



FINRA RULE 5270

Lee Financial Group Hawaii, Inc.

Notice to Customers about FINRA Rule 5270 (Prohibition on Front Running of Block Transactions)

FINRA Rule 5270 generally prohibits Lee Financial Group Hawaii, Inc. and its employees (collectively, "Lee Financial Group"), as affiliates of Lee Financial Securities, Inc. from trading for their own accounts in a security or a related financial instrument when they have knowledge of a customer's imminent block transaction in that security, a related financial instrument (such as a structured note), or a security underlying the related financial instrument, prior to the time information concerning the block transaction has been made publicly available or has otherwise become stale or obsolete. Rule 5270 does not, however, prohibit Lee Financial Group from entering into transactions in the security or related financial instrument for their own accounts that are unrelated to or undertaken in order to fulfill, or facilitate the execution of, the customer's block order. Consequently, please note that Lee Financial Group may be trading ahead of or alongside of your customer order in connection with handling your customer block order, which could impact the market prices in the securities or related financial products involved in the block transaction. When so doing, Lee Financial Group will refrain from any conduct that could disadvantage or harm the execution of your order or that would place Lee Financial Group's financial interests ahead of yours. You may choose to instruct Lee Financial Group not to trade for their own accounts ahead of, or alongside, your block transactions by providing written notice to Lee Financial Group at 3113 Olu Street, Honolulu, Hawaii 96816. Such instruction, however, would limit the range of execution alternatives that Lee Financial Group would be able to offer to you. Please contact Lee Financial Group toll free at (800) 354-9654 with any questions you may have on how your block orders are handled.