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 BrokerCheck or IAPD 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 received 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 $ _____

Go online to use BrokerCheck/IAPD to obtain a report, which discloses any disciplinary incidents, on your salesperson.

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: _____