

When Your Broker Calls, Take Notes!

(If you don't know the broker, feel free to hang up!)

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.

| | |
|--|--|
| Date _____ | Time _____ |
| <input type="checkbox"/> Call made <input type="checkbox"/> Call received <input type="checkbox"/> Meeting | Location _____ |
| Name of Broker _____ | Phone _____ |
| Broker's Firm _____ | Phone _____ |
| Broker's CRD No. _____ | <input type="checkbox"/> Obtained CRD Report * |

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
- other information

Proposed Trade

Number of shares/units _____

Price Per Share \$ _____ Total Cost \$ _____

Commission _____

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.

If you suspect wrong doing, please contact the North Dakota Office of Securities Commissioner at 1-800-297-5124 or 701-328-2910 or by calling NASAA at 202-737-0900, or visiting www.nasaa.org on the Internet.

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

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? _____

Notes

Notes made by: _____ Date _____ Time _____

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 \$ _____