

Breakpoints Worksheet

November 2003

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 is 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.**

_____%

Use of this worksheet does not constitute a "safe harbor" with respect to a member firm's continuing obligation to comply with applicable rules and regulations.