

# Morgan Stanley

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At Morgan Stanley, client satisfaction and information security are critical priorities. We are writing to notify you of an incident that involves some of your participants' personal information.

## **What Happened?**

On May 20, 2021, Guidehouse, a third-party vendor used by the Morgan Stanley stock plan business to support our escheatment process, informed Morgan Stanley that it suffered a data security incident. The incident involves personal stock plan participant information that was obtained by an unauthorized individual.

There was no data security breach of any Morgan Stanley applications. The incident involves files which were in Guidehouse's possession, including encrypted files from Morgan Stanley. Morgan Stanley stock plan regularly sends a secure file to Guidehouse of existing stock plan long shareholders scheduled for escheatment and engages Guidehouse to obtain current contact information for these stock plan participants prior to the escheatment process commencing. Although the files were encrypted, the unauthorized individual was able to obtain the decryption key during the security incident.

## **What Information Was Involved?**

The following participant information was located in the files obtained from Guidehouse:

- Name
- Address (last known address)
- Date of birth
- Social security number
- Corporate company name

## **What We Are Doing?**

Morgan Stanley has reviewed Guidehouse's remediation of the incident. According to Guidehouse, the vulnerability that led to this incident was remediated by Guidehouse in January of 2021. Although the data was obtained by the bad actor at that time, Guidehouse did not discover the impact to Morgan Stanley until May 2021.

As your service provider, we are making you, the data owner aware of this incident in accordance with applicable law and contractual obligations. We will also provide you with information necessary to assess your notification obligations to your employees or former employees. Additionally, upon

your request, Morgan Stanley will notify impacted participants on your behalf. We will also provide codes for 24 months of credit monitoring services to affected participants, at no charge to you or the participants, upon your request.

If you would like Morgan Stanley's assistance with any of these services, we ask that you respond to this letter by contacting your relationship manager or account executive within 10 days; otherwise, in order to help protect the impacted participants against potential identity theft, we will notify the participants directly at the best address we have on file.

**For More Information**

Please contact your relationship manager, account executive or [incidentresponsecomm@morganstanley.com](mailto:incidentresponsecomm@morganstanley.com) to obtain a file of the impacted participants that are your employees or former employees and to discuss how Morgan Stanley may assist you in connection with this incident. Please be assured that we take the protection of your information very seriously and sincerely regret any inconvenience or concern caused by this incident

Sincerely,

Morgan Stanley