

**Connecticut Department of Banking
Securities and Business Investments Division**
(860) 240-8230 / 1-800-831-7225

When Your Broker Calls, Take Notes!

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

Date:	Time:	<input type="checkbox"/> Call made	<input type="checkbox"/> Call received	<input type="checkbox"/> Meeting
Name of Broker:			Phone:	
Broker's Firm:				

Investment Recommendation

Buy Sell

<p>Name of Security</p> <hr/> <p>Reasons for recommendation</p> <hr/> <p>How does this meet my investment goals?</p> <hr/> <p>What are the risks associated with the security?</p> <hr/>	<p>I asked to receive written information about the investment before making a decision.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Before investing, I will get:</p> <ul style="list-style-type: none"><input type="checkbox"/> a prospectus<input type="checkbox"/> an offering memorandum<input type="checkbox"/> most recent Annual Report<input type="checkbox"/> most recent quarterly report<input type="checkbox"/> research reports<input type="checkbox"/> other information
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Proposed Trade

Number of shares/units:

Price Per Share \$ Total Cost \$

Broker's Commission

My Instructions

Do nothing Buy Sell

Number Price: \$
