



Polar Investment Counsel Inc.

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

Name: _____

Office: _____ Rep ID: _____

OUTSIDE BUSINESS ACTIVITIES

This document is to affirm that my outside business activities (as defined by FINRA and SEC regulations) are limited to those listed below and I have had a discussion with Home Office principals regarding these activities. Additionally, I understand that I need firm (Polar Investment Counsel, Inc.) approval **prior to entering** into any outside business activity whatsoever (including any material political activity) and that failure to disclose outside business activity or to seek approval for same will subject me to possible fines, censures, or even a bar from the industry. I further understand that if there is any change in the activity listed below, I will contact the Home Office regarding such changes. Annually the firm requires attestation of review and confirmation of currently reported activity, which is done via the firm's compliance program.

ACTIVITY (List organization or company & location and a brief description of your duties or role)	TIME SPENT (Include if during or after business hours)	INVESTMENT RELATED (Yes or No)	COMPENSATION (Indicate if consultant fee, independent contractor, wages, salaried, etc. and amount)

 REPRESENTATIVE SIGNATURE

 DATED

HOME OFFICE USE ONLY:

We have reviewed the above outside activity and have had a discussion with the above representative. We have determined the following (check only those that apply):

- The above activity does not interfere with firm business
- The above activity is not in any manner associated with the firm
- The following restrictions are placed on the above activity:
- FINRA U4 Amendment needed
- No FINRA U4 Amendment needed

HOME OFFICE APPROVAL

 HO Principal Signature

 Date

 Printed Name