## When Your Broker Calls, Take Notes!

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

- 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.

### Date

- Call made
- Call received
- Meeting

### Time

Location

### Name of Broker

Phone

### Broker's Firm

Phone

### Broker's CRD No.

- Obtained CRD Report *

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### Investment Recommendation

- Buy
- Sell

**Name of Security**

**Reasons for recommendation**

**How does this meet my investment objectives?**

**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.

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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.

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION
**Additional Investment Recommendation on same date**

- [ ] Buy
- [ ] Sell

Name of Security ____________________________________________
__________________________________
__________________________________

Reasons for recommendation
__________________________________
__________________________________
__________________________________

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 report
- [ ] recent news releases
- [ ] research reports
- [ ] other information

How does this meet my investment objectives?
__________________________________
__________________________________
__________________________________

**Proposed Trade**

<table>
<thead>
<tr>
<th>Number of shares/units</th>
<th>Price Per Share $</th>
<th>Total Cost $</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Commission ____________________________

**My instructions**

- [ ] Do nothing
- [ ] Buy
- [ ] Sell

Number ________ Price $ ________

**Notes**

__________________________________
__________________________________
__________________________________
__________________________________
__________________________________
__________________________________

Notes made by: ____________________ Date ___________ Time ___________