Acct#: ____________________________Office:________ Rep ID: ________ Filing Name: ____

Polar Investment Counsel, Inc.

Brokers and Investment Advisors; Member NASD, NFA, MSRB, SIPC
Website: www.polarinvest1.com

RR ACTIVE ACCOUNT WORKSHEET

To be completed by Broker of Record

Account Name: ____

Account Number: ________________________________ RR Name: ________________________________

The remainder of this form should be completed by the Registered Representative.

Current Telephone #: ____________________________ Employer Name: ____________________________

Current Net Worth $ ____________________________ Current Income $ ____________________________

Account Type: ________________________________ Age: ________ yrs Marital Status: ______________

If joint account, please list additional tenant's information.

Employer Name: ____________________________________ Age: _______ yrs Relationship: ____________

Current Net Worth $ ____________________________ Current Income $ ____________________________

Source for clients financial information: ☐ Financial Statement ☐ Conversation with Client
☐ Other – please explain: ____

Discretionary Account/Third Party Authorization/Non-PICI Power of Attorney ☐ Yes ☐ No (attach copy of documentation)
Holder of POA: ________________________________ Relationship to Client: ____________________________

Estimate Profit & Loss (Realized & unrealized. Include all fees and commissions for the last 12 months, or account inception, whichever is less.)
Realized Profit/(Loss) $____________________ Unrealized Profit/(Loss) $____________________

Net Profit/(Loss) $____________________ Commissions and Fees $____________________

On whom does client rely primarily on for investment strategies and advice (check all that apply & estimated %):
☐ Self ____________% ☐ Firm Research ____________% ☐ Registered Rep ____________%

☐ Other ____________% Please explain: ____

Brief description of client's trading strategy: (use additional sheet(s) if necessary) ______________________________

____

Transaction Origin: ☐ Solicited _____% ☐ Unsolicited _____% How often do you speak with client? _________

Are the new account, financial investment experience and investment objectives information current? ☐ Yes ☐ No

Attach new client record(s) for securities, options and futures account.
Any questions pertaining to the relationship with the client: ______________________________________

Any areas where you could use help with the client: ____

RR Signature: ____ Date: ____________________

Branch Manager Acknowledgement: ____________________________________ Date: ____________________

PICI Principal: ____ Date: ____________________

 Feb-03 Revision