

**Advent**  
**PO Box 219373**  
**Kansas City, MO 64121-9373**

[First Name][Last Name]  
[Address Line 1]  
[Address Line 2]

[Date]

Re: Notice of Data Breach

Dear [First Name][Last Name]:

On behalf of SS&C Advent, we are writing to inform you about a security matter impacting some of your personal information. SS&C Advent is a leading financial technology vendor utilized for software and data intermediation by many financial services firms, domestically and globally. Your current or former financial services firm, R.M. Davis, Inc., is among the many financial services firms that use a financial technology vendor called Advent software, which is provided by Advent Software, Inc. (“SS&C Advent”). Please read this notice carefully, as it provides information about the incident that relates directly to you, as well as information on how you can obtain complimentary credit monitoring and identity theft protection.

### **What Happened?**

On May 13, 2022, SS&C Advent detected a security matter involving unauthorized access to a portion of our IT system associated with our Advent software business division. We immediately took steps to shut down access to the system, and to further enhance our security controls. We also launched an investigation with assistance from a leading cybersecurity firm and notified law enforcement. We later identified evidence that the unauthorized access began on January 1, 2022, and certain aged files, which were misappropriated from one of our file servers by an unauthorized third party.

### **What Information Was Involved?**

Once SS&C Advent identified that files were stolen, we began a process to determine what information those files contained, and to whom it may have belonged. We recently determined that some of your personal information was accessed or acquired, including the following: name, address, telephone number, Social Security number, and/or tax identification number. For someone to read and utilize the data files that were exposed, they would need special and unique software. While that fact mitigates the risk associated with this event, we are addressing the incident no less rigorously. We recently notified R.M. Davis, Inc. and immediately worked with R.M. Davis to provide individuals with impacted information notice of what happened and identity theft protection.

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**What We Are Doing.**

SS&C Advent is offering two (2) years of complimentary credit monitoring and identity restoration services through Kroll in recognition that these services offer valuable protection in other contexts beyond this event. More information about these services, including how to activate them, is attached to this notice. You must activate by **[Activation Date]** to receive these services.

SS&C Advent is committed to safeguarding your personal information, and we value your privacy. We have enhanced the protection of our systems, including by further strengthening our monitoring, authentication, and endpoint protection.

**What You Can Do.**

In addition to enrolling in the credit monitoring and identity restoration services being offered to you, we encourage you to take the following precautions:

- It is always a good idea to remain vigilant against threats of identity theft or fraud. You can do this by regularly reviewing and monitoring your account statements and credit history for any signs of unauthorized transactions or activity.
- If you ever suspect that you are the victim of identity theft or fraud, you can contact your local police. More information about protecting against identity theft is attached to this notice.
- It is always a good idea to be alert for “phishing” emails by someone who acts like they know you or are a company that you may do business with and requests sensitive information over email, such as passwords, government identification numbers, or bank account information.
- In addition to unique password formulations that have no obvious link to you, utilizing multi-factor authentication for access to any account with a financial services company (bank, broker, securities custodian, investment adviser, etc.) is a critical layer of protection that every consumer should utilize.

**For More Information.**

If you have any additional questions, please contact us at 1-800-634-2536 and, when prompted, use code “2”. We sincerely regret any inconvenience this may cause.

Sincerely,

Steve Leivent

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## **HOW TO ACTIVATE FREE CREDIT MONITORING**

We have secured the services of Kroll to provide identity monitoring at no cost to you for two years. 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. Your identity monitoring services<sup>1</sup> include Credit Monitoring, Fraud Consultation, and Identity Theft Restoration.

### **How to Activate Your Identity Monitoring Service**

1. You must activate your identity monitoring services by [**Activation Date**]. Your Activation Code will not work after this date.
2. Visit **Enroll.krollmonitoring.com/redeem** to activate your identity monitoring services.
3. Provide Your Activation Code: [**XXXX**] and Your Verification ID: [**XXXX**].

### **Take Advantage of Your Identity Monitoring Services**

You've 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'll have the option to call a Kroll fraud specialist, who can help you determine if it's 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. Your investigator can dig deep to uncover the scope of the identity theft, and then work to resolve it.

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<sup>1</sup> Kroll's activation website is only compatible with the current version or one version earlier of Chrome, Firefox, Safari and Edge. To receive credit services, you must be over the age of 18 and have established credit in the U.S., have a Social Security number in your name, and have a U.S. residential address associated with your credit file.

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## **ADDITIONAL INFORMATION**

To protect against possible fraud, identity theft or other financial loss, you should always remain vigilant, review your account statements and monitor your credit reports. Provided below are the names and contact information for the three major U.S. credit bureaus and additional information about steps you can take to obtain a free credit report and place a fraud alert or security freeze on your credit report. If you believe you are a victim of fraud or identity theft, you can contact your local law enforcement agency, your state's attorney general, or the Federal Trade Commission. Please know that contacting us will not expedite any remediation of suspicious activity.

### **INFORMATION ON OBTAINING A FREE CREDIT REPORT**

U.S. residents are entitled under U.S. law to one free credit report annually from each of the three major credit bureaus. To order your free credit reports, visit [www.annualcreditreport.com](http://www.annualcreditreport.com) or call toll-free at +1 (877) 322-8228.

### **INFORMATION ON IMPLEMENTING A FRAUD ALERT OR SECURITY FREEZE**

You may contact the three major credit bureaus at the addresses below to place a fraud alert on your credit report. A fraud alert indicates to anyone requesting your credit file that you suspect you are a possible victim of fraud. A fraud alert does not affect your ability to get a loan or credit. Instead, it alerts a business that your personal information might have been compromised and requires that business to verify your identity before issuing you credit. Although this may cause some short delay if you are the one applying for the credit, it might protect against someone else obtaining credit in your name.

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.

A credit reporting agency may not charge you to place, temporarily lift, or permanently remove a security freeze.

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To place a fraud alert or security freeze on your credit report, you must contact the three credit bureaus below:

<b>Equifax:</b> Consumer Fraud Division P.O. Box 740256 Atlanta, GA 30374 +1 (800) 525-6285 <a href="http://www.equifax.com">www.equifax.com</a>	<b>Experian:</b> Credit Fraud Center P.O. Box 9554 Allen, TX 75013 +1 (888) 397-3742 <a href="http://www.experian.com">www.experian.com</a>	<b>TransUnion:</b> TransUnion LLC P.O. Box 2000 Chester, PA 19016-2000 +1 (800) 680-7289 <a href="http://www.transunion.com">www.transunion.com</a>
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To request a security freeze, you will need to provide the following information:

1. Your full name (including middle initial as well as Jr., Sr., II, III, etc.);
2. Social Security number;
3. Date of birth;
4. If you have moved in the past five (5) years, the addresses where you have lived over those prior five years;
5. Proof of current address such as a current utility bill or telephone bill; and
6. A legible photocopy of a government-issued identification card (state driver's license or ID card, military identification, etc.).

You may also contact the U.S. Federal Trade Commission ("FTC") for further information on fraud alerts, security freezes, and how to protect yourself from identity theft. The FTC can be contacted at 400 7th St. SW, Washington, DC 20024; telephone +1 (877) 382-4357; or [www.consumer.gov/idtheft](http://www.consumer.gov/idtheft).

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### **ADDITIONAL RESOURCES**

Your state attorney general may also have advice on preventing identity theft, and you should report instances of known or suspected identity theft to law enforcement, your state attorney general, or the FTC.

**California Residents:** Visit the California Office of Privacy Protection (<https://oag.ca.gov/privacy>) for additional information on protection against identity theft.

**Connecticut Residents:** The Attorney General can be contacted by emailing [attorney.general@ct.gov](mailto:attorney.general@ct.gov) or visiting <https://portal.ct.gov/AG>.

**Iowa Residents:** The Attorney General can be contacted at Office of Attorney General of Iowa, Hoover State Office Building, 1305 E. Walnut Street, Des Moines, Iowa 50319, +1 (515) 281-5164, [www.iowaattorneygeneral.gov](http://www.iowaattorneygeneral.gov).

**Kentucky Residents:** The Attorney General can be contacted at 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:** The Attorney General can be contacted at Office of Attorney General, 200 St. Paul Place, Baltimore, Maryland 21202; +1 (888) 743-0023; or [www.marylandattorneygeneral.gov](http://www.marylandattorneygeneral.gov).

**Massachusetts Residents:** Under Massachusetts law, you have the right to obtain any police report filed in connection to the 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.

**New Mexico Residents:** You have rights under the federal Fair Credit Reporting Act (FCRA), which governs the collection and use of information pertaining to you by consumer reporting agencies. For more information about your rights under the FCRA, please visit [www.consumer.ftc.gov/articles/pdf-0096-fair-credit-reporting-act.pdf](http://www.consumer.ftc.gov/articles/pdf-0096-fair-credit-reporting-act.pdf) or [www.ftc.gov](http://www.ftc.gov).

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

**North Carolina Residents:** The Attorney General can be contacted at 9001 Mail Service Center, Raleigh, NC 27699-9001; +1 (919) 716-6400; or [www.ncdoj.gov](http://www.ncdoj.gov).

**Oregon Residents:** The Attorney General can be contacted at Oregon Department of Justice, 1162 Court Street NE, Salem, OR 97301-4096, +1 (877) 877-9332 (toll-free in Oregon), +1 (503) 378-4400, or [www.doj.state.or.us](http://www.doj.state.or.us).

**Rhode Island Residents:** The Attorney General can be contacted at 150 South Main Street, Providence, Rhode Island 02903; +1 (401) 274-4400; or [www.riag.ri.gov](http://www.riag.ri.gov). You may also file a police report by contacting local or state law enforcement agencies.