

## TAKE NOTES WHEN TALKING TO YOUR REPRESENTATIVE

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

Call made  Call received  Meeting Location: \_\_\_\_\_

Name of Representative: \_\_\_\_\_ Telephone: \_\_\_\_\_

Representative's Firm: \_\_\_\_\_

Is the Representative registered with the AMF?  Yes  No



Make copies of this form for use when talking to your Representative. Take notes of details regarding recommendations received and instructions given and keep these notes in your files. **Always make sure your Representative is registered with the AMF.**

### 1 – INVESTMENT RECOMMENDATION

Buy  Sell

Type of investment

\_\_\_\_\_

Reasons for recommendation

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

How does this meet my investment objectives?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What are the risks?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

Yes  No

**I will receive**

<input type="checkbox"/>	a prospectus	<input type="checkbox"/>
<input type="checkbox"/>	an offering memorandum	<input type="checkbox"/>
<input type="checkbox"/>	most recent Annual Report	<input type="checkbox"/>
<input type="checkbox"/>	most recent financial statements	<input type="checkbox"/>
<input type="checkbox"/>	research reports gathered by Representative	<input type="checkbox"/>
<input type="checkbox"/>	other information	<input type="checkbox"/>

**I received**

#### PROPOSED TRADE

Number of shares/units: \_\_\_\_\_

Price per share/unit: \$ \_\_\_\_\_ Total cost: \$ \_\_\_\_\_

Commission to dealer: \$ \_\_\_\_\_

#### MY INSTRUCTIONS

No action taken  Buy  Sell

Number of shares/units: \_\_\_\_\_

Price per share/unit: \$ \_\_\_\_\_ Total cost: \$ \_\_\_\_\_

Commission to dealer: \$ \_\_\_\_\_

## 2 – INVESTMENT RECOMMENDATION

Buy       Sell

Type of investment:

\_\_\_\_\_

Reasons for recommendation

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

How does this meet my investment objectives?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What are the risks?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### NOTES

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Prepared by: \_\_\_\_\_ Date \_\_\_\_\_ Time \_\_\_\_\_

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

Yes       No

### I will receive

- |                          |   |                          |
|--------------------------|---|--------------------------|
| <input type="checkbox"/> | a prospectus                                | <input type="checkbox"/> |
| <input type="checkbox"/> | an offering memorandum                      | <input type="checkbox"/> |
| <input type="checkbox"/> | most recent Annual Report                   | <input type="checkbox"/> |
| <input type="checkbox"/> | most recent financial statements            | <input type="checkbox"/> |
| <input type="checkbox"/> | research reports gathered by Representative | <input type="checkbox"/> |
| <input type="checkbox"/> | other information                           | <input type="checkbox"/> |

### I received

### PROPOSED TRADE

Number of shares/units: \_\_\_\_\_

Price per share/unit: \$ \_\_\_\_\_ Total cost: \$ \_\_\_\_\_

Commission to dealer: \$ \_\_\_\_\_

### MY INSTRUCTIONS

No action taken       Buy       Sell

Number of shares/units: \_\_\_\_\_

Price per share/unit: \$ \_\_\_\_\_ Total cost: \$ \_\_\_\_\_

Commission to dealer: \$ \_\_\_\_\_

In the event of suspicious conduct, please contact the *Autorité des marchés financiers* (AMF).