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**Polar Investment Counsel Inc.**

Brokers & 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.

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

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

TO: PICI – SWS Clients

RE: Delivery of Securities Certificates – Receipt via Mail Delivery

DATE: \_\_\_\_\_

Firm policy prohibits the acceptance of securities certificates (stock certificates) for keeping or delivery to a clearing firm.

To expedite the matter and for your convenience, we will forward your certificates directly to the clearing firm listed below, this time. In the future, we do ask that you send any certificates directly to the clearing firm listed below. We strongly advise you to send, at your own expense, the certificates via a certified and insured means of delivery.

Once the clearing firm receives the certificates, they will book them into your account. Please be aware that safekeeping fees may apply.

**Send certificates to:**

Southwest Securities Inc.  
Attn: Stock Receipts Dept  
1201 Elm Street Suite 3500  
Dallas TX 75270

Phone: 214-859-1800

We are providing an additional copy of this notice for your convenience to include in your delivery to the clearing firm. This notice contains the account information needed to book the certificate(s) into your account. Your signature(s) below authorizes SWS to accept the certificate(s) into your SWS investment account.

**Note to SWS: Please book the enclosed securities into the above account.**

\_\_\_\_\_  
Client Signature Date \_\_\_\_\_

\_\_\_\_\_  
Client Signature Date \_\_\_\_\_