

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? _____