



**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: \_\_\_\_\_

## Unsolicited Transaction Acknowledgement

**THE DECISION TO:**

Purchase  Sell \_\_\_\_\_ # of shares of Security: \_\_\_\_\_ at  
 (Name of Security)  
 \$ \_\_\_\_\_ price per share

Purchase  Redeem Subscription to: \_\_\_\_\_  
 (Name of Alternative Investment)

is entirely my (our) own decision. My (our) representative **did not solicit or otherwise encourage the transaction of these shares or subscriptions.** It is further acknowledged that this transaction is considered an unsolicited transaction, the decision to purchase or sell this security or subscription is my (our) idea and was in no way suggested by my (our) representative, PICI, its officers or associates and I (we) am fully aware that this transaction may be highly speculative.

**I (we) am aware that your firm will not execute this transaction until you have received this letter, signed by all registered account holders.**

In the event that any activity regarding penny stocks (low priced securities) is conducted, I (we) acknowledge previously reading, understanding and signing the required disclosure document on penny stocks.

In the event that any activity regarding the redemption of a subscription to an alternative investment product is conducted, I (we) acknowledge that the redemption may have restrictions on when such redemptions are processed (monthly, quarterly, etc.).

Accordingly, I (we) hold Polar Investment Counsel, Inc., its associates, officers or directors harmless in any matter concerning this transaction and we acknowledge, again, this transaction was not solicited by our rep.

I HAVE READ THE ABOVE

I HAVE READ THE ABOVE

\_\_\_\_\_  
 Customer Signature

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Customer Signature

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Customer Printed Name

\_\_\_\_\_  
 Customer Printed Name

\_\_\_\_\_  
 Registered Representative Signature

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Home Office Principal Signature

\_\_\_\_\_  
 Dated