MEMORANDUM

To: James Reardon, Commissioner of Finance & Management
From: Nathan Lavery, Fiscal Analyst
Date: July 20, 2011
Subject: JFO #2511

No Joint Fiscal Committee member has requested that the following item be held for review:

**JFO #2511** — $15,000 grant from the Commonwealth of Massachusetts (as part of a multistate settlement) to the Vermont Attorney General. These funds will be used to investigate cyber-security breaches at Vermont businesses involving protected personal information of Vermont consumers.  
[**JFO received 6/20/11**]

The Governor’s approval may now be considered final. Please inform the Secretary of Administration and your staff of this action.

cc: William Griffin, Chief Assistant Attorney General
MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: July 1, 2011
Subject: Grant Requests

Enclosed please find one (1) grant that the Joint Fiscal Office has received from the administration.

JFO #2511 — $15,000 grant from the Commonwealth of Massachusetts (as part of a multistate settlement) to the Vermont Attorney General. These funds will be used to investigate cyber-security breaches at Vermont businesses involving protected personal information of Vermont consumers. [JFO received 6/20/11]

Please review the enclosed materials and notify the Joint Fiscal Office (Nathan Lavery at (802) 828-1488; nlavery@leg.state.vt.us) if you have questions or would like an item held for legislative review. Unless we hear from you to the contrary by July 15 we will assume that you agree to consider as final the Governor’s acceptance of these requests.
STATE OF VERMONT
FINANCE & MANAGEMENT GRANT REVIEW FORM

Grant Summary: This grant is for the investigation of security breaches involving protected personal information of Vermont consumers. The Attorney General will contract with a consultant to investigate SQL injection attacks on Vermont businesses. Some Vermont businesses have experienced these types of attacks and the Attorney General will use this grant to both get information needed to pursue litigation against the hackers that do the attacks as well as to use what is learned to prevent future attacks.

Date: 6/9/2011

Department: Attorney General

Legal Title of Grant: TJX Data Security Fund

Federal Catalog #: NA

Grant/Donor Name and Address: Commonwealth of Massachusetts (on behalf of TJF Data Privacy Fund as part of a multistate settlement) One Ashburton Pl., Boston, MA 02108

Grant Period: From: 7/1/2011 To: 6/1/2012

Grant/Donation $15,000

<table>
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<th>SFY 3</th>
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<tr>
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</table>

Grant Amount: $15,000

Position Information: # Positions | Explanation/Comments
--- | ---
0 | 

Additional Comments:

Department of Finance & Management

Secretary of Administration

Sent To Joint Fiscal Office

RECEIVED

JUN 20 2011

JOINT FISCAL OFFICE
STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE  (Form AA-1)

BASIC GRANT INFORMATION

1. Agency: Office of the Attorney General
2. Department: Public Protection Division
3. Program: TJX Data Security Fund
4. Federal Catalog #: 

6. Grant/Donor Name and Address:
   Commonwealth of Massachusetts
   (on behalf of TJX Data Privacy Fund as part of multi-state settlement)
   One Ashburton Pl.
   Boston, MA 02108


8. Purpose of Grant:
   To hire Dr. Peter Stephenson from Norwich University as a consultant in the investigation of security breaches involving protected personal information of Vermont consumers.

9. Impact on existing program if grant is not Accepted:
   N/A

10. BUDGET INFORMATION

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<th>Expenditures</th>
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Appropriation No: 2100001050

Amount: $15,000
STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE  (Form AA-1)

Total $15,000.00

11. Will monies from this grant be used to fund one or more Personal Service Contracts?  
Yes  No
If “Yes”, appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.

Appointing Authority Name: Bill Griffin  Agreed by:  
(initial)

12. Limited Service Position Information: 

<table>
<thead>
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Total Positions

12a. Equipment and space for these positions:  

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<th>Can be obtained with available funds.</th>
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13. AUTHORIZATION AGENCY/DEPARTMENT

I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable):

Signature:  
Date:

Title:  

Signature:  
Date:

Title:

14. ADMINISTRATION  

(Approved:  
(Secretary or designee signature)  
Date:  

Check One Box:  
Accepted  
Rejected  

(Governor's Signature)  
Date:

Required GRANT Documentation

- Request Memo
- Dept. project approval (if applicable)
- Notice of Award  
- Grant Agreement
- Grant Budget  
- Notice of Donation (if any)
- Grant (Project) Timeline (if applicable)
- Request for Extension (if applicable)
- Form AA-1PN attached (if applicable)
May 19, 2011

Via Overnight Delivery
Sarah E.B. London
Assistant Attorney General
Office of the Attorney General
109 State Street
Montpelier, VT 05609-1001

Re: TJX Data Security Fund

Dear Sarah:

I write in regard to Vermont’s application to the TJX Data Security Fund. As I believe you are aware, the TJX Data Security Fund Committee has approved Vermont’s request. Accordingly, enclosed is a check made out to the Vermont Attorney General’s Office in the amount of $15,000.00.

This distribution is subject to the terms of the grant as set forth in the application forms and instructions and as agreed to by Vermont in subsequent correspondence with the Committee.

Should you have any questions or concerns, please feel free to contact myself or Lois Martin in our office.

Sincerely,

John M. Stephan
Assistant Attorney General

Enclosure

cc: TJX DSF Committee Members (.pdf via email)
September 1, 2010

Data Security Fund Committee
Attention: Lois Martin, Paralegal
Office of the Massachusetts Attorney General
Consumer Protection Division
One Ashburton Place
Boston, MA 02108

lois.martin@state.ma.us

VIA FIRST CLASS AND ELECTRONIC MAIL

Re: TJX Data Privacy Fund Application, State of Vermont

Dear Ms. Martin and Members of the TJX Data Security Fund Committee:

Enclosed please find the TJX Data Privacy Fund grant application for the Vermont Attorney General’s Office. I am providing one electronic copy via email and six paper copies via first class mail. Please do not hesitate to contact me at the number below with any questions or concerns.

Thank you for your consideration.

Sincerely,

Sarah E.B. London
Assistant Attorney General
802-828-5479

Enc.
APPLICATION FOR DISTRIBUTION FROM
DATA SECURITY FUND

I. APPLICANT:

Name: Vermont Attorney General’s Office
Address: 109 State Street
          Montpelier, Vermont
          05609-1001

Contact Person(s): Sarah London

Phone Number: 802-828-5479
Fax Number: 802-828-2154
E-mail: slondon@atg.state.vt.us

Date of Application: September 1, 2010

II. STATUS OF APPLICANT

The Data Security Fund is for the exclusive use of the Offices of the Attorneys
General of the Participating States.¹

A. Describe the applicant’s function and responsibilities.

The Public Protection Division of the Vermont Attorney General’s Office
enforces Vermont’s data privacy laws and Consumer Fraud Act. Vermont’s data privacy
laws include the Security Breach Notice Act, 9 V.S.A. § 2435, and the Social Security
Number Protection Act, 9 V.S.A. § 2440. Neither law affords a private right of action.
When the Division becomes aware of a security breach affecting Vermont consumers, it
collects the consumer notice letter and ensures that it complies with Vermont law. In
collecting these letters, the Division has learned of at least three successful “SQL
injection” attacks (described more fully below) on Vermont businesses in the last 9
months affecting thousands of consumers. Consumers’ personal information appears to
have been misused as a result of these attacks based on complaints of identity theft to the
Consumer Assistance Program that correspond with the attacks.

B. Identify those persons who would oversee the proposed project.

Assistant Attorney General Sarah London would be responsible for implementing
the grant and Chief of the Public Protection Division Wendy Morgan would oversee the

¹ The Participating States are: Alabama, Arizona, Arkansas, California, Colorado, Connecticut, Delaware,
Florida, Hawaii, Idaho, Illinois, Iowa, Louisiana, Maine, Maryland, Massachusetts, Michigan, Mississippi,
Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New Mexico, New York, North
Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, South Dakota, Tennessee,
proposed project. Sarah London is responsible for all of the VT AGO’s data privacy work, including enforcement of the Security Breach Notice Act as described above and the state’s first Vermont-specific security breach and HIPAA enforcement actions.

III. APPLICANT’S PROPOSAL

A. Please state the anticipated public benefit to be served by the grant, including the target region and group, and how the benefit will be achieved.

The Public Protection Division of the VT AGO requests $15,000 from the TJX Data Privacy Fund to hire Dr. Peter Stephenson as a consultant in the investigation of recent and possibly future SQL injection attacks on Vermont businesses.

As the committee is likely aware, a SQL injection is a form of attack in which hackers access an electronic database through user-input boxes on a website. Instead of entering standard information or search terms, a hacker instructs the website to reveal what should be restricted information such as credit and debit card information. An improperly constructed website will reveal such information. SQL injection attacks were once conducted manually, but hackers have recently developed programs for automated or “smart” SQL attacks which use “bots” to search the internet for vulnerable websites.

Although SQL injection attacks are generally thought to be readily preventable, a successful SQL injection attack may not necessarily evidence a failure to meet minimum data security standards. For instance, a successful SQL injection attack may be the result of an unknown defect in pre-packaged software. The Public Protection Division seeks the assistance of Dr. Stephenson in investigating whether the recent, and possibly future, SQL injection attacks in Vermont are the result of data collectors’ failure to adequately protect consumers’ personal information contrary to Vermont’s Consumer Fraud Act and possibly other data security laws.

Dr. Stephenson received his PhD in computing from Oxford Brookes University, in Oxford, England. He is the Director of the Norwich University Advanced Computing Center (http://www.nuacc.org), and is the University’s Chief Information Security Officer. Dr. Stephenson has written and published extensively in the area of data security, including SQL. He currently assists the Vermont Department of Human Resources in conducting computer forensic investigations.

There are many public benefits of investigating the recent SQL injection attacks, both within and outside Vermont. The businesses subject to the attacks are primarily online retailers with numerous out-of-state as well as in-state consumers. In the event of a settlement or judgment, the VT AGO may seek restitution for affected consumers. In addition, any settlement or judgment obtained will serve as a means of educating other data collectors about SQL vulnerabilities they may have. This project will also help build expertise among state AGOs in investigating SQL attacks and prosecuting data collectors who fail to adequately protect consumer data. The only government settlements regarding SQL injection attacks presently known to the VT AGO are with the FTC.
B. **Please state the perceived need for the funds and how the applicant identified such need.**

One part-time assistant attorney general and one part-time investigator handle the data privacy work for the VT AGO. The VT AGO does not have staff with the requisite forensic expertise to assist in the investigation of these breaches. Dr. Stephenson was recommended to the VT AGO by the Vermont Department of Innovation and Information. There are no other funding sources for this project.

C. **If the application concerns an investigation and/or potential litigation please describe the investigation and/or litigation.**

As described above, the investigations will involve determining whether the Vermont businesses that have recently experienced SQL injection attacks failed to adequately protect consumers’ personal information (i.e., debit and credit card numbers). In the course of this work, additional SQL injection attacks may be discovered. In the event the investigations reveal the failure to properly secure consumers’ personal information, the office will likely pursue settlements in the form of assurances of discontinuance or consent decrees, and will likely pursue litigation if necessary and if resources permit.

D. **Please provide a detailed itemization of all expected costs and expenses related to the proposed project to be paid from the grant.** (If applicable, include a description of how other elements such as volunteer labor or collaboration with other agencies will be integrated into the project.)

The VT AGO anticipates that Dr. Stephenson will spend between 40 to 50 hours investigating and consulting on the SQL injection attacks presently known to the Public Protection Division. At a minimum, Dr. Stephenson’s work will involve consultation on administrative subpoenas, review of responses to the subpoenas, participation in interviews, and participation in negotiations. In addition, Dr. Stephenson would consult on any injunctive portions of a settlement involving these attacks.

Dr. Stephenson’s hourly rate for private consulting is generally $350.00. The VT AGO intends to enter into a $15,000 fixed-price contract with Norwich University for the services of Dr. Stephenson and use of equipment and other personnel at the University’s Advanced Computing Center.

E. **Please provide a detailed description of goods and services, such as personnel, travel and transportation, and materials to be used in connection with the proposed project that are funded from sources other than this grant.**

There are no other funding sources for this project.
F. Please state the name, address, and telephone number of each source of funds (other than this grant) expected to be used in connection with the proposed grant project.

There are no other funding sources for this project.

G. Please provide a description of how the applicant: (1) will ensure that distribution by the Data Security Fund Committee will be used solely for purposes proposed in the Application; and (2) intends to report to the Data Security Fund Committee concerning the results of the grant, including a discussion of how the applicant intends to measure the success of the grant (e.g., if the application is to retain an expert to assist in litigation, how does the applicant anticipate it will use the expert’s assistance?). Appropriate non-staffing costs for such measurement may be included in the monies sought by the application.

The full amount of any award from the Data Security Fund will serve as consideration for a contract for services between the State of Vermont/VT AGO and Norwich University/Dr. Peter Stephenson. Dr. Stephenson and the University’s Advanced Computing Center will provide the services described above – i.e., consulting on administrative subpoenas, reviewing responses, participating in interviews and negotiations, and consulting on the injunctive portions of any settlement. The success of the grant will be measured in large part by the result of the VT AGO’s investigation and enforcement actions. To the extent permitted by Vermont law, the VT AGO will readily share the result of these actions with the Data Security Fund Committee.

H. If the application is for continuation of a grant approved during a previous grant cycle, please describe the steps taken by applicant to determine the efficacy of the program during the prior grant cycle.

N/A

IV. REPRESENTATIONS BY APPLICANT

A. Requests for Staff Expenses

Grants from the Data Security Fund are not available staff expenses absent extraordinary circumstances. If the application includes a request for staff expenses, such as funding for salary or benefits, please provide a detailed explanation of the extraordinary circumstances justifying your request.

N/A
B. Authority and Use of Funds

The undersigned is the responsible person for this Application, has been duly authorized by the Applicant to act as its agent in connection with this application, and hereby certifies that the information in this Application, including attached documents, is true. The undersigned has read the governing documents regarding the Data Security Fund that resulted from the multi-state investigation and understands their terms. The undersigned further represents that the funding requested will not be used to pay for regular staff of the agency or entity applying for this grant, and that the existing budget of applicant will not be reduced should the application be approved.

Signed: [Signature]

Name: Sarah E.B. London

Title: Assistant Attorney General

Return six (6) copies of Application and any attachments to:

Data Security Fund Committee
Attention: Lois Martin, Paralegal
Office of the Massachusetts Attorney General
Consumer Protection Division
One Ashburton Place
Boston, MA 02108
February 3, 2011

Data Security Fund Committee
Attention: John Stephan
Office of the Massachusetts Attorney General
Consumer Protection Division
One Ashburton Place
Boston, MA 02108

john.stephan@state.ma.us
lois.martin@state.ma.us

VIA FIRST CLASS AND ELECTRONIC MAIL

Re: TJX Data Privacy Fund Application, State of Vermont

Dear John and Members of the TJX Data Security Fund Committee:

This letter responds to your January 14, 2011 request for additional information regarding Vermont’s TJX grant application.

You asked whether the VT AGO would be willing to repay the Fund for all or any portion of the grant award in the event our investigation(s) result in a significant monetary recovery. In the event the VT AGO investigation(s) that involve Dr. Peter Stephenson result in a monetary recovery that is significantly greater than the VT AGO’s requested award of $15,000, the VT AGO is willing to repay the Fund for all or a portion of the grant award.

You also asked for a fuller description of how the VT AGO plans to report to the Data Security Fund Committee on how the funds are spent. As we discussed by phone, we were initially concerned about the confidentiality required by Vermont’s Civil Investigative Demand (CID) provision of our Consumer Fraud Act. This Office is happy to produce quarterly reports that provide a general description of Dr. Stephenson’s work without identifying potential targets. Again, the Office anticipates that Dr. Stephenson will spend approximately 40 to 50 hours helping to identify targets, drafting CIDs, reviewing CID responses, and participating and consulting in negotiations and potential filings. The Office would be pleased to provide the Committee with quarterly reports outlining this work.
I hope this fully responds to your questions. Please do not hesitate to contact me at the number below with any further questions or concerns, and thank you again for your consideration of Vermont’s application.

Sincerely,

[Signature]

Sarah E.B. London
Assistant Attorney General
802-828-1106
MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: July 1, 2011
Subject: Grant Requests

Enclosed please find one (1) grant that the Joint Fiscal Office has received from the administration.

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Date: 6/9/2011

Department: Attorney General

Legal Title of Grant: TJX Data Security Fund

Federal Catalog #: NA

Grant/Donor Name and Address: Commonwealth of Massachusetts (on behalf of TJF Data Privacy Fund as part of a multistate settlement) One Ashburton Pl., Boston, MA 02108

Grant Period: From: 7/1/2011 To: 6/1/2012

Grant/Donation $15,000

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Additional Comments:

Department of Finance & Management

Secretary of Administration

Sent To Joint Fiscal Office

RECEIVED

JUN 20 2011

JOINT FISCAL OFFICE
### BASIC GRANT INFORMATION

1. **Agency:**
   - Office of the Attorney General

2. **Department:**
   - Public Protection Division

3. **Program:**
   - TJX Data Security Fund

4. **Federal Catalog #:**

5. **Grant Period:**
   - From: 7/1/2011
   - To: 6/1/2012

6. **Grant/Donor Name and Address:**
   - Commonwealth of Massachusetts
   - (on behalf of TJX Data Privacy Fund as part of multi-state settlement)
   - One Ashburton Pl.
   - Boston, MA 02108

7. **Purpose of Grant:**
   - To hire Dr. Peter Stephenson from Norwich University as a consultant in the investigation of security breaches involving protected personal information of Vermont consumers.

8. **Impact on existing program if grant is not Accepted:**
   - N/A

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</tbody>
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# PERSONAL SERVICE INFORMATION

11. Will monies from this grant be used to fund one or more Personal Service Contracts?  
   □ Yes □ No  
   If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.

   Appointing Authority Name: Bill Griffin  
   Agreed by:  

   Yes  
   No

## Limited Service Position Information

<table>
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<th># Positions</th>
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Total Positions

## Equipment and space for these positions:

| Is presently available | Can be obtained with available funds |

### AUTHORIZATION AGENCY/DEPARTMENT

If/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable):

**Signature:**  
**Date:** 6.7.11  
**Title:**

### SECRETARY OF ADMINISTRATION

**Approved:**  
(Secretary or designee signature)  
**Date:** 6.13.11  
**Title:**

### ACTION BY GOVERNOR

- [x] Accepted  
- [ ] Rejected

**Governor's signature:**  
**Date:** 6.14.11

### DOCUMENTATION REQUIRED

- [x] Request Memo  
- [ ] Dept. project approval (if applicable)  
- [x] Notice of Award  
- [ ] Grant Agreement  
- [ ] Grant Budget  
- [ ] Notice of Donation (if any)  
- [ ] Grant (Project) Timeline (if applicable)  
- [ ] Request for Extension (if applicable)  
- [ ] Form AA-1PN attached (if applicable)

End Form AA-1
May 19, 2011

Via Overnight Delivery
Sarah E.B. London
Assistant Attorney General
Office of the Attorney General
109 State Street
Montpelier, VT 05609-1001

Re: TJX Data Security Fund

Dear Sarah:

I write in regard to Vermont’s application to the TJX Data Security Fund. As I believe you are aware, the TJX Data Security Fund Committee has approved Vermont’s request. Accordingly, enclosed is a check made out to the Vermont Attorney General’s Office in the amount of $15,000.00.

This distribution is subject to the terms of the grant as set forth in the application forms and instructions and as agreed to by Vermont in subsequent correspondence with the Committee.

Should you have any questions or concerns, please feel free to contact myself or Lois Martin in our office.

Sincerely,

John M. Stephan
Assistant Attorney General

Enclosure

cc: TJX DSF Committee Members (.pdf via email)
September 1, 2010

Data Security Fund Committee  
Attention: Lois Martin, Paralegal  
Office of the Massachusetts Attorney General  
Consumer Protection Division  
One Ashburton Place  
Boston, MA 02108

lois.martin@state.ma.us  

VIA FIRST CLASS AND ELECTRONIC MAIL  

Re: TJX Data Privacy Fund Application, State of Vermont  

Dear Ms. Martin and Members of the TJX Data Security Fund Committee:

Enclosed please find the TJX Data Privacy Fund grant application for the Vermont Attorney General’s Office. I am providing one electronic copy via email and six paper copies via first class mail. Please do not hesitate to contact me at the number below with any questions or concerns.

Thank you for your consideration.

Sincerely,

Sarah E.B. London  
Assistant Attorney General  
802-828-5479  

Enc.