



TD Ameritrade Institutional Expands Practice Management Tools and Teams as Advisors Set a Goal to Grow in 2012

Latest Advisor Sentiment Survey Shows a Focus on Business Growth and Profitability, Overcoming Office Inefficiencies and Staff Issues

JERSEY CITY, N.J.--(BUSINESS WIRE)-- Independent registered investment advisors (RIAs) have access to a series of new technology assessment tools, educational content and coaching programs as [TD Ameritrade Institutional](#)¹ expands its practice management programs in 2012. The new practice management offering builds on the success of TD Ameritrade Institutional's Roadmap^{TM2} business consulting program, which has proven to help advisors reach new levels of business growth and productivity.

"Advisors on the TD Ameritrade Institutional platform who participated in the Roadmap program over a 12 month period experienced nearly double the growth rate (17 percent) of non-Roadmap users (9 percent),³" said George Tamer, director of strategic relationships, TD Ameritrade Institutional. "These compelling results are achieved by translating high-level business goals, such as improving client satisfaction, into definable and executable tasks. By sharpening the goal-setting process and focusing on executing a few tasks at a time, we've seen advisors experience significant progress."

According to the latest TD Ameritrade Institutional [RIA Sentiment Survey](#), two-thirds of RIAs say their top goal in 2012 is to grow their firms by adding clients and increasing revenue. The survey reveals RIAs are also focused on improving profitability (41 percent), client satisfaction (41 percent) and productivity (19 percent) in the New Year. Inefficiencies in business operations and procedures (29 percent) and personnel issues (29 percent) top the list of hurdles RIAs want to overcome over the next year, followed by poor time management (25 percent) and technology issues (19 percent). In an effort to meet these top business challenges, more than half of RIAs say they will look to upgrade technology (52 percent), followed by providing training for staff (49 percent) and outsourcing (33 percent), wherever possible.

"For advisors focused on growth and profitability, choosing the right technology may be critical to pursuing their goals," said Richard Whitworth, senior manager, practice management, TD Ameritrade Institutional. "The technology infrastructure advisors use to run their businesses can be the key to maximizing office productivity, but unrealized efficiencies can cost the advisor and staff valuable time and money."

Maximizing Technology Investments and Integrations

To help advisors maximize their technology investments, TD Ameritrade Institutional offers a series of technology assessment tools designed to save advisors time and simplify the software selection process. TD Ameritrade Institutional is also launching a new tool to help advisors analyze the different technology vendors integrated with Veo, TD Ameritrade Institutional's advisor trading platform.

- **Customer Relationship Management (CRM), Financial Planning and Document Management Software Assessment Tools**

TD Ameritrade Institutional's series of software assessment tools are based on research findings in the FPA-ActiFi Adviser Technology Report⁴, a study sponsored by TD Ameritrade Institutional and conducted by the Financial Planning Association and ActiFi, a practice management software and solutions firm. Advisors take a 20-question survey about their needs, previous experiences with technology, and preferences and then receive customized recommendations, complete with vendor comparisons and reviews. The tools take into consideration the hundreds of features, functionality and capabilities available across 16 CRM, 10 financial planning and nine document management technology providers.

- **Technology Integration Analyzer**

Veo's open access capabilities allow multiple third-party technology providers to integrate with TD Ameritrade Institutional's advisor platform. The Integration Analyzer tool evaluates these third-party vendors and different integration scenarios to assist advisors in selecting the technology solution for their back office. The tool provides advisors with a better understanding of the level of integration that can be achieved between their current technology and those applications they may consider for purchase. The deeper the integration, the more efficiency an advisor may gain.

Capitalizing on Trends in the Wealth Management Industry

Since 2005, the RIA channel has seen total asset growth of 45 percent, while wirehouses saw only a six percent increase⁵. As RIAs look to capitalize on the investor trend toward independent advice, TD Ameritrade Institutional offers a wide range of resources, including new whitepapers, advisor education opportunities and individual coaching programs to help them build

their brands and businesses.

- **Advisor Education**

TD Ameritrade Advisor Education is a comprehensive and customizable learning management system and knowledge center offering RIAs access to professional development resources, tools and content all in one convenient place. The online education platform is designed to help advisors enhance their expertise and develop the skills and talents of key employees. The learning management system allows advisors and their employees to access educational tracks in the areas of Investment and Planning Strategies, Practice Management, Technology and Operations.

- **Equity Management Program**

In an effort to help advisors build value and protect the legacy of their firms, TD Ameritrade Institutional has teamed with FP Transitions, a firm specializing in valuation and succession planning services for the financial services industry. Through the TD Ameritrade Equity Management Program, qualified advisors can receive access to comprehensive succession planning and continuity planning resources, as well as a customized firm valuation.

- **Guide to Building a Brand**

TD Ameritrade Institutional introduces a new whitepaper to help advisors build a strong brand. *Branding the Boutique Advisory Firm* offers insights on successful branding strategies and a step-by-step approach to developing a brand.

- **Coaching Programs**

Providing advisors with self-service practice management tools and resources is just part of the comprehensive offering TD Ameritrade Institutional has developed to help advisors capitalize on opportunities. New individual coaching programs have the potential to take practice management support to the next level. Qualified advisors receive one-on-one coaching and customized plans focused on business growth opportunities, including implementation timelines and accountability metrics.

- **Associate Practice Management Training Program**

TD Ameritrade Institutional will further deepen its bench of practice management resources as it looks to create a coaching culture across the business. It has developed an Associate Training & Certification program to involve all levels of the organization in helping advisors identify potential growth and efficiency opportunities, as well as leverage TD Ameritrade Institutional practice management resources to help them pursue their goals.

"TD Ameritrade Institutional has helped us unlock our potential," said Andy Seth, managing partner, LotusGroup Advisors, LLC. "We received advice we actually wanted to take, implemented systems to attract new clients at a faster rate and hired new Advisors to help them unlock their potential."

Advisors have not received remuneration for participation in providing these testimonials. Advisor testimonials may not represent the experience of all advisors using TD Ameritrade brokerage services. The advisors mentioned are not affiliated with TD Ameritrade Institutional. More information about the advisors is available on the SEC website (www.sec.gov).

Survey Methodology

These results are based on a survey conducted by Maritz, Inc. on behalf of TD Ameritrade, Inc. Three hundred fifty RIAs participated in a telephone survey from December 20, 2011 through January 13, 2012. RIAs who custody with TD Ameritrade Institutional, as well as other independent RIAs from across the country, were asked to share their views on the economic outlook for their firms and the advisor market in general. The margin of error in this survey is $\pm 5.2\%$. This means that in 19 cases out of 20, survey results based on 350 respondents will differ by no more than 5.2 percentage points in either direction from what would have been obtained by seeking the opinions of all eligible RIAs. Maritz, Inc. and TD Ameritrade, Inc., are separate, unaffiliated companies and are not responsible for each other's products and services.

About Maritz

St. Louis-based Maritz is a sales and marketing services company, which helps companies achieve their full potential through understanding, enabling, and motivating employees, channel partners, and customers. Maritz provides market and customer research, communications, learning solutions, incentive initiatives, rewards and recognition, effective meeting, event and incentive travel management services, and customer loyalty programs. For more information, visit www.maritz.com or contact us at 1-877-4MARITZ

About TD Ameritrade Institutional

TD Ameritrade Institutional¹ is a leading provider of comprehensive brokerage and custody services to over 4,000 fee-based, independent registered investment advisors and their clients. Our advanced technology platform, coupled with personal support from our dedicated service teams, allows investment advisors to run their practices more efficiently and effectively while optimizing time with clients.

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 TD Ameritrade's [newsroom](#) or www.amtd.com for more information.

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¹ TD Ameritrade Institutional is a division of TD Ameritrade, Inc., a brokerage subsidiary of TD Ameritrade Holding Corporation.

² Access to Roadmap is provided by TD Ameritrade Institutional as a service to financial advisors using the brokerage, execution and custody services of TD Ameritrade Institutional. TD Ameritrade does not guarantee nor is it responsible for the completeness or accuracy of the data provided by third-party firms or for the quality of any third-party firm's product or service. TD Ameritrade and ActiFi, Inc. are separate, unaffiliated companies and are not responsible for each other's services and policies.

³ Results reflect a comparison of average growth rates (FY10 net new assets on the TD Ameritrade Institutional platform as a percent of beginning of period asset balances). Growth Roadmap Users reflect advisors at who received growth plan recommendations in FY10 through TD Ameritrade Institutional's Roadmap tool. Non-Roadmap Users reflect advisors who did not receive any Roadmap recommendations in FY10. Results are not guaranteed and individual firm results will vary.

⁴ TD Ameritrade participated as a custodian respondent in the study. TD Ameritrade is separate and not affiliated with Financial Planning Association or ActiFi and is not responsible for the policies opinions or services of any third-party, TD Ameritrade does not guarantee nor is it responsible for the completeness or accuracy of the data provided or for the quality of any third-party product or service. TD Ameritrade makes no warranty or representation with respect to the service as to suitability or fitness for a particular purpose. In no instance should the listing of a third party be construed as a recommendation or endorsement by TD Ameritrade.

⁵ Cerulli, "State of the Wirehouses" — Nov. 2009; "Advisor Metrics" — 2011 Update; "RIA Service Agent Survey" — 2Q11. Full commission represent advisor net ACATs for Ameriprise, Edward Jones, Fidelity, LPL, Merrill Lynch, Morgan Stanley Smith Barney, Pershing, Raymond James, RBC, UBS, and Wells Fargo for FY2Q11-FY1Q12. 4Q11E RIA assets based on the ratio of 2010 RIA Service Agent Survey results to the 2010 overall RIA channel results applied to the ratio of 2Q11 RIA Service Agent Survey results to 2Q11 Schwab plus TDAI results applied to 4Q11 Schwab plus TDAI results. Wirehouse assets for 4Q11E based on applying the ratio of 2010 actual results for the wirehouses with the results in Advisor Metrics for 2010 to the actual 4Q11 results for Morgan Stanley, Merrill Lynch, and Wells Fargo and estimated UBS results based on applying the growth rate of the reported wirehouses between 3Q11 and 4Q11. RIAs include dually registered advisors.

Access to Veo's open access capabilities is provided as a service to financial advisors using the brokerage, and custody services of TD Ameritrade Institutional. Since we must ensure that all vendors meet our stringent security requirements, integration with new vendors is not immediate and cannot be guaranteed.

TD Ameritrade is separate from and not affiliated with the above-listed third-party vendors or any third-party vendors in the network. TD Ameritrade is not responsible for the products, services or opinions of these entities and individuals.

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TD Ameritrade
Kristin Petrick, 402-218-9813
Communications & Public Affairs
kristin.petrick@tdameritrade.com
[@TDAmeritradePR](#)

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