

# When Your Broker Calls, Take Notes!

Make copies of this form to take notes of conversations with your broker or adviser. Be sure to record details of the recommendations you receive and the instructions you give. Keep the notes in your files.

Date: \_\_\_\_\_ Time: \_\_\_\_\_

Call made     Call received     Meeting

Location: \_\_\_\_\_

Broker's Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Broker's Firm: \_\_\_\_\_ Phone: \_\_\_\_\_

Broker's CRD No. \_\_\_\_\_ Obtained CRD Report\*

## 1. Investment Recommendation

Buy     Sell

Name of Security: \_\_\_\_\_

Reasons for Recommendations: \_\_\_\_\_

\_\_\_\_\_

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:

- prospectus
- offering memorandum
- most recent annual report
- most recent quarterly or interim report
- recent news releases
- research reports
- other information

### Proposed Trade

Number of shares: \_\_\_\_\_

Price per share: \_\_\_\_\_

Total cost: \_\_\_\_\_

Commission: \_\_\_\_\_

### My Instructions

Do nothing    Buy     Sell

Number: \_\_\_\_\_

Price: \$ \_\_\_\_\_

## 2. Additional Investment Recommendations on same date

Buy     Sell

Name of Security: \_\_\_\_\_

Reasons for Recommendations: \_\_\_\_\_

\_\_\_\_\_

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:

- prospectus
- offering memorandum
- most recent annual report
- most recent quarterly or interim report
- recent news releases
- research reports
- other information

### Proposed Trade

Number of shares: \_\_\_\_\_

Price per share: \_\_\_\_\_

Total cost: \_\_\_\_\_

Commission: \_\_\_\_\_

### My Instructions

Do nothing    Buy     Sell

Number: \_\_\_\_\_

Price: \$ \_\_\_\_\_

Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Notes made by: \_\_\_\_\_

Date: \_\_\_\_\_ Time: \_\_\_\_\_

**If you suspect any wrongdoing on the part of your adviser, broker or brokerage firm, please contact:**

**Illinois Securities Department**

**800-628-7937**

**[www.cyberdriveillinois.com](http://www.cyberdriveillinois.com)**

(\*Call your securities regulator to obtain the CRD Report, which discloses any disciplinary incidents on a salesperson.)