



## Privacy Notice

Clients receive a copy of this Privacy Notice upon signing a contract with LFC and annually thereafter.

Lee Financial Company (“LFC”) maintains physical, electronic, and procedural safeguards that comply with federal standards to protect its clients’ nonpublic personal information (“information”). Through this policy and its underlying procedures, LFC attempts to:

1. Ensure the confidentiality of clients’ records and information;
2. Protect against any anticipated threats or hazards to the security of clients’ records and information; and
3. Protect against unauthorized access or use of clients’ records or information that could result in substantial harm or inconvenience to clients.

LFC collects and uses various types of information (e.g. information and records pertaining to personal background, investment objectives, financial situation, tax information/returns, investment holdings, account numbers, account balances, etc.) about its clients to better understand their needs and objectives. Most of the nonpublic personal information is derived from the following sources:

1. Information provided by clients or prospective clients upon entering into an investment advisory agreement with LFC;
2. Information from a transaction with clients or services performed for clients (e.g. account balances, securities positions, financial transactions through a broker-dealer, etc.); and/or,
3. Information obtained from clients’ reports or other outside sources to verify information clients or prospective clients have provided on a contract for advisory services.

### **Personal Information**

LFC does not disclose any nonpublic personal information about any clients except as necessary in order to establish and manage clients’ accounts, or as directed by clients to their designated advisers or professionals (e.g. CPAs, attorneys, insurance agents, bankers, broker-dealers, other investment advisers, account custodians, pension consultants/actuaries, bookkeepers) or as required by law.

### **Financial Entities**

Clients often complete applications that may pass through LFC to forward to other financial entities to establish accounts. Those entities have their own privacy policies, which they may share with their clients and customers.

### **LFC Employees**

LFC restricts access to current and former clients’ information to those employees and affiliated entities on a need-to-know basis in order to provide information and services. Any original copies of clients’ personal financial information are maintained in LFC’s records department and are secured before, during, and after business hours.

### **Isolated Transactions**

Clients may instruct LFC to disclose their personal information only for specific, isolated transactions prior to or at the time of the transactions.

### **Partial Disclosure**

Clients may select only certain parts of their personal information be disclosed to specific nonaffiliated third-parties (e.g. CPA, attorney, insurance agent, banker, custodian, etc.). Clients may direct that LFC disclose their nonpublic, personal financial information to any designated third-party by providing the contact information to whom the information should be sent by: *Mail, Telephone, Fax or Email*. Clients may mail this Privacy Notice to *LFC, Attn: Chief Compliance Officer, 8350 N. Central Expressway, Suite 1800, Dallas, TX 75206* with instructions to disclose such information, or call LFC’s office at (800) 960-1703, or fax instructions to (972) 404-0486 or email as an attachment to [info@leefin.com](mailto:info@leefin.com).



**Privacy Notice**

**Clients do not need to sign and return this Privacy Notice unless they request that LFC release their personal information to one (or more) third parties not already on file.**

I hereby direct LFC to disclose my personal information only to the following third parties:

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**Signature**

**Printed Name**

**Date**