



Ameriprise Financial Services, LLC
70100 Ameriprise Financial Center | Minneapolis, MN 55474

Date

Client ID
XXXX XXXX X 001

Name
Address
City, ST Zip Code

NOTICE OF A DATA BREACH

Dear Name,

I'm writing to inform you of an incident involving your personal information.

What Happened?

On November 11th, a staff member within your advisor's office was the victim of a phishing incident. The individual received an email that appeared to be a legitimate communication from a client. This incident provided a bad actor with the potential to access and/or transmit certain client information for a temporary period of time. While we have not identified evidence that your personal information was actually accessed or transmitted, we are providing this notice as a precautionary measure.

Our information security team promptly detected and contained the incident. We immediately initiated a thorough investigation that allowed us to identify the clients who may have been affected and the scope of the information that could have been compromised.

What Information Was Involved?

The information potentially involved includes your name, address, phone numbers, email address, birthdate, SSN, driver's license number, gender, marital status, dependents, citizenship, income, net worth, client ID, group ID, account and policy numbers, account values and medical information.

What We Are Doing.

To help protect your accounts, we've implemented additional safeguards. This includes enhanced verification procedures for callers and confirmation of signatures on written account requests.

As an added precaution, Ameriprise Financial is offering you complimentary credit monitoring through Equifax Complete™ Premier for **X YEARS**. This service provides alerts for changes to your credit file.

Included with this letter are service details and the promotional code you need to enroll.

What You Can Do.

We recommend taking the following steps to help protect your information:

- 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.

- Your Ameriprise financial advisor, **Name**, **CFP®**, at **Phone Number**.
- The Ameriprise Global Privacy Office. Contact details are listed on the Additional Resources page under Ameriprise Resources.

Please accept my sincere apology regarding this situation and any inconvenience it may cause. Protecting your information is a top priority, and we're here to support you.

Sincerely,

A handwritten signature in black ink, appearing to read "Jennifer Swihart". The signature is fluid and cursive, with the first name "Jennifer" written in a larger, more prominent script than the last name "Swihart".

Jennifer Swihart
Director - Compliance
Global Privacy Office
Ameriprise Financial, Inc.

Securities offered by Ameriprise Financial Services, LLC. Member FINRA and SIPC.

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Equifax Complete™ Premier

You must be over age 18 with a credit file to use this 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, and click "Submit".
- **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 successfully sign in, you will skip to the Checkout Page in Step 4.
- **Create Account:** Enter your email address, create a password, and accept the terms of use.
- **Verify Identity:** To enroll in your product, complete our identity verification process.
- **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.com. 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

Ameriprise resources

Ameriprise Global Privacy Office
739 Ameriprise Financial Center, Minneapolis, MN 55474
800.414.3398
data.security.notifications@ampf.com

Ameriprise Privacy, Security & Fraud Center: ameriprise.com/privacy-security-fraud

Ameriprise Online Security Guarantee: ameriprise.com/privacy-security-fraud/online-security-guarantee

Other resources

<ul style="list-style-type: none">Federal Trade Commission 600 Pennsylvania Ave NW, Washington, DC 20580 877.438.4338 identitytheft.govEquifax P.O. Box 740241 Atlanta, GA 30374 888.378.4329 equifax.comExperian P.O. Box 9554 Allen, TX 75013 888.397.3742 experian.com	<ul style="list-style-type: none">Transunion 2 Baldwin Place P.O. Box 1000 Chester, PA 19022 800.916.8800 transunion.comIdentity Theft Resource Center 2514 Jamacha Rd, Ste 502-525 El Cajon, CA 92019-4492 888.400.5530 idtheftcenter.orgOnGuard Online: onguardonline.gov
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Security freeze

Consumers can place a security freeze on their credit report at no cost 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 New Mexico:

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

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.

Continued next page

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 St 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 in NC 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 St 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 Ave, Suite 118 Frankfort, KY 40601
Rhode Island	401.274.4400	riag.ri.gov	Office of the Attorney General of RI 150 S Main St Providence, RI 02903
District of Columbia	202.727.3400	oag.dc.gov	Office of the Attorney General of DC 441 4 th St, NW Washington, DC 20001