



Home Office: Thief River Falls MN  
www.polarinvest1.com  
218.681.7344 - 218.681.1329 [fax]

**Polar Investment Counsel Inc.**

Member: FINRA, NFA, MSRB, SIPC  
Securities Cleared: Hilltop Securities Inc.  
Member NYSE, FINRA, SIPC

Acct#: \_\_\_\_\_ Office: \_\_\_\_\_ Rep ID: \_\_\_\_\_

Name: \_\_\_\_\_

**Trade Correction – Error Report**

This form is to be used to correct a trade after it has settled and you need the Home Office to make the correction with the firm’s error account. Prior to settlement, you can correct the trade through the systems and if help is needed, contact the Trade Desk at HTS.

**A minimum fine for inadvertent failure to report a trade correction - error will start at \$100 per incident**

Trade Date: \_\_\_\_\_ Correction Date: \_\_\_\_\_ Trade ID#: \_\_\_\_\_

Trade In Question:

Issue: \_\_\_\_\_ Quantity: \_\_\_\_\_ Price: \$ \_\_\_\_\_

Cusip: \_\_\_\_\_ RR #: \_\_\_\_\_

**Indicate Type of Correction & Correct Entry**

Wrong Account                       Wrong Commission                       Wrong Ledger Code

Correct: \_\_\_\_\_ Correct: \_\_\_\_\_ Correct: \_\_\_\_\_

Settlement Date                       Wrong Type                       Wrong RR Number

Correct: \_\_\_\_\_ Correct: \_\_\_\_\_ Correct: \_\_\_\_\_

Wrong Security                       Bot/Sold Incorrectly                       Wrong Quantity

Correct: \_\_\_\_\_ Correct: \_\_\_\_\_ Correct: \_\_\_\_\_

**Written Explanation for Correction:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Registered Representative

\_\_\_\_\_  
OSJ Branch Manager

\_\_\_\_\_  
PICI Home Office Principal Approval

\_\_\_\_\_  
Date Approved

\_\_\_\_\_  
Name of Individual Entering Correction