



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? _____

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 \$ _____