



Polar Investment Counsel Inc.

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

2022 Annual Compliance Program Attestation

This is to certify that I, the undersigned representative/associate, have completed the PICI annual compliance package that consists of:

- Annual Compliance Certification
- Annual Compliance Meeting
- Letter of Supervisory Understanding
- FINRA Form U4 Review-FinPRO
- Outside Business Activities
- NFA Self Exam Checklist – if applicable

UNDER PENALTIES OF PERJURY, I CERTIFY THAT THE INFORMATION SUBMITTED ELECTRONICALLY IS TRUE AND CORRECT.

 Registered Rep / Associate Signature

 OSJ Branch Manager Signature (if applicable)

 Registered Rep/Associate Printed Name Dated

 OSJ Branch Manager Printed Name Dated

Rep ID: _____ Office: _____

Rep ID: _____ Office: _____

As Chief Compliance Officer, I have reviewed the information submitted electronically:

As Chief Executive Officer, I have reviewed the information submitted with the CCO:

 PICI CCO Signature
 Sherry L Abbott, EVP, CCO, CFO

 PICI CEO Signature
 Michael Jordan, President, CEO

Dated: _____

Dated: _____

Home Office Use: CRP Required: Yes No CRP Received: Yes No

Comments: