

Polar Investment Counsel, Inc.

Brokers and Investment Advisors; Member NASD, NFA, SIPC, MSRB
Home Office: Burlington WI 262-537-2200
Website: www.polarinvest1.com

PICI Annual Mailing Instructions

Annually the firm must perform specific compliance verification and certifications. This process takes place during the first quarter of each year.

An annual mailing letter ("letter") will be sent by the Home Office via postal mail to each firm associate that will outline the items that they are required to submit. Attached to this letter will be a printout of your NASD Form U-4 information. Each of the additional items will either be posted on the Compliance website or sent separately via email. Those items which are on the website must be completed online and then printed. Handwritten forms will not be accepted. Exceptions to this are signatures and dates.

Below is a brief description of the possible items that a firm associate may be required to submit. Please refer to your letter for the items you must submit.

NASD Form U-4: the Home Office will include with your letter a printout of your then current U-4 information. Review that enclosed printout and notify PICI Home Office Compliance Principal if any changes need to be made by correcting the enclosed printout and return no later than deadline stated.

Annual Compliance Certification: this form can be obtained from the Compliance website, Forms & Documents page, Compliance section and must be completed and returned no later than deadline stated. This form **MUST** be typed (form is online ready) or it will be rejected. It is important to note that additional items are listed on this certification that require you to perform other functions (print screens of various computer items-print screen instructions can be found on the instructional document titled, "Protect Your PC").

Letters of Supervisory Understanding: this form can be obtained from the Compliance website, Forms & Documents page, Compliance section and must be completed and returned no later than deadline stated. This form **MUST** be typed (form is online ready) or it will be rejected. This form is only required of OSJ or Branch Office managers who supervise firm associates.

Letters of Operational Understanding: this letter will be sent via email as it is personalized to the type of business, type of supervisor you are or if you are an associate that is supervised by a manager. This letter should be printed, signed and returned no later than deadline stated.

NFA Self-Exam Attestation: The NFA Self-Exam can be found on the Compliance website, Forms & Documents page, NFA section. General instructions and other information are available there as well. Select the type of broker you are (i.e. IB introducing broker) and perform the checklist. Complete the attestation document and return no later than deadline stated.

All of the above items are to be completed and returned in one package (no piece mail) to the Home Office person listed in your letter no later that the deadline stated.