



# OFFICE OF SECRETARY OF STATE

*John R. Ashcroft*

## When A Broker Calls, Take Notes

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

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

Call Made       Call received

Name of Broker \_\_\_\_\_ Phone \_\_\_\_\_

Broker's Firm \_\_\_\_\_ Phone \_\_\_\_\_

Broker's Central Registration Depository "CRD" No. \_\_\_\_\_  Obtained CRD Report\*

### 1 Investment Recommendation

Buy       Sell

Name of security:

\*Call the Missouri Securities Division (800) 721-7996 to obtain a CRD report. This report discloses any disciplinary incidents for your salesperson.

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
- recent news releases
- research reports
- other information

How does this meet my investment objectives?

#### Proposed Trade

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

Price Per Share \$ \_\_\_\_\_

Commission \$ \_\_\_\_\_

What are the risks?

#### My instructions

- Do nothing       Buy       Sell

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

## 2 Additional Investment Recommendation on same date

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  
 recent news releases  
 research reports  
 other information

How does this meet my investment objectives?

### Proposed Trade

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

Price Per Share \$ \_\_\_\_\_

Commission \$ \_\_\_\_\_

What are the risks?

### My instructions

Do nothing                       Buy                       Sell

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

**Notes**

Notes made by: \_\_\_\_\_

Date: \_\_\_\_\_

Time: \_\_\_\_\_