



OFFICE OF SECRETARY OF STATE

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When A Broker Calls, Take Notes

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

Date _____ Time _____

Call Made Call received

Name of Broker _____ Phone _____

Broker's Firm _____ Phone _____

Broker's Central Registration Depository "CRD" No. _____ Obtained CRD Report*

1 Investment Recommendation

Buy Sell

Name of security:

*Call the Missouri Securities Division (800) 721-7996 to obtain a CRD report. This report discloses any disciplinary incidents for your salesperson.

I asked to receive written information about the investment before making a decision.

- Yes
- No

Reasons for recommendation:

I will get:

- a prospectus
- an offering memorandum
- most recent Annual Report
- recent news releases
- research reports
- other information

How does this meet my investment objectives?

Proposed Trade

Number of shares/units _____
Price Per Share \$ _____
Commission \$ _____

What are the risks?

My instructions

- Do nothing Buy Sell

Number _____ Price \$ _____

2 Additional Investment Recommendation on same date

Buy Sell

Name of security:

I asked to receive written information about the investment before making a decision.

Yes

No

Reasons for recommendation:

I will get:

a prospectus

an offering memorandum

most recent Annual Report

recent news releases

research reports

other information

How does this meet my investment objectives?

Proposed Trade

Number of shares/units _____

Price Per Share \$ _____

Commission \$ _____

What are the risks?

My instructions

Do nothing

Buy

Sell

Number _____

Price \$ _____

Notes

Notes made by: _____

Date: _____

Time: _____