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TD Ameritrade Enhances Designated Brokerage Services to Help Financial and Professional Services Firms Better Monitor Their Employees' Personal Trading Accounts

Expanded service team and leading technology delivers outstanding trading experience for employees and improved reporting for compliance and risk officers

(OMAHA, Neb.) Oct. 10, 2011 – Regulated financial and professional services firms tasked with monitoring the personal trading activity of their employees face increasing compliance and resource demands as a result of heightened regulatory scrutiny. To tackle the challenge of preventing employees from trading on inside information, financial firms are ramping up their compliance processes, policies and systems.

In response, TD Ameritrade, Inc., a broker dealer subsidiary of TD Ameritrade Holding Corporation (NASDAQ: AMTD), is expanding its Designated Brokerage service team and capabilities to meet the unique compliance reporting needs of financial firms and deliver a premier trading experience for their employees.

“With an expanded service model and automated employee trading surveillance, TD Ameritrade can help financial firms maximize the effectiveness and the efficiency of their compliance process, while reducing their costs and resources,” said Erin Esparza, managing director of workplace solutions, TD Ameritrade. “TD Ameritrade is committed to providing compliance professionals with industry best practices and access to a knowledgeable and tenured service team that understands the complexities of mitigating risk, the importance of streamlining reporting and providing employees with an exceptional trading experience.”

Expanded Designated Brokerage sales and service teams include:

- **Strategic Account Managers**
Tenured and experienced, these professionals work with firms to provide assistance with industry best practices that can help manage risk and create an outstanding experience for employees.
- **Relationship Managers**
These specialists focus on a firm’s day-to-day service needs. With extensive financial, compliance, and regulatory experience, they employ a consultative approach to help firms meet challenges and capture opportunities.
- **Operations Service Team**
From implementation and platform configuration to rapid support and optimization strategies, a dedicated Operations Service Team is informed, engaged and available to focus on the unique needs of individual firms.

Employees of financial firms working with Designated Brokerage have access to TD Ameritrade’s [award-winning trading experience](#) and a broad selection of investment products to help them pursue their financial goals. Employees can also benefit from customized offers and access to a network of dedicated service professionals and investment consultants.

“Financial professionals with complex investment management needs require a high level of service, flexible investment alternatives and the outstanding trading experience that TD Ameritrade can provide,” said Dennis Klees, national sales director, Designated Brokerage, TD Ameritrade. “TD Ameritrade’s consultative approach supports the specific needs of both the compliance department and firm employees.”

Employee benefits and resources include:

- **Flexible investment choices**
With a wide range of products, account types and service offerings, TD Ameritrade is prepared to serve the needs of employees, from guidance driven long-term investors to independently-minded active traders.
- **Powerful and accessible trading platforms**
TD Ameritrade’s advanced platforms, mobile access and distinctive combination of technologies and tenured service teams provide an exceptional trading experience for employees.
- **Multipoint access to investment guidance and service**
From a dedicated client onboarding team to knowledgeable investment consultants and account support, service teams are available online, on the phone and in person at over 100 TD Ameritrade branches nationwide.
- **Unique offers and discounts**
Employees can benefit from exclusive offers and discounts customized to each firm and to its employees’ unique investing, trading and education needs.

In addition to expanding service support, TD Ameritrade offers powerful technology and tools to accommodate today’s most complex compliance reporting requirements. TD Ameritrade’s next generation account reporting platform is designed to assist compliance and risk officers in becoming more effective and efficient in the face of escalating demands. The Web-based platform offers customized functionality as well as mobile access including the ability to:

- **Access accounts with ease.** View consolidated or individual trade histories, real-time transactions, and monthly statements.
- **Set up alerts to simplify monitoring.** Keep close track of activities, including new account notifications, transfers and trades.
- **Build custom data pulls.** Search or sort using criteria such as account number, ticker symbol, timeline and more.
- **Customize download features.** Choose the location, select the files needed (including historical files) and schedule file downloads.
- **Leverage TD Ameritrade’s standard file sets.** Quickly access information, including account holder, positions, activity files and security master files.
- **Choose delivery options that fit the needs of the firm.** Select from single or bulk data and choose how to review: online, from PGP-encrypted files downloaded to an SFTP server, or through files exported to third-party compliance software.
- **Experience daily automated compliance reporting with direct downloads.** Begin each morning with the previous trading day’s activities in hand. Reduce the time spent on manual statement review, and eliminate the task of comparing trades against lists.

- **Take advantage of special tools for accounting or auditing firms.** Get information on positions, details on when transactions take place and divestment alerts.

Technology Demonstrations

For a demonstration of our monitoring and reporting capabilities, please visit the TD Ameritrade Designated Brokerage **booth #37** at the **National Society of Compliance Professionals (NSCP) national conference in Baltimore, Maryland on Oct. 17-19, 2011.**

For Media

To schedule interviews with Designated Brokerage Services representatives, Erin Esparza or Dennis Klees please contact Kristin Petrick, (402) 574.6569, kristin.petrick@tdameritrade.com or Melissa Rosenbaum, (303) 294.5401, melissa.rosenbaum@tdameritrade.com.

For more information about TD Ameritrade's Designated Brokerage Services, call 888-376-4682, email dbcorporateservices@tdameritrade.com or visit <http://www.tdacorporateservices.com/designated-brokerage-services/>.

About TD Ameritrade Holding Corporation

Millions of investors and independent registered investment advisors (RIAs) have turned to TD Ameritrade's (NASDAQ: AMTD) [technology](#), [people](#) and [education](#) to help make investing and trading easier to understand and do. Online or over the phone. In a branch or with an independent RIA. First-timer or sophisticated trader. Our clients want to take control, and we help them decide how - bringing Wall Street to Main Street for more than 36 years. An [official sponsor of the 2012 U.S. Olympic Team](#), TD Ameritrade has time and again been [recognized as a leader](#) in investment services. Please visit the TD Ameritrade's [newsroom](#) or www.amtd.com for more information.

Brokerage services provided by TD Ameritrade, Inc., member FINRA (www.FINRA.org) /SIPC (www.SIPC.org) /NFA (www.nfa.futures.org)

TD Ameritrade, Inc., was evaluated against 23 others in the 2011 Barron's Online-Broker review, March 14, 2011, and was named "Best for Options Traders", and one of the "Best for Long-Term Investing" (sharing the highest score with one other broker). TD Ameritrade earned the highest score in the categories of "Research Amenities" and "Portfolio Analysis and Reports", and shared the highest score with one other broker in "Trade Experience" and "Range of Offerings". Barron's is a trademark of Dow Jones & Co., L.P. All rights reserved.

TD Ameritrade, Inc., was ranked #1 and received an overall score of 5 stars (tied for first place with one other broker), in the Kiplinger's Online Broker Ratings, Kiplinger's Personal Finance, 02/2011. Fourteen brokers were rated in the categories: Costs, Web site usability, Investment choices, Customer service, and research and tools.

TD Ameritrade, Inc., is separate from and not affiliated with the National Society of Compliance Professionals.

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