

# When Your Broker Calls, Take Notes!



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

Call Made  Call received  Meeting Location \_\_\_\_\_

Name of Salesperson/Adviser \_\_\_\_\_ Phone \_\_\_\_\_

Salesperson's/Adviser's Firm \_\_\_\_\_

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 Annual Report
- most recent quarterly or interim reports
- recent news releases
- research reports prepared by the dealer/adviser
- other information

## Proposed trade

Number of shares/units \_\_\_\_\_

Price per 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? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### Notes

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Notes made by: \_\_\_\_\_ Date \_\_\_\_\_ Time \_\_\_\_\_

I asked to receive written information about the investment before making a decision.

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### Proposed trade

Number of shares/units \_\_\_\_\_

Price per share \$ \_\_\_\_\_ Total cost \$ \_\_\_\_\_

Commission to dealer \_\_\_\_\_

### My Instructions

Do nothing    Buy    Sell

Number \_\_\_\_\_ Price \$ \_\_\_\_\_

If you suspect wrong doing,  
please contact your provincial or  
territorial securities regulator