

Breakpoint Worksheet

Account Name: _____

SSN/TIN/BIN: _____

Today's Date: _____

Broker's Name: _____

1. Total holdings of customer at firm

TIN/BIN on Accounts	Holdings in Account (Current value (NAV) or historical cost)	Total
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	\$ _____

2. Total holdings of customer outside firm

Customer declined to provide Customer provided (record below)

TIN/BIN on Accounts	Account Type	Holdings in Account (Current value (NAV) or historical cost)	Total
_____	_____	\$ _____	
_____	_____	\$ _____	
_____	_____	\$ _____	\$ _____

3. Total holdings of related parties:

Customer declined to provide Customer provided (record below)

TIN/BIN on Accounts	Name/Relationship	Holdings in Account (Current value (NAV) or historical cost)	Total
_____	_____	\$ _____	
_____	_____	\$ _____	
_____	_____	\$ _____	\$ _____

4. Today's purchase amount \$ _____

5. Total holdings \$ _____

6. Does the total qualify for a breakpoint discount? Yes No

a. What breakpoint discount applies? _____%

7. Is there a letter of intent on file that would entitle the customer to a further breakpoint? Yes No

a. If customer has letter of intent, is it retroactive? Yes No

i. If yes, record the current value or historical costs of eligible prior purchases. \$ _____

ii. What breakpoint discount available based upon the letter of intent? _____%

8. If there is not a letter of intent, should customer sign one? Yes No

9. Record the highest breakpoint discount available to the customer. _____%