

# 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: \_\_\_\_\_