



HAWAII MUNICIPAL FUND ACCOUNT #: \_\_\_\_\_

HAWAII MUNICIPAL FUND ACCOUNT TITLE: \_\_\_\_\_

## AUTOMATIC TRANSMISSION APPLICATION for Hawaii Municipal Fund

**By filling out this form, all future cash distributions and redemptions will be processed via ACH to the bank information referenced in Section 1 below.**

*NOTE: Your financial institution must be able to accept Automated Clearing House (ACH) transactions and / or be a member of an ACH association in order for you to use this service.*

*The investor may discontinue this service at any time by written notice to Lee Financial Securities, Inc. (LFS).*

### 1 BANK INFORMATION

**Please complete below to change the current instructions and enable ACH transfers directly to and from your bank account.** These bank instructions will be established for automatic investment plan transfers, redemptions, and/or any dividend/capital gain payments.

**BANK ROUTING NUMBER (9 digits)**

**BANK ACCOUNT NUMBER**

**ACCOUNT TYPE**

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Checking     Savings

Use my attached, preprinted, voided check or savings account deposit slip. Starter checks or check deposit slips will not be accepted.

If there is a difference between the Hawaii Municipal Fund (the “Fund”) account owner(s) and the bank account owner(s), all bank account owners must sign here and have their signatures medallion guaranteed; and all investors signing in Section 3 must also have their signatures medallion guaranteed.

NOTE: If the Fund account is registered as a custodial account for a minor (UGMA/UTMA) and there is at least one common owner on the Fund account and the bank account, medallion signature guarantees are not required.

Please have each signature separately medallion guaranteed by a bank, savings and loan association, trust company, credit union, broker-dealer or any other “eligible guarantor institution” as defined under the rules adopted by the Securities and Exchange Commission. These institutions often participate in medallion signature guarantee programs such as the Securities Transfer Agent Medallion Program (STAMP). **A notary public cannot provide a medallion signature guarantee.**

**SIGNATURE OF BANK ACCOUNT OWNER**

**DATE**

**SIGNATURE OF BANK ACCOUNT OWNER**

**DATE**

X \_\_\_\_\_

\_\_\_\_\_

X \_\_\_\_\_

\_\_\_\_\_

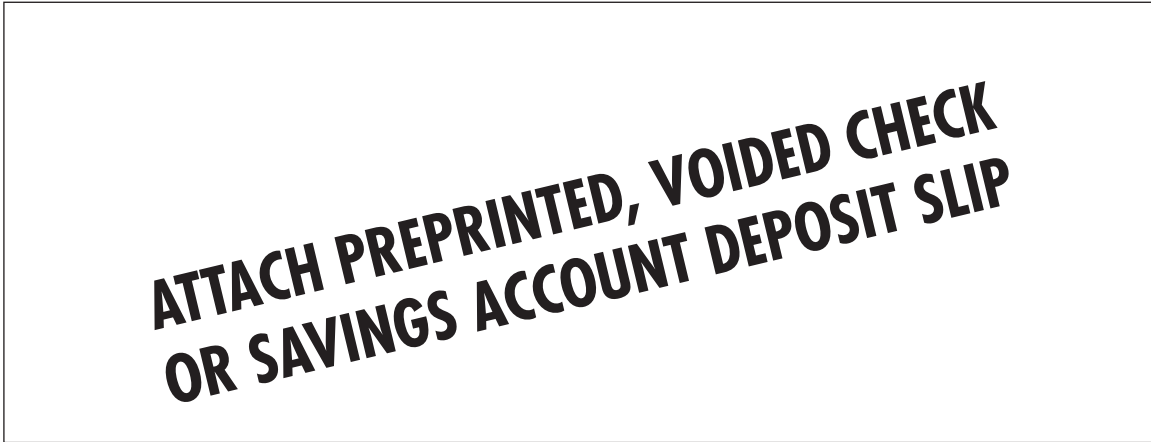
<p><b>MEDALLION SIGNATURE GUARANTEE STAMP</b></p>
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<p><b>MEDALLION SIGNATURE GUARANTEE STAMP</b></p>
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Tape a preprinted, voided check or preprinted savings account deposit slip here. Bank account registration information (your name and address) cannot be blank or handwritten.

Do not staple.



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## 2 AUTOMATIC INVESTMENT PLAN

- Complete this section to start **MONTHLY** scheduled, automatic transfers FROM a bank account TO your Fund account.
- Bank information must be provided in Section 1 for your request to be valid.
- When indicating start date, please note that it may take up to 15 days for the Fund to establish your automatic investment.

**Please complete below to set up an Automatic Investment Plan**

<b>AMOUNT (\$100 minimum)</b>	<b>START MONTH</b>	<b>INVESTMENT DATE<sup>1</sup> (select one)</b>
\$ _____	_____	<input type="checkbox"/> 10 <sup>th</sup> <input type="checkbox"/> 20 <sup>th</sup>

1. If the Investment Date falls on a weekend or holiday, the transaction will be made on the following business day.

I/We understand that my ACH debit will be dated on the day of each month as selected above (or on the first business day thereafter). I/We agree that if such debit is not honored upon presentation, LFS may discontinue this service and any share purchase made upon deposit of such debit may be cancelled. I/ We also agree that LFS may make additional attempts to debit my/our account if the initial attempt fails and I/we will be liable for any associated costs. I/We further agree that if the net asset value of the shares purchased with such debit is less when said purchase is cancelled than when the purchase was made, LFS shall be authorized to liquidate other shares or fractions thereof held in any account to make up the deficiency. The Automatic Investment Plan may be discontinued by LFS upon thirty (30) days written notice. The investor may discontinue this service at any time by written notice to LFS, and LFS must receive this notice no later than five (5) business days prior to the above designated investment date.

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### 3 SHAREHOLDER AUTHORIZATION

Signature(s) Required

In regards to “Automatic Transmission” via ACH (if applicable), I agree that your rights with respect to each debit/credit shall be the same as if I personally signed or initiated the drafts or debits/credits. I agree that LFS, the Fund, and any of their affiliates shall be fully protected in honoring such transactions. This authority shall remain in effect until written notice is received by LFS changing the terms or revoking it, and until such notice is received, LFS shall be fully protected in honoring any such debit/credit. I further agree that if any debit/credit is dishonored, whether with or without cause, whether intentionally or inadvertently, LFS nor any of its affiliates shall be under no liability whatsoever.

**ALL ACCOUNT OWNERS MUST SIGN BELOW.** For a Trust, All Trustees Must Sign (Minors are not authorized signers.)

SIGNATURE	DATE	SIGNATURE	DATE
X _____	_____	X _____	_____

**MEDALLION SIGNATURE GUARANTEE STAMP (if required)\***

**MEDALLION SIGNATURE GUARANTEE STAMP (if required)\***

SIGNATURE	DATE	SIGNATURE	DATE
X _____	_____	X _____	_____

**MEDALLION SIGNATURE GUARANTEE STAMP (if required)\***

**MEDALLION SIGNATURE GUARANTEE STAMP (if required)\***

\* A medallion signature guarantee is required for each signer if there is a difference between the Fund account owner(s) of the bank account identified in Section 1. Please see Section 1 for complete instructions.

**FACTS****WHAT DOES Lee Financial Mutual Fund, Inc. DO WITH YOUR PERSONAL INFORMATION?****Why?**

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

**What?**

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number and investment experience,
- income, and employment information,
- account balances, and transaction history.

**How?**

All financial companies need to share customer's personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons Lee Financial Mutual Fund, Inc. chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Lee Financial Mutual Fund share?	Can you limit this sharing?
<b>For our everyday business purposes</b> — such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes</b> — to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes</b> — information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes</b> — information about your creditworthiness	No	We don't share
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For nonaffiliates to market to you</b>	No	We don't share

**To limit our sharing**

- Call 808-988-8088 — our menu will prompt you through your choice(s) **or**
- Visit us online: [www.LeeHawaii.com](http://www.LeeHawaii.com)

**Please note:**

If you are a *new* customer, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* our customer, we continue to share your information as described in this notice.

However, you can contact us at any time to limit our sharing.

**Questions?**

Call 808-988-8088 or go to [www.LeeHawaii.com](http://www.LeeHawaii.com)

## Who we are

**Who is providing this notice?**

Lee Financial Mutual Fund, Inc.

## What we do

**How does Lee Financial Mutual Fund protect my personal information?**

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.

**How does Lee Financial Mutual Fund collect my personal information?**

We collect your personal information, for example, when you

- Open an account, or Show us your driver's license,
- Pay us by check, or Buy securities from us, or
- Sell securities to us.

**Why can't I limit all sharing?**

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes — information about your creditworthiness
- affiliates from using your information to market to you
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

**What happens when I limit sharing for an account I hold jointly with someone else?**

Your choices will apply to everyone on your account.

## Definitions

**Affiliates**

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- *Our affiliates include: Lee Financial Group Hawaii, Inc., Lee Financial Securities, Inc. and Lee Financial Recordkeeping, Inc.*

**Nonaffiliates**

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- *Lee Financial Mutual Fund, Inc. does not share with nonaffiliates so they can market to you.*

**Joint marketing**

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- *Lee Financial Mutual Fund, Inc. doesn't jointly market.*

## Other important information

**FACTS****WHAT DOES Lee Financial Securities, Inc. and Lee Financial Recordkeeping, Inc. DO WITH YOUR PERSONAL INFORMATION?****Why?**

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Reasons we can share your personal information	Does Lee Financial share?	Can you limit this sharing?
<b>For our everyday business purposes</b> — such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes</b> — to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes</b> — information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes</b> — information about your creditworthiness	No	We don't share
<b>For our affiliates to market to you</b>	Yes	Yes
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**How does Lee Financial Securities, Inc. and Lee Financial Recordkeeping, Inc. collect my personal information?**

We collect your personal information, for example, when you

- Open an account, or Show us your driver's license,
- Direct us to buy securities, or Direct us to sell securities, or
- Give us your contact information.

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