When Your Broker Calls, Take Notes!

(If you don't know the broker, feel free to hang up!)

Date	Make copies of this form to have handy and use it to make
☐ Call made ☐ Call received ☐ Meeting	Location notes of conversations with your salesperson or adviser. Be
Name of Broker	Sure to record details of the recommendations you receive
Broker's Firm	Phone and the instructions you give. Keep the notes in your files.
Broker's CRD No.	_
1 Investment Recommendation	
☐ Buy ☐ Sell	
Name of Security	I asked to receive written information about the investment before making a decision.
Thank of Security	Yes • No
Reasons for recommendation How does this meet my investment objectives?	I will get: a prospectus an offering memorandum most recent Annual Report most recent quarterly or interim reports recent news releases research reports other information Proposed Trade
	Number of shares/units
	Price Per Share \$ Total Cost \$
	Commission
What are the risks?	My instructions
	☐ Do nothing ☐ Buy ☐ Sell
	Number Price \$
	* Call your securities regulator to obtain the CRD report, which discloses any disciplinary incidents, on your salesperson.

If you suspect wrong doing, please contact your securities regulator. The phone number of your securities regulator can be obtained by checking the government listings in your telephone book, calling NASAA at 202-737-0900, or visiting www.nasaa.org on the Internet.

□ Buy ☐ Sell Name of Security_____ I asked to receive written information about the investment before making a decision. ☐ Yes ☐ No Reasons for recommendation I will get: ☐ a prospectus an offering memorandum ☐ most recent Annual Report ☐ most recent quarterly or interim reports ☐ recent news releases research reports other information How does this meet my investment objectives? **Proposed Trade** Number of shares/units Price Per Share \$ Total Cost \$ Commission What are the risks? My instructions ☐ Do nothing ☐ Buy ☐ Sell Number _____ Price \$ ____ **Notes**

Date

Time

Additional Investment Recommendation on same date

Notes made by: