



**Polar Investment Counsel Inc.**

Member: FINRA, NFA, MSRB, SIPC  
 Securities Cleared: Hilltop Securities Inc.  
 Member NYSE, FINRA, SIPC

Name: \_\_\_\_\_ CRD# \_\_\_\_\_

Email: \_\_\_\_\_

**PRE-HIRE BUSINESS QUESTIONNAIRE**

All information is confidential and used to determine association with the firm.  
 Should you not become associated with PICI, this information will be destroyed 30 days from date signed

**BUSINESS TYPES** (Percentage over prior 12 mths)

Equity Trading \_\_\_\_\_ %  
 Option Trading \_\_\_\_\_ %  
 Mutual Fund Trading \_\_\_\_\_ %  
 Annuity \_\_\_\_\_ %  
 Fixed Income Trading \_\_\_\_\_ %  
 Limited Partnerships \_\_\_\_\_ %  
 Futures Trading \_\_\_\_\_ %  
 Futures Hedge \_\_\_\_\_ %  
 Futures Spec \_\_\_\_\_ %  
 Futures Pools \_\_\_\_\_ %

**TRADING** (use 12 mth average)

Number Equity Trades per month: \_\_\_\_\_  
 Number Options Trades per month: \_\_\_\_\_  
 Number Mutual Fund Transactions per month: \_\_\_\_\_  
 Number Annuity Transactions per month: \_\_\_\_\_  
 Number Fixed Income Transactions per month: \_\_\_\_\_  
 Number LP Transactions past 12 months: \_\_\_\_\_  
 Number Trades per month: \_\_\_\_\_  
 Number Trades per month: \_\_\_\_\_  
 Number Trades per month: \_\_\_\_\_

**Limited Partnership Agreements:** list below the partnership and contact information below for all partnerships activity listed above:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Other business:** describe any other type of securities and futures business that you do, as well as the percentage of total revenue derived from that business in the trailing 12 months.

\_\_\_\_\_  
 \_\_\_\_\_

**ACCOUNT DATA**

Approximate total value of all accounts: \$ \_\_\_\_\_ Total number of accounts: \_\_\_\_\_  
 Dollar amount of current margin debts: \$ \_\_\_\_\_ Total number of partnership or trust accounts: \_\_\_\_\_  
 Value of current futures accounts: \$ \_\_\_\_\_ Hedge \$ \_\_\_\_\_ Specs \$ \_\_\_\_\_

**OUTSIDE BUSINESS ACTIVITY**

List all outside business activity from which you derive an income from not currently listed on your U4:

\_\_\_\_\_  
 \_\_\_\_\_

**SELLING AGREEMENTS**

Please list the names of all insurance companies for which you sell or maintain variable annuities, mutual funds and limited partnerships. (This information will allow us to determine if the firm needs any additional selling agreements).

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 Financial Professional Signature

\_\_\_\_\_  
 Dated