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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 Walk In

DATE: _____

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

Please forward your 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 _____