

Acct#: _____ Office: _____ Rep ID: _____ Filing Name: _____

Polar Investment Counsel, Inc.

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

TRADE CORRECTION AND/OR ERROR REPORT FORM

This form must be completed and scanned or faxed to PICI Home Office by close of business on the date of the change.

A minimum fine for inadvertent failure to report a trade correction and/or error will start at \$100 per incident.

Trade Date: _____	Correction Date: _____	Trade ID#: _____
Trade In Question: _____		
Issue: _____	Quantity: _____	Price: _____
Cusip: _____	RR #: _____	_____

Should Read:

Acct # was: _____ Acct # should be: _____

Last Name: _____ Last Name: _____

Error Account Number used: _____

Indicate Type of Correction

- | | | |
|--|---|--|
| <input type="checkbox"/> Wrong Account | <input type="checkbox"/> Wrong Commission | <input type="checkbox"/> Wrong Ledger Code |
| <input type="checkbox"/> Settlement Date | <input type="checkbox"/> Wrong Type | <input type="checkbox"/> Wrong RR Number |
| <input type="checkbox"/> Wrong Security | <input type="checkbox"/> Bot/Slid Incorrectly | <input type="checkbox"/> Wrong Quantity |

Written Explanation for Correction:

Registered Representative

Compliance Director or PICI Principal

Branch Manager

Name of Individual Entering Correction