

May 25, 2021

Superintendent William Lund
Department of Professional & Financial Regulation
Bureau of Consumer Protection
35 State House Station
Augusta, ME 04333-0035

Re: Notification of website issue

Dear Superintendent Lund:

I am writing to inform you of a disclosure of personally identifiable information impacting three Maine residents. This disclosure occurred on May 11, 2021, when personal information was erroneously emailed to the incorrect retirement plan employer sponsor. We immediately contacted the recipient and confirmed they permanently deleted the file from their records and network.

Information disclosed included first name, last name, and Social Security number. Under the circumstances, we have no reason to believe the information has been, or will be, misused. However, we are notifying all customers and offering credit monitoring services at the request of the plan sponsor. Attached is a copy of the consumer notification letter.

How Discovered – The employee who mistakenly sent the file to the incorrect plan sponsor self-reported the incident.

Has lost, stolen, or breached information been recovered – N/A

Have individuals involved in the incident (both internal and external) been identified – Yes

Has a police report been filed – No

Type of information lost, stolen or breached – First name, last name and Social Security number.

Was information encrypted – The file was sent encrypted in transit.

Lost, stolen or breached information covers what period of time – May 11, 2021

How many Maine resident affected – 3

Results of an internal review identifying either a lapse in internal procedures or confirmation that all procedures were followed – Once we were notified of the issue, we immediately contacted the recipient and confirmed they permanently deleted the file from

their records and network. The individual that transmitted the report to the incorrect plan sponsor has been coached on the importance of safeguarding personal customer information.

Regulated entity contact person for the Department to contact regarding the incident –
Michele Ramsey, AVP – Chief Privacy Officer.

Other regulatory or law enforcement agencies notified – N/A

We take the matter of information security and our customers' privacy very seriously. Please do not hesitate to contact me if you have any questions.

Sincerely,

/S/ Michele M. Ramsey

Michele M. Ramsey
AVP - Chief Privacy Officer
Principal Financial Group
Des Moines, Iowa 50392-0300
(515) 248-0406
FAX (866) 496-6527
ramsey.michele@principal.com

Attachment