



# When Your Broker Calls Take Notes!

Date:	Time:
<input type="checkbox"/> Call Made <input type="checkbox"/> Call Received <input type="checkbox"/> Meeting	Location:
Name of Broker:	Phone:
Broker's Firm:	Phone:
Broker's CRD Number:	Obtained CRD Report*:

## 1 Investment Recommendation

Name of Security: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Reason for recommendation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
What are the risks? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
How does this meet my investment objectives? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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.

Make copies of this form to use when having conversations with your broker or sales advisor. Be sure to record details of recommendations you receive and directions you give. Keep these notes with your files.

## 2 Additional Investment Recommendation Made On The Same Date

Buy  Sell

Name of Security:

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I asked to receive written information about the investment before making a decision.

Yes  No

Reason for recommendation:

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I will get:

a prospectus

an offering memorandum

most recent Annual Report

most recent quarterly or interim reports

What are the risks?

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recent news releases

research reports

other information

How does this meet my investment objectives?

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### Proposed Trade

Number of shares/units \_\_\_\_\_

Price per share \_\_\_\_\_ Total Cost \$ \_\_\_\_\_

Commission \_\_\_\_\_

### My Instructions

Do nothing  Buy  Sell

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

## 3 Notes

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