



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 wrongdoing, please contact the Securities Division of the North Carolina Department of the Secretary of State at (919) 733-3924 or toll-free at (800) 688-4507. For additional investor education resources, including a complaint form, please visit our website at www.sosnc.com.

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 _____

What are the risks? _____

My instructions

Do nothing

Buy

Sell

Number _____ Price \$ _____

Notes

Notes made by: _____

Date _____

Time _____