

# Who we are by the numbers

## TD Ameritrade Holding Corporation

### FY2020 3rd quarter highlights

**\$107B**

NET NEW  
CLIENT ASSETS

**\$1.461T**

ASSETS

**2.17M**

DAILY AVERAGE  
REVENUE TRADES  
(DARTS)

**10,000**

EMPLOYEES

### Credit ratings

**Moody's**

**A2**

**S&P**

**A**

### Committed to diversity and inclusion

Human Rights Campaign Foundation's  
Corporate Equality Index (2016–2020)

**100%**



### Our history

- 1975** • First Omaha Securities, Inc. is formed.
- 1983** • Ameritrade Clearing, Inc. is established, providing correspondent clearing services for broker-dealers and Registered Investment Advisors.
- 1988** • The company is the first to offer automated trades via touch-tone phone.
- 1995** • The company acquires K. Aufhauser & Co, the first credited with offering online trading in 1994.
- 1998** • The company acquires Jack White & Company, one of the nation's leading discount brokerages.
- 1999** • Ameritrade is the first to offer trading via mobile device, with the SprintPCS® Wireless Web.
- 2001** • Ameritrade acquires National Discount Brokers Corporation, kicking off a decade of industry consolidation.
- 2002** • Ameritrade merges with Datek Online Holdings to become the largest brokerage firm in average trades per day.
- 2003** • Ameritrade offers the industry's first trade execution guarantee of 10 seconds.
- 2006** • Ameritrade acquires TD Waterhouse USA from TD Bank Financial Group and becomes TD Ameritrade.
- 2009** • TD Ameritrade acquires thinkorswim Group Inc.
- 2017** • TD Ameritrade acquires Scottrade.

## Who we are and where we've been

In 1975, the SEC allowed brokers to choose how much they charged to place a trade. Many established firms held fast to their old, exclusive ways, while new start-ups, like TD Ameritrade, opted for something different. We lowered costs and removed a key barrier to entry for advisors and millions of American investors—unlocking Wall Street to Main Street. Since then, doing something different has been the core of what we aim to do.

Today, TD Ameritrade provides custodial services to more than 7,000 independent Registered Investment Advisors and investing services and education to more than 13 million client accounts with approximately \$1.5 trillion in assets. We execute approximately 2 million daily average revenue trades for our clients and are on a mission to leverage our size, scale, and the very best of who we are, to make investing simpler and more personal than ever before.

## TD Ameritrade Institutional

### Customer Satisfaction Index

The Customer Satisfaction Index (CSI) measures how happy our clients are with our overall performance.

TD AMERITRADE  
INSTITUTIONAL  
FY20 Q3 CSI

94%\*

### Award-winning products and people

#### Model Market Center™— Best model marketplace

WealthManagement.com  
2018 Industry Awards

#### iRebal®—Best rebalancing technology

WealthManagement.com  
2017 Industry Awards

#### Advisors Private Wealth Trust— Best trust platform

WealthManagement.com  
2016 Industry Awards

#### ThinkAdvisor's 2019 IA25— Custody & Clearing

Tom Nally, President,  
TD Ameritrade Institutional

Skip Schweiss, Managing Director,  
Retirement Plan Solutions & Advisor  
Advocacy, TD Ameritrade Institutional

Learn more today.  
Call: 800-934-6124  
Visit: [tdainstitutional.com](https://tdainstitutional.com)



\*Source: Internal customer satisfaction scores provided by third-party-led surveys. Quarterly scores are based on actual responses received in a given quarter and asset-weighted based on customer segments.

Customer Satisfaction Index based on 11-point scale from 0 to 10. Top 3 Box = 8+9+10 rating points.

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