



Home Office: Thief River Falls MN

www.polarinvest1.com

218.681.7344 - 218.681.1329 [fax]

Polar Investment Counsel Inc.
 Brokers and Investment Advisors Member: FINRA, NFA, MSRB, SIPC
 Securities Accounts Cleared Through: Southwest Securities Inc. Member NYSE, FINRA. SIPC
 Futures Accounts Placed With: Zephyr Investment Group Inc

PICI DUE DILIGENCE DOCUMENTATION

Name of Company: _____

Be sure to include supporting documentation with source for review

Date:	Product Name:		
Primary Contact:		Email:	
Address:		Phone:	
		Fax:	
Type of Investment	Private Placement <input type="checkbox"/> Yes <input type="checkbox"/> No	Accredited Investors <input type="checkbox"/> Yes <input type="checkbox"/> No	
	Publicly Traded <input type="checkbox"/> Yes <input type="checkbox"/> No	Liquid Investment <input type="checkbox"/> Yes <input type="checkbox"/> No	
	Low Priced Securities <input type="checkbox"/> Yes <input type="checkbox"/> No	Prospectus Reviewed <input type="checkbox"/> Yes <input type="checkbox"/> No	
Suitability Considerations:			
Due Diligence Investigation:			

The above due diligence was performed by the undersigned. All documentation and information presented for review is to be true and accurate to the best of my knowledge.

_____ Dated: _____
 Representative Signature

Home Office Principal performed due diligence



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HOME OFFICE USE ONLY:

The undersigned Home Office Principal has reviewed the due diligence material provided. The following determinations have been made:

_____ Dated _____
PICI HO Principal Signature

_____ Dated _____
PICI HO CCO Signature

- Not Approved
- Approved with no restrictions
- Approved with the restrictions

PICI Restrictions: