

17588

NOTICE OF A DATA BREACH

<<Mail Date>>

<<FIRST_NAME>> <<LAST_NAME>>
 <<ADDRESS 1>>
 <<ADDRESS 2>>
 <<CITY>>, <<STATE>> <<ZIP>>

Dear <<FIRST_NAME>> <<LAST_NAME>>:

What Happened?

I am writing to inform you of an incident involving your personal information. On August 17th, a staff member in my office uploaded a copy of a client list to their personal email account in error. While there was no intent for misuse, it is against Ameriprise Financial policy to use personal email for client information. There is no indication that the information was accessed by anyone other than the staff member and the file has been deleted from the personal email account. Due to the sensitive nature of the information, I wanted to notify you of this incident.

What Information Was Involved?

The file contained your name, address, phone numbers, email address, date of birth, social security number, marital status, employment status and employer.

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 two years 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.

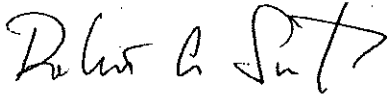
None of us like to hear about incidents involving our personal information. And in situations like this, taking a few prudent steps can further protect you against the potential misuse of your information. That's why we recommend the following actions:

- 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.

For More Information.

Please do not hesitate to contact me at (310) 220-2307. Please accept my sincere apology regarding this situation and any inconvenience it may cause you.

Sincerely,

A handwritten signature in black ink, appearing to read "Robert A. Smotherman". The signature is written in a cursive, somewhat stylized font.

Robert A. Smotherman, CFP®, CLU®, ChFC®, APMA®
Private Wealth Advisor
Robert Smotherman and Associates

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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 monitoring¹ and alerts of key changes to your Equifax®, Transunion®, and Experian® credit reports
- One Equifax 3-Bureau credit report
- Automatic Fraud Alerts² 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 Insurance³
- 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

- 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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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.