

When Your Broker Calls, Take Notes!

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

<u>Date</u>			<u>Time</u>
☐ Call made	☐ Call received	☐ Meeting	<u>Location</u>
<u>Name of Broker</u>			<u>Phone</u>
<u>Broker's Firm</u>			<u>Phone</u>
<u>Broker's CRD No.</u>			☐ 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

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 \$ _____

* 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

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?

Notes

Notes made by:

Date

Time

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 \$ _____