pennsylvania
DEPARTMENT OF BANKING AND SECURITIES

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.

In Pennsylvania: 1-800-600-0007 or 717-787-8062.
On the Internet: www.psc.state.pa.us

2 Additional Investment Recommendation on same date

❑ 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 $ _____

Notes

_____

_____

_____

_____

_____

_____

_____

Notes made by: Date: Time: