

## ***Worksheet for Talking with Your Broker***

When talking to your broker, it is a good idea to take notes. Keep a record of what your broker says and recommends. That way, if there is a problem later on, you will have a record of what was said.

Name of Broker: \_\_\_\_\_

Company: \_\_\_\_\_

Company Location: \_\_\_\_\_

Date: \_\_\_\_\_ Time: \_\_\_\_\_

Phone call \_\_\_\_\_ Meeting \_\_\_\_\_ Location: \_\_\_\_\_

Recommended that I buy: \_\_\_\_\_ sell \_\_\_\_\_

Name of security: \_\_\_\_\_

How does this recommendation meet my investment objectives?

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What are the specific risks if I buy this investment?

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I asked to receive written information about this investment before making a decision:

\_\_\_\_\_ yes \_\_\_\_\_ no

I asked for:

- \_\_\_ a prospectus
- \_\_\_ most recent annual report (10K)
- \_\_\_ most recent quarterly report (10Q)
- \_\_\_ any other recent report (8K)
- \_\_\_ any other available written material
- \_\_\_ other \_\_\_\_\_

After looking at the written material, I decided to:

- do nothing
- buy
- sell

how much? \_\_\_\_\_  
at what price? \_\_\_\_\_

The total cost of this transaction will be: \_\_\_\_\_

Other Notes:  
Date:

Material provided by Michael P. Griffin.