



[6187 Carpinteria Ave]  
[Carpinteria, CA 93013]

[Insert Recipient's Name]  
[Insert Address]  
[Insert City, State, Zip]

[Date]

Re: Notice of Data Security Incident Involving Your Personal Information

Dear [First Name] [Last Name],

At PlanMember Financial Corporation ("PlanMember"), we take privacy very seriously. It is therefore important that we make you aware of any data privacy issues that may affect you. Below you will find information about an incident that may have impacted your personal information.

We are actively taking steps to protect your information as outlined below.

#### What Happened

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

Information that may have been accessed includes employee and client personal information in the form of Social Security numbers, account numbers, and names. It is unknown at this time whether the unauthorized activity resulted in actual access to this data; but out of an abundance of caution, we are providing notice in case it was.

#### 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 take our responsibility to safeguard your personal information very seriously. We took a series of immediate steps to remediate the issue, engaged a leading incident response and forensics firm to investigate the incident and further protect your information, and 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 Experian IdentityWorks<sup>SM</sup> for 24 months. This product provides you with detection and resolution of identity theft. While identity restoration assistance is immediately available to you, we also encourage you to activate the fraud detection tools available through Experian IdentityWorks as a complimentary two-year membership.

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

- Ensure that you **enroll by:** (Your code will not work after this date.)
- **Visit** Experian's website to enroll: <https://www.experianidworks.com/credit>
- Provide your **activation code:** [Activation Code]

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

If you have questions about the product, need assistance with identity restoration or would like an alternative to enrolling in Experian's® IdentityWorks<sup>SM</sup> online, please contact Experian's customer care team at [] by []. Be prepared to provide engagement number [] as proof of eligibility for the Identity Restoration services by Experian.

#### Steps You Can Take for Identity Theft Protection

We encourage you to take advantage of Experian's® IdentityWorks<sup>SM</sup> identity theft protection services at no cost to you. In addition, there are other steps you may take to further 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 protect your information. If you have questions about anything contained in this letter, please contact us by phone at [].

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](http://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](http://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](http://www.equifax.com)

**Experian:** P.O. Box 9532, Allen, TX 75013, 1-888-397-3742, [www.experian.com](http://www.experian.com)

**TransUnion:** P.O. Box 1000, Chester, PA 19022, 1-800-888-4213, [www.transunion.com](http://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](http://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](http://www.equifax.com)

**Experian:** 1-888-397-3742, [www.experian.com](http://www.experian.com)

**TransUnion:** 1-800-680-7289, [fraud.transunion.com](http://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](http://www.equifax.com)  
**Experian:** P.O. Box 9554, Allen, TX 75013, [www.experian.com](http://www.experian.com)  
**TransUnion:** P.O. Box 2000, Chester, PA, 19022-2000, [freeze.transunion.com](http://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 applicable fee (if any) or 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).

**For residents of the District of Columbia:** You may also contact the District of Columbia Office of the Attorney General: Office of the Attorney General, Office of Consumer Protection, 400 6th Street, NW, Washington, DC 20001, (202) 442-9828, <https://oag.dc.gov/>.

**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, [www.oag.state.md.us](http://www.oag.state.md.us).

**For residents of New York:** You may also obtain information about security breaches and preventing and avoiding identity theft from the New York Office of the Attorney General: Office of the Attorney General, The Capitol, Albany, NY 12224-0341, 1-800-771-7755, <https://ag.ny.gov/>.

**For residents of North Carolina:** You may also obtain information about preventing and avoiding identity theft from 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](http://www.ncdoj.gov).

**For residents of Oregon:** You may also contact the Oregon Office of the Attorney General: Oregon Department of Justice, 1162 Court St. NE, Salem, OR 97301-4096, 1-877-877-9392, [help@oregonconsumer.gov](mailto:help@oregonconsumer.gov), [www.doj.state.or.us](http://www.doj.state.or.us).

**For residents of Rhode Island:** You also may obtain information about preventing and avoiding identity theft from the Rhode Island Office of the Attorney General at: Rhode Island Office of the Attorney General, Consumer Protection Unit 150 South Main Street, Providence, RI 02903, (401)-274-4400, <http://www.riag.ri.gov>. You may also be able to file or obtain a police report about this incident.