

Polar Investment Counsel, Inc.

Brokers and Investment Advisors; Member NASD, NFA, SIPC, MSRB
Website: www.polarinvest1.com

EXCEL BLOTTER INSTRUCTIONS

Save the “template” workbook that was sent via email (as an attachment) to your computer. Save it in “My Documents” in a folder that you will keep each month’s files going forward. Each month you will take this “template” workbook and create a new workbook for the current month by “saving it as” the current month. Each day you will make entries as required and at the end of the month you would send this one workbook for review.

To create a workbook for the first of each month:

Open the “template” workbook (double click to open).
Click FILE – SAVE AS (if you prefer to access the workbook from your desktop, you can save it there). Enter the month and year at the end of the file name taking care not to delete any of the original file name. Do not use the “/” symbol. Ex: 20P Monthly Blotters Nov 04
Click SAVE.

Open each worksheet in the workbook and enter your Name, Rep ID, Office# and the current month and year in the upper right corner of each worksheet.

To use the workbook on a daily basis:

Access the workbook from the location where you saved it (My Documents or Desktop).
Enter information as required on each blotter. You will notice that some columns are validated with specific data from a drop down list. Only the areas (cells) that require data will be accessible. If you choose to use a handwritten document and then transfer that data to the workbook, you can. All handwritten documents must then be retained at branch offices for a minimum of 6 years, but not transmitted to the Home Office.

At the end of each month, you will need to send the blotters electronically for review. For those under an OSJ, you would send them to your OSJ Manager. All remaining brokers, Branch/OSJ managers are to send theirs directly to Sherry Abbott at sabbott@polarinvest1.com. There is no need to CC any other Home Office person. They will be reviewed and you will receive a copy of the review form via email. This review form is to be saved in the appropriate folder that the blotters are kept in.

To send blotters at month end:

Access the current month’s workbook that is ready to be sent for review.
RIGHT CLICK on the workbook – select SEND TO – select COMPRESSED (zipped)
A zipped folder will appear (this process compresses the files so the file isn’t large and can be easily emailed).
RIGHT CLICK on the zipped folder – select SEND TO – select MAIL RECIPIENT
Enter the appropriate email address(es) and press SEND.