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September 30, 2013

Via Regular Mail

Attorney General Michael A. Delaney
Office of the New Hampshire Attorney General
Attn: Security Breach Notification
33 Capitol Street
Concord, NH 03301

Re: R.T. Jones Capital Equities Management, Inc. — Notice of Data Security Event

Dear Sir or Madam:

We represent R.T. Jones Capital Equities Management, Inc. (R.T. Jones), 8151 Clayton Rd, 3rd Floor, St. Louis, MO. 63117, and are writing to notify you of a data event that compromised the security of personal information of thirty-three (33) New Hampshire residents, all of whom are current or former employees of R.T. Jones's clients. R.T. Jones's investigation into this event is ongoing, and this notice will be supplemented with any new significant facts learned subsequent to its submission. By providing this notice, R.T. Jones and its clients do not waive any rights or defenses regarding the applicability of New Hampshire law or personal jurisdiction.

Nature of the Data Security Event

R.T. Jones is a managed account provider for its clients. On July 26, 2013, R.T. Jones learned of the possibility that the web hosting facility that hosts its website was the subject of a cyber-attack that occurred on July 22, 2013. Upon learning of this event, R.T. Jones immediately commenced an internal investigation to determine the scope of this incident. R.T. Jones also retained two separate independent forensic experts to conduct their own investigations into this incident, as well as specialized data security counsel to provide guidance in response to this incident. R.T. Jones also reported these attacks to the FBI, the Secret Service, and local law enforcement. Although these investigations are ongoing, on August 7, 2013 the forensic cyber experts hired by R.T. Jones confirmed that this cyber-attack could result in the unauthorized access to a database containing the name, date of birth, and Social Security number of thirty-three (33) New Hampshire residents. These individuals are all current/former employees of R.T. Jones's

current/former clients and/or prospective clients. The email address of three (3) of these thirty-three (33) individuals was also contained in this database.

Upon confirmation that the cyber-attack could have resulted in the unauthorized access to the database, R.T. Jones provided notice of this incident to its clients on August 12, 2013. R.T. Jones offered to satisfy all required notice obligations on their behalf. On August 13, 2013, R.T. Jones obtained the first approval from a client to provide its affected employees, as well as various state regulators and the consumer reporting agencies, with notice of the incident.

Notice to New Hampshire Residents

Although the investigations are ongoing, it appears that the personal information of thirty-three (33) New Hampshire residents was stored in the database. R.T. Jones provided these New Hampshire residents with written notice of this incident on or about September 26, 2013, in substantially the same form as the letter attached here as Exhibit A.

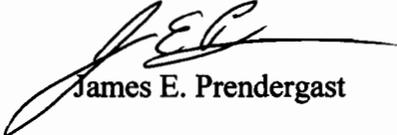
Other Steps Taken and To Be Taken

In addition to providing written notice of this incident to all affected individuals as described above, each affected individual is being offered access to one (1) free year of identity monitoring services and identity restoration services. R.T. Jones is also providing each individual with information on how to protect against identity theft and fraud. R.T. Jones is providing written notice of this incident to other state regulators, and to the national consumer reporting agencies.

Contact Information

Should you have any questions regarding this notification or other aspects of the data security event, please contact us at 215-358-5087.

Sincerely,



James E. Prendergast

cc: R.T. Jones Capital Equities Management, Inc.

Exhibit A

[Date]

[Name]

[Address]

[City, State Zip]

We are writing to notify you of an incident that may affect the security of your personal information. We are unaware of any attempted or actual misuse of your personal information, but are providing this notice to ensure that you are aware of the incident and so that you may take steps to monitor your identity, and your credit accounts, should you feel it is necessary to do so.

R.T. Jones Capital Equities Management, Inc. ("R.T. Jones") is, or was, the managed account provider for your current or former employer. On July 26, 2013, R.T. Jones learned of the possibility that the web hosting facility that hosts its Artesys website was the subject of a cyber-attack originating from an IP address in China on July 22, 2013. Upon learning of this event, R.T. Jones immediately commenced an internal investigation to determine the scope of this incident. R.T. Jones also retained two separate independent forensic experts to conduct their own investigations into this incident, as well as specialized data security counsel to guide the company through its response to this incident. R.T. Jones also reported these attacks to the FBI, the Secret Service, and local law enforcement. Although these investigations are ongoing, on August 7, 2013 the forensic cyber experts hired by R.T. Jones confirmed that this cyber-attack could result in the unauthorized access to a database containing your name, Social Security number, [email address] and date of birth.

R.T. Jones takes this matter, and the security of your personal information, seriously. R.T. Jones is unaware of any actual or attempted misuse of your personal information. Out of an abundance of caution and in order to help safeguard you from misuse of your personal information, we have arranged monitoring of activity within the United States for 12 months at no cost to you. You can enroll in a professional identity monitoring service (First Watch ID) provided by First Watch Technologies, Inc. You can sign up for this service anytime between now and _____, using the verification code listed below. To enroll in this service, simply call 866-264-1054 Monday through Friday between the hours of 9 AM. and 7 PM. EST or go to www.firstwatchid.com and:

* Click on the Verification Code button on the upper right-hand corner of the First Watch ID homepage.

* Enter the appropriate information, including your unique 12-digit verification code:
[XXXXXXXXXXXX]

After enrollment, you will receive one year of proactive identity monitoring. First Watch ID will monitor thousands of databases and billions of records on your behalf to look for suspicious activity that could indicate the beginning steps of identity theft. If suspicious activity is found, First Watch will place a personal phone call to you (at the telephone number that you provide) to determine if the suspicious activity is potentially fraudulent.

Additionally, if you enroll, First Watch provides you with easy online access to monitor your credit activity using the three major credit bureau services. Each credit bureau will provide you one free credit report annually. First Watch suggests you request your free credit report from one bureau at a time every four months. This allows you to monitor credit activity three times per year. First Watch will send you an email (at the email address you provide) every four months reminding you to request your free credit report from the appropriate bureau.

The First Watch ID service also includes up to \$25,000 of identity theft insurance with \$0 deductible, (certain limitations and exclusions may apply).

To further protect against possible identity theft or other financial loss, we encourage you to remain vigilant, to review your account statements, and to monitor your credit reports for suspicious activity. Under U.S. law, you are entitled to one free credit report annually from each of the three major credit bureaus. To order your free credit report, visit www.annualcreditreport.com or call, toll-free, 1-877-322-8228. You may also contact the three major credit bureaus directly to request a free copy of your credit report.

At no charge, you can also have these credit bureaus place a "fraud alert" on your file that alerts creditors to take additional steps to verify your identity prior to granting credit in your name. Note, however, that because it tells creditors to follow certain procedures to protect you, it may also delay your ability to obtain credit while the agency verifies your identity. As soon as one credit bureau confirms your fraud alert, the others are notified to place fraud alerts on your file. Should you wish to place a fraud alert, or should you have any questions regarding your credit report, please contact any one of the agencies listed below. Information regarding security freezes is also available from these agencies.

Equifax
P.O. Box 105069
Atlanta, GA 30348
800-525-6285
www.equifax.com

Experian
P.O. Box 2002
Allen, TX 75013
888-397-3742
www.experian.com

TransUnion
P.O. Box 6790
Fullerton, CA 92834
800-680-7289
www.transunion.com

You can also further educate yourself regarding identity theft, security freezes, and the steps you can take to protect yourself, by contacting your state Attorney General or the Federal Trade Commission. **For North Carolina residents**, the Attorney General can be contacted at 9001 Mail Service Center, Raleigh, NC 27699-9001, 1-919-716-6400, www.ncdoj.gov. **For Maryland residents**, the Attorney General can be contacted at 200 St. Paul Place, 16th Floor, Baltimore, MD 21202, (888) 743-0023, www.oag.state.md.us. The Federal Trade Commission can be reached at: 600 Pennsylvania Avenue NW, Washington, DC 20580, www.ftc.gov/bcp/edu/microsites/idtheft/, 1-877-ID-THEFT (877-438-4338); TTY: 866-653-4261. The Federal Trade Commission also encourages those who discover that their information has been misused to file a complaint with them. You can also obtain further information on how to file such a complaint by way of the contact information listed above. Instances of known or suspected identity theft should also be reported to law enforcement.

We have established a confidential privacy line, staffed with professionals trained in credit and identity protection and familiar with this incident. If you have any questions regarding the incident or the information in this letter, please contact this confidential privacy line at 1-(866)264-1054. This line is available Monday through Friday, 9:00 a.m. to 7:00 p.m. E.S.T.

We apologize for any inconvenience or concern that this may have caused you.

Very truly yours,

Robert T. Jones
CEO/Chairman