

DEPARTMENT OF BUSINESS OVERSIGHT*Ensuring a Fair and Secure Financial Services Marketplace for all Californians*

Jan Lynn Owen
Commissioner of Business Oversight

March 23, 2015

Name
Title
Address

Re: Data Breach Notification

Dear Mr./Ms. Last Name:

The California Public Records Act (PRA) requires the Department of Business Oversight (DBO) to provide the public copies of the non-confidential portions of our electronic licensing records upon request. To process these requests, DBO utilizes the records contained in the Financial Industry Regulatory Authority's (FINRA) Central Registration Depository (CRD). Fields clearly designated as containing personal identifying information within the FINRA CRD are then redacted by DBO prior to its release. However, despite our efforts, DBO recently learned that, pursuant to one or more PRA requests, the personal identifying information of a number of registered investment advisers and broker-dealers was inadvertently disclosed to persons not authorized to receive such information.

Our initial investigation revealed that your Social Security number was disclosed in a field entitled "Docket/Case #." Since a docket or case number traditionally are not based on an individual's Social Security number, we did not redact the contents of this field.

To protect yourself from the possibility of identity theft, we recommend that you to place a fraud alert on your credit files by following each of the privacy protection steps outlined in the enclosure provided with this letter.

For more information about protecting yourself from identity theft, you may visit the website of the Privacy Enforcement and Protection Unit of the California Department of Justice at www.privacy.ca.gov.

While we continue to investigate this matter, we have placed an immediate hold on providing the public with copies of our electronic licensing records until further notice. In addition, we are working with FINRA and our own staff to prevent any further inadvertent disclosures of personal identifying information.

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Recipient
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We deeply regret any hardship you suffer because of this incident. If you would like more information about this notice, please contact DBO's Consumer Services Office at 1-866-275-2677.

Sincerely,

JAN LYNN OWEN
Commissioner
Department of Business Oversight

By

NICKOLAY KOTYRLO
Deputy Commissioner
Broker Dealer Investment Adviser Unit

Enclosure