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TD Ameritrade And You

Providing your financial advisor with solutions and resources to help you achieve financial success.

 **Ameritrade**
Institutional



Our mission is to support the relationship between you and your advisor by providing security of your assets and the best service, technology and products available.

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Value and Commitment

Our reputation inspires confidence throughout the financial industry.

One of the most compelling reasons your advisor chose TD Ameritrade Institutional as their preferred custodian is that we offer you and your advisor truly exceptional value.

This, along with our cutting-edge technology platform and world-class service, has earned us over 100 independent Registered Investment Advisors (RIAs) who choose TD Ameritrade.

Discover why your financial advisor selected TD Ameritrade Institutional to custody your assets:

- Proven resources
- Asset Security
- Broad Investment Choice

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Powerful Resources

Something extraordinary happens when you have the resources you need to be successful.

Your financial advisor works hard to ensure that you are achieving your financial goals. We work hard to ensure that your financial advisor has every resource they need to efficiently run their business and manage your accounts. To do so, they need robust technology solutions and access to industry-leading research — that's where we come in.

We are committed to supporting your relationship with your advisor by providing:

- Innovative technology
- Outstanding client service
- Seamless account integration
- Breadth of products and solutions

Asset Security

For many clients this is, without cost, the #1 priority.

With TD Ameritrade, you'll trade with one of the world's largest discount brokerage firms with 1,000+ branches nationwide. With that comes a commitment to both excellent client service and account information protection. While no security system is completely impenetrable, TD Ameritrade has made substantial investments in leading-edge security software, systems, and procedures — and is constantly reviewing, refining, and upgrading its infrastructure.

TD Ameritrade is a member of the Securities Investor Protection Corporation (SIPC). Securities in your account are protected up to \$500,000. For details, please visit sipc.org.

TD Ameritrade also provides \$149.5 million worth of protection for each client through supplemental coverage provided by London insurers. The \$149.5 million of coverage includes a sub-limit of \$900,000 on cash. Each client is limited to a combined return of \$150 million from SIPC or London insurers. The TD Ameritrade supplemental insurance policy has an aggregate limit of \$500 million for claims from all TD Ameritrade clients. This supplemental insurance provides coverage following brokerage insolvency and does not protect against loss in market value of the securities.

In addition, we'll always keep you informed. You'll receive a clear, concise statement every month that summarizes all of your portfolio positions — stocks, bonds, mutual funds, and cash — including all balances, dividends, and transactions. A duplicate monthly statement is also sent to your advisor.

Broad Investment Choice

Bringing you the value of true security.

Many of the investment products we provide are selected so that your advisor's investment recommendations are not influenced by conflicting incentives. Our investment offerings include:

- Equities — foreign and domestic stocks and initial public offerings
- Fixed-income instruments — a wide variety of bonds, money market funds, structured investments, and fixed-rate capital securities
- Mutual funds — over 15,000 mutual funds to choose from
- Education, retirement, and estate planning

In addition, we offer your advisor access to leading research including Standard & Poor's, Argus, Vickers, Ford, and more.

*Investors should note that small-cap stocks and newly issued securities are subject to greater volatility and market risk than securities of larger and well-established companies. International securities are subject to additional risks, such as currency fluctuations, political instability, and potentially illiquid markets.

**Investments in fixed-income products are subject to liquidity (or market) risk, interest rate risk (bonds ordinarily decline in price when interest rates rise and rise in price when interest rates fall), financial (or credit) risk, inflation (or purchasing power) risk, and special tax liabilities.

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TD Ameritrade Institutional

Commitment. Strength. Service.

Without the distraction of competing business interests, our goal is simple: to empower your advisor however they want so that they can do what is right for you. We use the RIA model and we provide access to more proprietary investment products, which is an important part of helping your advisor uphold their fiduciary responsibility – the legal obligation we all have to always put your interests first.

TD Ameritrade Institutional and your advisor are both fully committed to protecting and growing your assets.

Connect with your advisor, or visit tdainstitutional.com.



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Non-deposit investment products NOT FDIC-INSURED/NO BANK GUARANTEE/MAY LOSE VALUE.

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