



CALDWELL SUTTER
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NOTICE OF DATA BREACH

Dear [Customer Name],

We are writing to inform you of a data security incident involving one of our third-party service providers that may have involved some of your personal information. Protecting your information is important to us, and we want to provide you with information about the incident, steps we are taking in response, and steps you may take to guard against identity theft and fraud, should you feel it is appropriate to do so.

What Happened

On April 29, 2026, we were notified by FoxTrot, LLC, a third-party service provider that provides software solutions supporting our back-office operations, of a data security incident within their systems.

Upon receiving this notification, we promptly began working with the vendor to understand the nature and scope of the incident, assess the impact of our data, and confirm that appropriate steps were taken to contain and remediate the issue.

Based on the information provided to us, an unauthorized third-party gained access to certain data maintained by FoxTrot, LLC on April 22, 2026 approximately between 4:00 to 8:00 PM Pacific Time. The investigation remains ongoing.

What Information Was Involved

Our review determined that the information involved for you included your name, account number, and Social Security number.

The information involved varies by individual. This notice reflects the information involved for you based on our review.

At this time, we are not aware of any misuse of your information. We are providing this notice out of an abundance of caution and in accordance with applicable law.

What We Are Doing

We take this matter seriously. In response to this incident, we worked closely with the vendor to ensure the breach has been contained and is implementing additional controls and safeguards, including making changes to existing policies and procedures.

We are evaluating and making notifications to regulators and other authorities as required by applicable state and federal law.

To help protect your identity, we are offering complimentary access to Experian IdentityWorksSM, which provides credit monitoring services, for 24 months at no cost to you. Taking advantage of the fraud detection tools, as well as the credit monitoring offering available through Experian IdentityWorksSM requires you to enroll into the service. In addition, you have access to Identity Restoration for 24 months from the date of this letter and does not require any action on your part at this time. The Terms and Conditions for this offer are located at www.ExperianIDWorks.com/restoration. Please see Appendix for additional details, including regarding enrollment in IdentityWorksSM.

What You Can Do

We recommend that you closely review and monitor statements sent to you from your healthcare providers, insurance company, and financial institution for unauthorized or suspicious activity. Report any questionable charges promptly to the provider or company with which you maintain the account.

You may also obtain a free credit report by visiting AnnualCreditReport.com, or by calling 1-877-322-8228. You may also consider placing a fraud alert or security freeze on your credit file. A fraud alert tells creditors to contact you before opening new accounts in your name. A security freeze restricts access to your credit report, which can make it more difficult for identity thieves to open new accounts in your name without your authorization. Contact the nationwide consumer reporting agencies listed below for more information about these options.

For more information on how to identify and report identity theft, you may visit the Federal Trade Commission's (FTC) website (www.ftc.gov) or usa.gov. We encourage you to promptly report any suspected incident of identity theft to the FTC and other law enforcement agencies.

For More Information

If you have questions or would like additional information, please contact us at (800) 456-1119 toll free, Monday through Friday from 6:00 AM – 5:00 PM Pacific (excluding major U.S. holidays) or email us at clientexperience@cald.com.

You may also contact the nationwide consumer reporting agencies:

- Equifax, P.O. Box 105788, Atlanta, GA 30348-5788 | www.equifax.com | 1(888) 378-4329
- Experian, P.O. Box 9554, Allen, TX 75013 | www.experian.com | 1 (888) 397-3742
- TransUnion, P.O. Box 2000, Chester, PA 19016-2000 | www.transunion.com | 1 (800) 916-8800

We regret any concern this incident may cause. Safeguarding your personal information remains a top priority, and we are committed to continuously improving our security practices and oversight of service providers.

Sincerely,



Joseph Helmer
President, Caldwell Sutter Capital, Inc.

ACTIVATE EXPERIAN IDENTITYWORKSSM

To start monitoring your personal information, please follow the steps below:

- Ensure that you **enroll by** September 30, 2026 by 11:59 PM UTC (Your code will not work after this date.)
- **Visit** the Experian IdentityWorks website to enroll:
<https://www.experianidworks.com/3bplusmembership>
- Provide your **activation code**: [Activation Code]

If you have questions about the product, need assistance with Identity Restoration that arose as a result of this incident or would like an alternative to enrolling in Experian IdentityWorks online, please contact Experian's customer care team by September 30, 2026 at (833) 931-7577 Monday – Friday, 8 am – 8 pm Central Time (excluding major U.S. holidays). Be prepared to provide **engagement number** [engagement #] as proof of eligibility for the Identity Restoration services by Experian.

ADDITIONAL DETAILS REGARDING YOUR 24-MONTH EXPERIAN IDENTITYWORKSSM MEMBERSHIP

A credit card is not required for enrollment in Experian IdentityWorks. You can contact Experian immediately regarding any fraud issues, and have access to the following features once you enroll in Experian IdentityWorks:

- **Experian credit report at signup:** See what information is associated with your credit file. Daily credit reports are available for online members only.*
- **Credit Monitoring:** Actively monitors Experian, Equifax and Transunion files for indicators of fraud.
- **Internet Surveillance:** Technology searches the web, chat rooms & bulletin boards 24/7 to identify trading or selling of your personal information on the Dark Web.
- **Identity Restoration:** Identity Restoration specialists are immediately available to help you address credit and non-credit related fraud.
- **Experian IdentityWorks ExtendCARETM:** You receive the same high-level of Identity Restoration support even after your Experian IdentityWorks membership has expired.
- **\$1 Million Identity Theft Insurance^{**}:** Provides coverage for certain costs and unauthorized electronic fund transfers.

If you believe there was fraudulent use of your information as a result of this incident and would like to discuss how you may be able to resolve those issues, please reach out to an Experian agent. If, after discussing your situation with an agent, it is determined that identity restoration support is needed then an Experian Identity Restoration agent is available to work with you to investigate and resolve each incident of fraud that occurred from the date of the incident (including, as appropriate, helping you with contacting credit grantors to dispute charges and close accounts; assisting you in placing a freeze on your credit file with the three major credit bureaus; and assisting you with contacting government agencies to help restore your identity to its proper condition).

Please note that Identity Restoration is available to you for 24 months from the date of this letter and does not require any action on your part at this time. The Terms and Conditions for this offer are located at www.ExperianIDWorks.com/restoration.

While identity restoration assistance is immediately available to you, we also encourage you to activate the fraud detection tools available through Experian IdentityWorks as a complimentary 24-month membership. This product provides you with superior identity detection and resolution of identity theft.

* Offline members will be eligible to call for additional reports quarterly after enrolling.

** The Identity Theft Insurance is underwritten and administered by American Bankers Insurance Company of Florida, an Assurant company. Please refer to the actual policies for terms, conditions, and exclusions of coverage. Coverage may not be available in all jurisdictions

STATE-SPECIFIC INFORMATION

California Residents: This notice is provided pursuant to California Civil Code § 1798.82.

British Columbia Residents: This notice is being provided in connection with a privacy breach involving personal information. We encourage you to review your account statements and credit reports and to report any suspected misuse promptly. If you have questions about this notice, please contact us using the information provided above.

Connecticut Residents: You may obtain information about preventing identity theft and placing a security freeze on your consumer report by contacting the Federal Trade Commission and the nationwide consumer reporting agencies.

Hawaii Residents: You have the right to obtain a copy of any police report filed regarding this incident. You also have the right to place a security freeze on your consumer credit report at no charge.

Massachusetts Residents: You have the right to obtain a police report in connection with this incident. You also have the right to request a security freeze on your consumer credit report at no charge. We will not charge you to place or lift a security freeze.

New York Residents: You may contact the New York State Attorney General's Office at 1-800-771-7755 or the New York State Department of State Division of Consumer Protection for information about steps you can take to protect yourself from identity theft.

Vermont Residents: You may obtain information from the consumer reporting agencies about fraud alerts, security freezes, and the steps you can take to protect your credit file.

Washington Residents: You may contact the Federal Trade Commission and the nationwide consumer reporting agencies for information about fraud alerts, security freezes, and steps you can take to protect against identity theft.