

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 Costs	Total
	\$	
	\$	
	\$	\$0.00

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 Costs	
		\$	
		\$	
		\$	\$0.00

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 Costs	
		\$	
		\$	
		\$	\$0.00

4. Today's purchase amount

5. Total holdings \$0.00

6. Does the total qualify for a breakpoint discount?

a. What breakpoint discount applies? _____%

7. Is there a letter of intent on file that would entitle the customer to a further breakpoint?

a. If customer has letter of intent, is it retroactive?

i. If yes, record the current value or historical cost of eligible prior purchases.

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

8. If there is not a letter of intent on file, should customer sign one?

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. Since changes to this Excel spreadsheet may result in changes to the calculations herein, member firms are cautioned to ensure that calculations are accurate before applying breakpoint discounts.