On September 24, 2021, InvestX experienced a ransomware attack, in which certain files present in the InvestX environment were encrypted by an unknown perpetrator. InvestX discovered the incident on the same day. Data was able to be restored quickly with no data loss, preventing any significant disruption to operations without engaging with the perpetrator. However, further investigation revealed that the perpetrator may also have been able to access a file with some client information, including yours. InvestX's investigation did not allow us to conclusively determine that the report was downloaded, but that it might have been.

What Information Was Involved?

The file that may have been accessed holds information about some clients, including contact information (name, email, address, phone number), as well as [Tax ID TEXT] [Bank Account - TEXT] investment details and general information about you as an investor. At this time, we have no evidence that any of this information was misused, that there was any unauthorized trading activity, or that any individual has suffered from identity theft as a result of the incident. None of our client accounts were impacted by this event, and they remain secure.

What We are Doing

InvestX takes this event and the security of information in our care very seriously. Upon becoming aware of the incident, InvestX immediately took steps to terminate the unauthorized access, investigate the incident, determine what information may have been accessed, and confirm the security of our systems. Now that we have determined what information may have been accessed, we are communicating with impacted clients. Further, as part of our ongoing commitment to the security of information in our care, we have engaged security consulting firms to evaluate and recommend additional cyber defense measures and investment in enhanced data security policies, procedures, and defense capability we might take as a result of this incident. We have also notified law enforcement agencies of this incident.

<p>U.S. 1 212 390 9270 19 Fulton St, Suite #307 New York, NY 10038, USA</p>	<p>CANADA 1 844 246 4556 999 Canada Place Suite 654 Vancouver, BC V6C 3E1</p>
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As an added precaution, InvestX is offering you a two-year membership to Experian's® IdentityWorksSM at our expense. This product provides you with superior detection of identity theft. To activate your membership and start monitoring your personal information, please follow the steps below:

- Ensure that you **enroll by**: February 28, 2022 (Your code will not work after this date.)
- **Visit** the Experian IdentityWorks website to enroll: <https://www.experianidworks.com/credit>
- Provide your **activation code**: **ABCDEFGHI**

If you have questions about the product, need assistance with identity restoration or would like an alternative to enrolling in Experian IdentityWorks online, please contact Experian's customer care team at (855) 347-6555 by February 28, 2022. Be prepared to provide engagement number **B020677** as proof of eligibility for the identity restoration services provided by Experian.

What You Can Do

As always, we recommend that you remain vigilant for incidents of fraud, identity theft and phishing. Regularly view your account statements, monitor your free credit reports, change your password for your online accounts regularly, and stay alert for suspicious emails. For more information on how you can help protect yourself, please review the enclosed *Steps You Can Take to Protect Yourself From Identity Theft*.

For More Information

If you have any further questions or concerns about this incident, feel free to contact Experian support by phone at (855) 347-6555 Monday through Friday from 8 am – 10 pm Central, or Saturday and Sunday from 10 am – 7 pm Central (excluding major U.S. holidays). Be prepared to provide your engagement number **B020677**. We thank you for your continued support.

Marcus New, CEO

ADDITIONAL DETAILS REGARDING YOUR 24-MONTH EXPERIAN IDENTITYWORKS MEMBERSHIP:

A credit card is **not** required for enrollment in Experian IdentityWorks.

You can contact Experian **immediately** regarding any fraud issues, and have access to the following features once you enroll in Experian IdentityWorks:

- **Experian credit report at signup:** See what information is associated with your credit file. Daily credit reports are available for online members.*
- **Credit Monitoring:** Actively monitors Experian file for indicators of fraud.
- **Identity Restoration:** Identity Restoration agents are immediately available to help you address credit and non-credit related fraud.
- **Experian IdentityWorks ExtendCARE™:** You receive the same high level of Identity Restoration support even after your Experian IdentityWorks membership has expired.
- **Up to \$1 Million Identity Theft Insurance**:** Provides coverage for certain costs and unauthorized electronic fund transfers.

If you believe there was fraudulent use of your information and would like to discuss how you may be able to resolve those issues, please reach out to an Experian agent at (855) 347-6555. If, after discussing your situation with an agent, it is determined that Identity Restoration support is needed, then an Experian Identity Restoration agent is available to work with you to investigate and resolve each incident of fraud that occurred (including, as appropriate, helping you with contacting credit grantors to dispute charges and close accounts; assisting you in placing a freeze on your credit file with the three major credit bureaus; and assisting you with contacting government agencies to help restore your identity to its proper condition).

Please note that this Identity Restoration support is available to you for one year from the date of this letter and does not require any action on your part at this time. The Terms and Conditions for this offer are located at www.ExperianIDWorks.com/restoration. You will also find self-help tips and information about identity protection at this site.

* Offline members will be eligible to call for additional reports quarterly after enrolling.

** The Identity Theft Insurance is underwritten and administered by American Bankers Insurance Company of Florida, an Assurant company. 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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Steps You Can Take to Protect Yourself From Fraud and Identity Theft

1. Review your account statements and credit reports and notify law enforcement and InvestX of suspicious activity.

Even if you do not feel the need to register for a credit monitoring service, as a precautionary measure, we recommend that you regularly review statements from your bank, credit card, and other accounts and periodically obtain your credit report from one or more of the national credit reporting companies. You may obtain a free copy of your credit report online at www.annualcreditreport.com, by calling toll-free 1.877.322.8228, or by mailing an Annual Credit Report Request Form (available at www.annualcreditreport.com) to: Annual Credit Report Request Service, P.O. Box 105281, Atlanta, GA 30348-5281. You may also purchase a copy of your credit report by contacting one or more of the three national credit reporting agencies:

Equifax

P.O. Box 740241
Atlanta, GA 30374
www.equifax.com
1.888.766.0008

Experian

P.O. Box 9532
Allen, TX 75013
www.experian.com
1.888.397.3742

TransUnion

P.O. Box 2000
Chester, PA 19022-2000
www.transunion.com
1.800.680.7289

When you receive your credit reports, look them over carefully. Look for accounts that you did not open and/or inquiries from creditors that you did not initiate. Also check to see if your personal information on the credit report is accurate. If you see anything you do not understand, call the credit reporting agency at the telephone number on the report.

We recommend that you remain vigilant in your review of your account statements and credit reports. You should promptly report any suspicious activity or suspected identity theft to us and to the proper law enforcement authorities, including local law enforcement, your state's attorney general, and/or the Federal Trade Commission.

2. Consider placing a fraud alert or a security freeze on your credit files.

Fraud Alerts: There are two types of fraud alerts that you can place on your credit report to put your creditors on notice that you may be a victim of fraud: an initial alert and an extended alert. You may request that an initial fraud alert be placed on your credit report if you suspect you have been, or are about to be, a victim of identity theft. An initial fraud alert stays on your credit report for at least 90 days. You may have an extended alert placed on your credit report if you have already been a victim of identity theft with the appropriate documentary proof. An extended fraud alert stays on your credit report for seven years. You can place a fraud alert on your credit report by calling the toll-free fraud number of any of the three national credit reporting agencies listed above.

Security Freezes: You may have the right to put a security freeze, also known as a credit freeze, on your credit file, so that no new credit can be opened in your name without the use of a PIN number that is issued to you when you initiate a freeze. A security freeze is designed to prevent potential credit grantors from accessing your credit report without your consent. If you place a security freeze, potential creditors and other third parties will not be able to get access to your credit report unless you temporarily lift the freeze. Security freeze laws vary from state to state.

Keep in mind that when you place the freeze, you may not be able to borrow money, obtain instant credit, or get a new credit card until you temporarily lift or permanently remove the freeze. In addition, you may incur fees to place, lift and/or remove a credit freeze. The cost of placing, temporarily lifting, and removing a security freeze also varies by state, generally \$5 to \$20 per action at each credit reporting company. *Unlike a fraud alert, you must separately place a security freeze on your credit file at each credit reporting company.* Since the instructions for how to establish a credit freeze differ from state to state, please contact the three major credit reporting companies at the numbers above to find out more information.

3. Learn more about how to protect yourself from identity theft.

You may wish to review the Federal Trade Commission's guidance on how consumers can protect themselves against identity theft. For more information:

Federal Trade Commission
600 Pennsylvania Avenue NW
Washington, DC 20580
www.ftc.gov/idtheft
1.877.ID.THEFT (1.877.438.4338)

For residents of Maryland: You may also obtain information about preventing and avoiding identity theft from the Maryland Office of the Attorney General:

Maryland Office of the Attorney General
Consumer Protection Division
200 St. Paul Place, Baltimore, MD 21202
1-888-743-0023
<http://www.marylandattorneygeneral.gov>

For residents of North Carolina: You may also obtain information about preventing and avoiding identity theft from the North Carolina Attorney General's Office:

North Carolina Attorney General's Office
Consumer Protection Division
9001 Mail Service Center
Raleigh, NC 27699-9001
1-877-5-NO-SCAM
www.ncdoj.gov

For residents of Massachusetts: Under Massachusetts law, you have the right to obtain any police report filed in regard to 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.

Under Massachusetts law, you may also place, life, or remove a security freeze on your credit reports, free of charge. You must place your request for a freeze with each of the three major consumer reporting agencies: Equifax (www.equifax.com); Experian (www.experian.com); and TransUnion (www.transunion.com). To place a security freeze on your credit report, you may send a written request by regular, certified or overnight mail at the addresses below. You may also place a security freeze through each of the consumer reporting agencies' websites or over the phone, using the contact information below:

Equifax Security Freeze
P.O. Box 105788
Atlanta, GA 30348
1-800-349-9960
<https://www.equifax.com/personal/credit-report-services/>

Experian Security Freeze
P.O. Box 9554
Allen, TX 75013
1-888-397-3742
<https://www.experian.com/freeze/center.html>

TransUnion Security Freeze
P.O. Box 160
Woodlyn, PA 19094
1-888-909-8872
<https://www.transunion.com/credit-freeze>

In order to request a security freeze, you will need to provide some or all of the following information to the credit reporting agency, depending on whether you do so online, by phone, or by mail:

1. Your full name (including middle initial as well as Jr., Sr., II, III, etc.);
2. Social Security Number;
3. Date of birth;
4. If you have moved in the past five (5) years, the addresses where you have lived over the prior five years;
5. Proof of current address, such as a current utility bill, telephone bill, rental agreement, or deed;



6. A legible photocopy of a government issued identification card (state driver's license or ID card, military identification, etc.);
7. Social Security Card, pay stub, or W2;
8. If you are a victim of identity theft, include a copy of either the police report, investigative report, or complaint to a law enforcement agency concerning identity theft.

The credit reporting agencies have one (1) to three (3) business days after receiving your request to place a security freeze on your credit report, based upon the method of your request. The credit bureaus must also send written confirmation to you within five (5) business days and provide you with a unique personal identification number (PIN) or password (or both) that can be used by you to authorize the removal or lifting of the security freeze. It is important to maintain this PIN/password in a secure place, as you will need it to lift or remove the security freeze.

To lift the security freeze in order to allow a specific entity or individual access to your credit report, you must make a request to each of the credit reporting agencies by mail, through their website, or by phone (using the contact information above). You must provide proper identification (including name, address, and social security number) and the PIN number or password provided to you when you placed the security freeze, as well as the identities of those entities or individuals you would like to receive your credit report. You may also temporarily lift a security freeze for a specified period of time rather than for a specific entity or individual, using the same contact information above. The credit bureaus have between one (1) hour (for requests made online) and three (3) business days (for request made by mail) after receiving your request to lift the security freeze for those identified entities or for the specified period of time.

To remove the security freeze, you must make a request to each of the credit reporting agencies by mail, through their website, or by phone (using the contact information above). You must provide proper identification (name, address, and social security number) and the PIN number or password provided to you when you placed the security freeze. The credit bureaus have between one (1) hour (for requests made online) and three (3) business days (for requests made by mail) after receiving your request to remove the security freeze.