

March 24, 2020

Dear [REDACTED]:

As you know, [REDACTED] is a financial institution that offers mutual fund investment, [REDACTED], and other financial services. In [REDACTED] and in other states where [REDACTED] does business and where [REDACTED] employees reside, governmental authorities expect us to remain open to provide essential services to investors. In addition, financial services has been identified as a Critical Infrastructure Sector by the Department of Homeland Security (DHS) as set forth in the attached letter from the Department of the Treasury (Treasury).

Accordingly, under recent [REDACTED] and other state and local orders, [REDACTED] falls within the definition of businesses deemed essential or life-sustaining (as a financial service under the Federal Cybersecurity and Infrastructure Security Agency (CISA) advisory). Part of being an essential and life-sustaining business includes having essential employees on-site to make sure investors have access to their accounts and to support core infrastructure needs during these challenging times. To that end, under various business closure and stay at home orders, [REDACTED] employees are permitted to travel to and from [REDACTED] as needed for work.

As you travel to and from [REDACTED], please keep this letter with you, including the attached memo from the Department of the Treasury. When traveling to and from [REDACTED], make sure to bring your parking [REDACTED] tag if traveling by car and your [REDACTED] ID (which has name and picture but does not reference [REDACTED]). If you are stopped by law enforcement, the National Guard, or another authority, show them the letter and explain that you are an employee of [REDACTED] and thus part an essential workforce that provides essential financial services considered critical to the state and the nation. Of course, [REDACTED] will cooperate with law enforcement and other government personnel and will adhere to applicable laws.

[REDACTED] is taking precautions to ensure that our locations are safe for our personnel. If you are asked by law enforcement or other government personnel to return home, please cooperate and also inform [REDACTED], Head of Global Security [REDACTED], at [REDACTED] or your direct manager immediately so we can properly engage with local authorities on the matter. Law enforcement should be directed to contact [REDACTED], Head of Global Security [REDACTED] at [REDACTED], ([REDACTED]) [REDACTED]; [REDACTED], Regional Global Security Manager, at [REDACTED] ([REDACTED]) [REDACTED]; or the [REDACTED] Global Security Command Center at ([REDACTED]) [REDACTED]

We appreciate your cooperation and support as we all work together to protect each other and maintain optimum health and safety.

Very truly yours,

[REDACTED]



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C.

March 22, 2020

MEMORANDUM FOR FINANCIAL SERVICES SECTOR

FROM: Secretary Steven T. Mnuchin *Steven T. Mnuchin*

SUBJECT: Financial Services Sector Essential Critical Infrastructure Workers

The financial services sector is identified as Critical Infrastructure Sector by the Department of Homeland Security (DHS). The attached DHS guidance, dated, March 19, 2020, identifies the essential critical infrastructure workers during the COVID-19 response emergency, and provides guidance to State and local officials as they work to protect their communities while ensuring continuity of critical functions to public health and safety, as well as economic and national security.

Consistent with the President's guidelines, "*if you work in a critical infrastructure sector, as defined by the Department of Homeland Security, you have a special responsibility to maintain your normal work schedule.*" The Essential Critical Infrastructure Workforce for the financial services sector includes workers who are needed to process and maintain systems for processing financial transactions and services, such as payment, clearing and settlement services, wholesale funding, insurance services, and capital markets activities; to provide consumer access to banking and lending services, including ATMs, movement of currency (e.g. armored cash carriers); support financial operations, such as those staffing data and security operations centers; and, key third party providers who deliver core services. These individuals are critical to maintaining safe and efficient financial services and ensuring citizens have access to these services that are necessary to conduct their daily lives.

Companies aligned to the essential critical infrastructure worker definition are expected to maintain their operations and work schedules. Everyone should follow guidance from the Centers for Disease Control and Prevention as well as State and local officials regarding strategies to limit disease spread. We are dedicated to working closely with all of you to ensure the safety of the workforce and ensure the continued operations of the financial services sector in support of our Nation's economy.