

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

\_\_\_\_\_

The Montana Commissioner of Securities & Insurance presents

**Securities and Insurance Fraud:  
How to Smell a Rat**

1-800-332-6148 • [www.csi.mt.gov](http://www.csi.mt.gov)

MONTANA COMMISSIONER  
OF SECURITIES & INSURANCE

