



HAWAII MUNICIPAL FUND
SURFX

LEGAL ENTITY BENEFICIAL OWNERSHIP CERTIFICATION FORM

for Hawaii Municipal Fund

This form must be completed by the person opening a new account on behalf of a legal entity. For the purposes of this form, a legal entity includes a corporation, a limited liability company, a general partnership, statutory trust, a non-profit and any similar business entity formed in the United States.

1 ACCOUNT INFORMATION

Persons opening an account on behalf of a legal entity must provide the following information:

Name of Natural Person Opening Account on Behalf of Legal Entity: (First Middle Last)

Title

Name of Legal Entity for which the Account is Being Opened

Address of Legal Entity for which the Account is Being Opened

2 BENEFICIAL OWNER(S)

The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship, or otherwise, owns 25 percent or more of the equity interests of the legal entity listed above (Note: Non-profits do not have to complete this section.):

Name/Title

Address (*Residential or Business*): If mailing address is a P.O. Box (other than an army P.O. Box or a fleet P.O. Box), then a physical address is also required by the USA Patriot Act.

City

State

Zip Code

Social Security No.

Date of Birth

Name/Title

Address (*Residential or Business*): If mailing address is a P.O. Box (other than an army P.O. Box or a fleet P.O. Box), then a physical address is also required by the USA Patriot Act.

City

State

Zip Code

Social Security No.

Date of Birth

Name/Title

Address (Residential or Business): If mailing address is a P.O. Box (other than an army P.O. Box or a fleet P.O. Box), then a physical address is also required by the USA Patriot Act.

City

State

Zip Code

Social Security No.

Date of Birth

Name/Title

Address (Residential or Business): If mailing address is a P.O. Box (other than an army P.O. Box or a fleet P.O. Box), then a physical address is also required by the USA Patriot Act.

City

State

Zip Code

Social Security No.

Date of Birth

3 CONTROL PERSON

The following information for one individual with significant responsibility for managing the legal entity listed above, such as: an executive officer or senior manager (e.g., Chief Executive Office, Chief Financial Officer, Chief Operating Office, Managing Member, General Partner, President, Vice President, Treasurer); or any other individual who regularly performs similar functions. (If appropriate, an individual in section 2 above may also be listed in this section.)

Name/Title

Address (Residential or Business): If mailing address is a P.O. Box (other than an army P.O. Box or a fleet P.O. Box), then a physical address is also required by the USA Patriot Act.

City

State

Zip Code

Social Security No.

Date of Birth

4 CERTIFICATION

I hereby certify, to the best of my knowledge that the information provided above is complete and correct.

Printed Name of Natural Person Opening Account on Behalf of Legal Entity

Signature

Date

5 RETURN INSTRUCTIONS

Please return this form to the following address:

Hawaii Municipal Fund
3113 Olu St
Honolulu, HI 96816

For assistance in completing this form, call (808) 988-8088 or (800) 354-9654

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. **What this means to you:** When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may ask to see your driver's license or other identifying documents.

This form requires you to provide the name, address, date of birth and Social Security number for the following individuals:

I. Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25 percent or more of the shares of a corporation); and

II. An individual with significant responsibility for managing the legal entity customer (e.g., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, or Treasurer).

USA PATRIOT Act

Our Commitment to Money Laundering Prevention

Lee Financial Securities, Inc. is fully committed to complying with all statutory and regulatory requirements designed to combat money laundering and any activity which facilitates the funding of terrorist or criminal activities.

Money Laundering Prevention Policies and Procedures

The Firm is committed to educating and training employees in money laundering prevention and has adopted specific policies and procedures to prevent and detect money laundering. Some of the initiatives and procedures currently being undertaken by Lee Financial Securities, Inc. include:

- the development and establishment of a comprehensive money laundering prevention compliance program;
- the designation of a money laundering prevention compliance officer to oversee the money laundering prevention efforts of the Firm;
- the establishment of an independent audit function to evaluate the Firm's money laundering prevention program; and
- training employees to:
 - be aware of, and comply with, the Firm's policies and procedures to prevent money laundering and other financial crimes, and to assist in the prevention of terrorist financing;
 - ability to recognize and report any suspicious activity and/or transactions.