



**Mutual Fund Breakpoint Letter**

**Letter of Acknowledgment Regarding Mutual Fund Purchases in Class A-Shares**

I plan to invest money through NAI in Class A-Shares of mutual funds in (check one or both):

- More than one mutual fund "family" (management group)**
- In an amount within 10% of the next "breakpoint"**

for the following reason(s): \_\_\_\_\_  
\_\_\_\_\_

The planned purchases are listed below:

<b>Mutual Fund – Full Name and Share Class</b>	<b>Dollar Amount</b>
_____	_____
_____	_____
_____	_____
<b>Total:</b>	_____

My NAI representative, \_\_\_\_\_, has informed me of the availability of Volume Discounts on Purchases (breakpoints) of mutual funds.

Specifically, I have been informed that share acquisition costs are lowered when single purchases of certain amounts are made within a mutual fund family, or when total purchases in one family of funds reach certain amounts, or are completed within a 13-month period under Letters of Intent (sometimes called Letters of Discount). A mutual fund expense analyzer is available through the Financial Industry Regulatory Authority (FINRA) at [www.finra.org](http://www.finra.org).

I acknowledge that if my above investments had been made in only one fund family, or if some purchases had been made under a 13-month Letter of Intent, or if I increased my purchase amount to meet the next breakpoint, the initial cost of the above mutual fund purchases would have been reduced. The sales charges I will pay based on the above planned purchases will be \_\_\_\_\_%, as compared to \_\_\_\_\_% if I were to take advantage of available breakpoint(s).

**Client(s) Name(s):** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Client(s) Signature(s):** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Representative Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_