

# 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 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 \_\_\_\_\_

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 \$ \_\_\_\_\_

\*\* Call your securities regulator to obtain the CRD report, which discloses any disciplinary incidents, on your salesperson.

If you suspect wrong doing or need more information, contact the Texas State Securities Board at 512-305-8300, or visit [www.ssb.state.tx.us](http://www.ssb.state.tx.us) on the Internet.

## 2 Additional Investment Recommendation on same date

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 \_\_\_\_\_

### My instructions

Do nothing       Buy       Sell

Number \_\_\_\_\_ Price \$ \_\_\_\_\_

What are the risks? \_\_\_\_\_

### Notes

Notes made by: \_\_\_\_\_ Date \_\_\_\_\_ Time \_\_\_\_\_

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