



PlanMember Securities Corporation
 6187 Carpinteria Ave
 Carpinteria, CA 93013

<<Date>> (Format: Month Day, Year)

<<first_name>> <<middle_name>> <<last_name>> <<suffix>>
 <<address_1>>
 <<address_2>>
 <<city>>, <<state_province>> <<postal_code>>
 <<country>>

Re: Notice of Data Security Incident

Dear <<First_Name>> <<Last_Name>>,

At PlanMember Securities Corporation (“PlanMember”), we take privacy very seriously. That is why we want to make you aware of data privacy issues that may affect you. Below you will find information about an incident that could have impacted your personal information and the steps we are taking to help protect that information.

What Happened

On March 15, 2022, we observed anomalous activity on our IT network. We promptly launched an investigation and took a series of immediate steps designed to remediate the issue. We then engaged a leading cybersecurity firm to further secure our systems, determine the cause of what happened, and to further help protect your information. We also reported the event to law enforcement and regulators.

The criminal actors could have accessed documents containing personal information as described below. There is no evidence that the attackers accessed these documents; but out of an abundance of caution, we wanted to notify anyone that may be affected.

What Information Was Involved

Our records indicate that your name, Social Security number, and PlanMember account number may have been accessed.

Actions We’ve Taken to Safeguard Your Information

We took a series of immediate steps to remediate the issue, engaged a leading cybersecurity firm to investigate the incident and further help protect your information, and we implemented processes and protocols designed to prevent this, or something like this, from happening again.

Identify Theft Protection Service

To help protect your identity from misuse, we are offering complimentary access to Kroll identity monitoring for 24 months. Kroll is a global leader in risk mitigation and response, and their team has extensive experience helping people who have sustained an unintentional exposure of confidential data. While identity restoration assistance is **immediately available to you**, we also encourage you to activate the fraud detection tools available through Kroll as a complimentary two-year membership. Your identity monitoring services include Credit Monitoring, Fraud Consultation, and Identity Theft Restoration.

To start monitoring your personal information, please follow the steps below:

Visit <https://enroll.krollmonitoring.com> to activate and take advantage of your identity monitoring services.

You have until <<b2b_text_6(ActivationDeadline)>> to activate your identity monitoring services.

Membership Number: <<MembershipNumber(S_N)>>

Please do not share this information as these links are exclusive to you and your account.

For more information about Kroll and your Identity Monitoring services, you can visit info.krollmonitoring.com. If you have questions about this incident, the monitoring services, need assistance with identity restoration, or assistance with activation, please call Kroll's member call center at 1-855-482-1569, Monday through Friday from 8:00 a.m. to 5:30 p.m. Central Time, excluding some major U.S. holidays. Please have your membership number ready.

Steps You Can Take to Protect Your Identity

We encourage you to take advantage of Kroll identity theft protection services at no cost to you. In addition, there are other steps you may take to further help protect yourself against identity theft or other unauthorized use of your personal information. Information regarding these steps is provided on the attached pages entitled "*Steps You May Take to Protect Yourself Against Potential Misuse of Information.*"

Contact Information

We wanted you to know the nature and extent of this incident and to make you aware of the steps we are taking to help protect your information. If you have questions, please call 1-855-482-1569, Monday through Friday from 8:00 a.m. to 5:30 p.m. Central Time, excluding some major U.S. holidays. Please have your membership number ready.

Regards,

Sean Haley, Chief Compliance Officer
PlanMember Securities Corporation

Steps You May Take to Protect Yourself Against Potential Misuse of Information

We recommend that you regularly review statements from your 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 obtain a copy of your credit report by contacting one or more of the three national credit reporting agencies listed below.

Equifax: P.O. Box 740241, Atlanta, Georgia 30374-0241, 1-800-685-1111, www.equifax.com
Experian: P.O. Box 9532, Allen, TX 75013, 1-888-397-3742, www.experian.com
TransUnion: P.O. Box 1000, Chester, PA 19022, 1-800-888-4213, www.transunion.com

When you receive your credit reports, review them carefully. Look for accounts or creditor inquiries that you did not initiate or do not recognize. Look for information, such as home address and Social Security number, that is not accurate. If you see anything you do not understand, call the credit reporting agency at the telephone number on the report.

We recommend you remain vigilant with respect to reviewing your account statements and credit reports. We also recommend that you promptly report any suspicious activity or suspected identity theft to the proper law enforcement authorities, including local law enforcement, your state's attorney general and/or the Federal Trade Commission (FTC). You may contact the FTC or your state's regulatory authority to obtain additional information about avoiding identity theft.

Federal Trade Commission, Consumer Response Center, 600 Pennsylvania Avenue, NW, Washington, DC 20580, 1-877-IDTHEFT (438-4338), www.ftc.gov/idtheft.

Fraud Alerts: There are also 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 ask 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 7 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 below.

Equifax: 1-888-766-0008, www.equifax.com
Experian: 1-888-397-3742, www.experian.com
TransUnion: 1-800-680-7289, fraud.transunion.com

Credit Freezes: You may have the right to put a credit freeze, also known as a security 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 credit freeze is designed to prevent potential credit grantors from accessing your credit report without your consent. If you place a credit freeze, potential creditors and other third parties will not be able to get access to your credit report unless you temporarily lift the freeze. Therefore, using a credit freeze may delay your ability to obtain credit. *Unlike a fraud alert, you must separately place a credit freeze on your credit file at each credit reporting company.* Placing, lifting, and/or removing a credit freeze from your account is completely free and will not affect your credit score. Please contact the three national credit reporting agencies as specified below to find out more information:

Equifax: P.O. Box 105788, Atlanta, GA 30348, www.equifax.com
Experian: P.O. Box 9554, Allen, TX 75013, www.experian.com
TransUnion: P.O. Box 2000, Chester, PA, 19022-2000, freeze.transunion.com

You can obtain more information about fraud alerts and credit freezes by contacting the FTC or one of the three national credit reporting agencies listed above.

The following information should be included when requesting a security freeze (documentation for you and your spouse must be submitted when freezing a spouse's credit report): full name, with middle initial and any suffixes; Social Security number; date of birth (month, day, and year); current address and previous addresses for the past 5 years; and any incident report or complaint with a law enforcement agency or the Department of Motor Vehicles. The request should also include a copy of a government-issued identification card, such as a driver's license, state, or military ID card, and a copy of a

utility bill, bank, or insurance statement. Each copy should be legible, display your name and current mailing address, and the date of issue (statement dates must be recent).

Police Report: 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.



TAKE ADVANTAGE OF YOUR IDENTITY MONITORING SERVICES

You have been provided with access to the following services from Kroll:

Single Bureau Credit Monitoring

You will receive alerts when there are changes to your credit data—for instance, when a new line of credit is applied for in your name. If you do not recognize the activity, you will have the option to call a Kroll fraud specialist, who will be able to help you determine if it is an indicator of identity theft.

Fraud Consultation

You have unlimited access to consultation with a Kroll fraud specialist. Support includes showing you the most effective ways to protect your identity, explaining your rights and protections under the law, assistance with fraud alerts, and interpreting how personal information is accessed and used, including investigating suspicious activity that could be tied to an identity theft event.

Identity Theft Restoration

If you become a victim of identity theft, an experienced Kroll licensed investigator will work on your behalf to resolve related issues. You will have access to a dedicated investigator who understands your issues and can do most of the work for you.