

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

Broker's Name: _____

Phone: _____

Broker's Firm: _____

Phone: _____

Broker's CRD No.: _____

Obtained CRD Report (Contact New Jersey Bureau of Securities at www.NJSecurities.gov or 1-866-I-Invest)

Investment Recommendation:

Name of Security: _____

Buy Sell

Reasons for recommendation?

How does this meet my investment objectives?

What are the risks?

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: \$ _____



