When Your Broker Calls, Take Notes!
(If you don't know the broker, feel free to hang up!)

Date
☐ Call made
☐ Call received
☐ Meeting

Time

Location

Name of Broker

Phone

Broker's Firm

Phone

Broker's CRD No.

☐ Obtained CRD Report *

1 Investment Recommendation

☐ Buy
☐ Sell

Name of Security


Reasons for recommendation


How does this meet my investment objectives?


What are the risks?


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.

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 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 ____________________________
_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________

How does this meet my investment objectives?
_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________

What are the risks?
_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________

Notes
_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________

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 made by: ____________________________  Date ____________________________  Time ____________________________