

When Your Broker Calls, Take Notes!

DATE: TIME: CALL MADE: CALL RECEIVED:
E-MAIL SENT: E-MAIL RECEIVED:
MEETING: LOCATION:
Name of Salesperson/Adviser:
Salesperson's/Adviser's Firm:
E-mail: Phone:



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 quarterly or interim reports

other info

most recent Annual Report

recent news releases

research reports prepared by the dealer/adviser

Proposed trade

Number of shares/units:

Price/Share: \$

Total cost: \$

Commission to dealer:

My Instructions

Do nothing Buy Sell Number: Price: \$

2. 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:

- | | | | |
|--|---|--|-------------------------------------|
| <input type="checkbox"/> a prospectus | <input type="checkbox"/> an offering memorandum | <input type="checkbox"/> most recent quarterly or interim reports | <input type="checkbox"/> other info |
| <input type="checkbox"/> most recent Annual Report | <input type="checkbox"/> recent news releases | <input type="checkbox"/> research reports prepared by the dealer/adviser | |

Proposed trade

Number of shares/units:

Price/Share: \$

Total cost: \$

Commission to dealer:

My Instructions

Do nothing Buy Sell Number: Price: \$

 **If you suspect wrongdoing, please contact your provincial or territorial securities regulator.**

Notes:

Notes made by:

Date:

Time: