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December 29, 2022

***Via Portal***

Attorney General Aaron Frey  
Office of the Attorney General  
6 State House Station  
Augusta, ME 04333

Dear Attorney General Frey:

We represent RiverSource, LLC (“RiverSource”) with respect to a data security incident involving the potential exposure of limited personally identifiable information (“PII”) described in more detail below. RiverSource is committed to answering any questions you may have about the data security incident its response and steps taken to prevent a similar incident in the future.

**1. Nature of security incident.**

On June 2, 2022, RiverSource identified suspicious activity associated with one corporate email account. RiverSource immediately investigated and engaged independent cybersecurity experts to assist. The investigation identified unauthorized access to one corporate email account, but could not determine whether any information had been accessed. Out of an abundance of caution, RiverSource then hired a vendor to review the contents of the email account to determine whether personal information may have been in it. Based on the review, RiverSource determined on November 14, 2022, that some of their clients’ information, including name, date of birth, Social Security number, driver’s license number, health insurance policy number, and financial account number, was present in the impacted corporate email account.

**2. Number of residents affected.**

One (1) Maine resident may have been affected and was notified of the incident. A notification letter was sent to potentially affected individual on December 29, 2022 (a copy of the template letter is enclosed as Exhibit A).

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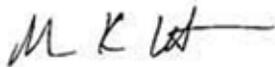
### **3. Steps taken or plan to take relating to the incident.**

RiverSource took steps to address this incident and prevent similar incidents in the future, including conducting a global password reset and implementing multi-factor authentication on remote access. In addition, potentially impacted individuals can enroll in twelve (12) months of complimentary credit monitoring and identity restoration services through IDX.

### **4. Contact information.**

RiverSource takes the security of information in its control seriously and is committed to ensuring this information is appropriately protected. If you have any questions or need additional information, please do not hesitate to contact me at [mventrone@clarkhill.com](mailto:mventrone@clarkhill.com) or (312) 360-2506.

Sincerely,  
CLARK HILL

A handwritten signature in black ink, appearing to read 'M K Ventrone', with a horizontal line extending to the right.

Melissa K. Ventrone  
Member

CC: Paul Schmeltzer

RiverSource, LLC  
P.O. Box 989728  
West Sacramento, CA 95798-9728

To Enroll, Please Call:  
1-833-896-5285  
Or Visit:  
<https://app.idx.us/account-creation/protect>  
Enrollment Code: <<Enrollment Code>>

<<First Name>> <<Last Name>>  
<<Address1>>  
<<Address2>>  
<<City>>, <<State>> <<Zip>>

December 29, 2022

### Notice of Data Security Incident

Dear <<First Name>> <<Last Name>>,

I am writing to inform you of a recent data security incident that may have impacted your personal information. RiverSource, LLC (“RiverSource”) takes the privacy and security of your information very seriously, and apologizes for any concern this may cause you. This letter contains information about steps taken to increase the protection of your information, and the resources that are being made available to you to help you protect your information.

#### What Happened?

On June 23, 2022, suspicious activity was identified associated with one email account, and an external cybersecurity expert was engaged to conduct a forensic investigation. The investigation found unauthorized access to one email account, which may have occurred between April 5<sup>th</sup> and June 2<sup>nd</sup> 2022. The cybersecurity expert then reviewed the emails and attachments present in the account to identify any personal information that may have been affected. This review was completed on November 14, 2022, at which point it was determined that your information was present in the account at the time of the unauthorized access. There is no indication that any of your information has been misused, but I wanted to let you know about this incident out of an abundance of caution.

#### What Information Was Involved?

Impacted information may include your name, <<Variable Text>>.

#### What Are We Doing?

Steps have been taken to prevent a similar incident from occurring in the future, including changing the password on the impacted email account and installing multi-factor authentication for more secure access. In addition, I am working with a new IT company to implement additional security controls to enhance the overall security of my system.

Although there is no evidence your information has been misused, we are offering identity theft protection services through IDX, the data breach and recovery services expert. IDX identity protection services include: <<12/24>> months of credit and CyberScan monitoring, a \$1,000,000 insurance reimbursement policy, and fully managed identity theft recovery services at no cost to you. With this protection, IDX will help you resolve issues if your identity is compromised.

**What You Can Do:**

We encourage you to contact IDX with any questions and to enroll in free identity protection services by calling 1-833-896-5285 or going to <https://app.idx.us/account-creation/protect> and using the Enrollment Code provided above. IDX representatives are available Monday through Friday from 9 am - 9 pm Eastern Time. Please note the deadline to enroll is March 29, 2023.

You will find detailed instructions for enrollment on the enclosed Recommended Steps document. Also, you will need to reference the enrollment code at the top of this letter when calling or enrolling online, so please do not discard this letter.

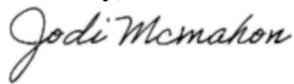
We encourage you to take full advantage of this service offering. IDX representatives have been fully versed on the event and can answer questions or concerns you may have regarding protection of your personal information.

Please monitor your financial statements and credit reports, and immediately report any suspicious activity.

**For More Information:**

You should contact IDX at the number provided above if you have any questions on protecting your identity or how to enroll in the services provided. For any other questions or concerns, please call me. Your trust is important to me, and I deeply regret any concern that this incident may cause.

Sincerely,



Jodi McMahan

Securities offered through Registered Representatives of Cambridge Investment Research, Inc. A broker/dealer, Member FINRA/SIPC. Advisory Services offered through Cambridge Investment Research Advisors a Registered Investment Advisor. RiverSource and Cambridge are not affiliated.

## Recommended Steps to help Protect your Information

**1. Website and Enrollment.** Go to <https://app.idx.us/account-creation/protect> and follow the instructions for enrollment using your Enrollment Code provided at the top of the letter.

**2. Activate the credit monitoring** provided as part of your IDX identity protection membership. The monitoring included in the membership must be activated to be effective. Note: You must have established credit and access to a computer and the internet to use this service. If you need assistance, IDX will be able to assist you.

**3. Telephone.** Contact IDX at 1-833-896-5285 to gain additional information about this event and speak with knowledgeable representatives about the appropriate steps to take to protect your credit identity.

**4. Review your credit reports.** We recommend that you remain vigilant by reviewing account statements and monitoring credit reports. Under federal law, you also are entitled every 12 months to one free copy of your credit report from each of the three major credit reporting companies. To obtain a free annual credit report, go to [www.annualcreditreport.com](http://www.annualcreditreport.com) or call 1-877-322-8228. You may wish to stagger your requests so that you receive a free report by one of the three credit bureaus every four months.

If you discover any suspicious items and have enrolled in IDX identity protection, notify them immediately by calling or by logging into the IDX website and filing a request for help.

If you file a request for help or report suspicious activity, you will be contacted by a member of our ID Care team who will help you determine the cause of the suspicious items. In the unlikely event that you fall victim to identity theft as a consequence of this incident, you will be assigned an ID Care Specialist who will work on your behalf to identify, stop and reverse the damage quickly.

You should also know that you have the right to file a police report if you ever experience identity fraud. Please note that in order to file a crime report or incident report with law enforcement for identity theft, you will likely need to provide some kind of proof that you have been a victim. A police report is often required to dispute fraudulent items. You can report suspected incidents of identity theft to local law enforcement or to the Attorney General.

**5. Place Fraud Alerts** with the three credit bureaus. If you choose to place a fraud alert, we recommend you do this after activating your credit monitoring. You can place a fraud alert at one of the three major credit bureaus by phone and also via Experian's or Equifax's website. A fraud alert tells creditors to follow certain procedures, including contacting you, before they open any new accounts or change your existing accounts. For that reason, placing a fraud alert can protect you, but also may delay you when you seek to obtain credit. The contact information for all three bureaus is as follows:

### Credit Bureaus

Equifax Fraud Reporting  
1-866-349-5191  
P.O. Box 105069  
Atlanta, GA 30348-5069  
[www.equifax.com](http://www.equifax.com)

Experian Fraud Reporting  
1-888-397-3742  
P.O. Box 9554  
Allen, TX 75013  
[www.experian.com](http://www.experian.com)

TransUnion Fraud Reporting  
1-800-680-7289  
P.O. Box 2000  
Chester, PA 19022-2000  
[www.transunion.com](http://www.transunion.com)

It is necessary to contact only ONE of these bureaus and use only ONE of these methods. As soon as one of the three bureaus confirms your fraud alert, the others are notified to place alerts on their records as well.

You will receive confirmation letters in the mail and will then be able to order all three credit reports, free of charge, for your review. An initial fraud alert will last for one year.

**Please Note: No one is allowed to place a fraud alert on your credit report except you.**

**6. Security Freeze.** By placing a security freeze, someone who fraudulently acquires your personal identifying information will not be able to use that information to open new accounts or borrow money in your name. You will need

to contact the three national credit reporting bureaus listed above to place the freeze. Keep in mind that when you place the freeze, you will not be able to borrow money, obtain instant credit, or get a new credit card until you temporarily lift or permanently remove the freeze. There is no cost to freeze or unfreeze your credit files.

**7. You can obtain additional information** about the steps you can take to avoid identity theft from the following agencies. The Federal Trade Commission also encourages those who discover that their information has been misused to file a complaint with them.

**California Residents:** Visit the California Office of Privacy Protection ([www.oag.ca.gov/privacy](http://www.oag.ca.gov/privacy)) for additional information on protection against identity theft.

**Kentucky Residents:** Office of the Attorney General of Kentucky, 700 Capitol Avenue, Suite 118 Frankfort, Kentucky 40601, [www.ag.ky.gov](http://www.ag.ky.gov), Telephone: 1-502-696-5300.

**Maryland Residents:** Office of the Attorney General of Maryland, Consumer Protection Division 200 St. Paul Place Baltimore, MD 21202, [www.oag.state.md.us/Consumer](http://www.oag.state.md.us/Consumer), Telephone: 1-888-743-0023.

**New Mexico Residents:** You have rights pursuant to the Fair Credit Reporting Act, such as the right to be told if information in your credit file has been used against you, the right to know what is in your credit file, the right to ask for your credit score, and the right to dispute incomplete or inaccurate information. Further, pursuant to the Fair Credit Reporting Act, the consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information; consumer reporting agencies may not report outdated negative information; access to your file is limited; you must give your consent for credit reports to be provided to employers; you may limit “prescreened” offers of credit and insurance you get based on information in your credit report; and you may seek damages from a violator. You may have additional rights under the Fair Credit Reporting Act not summarized here. Identity theft victims and active duty military personnel have specific additional rights pursuant to the Fair Credit Reporting Act. You can review your rights pursuant to the Fair Credit Reporting Act by visiting [www.consumerfinance.gov/f/201504\\_cfpb\\_summary\\_your-rights-under-fcra.pdf](http://www.consumerfinance.gov/f/201504_cfpb_summary_your-rights-under-fcra.pdf), or by writing Consumer Response Center, Room 130-A, Federal Trade Commission, 600 Pennsylvania Ave. N.W., Washington, D.C. 20580.

**New York Residents:** the Attorney General may be contacted at: Office of the Attorney General, The Capitol, Albany, NY 12224-0341; 1-800-771-7755; <https://ag.ny.gov/>.

**North Carolina Residents:** Office of the Attorney General of North Carolina, 9001 Mail Service Center Raleigh, NC 27699-9001, [www.ncdoj.gov](http://www.ncdoj.gov), Telephone: 1-919-716-6400.

**Oregon Residents:** Oregon Department of Justice, 1162 Court Street NE, Salem, OR 97301-4096, [www.doj.state.or.us/](http://www.doj.state.or.us/), Telephone: 877-877-9392.

**Rhode Island Residents:** Office of the Attorney General, 150 South Main Street, Providence, Rhode Island 02903, [www.riag.ri.gov](http://www.riag.ri.gov), Telephone: 401-274-4400. A total of 7 Rhode Island residents were notified of this incident.

**All US Residents:** Identity Theft Clearinghouse, Federal Trade Commission, 600 Pennsylvania Avenue, NW Washington, DC 20580, [www.consumer.gov/idtheft](http://www.consumer.gov/idtheft), 1-877-IDTHEFT (438-4338), TTY: 1-866-653-4261.