



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 _____

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 \$ _____

* 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) 814-5400 or toll-free at (800) 688-4507. For additional investor education resources, including a complaint form, please visit our website at www.sosnc.gov

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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 _____