

LEE FINANCIAL GROUP HAWAII, INC.

Business Continuity Plan Summary Disclosure Statement

Lee Financial Group Hawaii, Inc. has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us - If after a significant business disruption (“SBD”) you cannot contact us as you usually do at (808) 988-8088, you should go to our website at www.LeeHawaii.com, or contact Charles Schwab & Co., Inc. directly at (800) 515-2157 or www.schwaballiance.com, or TD Ameritrade directly at (800) 431-3500 or www.advisorclient.com.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back-up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators, alternate physical location of employees and critical supplier; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions - Significant business disruption will vary in degree of severity. In the event of a firm-only business disruption our firm will make an assessment of the situation and immediately identify what means will permit us to continue business during this scenario. Planned recovery time will depend on the extent of the SBD may take a minimum of 24 hours. Our intended response is to quickly resume operations and allow customers to transact business. Back-up facilities and arrangements have been established and will be utilized if necessary. In the event of a city and or state-wide SBD our firm will safeguard employees’ lives and firm property, make a financial and operational assessment, and determine our ability to recover and resume operations. Planned recovery time will be dependent upon the utilities and resources available and may take a minimum of 24 hours. Best efforts will be made to allow our customers to transact business. Back-up facilities and arrangements have been established and may be utilized depending upon the severity of the SBD.

The business continuity plan is subject to modification, and an updated summary will be promptly posted on our website. Customers may alternatively obtain updated summaries by requesting a written copy by mail. If you have questions about our business continuity planning, please contact us at (808) 988-8088.