

Before You Buy a Callable CD, Take Notes!

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

Nevada Securities
Division
(702) 486-2440
(800) 758-6440

Date: _____ Time: _____

☐ Call made ☐ Call received ☐ Meeting Location: _____

Name of Salesperson: _____ Phone: _____

Name of 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

Who is the issuer of the CD?

What is the maturity date of the CD?

Are there call features? How do they work?

How much of my money will I get back if I redeem the CD before maturity?

Reasons for recommendation

How does this meet my investment objectives?

What are the risks?

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

☐ Yes ☐ No

What is the interest rate you will be paid? _____

Can the interest rate change?

☐ Yes ☐ No

How is interest paid?

☐ Check ☐ Electronic Fund Transfer

Who holds the CD?

What is the broker's commission?

Amount of any custodian fees?

My Instructions

☐ Do nothing ☐ Buy ☐ Sell

*** Call the Nevada Securities Division to obtain the CRD report, which discloses any disciplinary incidents on your salesperson.**