



WHEN A BROKER CALLS, KNOW YOUR RIGHTS AND 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 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

If you suspect wrong doing, please contact the Attorney General's Investment Protection Bureau at (212) 416-8200.

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: _____

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 \$