



Name: _____ CRD# _____

Email: _____

PRE-HIRE SECRECY and ARBITRATION AGREEMENT

I, _____, a financial professional (hereinafter “Representative”), and currently carrying my registration(s) with broker-dealer or IB:

_____, do hereby enter into a secrecy and pre-contract arbitration agreement with Polar Investment Counsel, Inc. (hereinafter “PICI”).

I understand that in preparation for possible affiliation with PICI and prior to having entered into a formal contract with PICI, I shall be given limited time access to certain sensitive material (including but not limited to certain PICI web sites). In keeping with this arrangement, I agree to the following:

I shall not directly or indirectly disseminate or make use of any of the confidential business and technical information of PICI, and its customers, in any manner contrary to the best interest of PICI and its customers, during the continuance of this Agreement and thereafter without limitation as to time or how such information may have been acquired. Such confidential information is considered to include, without limitation, sales and distribution information, prices lists, the identity and list of actual and potential customers and clients, and technical information; all to the extent that such information is not intended for dissemination in the trade. Representative agrees that from time to time PICI may records conversations by electronic device without audible tone or notice. Such recordings are for the purpose of preserving clarity and for the mutual protection of the parties

GOVERNING LAW AND VENUE

This agreement shall be considered in all cases as completed in the state of Minnesota and shall be subject to arbitration before FINRA (Financial Regulatory Authority) or the NFA (National Futures Association). Further, Representative shall be responsible to PICI for the costs of collection, including attorney’s fees, arising out of the enforcement of this Agreement.

Representative acknowledges that they have read, understand, signed this Agreement, and agree to abide by and be bound by its terms.

Representative Signature Date

Representative Printed Name CRD / NFA Number

HO Principal Reviewed by Date