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June 15, 2026

Email: ag@riag.ri.gov

Attorney General Peter Neronha
Office of the Attorney General
State of Rhode Island
150 South Main Street
Providence, RI 02903

Re: **Notice of Data Security Event**

Dear Attorney General Neronha:

We represent AssetMark, Inc. ("AssetMark"), located at 1655 Grant Street, 10th Floor, Concord, CA 94520. AssetMark is a wealth management platform supporting financial advisors. AssetMark is a financial institution subject to and in compliance with § 501(b) of the federal Gramm-Leach-Bliley Act, 15 U.S.C. § 6801 *et seq*., and the implementing regulations thereto. Although the data breach notification law in Rhode Island generally does not require notice to the Attorney General where the reporting company is a financial institution that is subject to and in compliance with, the Federal Interagency Guidelines on Response Programs for Unauthorized Access to Customer Information and Customer Notice (R.I. Gen. Laws Ann. § 11-49.3-6), AssetMark is nonetheless providing this notice as a courtesy.

What Happened?

AssetMark recently identified suspicious activity associated with certain employee login credentials. On May 15, 2026, AssetMark became aware that an unauthorized user obtained access to and downloaded certain files containing customer information on the same day, and AssetMark swiftly took the steps described below. Following a review of those files, on or around May 18, 2026, AssetMark determined that certain of those files contained personal information related to approximately 850 residents of Rhode Island. Based on AssetMark's investigation to date, this was an incident isolated to AssetMark and was not related to the individuals' financial advisor. The information that could have been subject to unauthorized access includes name, social security number, and account number.

Re: Notice of Data Security Event

What AssetMark is Doing

AssetMark takes this matter and the security of personal information in its care very seriously. After learning of the incident, AssetMark took steps to secure its systems, investigate what happened, and reduce the risk of a similar incident occurring again. These steps included immediately terminating the unauthorized access and re-setting employee credentials, engaging internal and external information security professionals to conduct a forensic investigation, increasing systems monitoring, and implementing additional security safeguards.

Beginning on June 17, 2026, within 30 days of first determining or having reason to believe that data relating to Rhode Island residents had been acquired by an unauthorized user, AssetMark will provide written notice of the event to the affected residence of Rhode Island, in substantially the same form as the sample notice letter attached hereto as ***Exhibit A***. With that notification, AssetMark will offer access to twenty-four (24) months of complimentary credit monitoring and identity restoration services through Epiq Privacy Solutions. Additionally, AssetMark is providing impacted individuals with guidance on how to better protect against identity theft and fraud. AssetMark is providing individuals with information on how to place a fraud alert and security freeze on one's credit file, the contact details for the national consumer reporting agencies, information on how to obtain a free credit report, a reminder to remain vigilant for incidents of fraud and identity theft by reviewing account statements and monitoring free credit reports, and encouragement to contact the Federal Trade Commission, their state Attorney General, and law enforcement to report attempted or actual identity theft and fraud. AssetMark also provided notice of this incident to state regulators, as necessary, and to the three major credit reporting agencies: Equifax, Experian, and TransUnion.

Should you have any questions regarding this notification or other aspects of the data security event, please contact us at (562) 436-2000.

Very truly yours,

Stacey M. Garrett
stacey.garrett@kyl.com

KYL4930-8024-0309.1

EXHIBIT A

AssetMark, Inc.
Secure Processing Center
P.O. Box 3826
Suwanee, GA 30024

Postal Endorsement Line
<<Full Name>>
<<Address 1>>
<<Address 2>>
<<Address 3>>
<<City>>, <<State>> <<Zip>>
<<Country>>
***Postal IMB Barcode

<<Date>>

NOTICE OF DATA BREACH

AssetMark, Inc. ("AssetMark"), a wealth management platform supporting financial advisors, is writing to inform you of an incident that may affect the security of some of your personal information. This notice provides you with information about the incident, our response, and steps you may take to help you protect your information.

What Happened?

We recently identified suspicious activity associated with certain employee login credentials. On May 15, 2026, we became aware that an unauthorized user obtained access to and downloaded certain files containing customer information on the same day, and we swiftly took the steps described below. Following a review of those files, on or around May 18, 2026, we determined that certain of those files contained personal information related to you.

Based on our investigation to date, this was an incident isolated to AssetMark and was not related to your financial advisor.

What Information Was Involved?

Based on our investigation, the information involved included your <<Data Elements>>.

What We Are Doing

We take this matter and the security of personal information in our care very seriously. After learning of the incident, we took steps to secure our systems, investigate what happened, and reduce the risk of a similar incident occurring again. These steps included immediately terminating the unauthorized access and re-setting employee credentials, engaging internal and external information security professionals to conduct a forensic investigation, increasing systems monitoring, and implementing additional security safeguards. We are also offering credit monitoring and identity theft prevention services at no cost to you for 24 months. You can find instructions regarding how to enroll in these services in the enclosed *Steps You Can Take to Protect Personal Information*.

What You Can Do

Please review the enclosed *Steps You Can Take to Protect Personal Information* which contains guidance regarding how you can protect against possible misuse of your information. We also encourage you to remain vigilant against incidents of identity theft and fraud by reviewing your account statements and monitoring your free credit reports for suspicious activity. If you see activity you do not recognize, you should promptly contact the financial institution or account provider associated with your account. If you believe you are the victim of identity theft, you may report the incident to law enforcement and the Federal Trade Commission.

For More Information

If you have questions, please call our dedicated call center at 1-866-659-7108 Monday through Friday, 9:00 am – 9:00 pm E.T. You may also write to us at: 1655 Grant Street, 10th Fl, Concord, CA 94520.

Sincerely,

AssetMark, Inc.

<<Full Name>>
Activation Code: <<ACTIVATION CODE>>
Enrollment Deadline: <<ENROLLMENT DEADLINE>>
Coverage Length: 24 Months

Epiq - Privacy Solutions ID

1B Credit Monitoring - Plus

How To Enroll:

1) Visit www.privacysolutionsid.com and click "Activate Account"
2) Enter the following activation code, **<<Activation Code>>** and complete the enrollment form
3) Complete the identity verification process
4) You will receive a separate email from noreply@privacysolutions.com confirming your account has been set up successfully and will include an Access Your Account link in the body of the email that will direct you to the log-in page
5) Enter your log-in credentials
6) You will be directed to your dashboard and activation is complete!

Product Features:

1-Bureau Credit Monitoring with Alerts

Monitors your credit file(s) for key changes, with alerts such as credit inquiries, new accounts, and public records.

VantageScore® 3.0 Credit Score and Report[1]

1-Bureau VantageScore® 3.0 (annual) and 1-Bureau Credit Report.

SSN Monitoring (High Risk Transaction Monitoring, Real-Time Authentication Alerts, Real-Time Inquiry Alerts)

Detect and prevent common identity theft events outside of what is on your credit report. Real-time monitoring of SSNs across situations like loan applications, employment and healthcare records, tax filings, online document signings and payment platforms, with alerts.

Dark Web Monitoring

Scans millions of servers, online chat rooms, message boards, and websites across all sides of the web to detect fraudulent use of your personal information, with alerts.

Change of Address Monitoring

Monitors the National Change of Address (NCOA) database and the U.S. Postal Service records to catch unauthorized changes to users' current or past addresses.

Credit Protection

3-Bureau credit security freeze assistance with blocking access to the credit file for the purposes of extending credit (with certain exceptions).

Personal Info Protection

Helps users find their exposed personal information on the surface web—specifically on people search sites and data brokers – so that the user can opt out/remove it. Helps protect members from ID theft, robo calls, stalkers, and other privacy risks.

Identity Restoration & Lost Wallet Assistance

Dedicated ID restoration specialists who assist with ID theft recovery and assist with canceling and reissuing credit and ID cards.

Up to $1M Identity Theft Insurance[2]

Provides up to $1,000,000 ($0 deductible) Identity Theft Event Expense Reimbursement Insurance on a discovery basis. This insurance aids in the recovery of a stolen identity by helping to cover expenses normally associated with identity theft.

Unauthorized Electronic Funds Transfer- UEFT[2]

Provides up to $1,000,000 ($0 deductible) Unauthorized Electronic Funds Transfer Reimbursement. This aids in the recovery of stolen funds resulting from fraudulent activity (occurrence based).

If you need assistance with the enrollment process or have questions regarding Epiq – Privacy Solutions ID 1B Credit Monitoring - Plus, please call directly at 866.675.2006, Monday-Friday 9:00 a.m. to 5:30 p.m., ET.

1 The credit scores provided are based on the VantageScore® 3.0 model. For three-bureau VantageScore® credit scores, data from Equifax®, Experian®, and TransUnion® are used respectively. Third parties use many different types of credit scores and are likely to use a different type of credit score to assess your creditworthiness.

2 Identity Theft Insurance is underwritten by insurance company subsidiaries or affiliates of American International Group, Inc. or American Bankers Insurance Company of Florida, an Assurant company. The description herein is a summary and intended for informational purposes only and does not include all terms, conditions, and exclusions of the policies described. Please refer to the actual policies for terms, conditions, and exclusions of coverage. Coverage may not be available in all jurisdictions.

Steps You Can Take To Protect Personal Information

Enroll in Credit Monitoring and Identity Protection

Review the instructions from Epiq – Privacy Solutions that are enclosed with this letter. Go to https://privacysolutionsid.com before the Enrollment Deadline and follow the instructions for enrollment using your personal Activation Code provided at the top of the instruction letter. If you need assistance with the enrollment process or have questions regarding Epiq – Privacy Solutions ID or the services provided, please call Epiq directly at 1-866-675-2006, Monday – Friday 9:00 a.m. to 5:30 p.m., E.T. Please note that your Activation Code will not work after the Enrollment Deadline.

Monitor Your Accounts

Under U.S. law, a consumer is entitled to one free credit report annually from each of the three major credit reporting bureaus, Equifax, Experian, and TransUnion. To order a free credit report, visit www.annualcreditreport.com or call, toll-free, 1-877-322-8228. Consumers may also directly contact the three major credit reporting bureaus listed below to request a free copy of their credit report.

Consumers have the right to place an initial or extended "fraud alert" on a credit file at no cost. An initial fraud alert is a 1-year alert that is placed on a consumer's credit file. Upon seeing a fraud alert display on a consumer's credit file, a business is required to take steps to verify the consumer's identity before extending new credit. If consumers are the victim of identity theft, they are entitled to an extended fraud alert, which is a fraud alert lasting seven years. Should consumers wish to place a fraud alert, please contact any of the three major credit reporting bureaus listed below.

As an alternative to a fraud alert, consumers have the right to place a "credit freeze" on a credit report, which will prohibit a credit bureau from releasing information in the credit report without the consumer's express authorization. The credit freeze is designed to prevent credit, loans, and services from being approved in a consumer's name without consent. However, consumers should be aware that using a credit freeze to take control over who gets access to the personal and financial information in their credit report may delay, interfere with, or prohibit the timely approval of any subsequent request or application they make regarding a new loan, credit, mortgage, or any other account involving the extension of credit. Pursuant to federal law, consumers cannot be charged to place or lift a credit freeze on their credit report. To request a credit freeze, individuals may need to provide some or all of the following information:

1. Full name (including middle initial as well as Jr., Sr., II, III, etc.);
2. Social Security number;
3. Date of birth;
4. Addresses for the prior two to five years;
5. Proof of current address, such as a current utility bill or telephone bill;
6. A legible photocopy of a government-issued identification card (state driver's license or ID card, etc.);
7. Social Security Card, pay stub, or W2; and
8. A copy of either the police report, investigative report, or complaint to a law enforcement agency concerning identity theft if they are a victim of identity theft.

Should consumers wish to place a credit freeze or fraud alert, please contact the three major credit reporting bureaus listed below:

Equifax	**Experian**	**TransUnion**
https://www.equifax.com/personal/credit-report-services/	https://www.experian.com/help/	https://www.transunion.com/credit-help
1-888-298-0045	1-888-397-3742	1-800-916-8800
Equifax Fraud Alert, P.O. Box 105069 Atlanta, GA 30348-5069	Experian Fraud Alert, P.O. Box 9554, Allen, TX 75013	TransUnion Fraud Alert, P.O. Box 2000, Chester, PA 19016
Equifax Credit Freeze, P.O. Box 105788 Atlanta, GA 30348-5788	Experian Credit Freeze, P.O. Box 9554, Allen, TX 75013	TransUnion Credit Freeze, P.O. Box 160, Woodlyn, PA 19094

Additional Information

Consumers may further educate themselves regarding identity theft, fraud alerts, credit freezes, and the steps they can take to protect your personal information by contacting the consumer reporting bureaus, the Federal Trade Commission, or their state Attorney General. The Federal Trade Commission may be reached at: 600 Pennsylvania Avenue NW, Washington, D.C. 20580; www.identitytheft.gov; 1-877-ID-THEFT (1-877-438-4338); and TTY: 1-866-653-4261. The Federal Trade Commission also encourages those who discover that their information has been misused to file a complaint with them. Consumers can obtain further information on how to file such a complaint by way of the contact information listed above. Consumers have the right to file a police report if they ever experience identity theft or fraud. Please note that in order to file a report with law enforcement for identity theft, consumers will likely need to provide some proof that they have been a victim. Instances of known or suspected identity theft should also be reported to law enforcement and the relevant state Attorney General. This notice has not been delayed by law enforcement.

For Rhode Island residents, the Rhode Island Attorney General may be reached at: 150 South Main Street, Providence, RI 02903; www.riag.ri.gov; and 1-401-274-4400. Under Rhode Island law, individuals have the right to obtain any police report filed in regard to this event. There are approximately <<RI #>> Rhode Island residents that may be impacted by this event.