



# ASSETS MOVED : BILLIONS ANXIETIES : ZERO

THE TD AMERITRADE ACCOUNT TRANSFER TEAM  
Specialists in transitioning your business

**TD** **AMERITRADE**  
Institutional



# YOU'RE MOVING FOR ALL THE RIGHT REASONS THIS IS ONE OF THEM

**Getting you from there to here is no small undertaking.**

But it happens to be our specialty. At TD AMERITRADE, our Account Transfer Team is dedicated to making your move as painless – and as seamless – as possible.

# WE'RE WITH YOU EVERY STEP OF THE WAY

Your Account Transfer Team is your personal liaison in making the transfer of assets to TD AMERITRADE quick and seamless. Each advisor firm is assigned a dedicated project manager who will handle all the logistics of new accounts – from initial paperwork at the front-end to checking positions at the back-end.



Was I worried going into the process? Yeah, absolutely.  
But I think that TD AMERITRADE did a phenomenally good job.  
I can't imagine why anyone would not want to go with them.\*

– JULIAN RUBINSTEIN  
AMERICAN ASSET MANAGEMENT  
Assets Under Management: \$93 Million

### **Your Account Transfer Team will:**

- **Manage the transfer of accounts** from the current custodian/broker-dealer to TD AMERITRADE
- **Interview you** to determine what features are needed for each client account
- **Compile all the paperwork** necessary to facilitate the transfer of client assets to TD AMERITRADE
- **Work with the TD AMERITRADE back office** to expedite the transfer process and follow up on client assets from start to finish

\* Testimonials provided by independent investment advisors who custody client assets at TD AMERITRADE.  
TD AMERITRADE may have reimbursed advisors for some or all expenses in connection with furnishing testimonials.

# YOUR ACCOUNT TRANSFER TEAM MOVES BILLIONS OF ASSETS IN SIX SIMPLE STEPS

## Step 1 – **Creating the plan to transfer assets**

This is the first step of working with the Account Transfer Team. It should be an exciting moment for any advisor on their way to doing great things.

At this stage the Account Transfer Team contacts the advisor to explain the steps in the process, establish timelines, gather the pertinent information, and identify concerns. A dedicated project manager is assigned to manage the entire process and the relationship. The team then develops a unique “Advisor Profile” that outlines which documents will need to be completed for the advisor.

Typical time to complete Step 1: 1-2 business days



We gave the Account Transfer Team a spreadsheet with all of the information and they did all of the work. They were extremely efficient and a pleasure to work with.

– JOHN RITTER  
RITTER DANIHER FINANCIAL ADVISORY  
Assets Under Management: \$39 Million

## Step 2 – Gathering and organizing the account information

Go ahead! Send all of your clients' account information from the previous custodian/broker-dealer to the Account Transfer Team. They will organize all of the documents including statements and account information. They will coordinate with the operations area to facilitate all of the necessary steps to move your clients' accounts over.

While the Account Transfer Team is “working behind the scenes” to ensure that this all happens smoothly, you can continue to service your clients. You won't have to experience the hassle of being bothered with the transfer process and neither will your clients.

Typical time to complete Step 2: 8-10 business days

**The Transfer Team was very helpful with everything.**  
If they didn't have the answer, they had people who specialized in that area.

– SAM O'BRIEN  
CAPITAL VIEW WEALTH MANAGEMENT  
Assets Under Management: \$71 Million



## Step 3 – Completing the paperwork

In this step, the Account Transfer Team completes all designated documents and organizes them by household. Sample documents that the Account Transfer Team will complete for you:

- New Account Application
- Cash Management Application (if applicable)
- Margin Agreement/Loan Consent (if applicable)
- Options Agreement (if applicable)
- Money Transfer Plan Application (if applicable)
- Transfer on Death Form (if applicable)
- All Other Required Documents

Typical time to complete Step 3: 10 business days

## Step 4 – Obtaining client signatures

Once the Account Transfer Team has completed the paperwork, you will receive all necessary documents to transfer all of your clients' accounts. Then, you have two choices:

1. Meet with your clients and have them sign the forms.
2. Have the Account Transfer Team mail the documents directly to your clients for their signature. Have the paperwork returned to you or to us directly – it's your choice.

Typical time to complete Step 4: 1 month\*

\*This varies from advisor to advisor

## Step 5 – Transferring the assets

Paperwork is received, scanned, reviewed, and processed.

Your client's assets will then be transferred to TD AMERITRADE according to the following schedule:

- Day 1-2** Account is opened and the transfer instructions are forwarded to NISC (National Investor Services Corporation)\*
- Day 3** NISC enters the request on the ACAT (Automated Customer Account Transfer) system
- Days 4-6** The delivering firm has 3 days to approve the transfer
- Day 7** NISC has 1 day to approve the transfer
- Days 8-9** The electronic delivery of the assets is prepared
- Day 10** The assets hit the account

Typical time to complete step 5: 10 business days

\*TD AMERITRADE utilizes the clearing services of its affiliate, National Investor Services Corp. (NISC). NISC clears and settles monies and securities for TD AMERITRADE and other brokerage firms throughout the U.S. Clearing your transactions through our own affiliate allows us to maintain the TD AMERITRADE service standard and gives us complete control of the services we offer.



The overall client service was excellent,  
and our Account Transfer Team was great.

– KIM DALE  
CANTERBURY FINANCIAL GROUP  
Assets Under Management: \$37 Million

## Step 6 – Transfer completed

Once all of the assets have been transferred to TD AMERITRADE you will be transitioned to your Regional Service Team. The Account Transfer Team coordinates with your Regional Service Team to ensure that they know all of the details about your business. With your Regional Service Team you will enjoy the same great service on every interaction. We are dedicated to the success of you and your clients.

Typical time to complete entire transfer process:  
Generally 90% of an advisor's accounts transfer within 2-3 months.



J. THOMAS BRADLEY, JR  
PRESIDENT, TD AMERITRADE INSTITUTIONAL

# WELCOME TO TD AMERITRADE

**Your Account Transfer Team is fully committed to your success.**

Once the transfer is complete, you will continue to enjoy outstanding, personalized client service at every point of contact with TD AMERITRADE. With a consistent dedication to making the personal touch a daily reality, every TD AMERITRADE professional is fully committed to the individual success of over 4,000 fee-based independent financial advisors who work with us – including you.



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