

# While talking to my broker:

WORKSHEET

Date: \_\_\_\_\_ Time: \_\_\_\_\_  Call made  Call received  Meeting

Broker's name: \_\_\_\_\_ Broker's firm: \_\_\_\_\_

Phone number: \_\_\_\_\_ E-mail: \_\_\_\_\_

Investment recommendation: \_\_\_\_\_

\_\_\_\_\_

Buy  Sell Name of security: \_\_\_\_\_

**Reason for broker's recommendation:** \_\_\_\_\_

\_\_\_\_\_

→ *How does this investment meet my financial goals?* \_\_\_\_\_

\_\_\_\_\_

→ *What are the risks associated with this investment?* \_\_\_\_\_

\_\_\_\_\_

## Proposed trade:

Number of shares/units: \_\_\_\_\_ Price per share: \$ \_\_\_\_\_

Total cost: \$ \_\_\_\_\_ Agent's commission: \_\_\_\_\_

## My instructions:

Do nothing  Buy  Sell

Number of shares/units: \_\_\_\_\_ Price per share: \$ \_\_\_\_\_

**I asked for written information about the investment before I made a decision:**  Yes  No

## Before investing, I will receive a

Prospectus  Offering memorandum  Most recent annual report

Most recent quarterly report  Research report  Other info: \_\_\_\_\_

\_\_\_\_\_

# 10 Questions for unsolicited calls about investments WORKSHEET

**Knowledge is power.** The following checklist is designed as a quick reference to help investors ask the right questions before making an investment. Once your questions have been answered, contact your state securities regulator, or other appropriate state agency to verify the information.

**Remember:** The time to ask questions is **before you invest** your hard-earned money.

## Seller/agent information:

Date: \_\_\_\_\_ Seller/agent name: \_\_\_\_\_

Business name: \_\_\_\_\_ Address: \_\_\_\_\_

What are you offering? \_\_\_\_\_

**1. How did you get my name?** \_\_\_\_\_

**2. Is this investment guaranteed?**  Yes  No

### 3. What license(s) do you hold that authorizes you to sell this product or service?

Insurance License No: \_\_\_\_\_ Securities License CRD No: \_\_\_\_\_

Accountant License CPA No: \_\_\_\_\_ Real Estate DRE License No: \_\_\_\_\_

Other (explain): \_\_\_\_\_

**4. Is this investment registered?**  Montana State Auditor's Office  
 Securities & Exchange Commission  Other: \_\_\_\_\_

**5. Please send me copies of the company's financial statements.**  Yes  No

And a list of customers I can call: \_\_\_\_\_

### 6. Please list commissions and fees:

Commissions: \_\_\_\_\_

Fees: \_\_\_\_\_

**7. Please send me a prospectus or offering material:**  Yes  No

**8. Please tell me your phone number so I can call you:** \_\_\_\_\_

**9. Will you call my stockbroker/lawyer/banker with the same offer so I can ask for a second opinion?**  Yes  No

**10. How is my principal being used and will I have access to it?** \_\_\_\_\_