When Your Broker Calls, Take Notes!

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

Date _____ Time _____

☐ Call Made ☐ Call Received ☐ Meeting Location _____

Name of Broker _____ Phone _____

Broker's Firm _____ Phone _____

Broker's CRD No. _____ ☐ Obtained CRD Report *

Make copies of this form to have handy and use it to make notes of conversations with your salesperson or adviser. Be sure to record details of the recommendations you receive and the instructions you give. Keep the notes in your files.

1 Investment Recommendation

Buy Sell

Name of Security _____

_____

Reasons for recommendation _____

_____

_____

_____

How does this meet my investment objectives? _____

_____

_____

_____

_____

What are the risks? _____

_____

_____

_____

_____

I asked to receive written information about the investment before making a decision.

☐ Yes ☐ No

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 _____

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 listing in your telephone book, calling NASAA at 202-737-0900, or visiting www.nasaa.org on the internet.

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

2 Additional Investment Recommendation on same date

☐ Buy ☐ Sell

Name of Security _____

_____

Reasons for recommendation _____

_____

_____

_____

How does this meet my investment objectives? _____

_____

_____

_____

_____

What are the risks? _____

_____

_____

_____

_____

I asked to receive written information about the investment before making a decision.

☐ Yes ☐ No

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 _____

My Instructions

☐ Do nothing ☐ Buy ☐ Sell

Number _____ Price $ _____

Notes

_____

_____

_____

_____

_____

_____

Notes made by: _____ Date: _____ Time: _____