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**Registered Investment Advisors Ring the NYSE Opening Bell to Mark Industry Milestone**

*TD Ameritrade Applauds RIAs for Their Commitment to Individual Investors, Celebrates the 75th Anniversary of the Investment Advisers Act*

**NEW YORK, August 27, 2015** – Passionate about their profession and role in helping investors navigate turbulent markets, independent registered investment advisors (“RIAs”) will join TD Ameritrade Institutional<sup>1</sup>, **Friday, August 28th at 9:30 am** to ring the NYSE Opening Bell® at the end of a historic week on Wall Street.

Wild swings in the stock market emphasized the need for perspective and a level head. In these times of market turmoil, investors often turn to financial professionals for advice and more than ever they are turning to RIAs. In fact, RIA headcount and asset growth has been outpacing all other wealth management channels.<sup>2</sup>

For investors, one appeal of working with an RIA is that they are held to a fiduciary standard of care under the Investment Advisers Act of 1940. That means, by law, RIAs are required to act in a way that puts the client's best interest first.

“The RIA profession was built on a ‘client-first’ foundation that continues to deliver value to investors, especially in times of market uncertainty and 24/7 news headlines that can rattle investor confidence,” said Skip Schweiss, managing director of advisor advocacy and industry affairs, TD Ameritrade Institutional. “The Investment Advisers Act has given investors who work with an RIA the benefit of knowing their advisor is providing client focused insights and expertise when cool-heads are needed.”

**Investment Advisers Act Turns 75**

This month marks the 75th anniversary of the Investment Advisers Act, which defines the role and responsibilities of a registered investment adviser and stands as the law governing RIAs. The Investment Advisers Act was put into place following the Great Depression to help bolster regulations of those who provide investment advice. With its fiduciary duty standard, the Investment Advisers Act has helped to build the public's trust and strengthen U.S capital markets by encouraging millions of Americans to invest.

To celebrate this important milestone, New York-area RIAs join TD Ameritrade Institutional to open the New York Stock Exchange.

**John Paoloni**  
*Northstar Asset Management LLC*

**Tina Powell**  
*SheCapital*

**Andrew Peters**  
*Northstar Asset Management LLC*

**Mark Germain**  
*Beacon Wealth Management*

**Ray Mignone**  
*Ray Mignone and Associates*

**Nicholas Spagnoletti**  
*Macro Consulting Group, LLC*

**Mark Cortazzo**  
*Macro Consulting Group, LLC*

**Chip Sawyer**  
*Westover Capital Advisors, LLC*

**Robert Davis**  
*Round Table Wealth Management*

**Anthony Schembri**  
*Clarfield Financial*

## **Social and Digital Media**

Follow TD Ameritrade Institutional Twitter updates from the New York Stock Exchange via [@TDA4Advisors](#), and through our [TDA4Advisors blog](#). Follow and join the conversation using the hashtag #fiduciaryfriday.

Photos and video will be available following the NYSE event. Please send press requests to [Kristin.petrick@tdameritrade.com](mailto:Kristin.petrick@tdameritrade.com)

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### **About TD Ameritrade Institutional**

[TD Ameritrade Institutional](#) is a leading provider of comprehensive brokerage and custody services to over 4,500 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. TD Ameritrade Institutional is a division of TD Ameritrade, Inc., a brokerage subsidiary of TD Ameritrade Holding Corporation.

### **About TD Ameritrade Holding Corporation**

Millions of investors and independent registered investment advisors turn to TD Ameritrade's (**NYSE: AMTD**) technology, people and education to 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: We've been bringing Wall Street to Main Street for **40 years**. An official sponsor of the 2016 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](http://www.amtd.com) for more information.

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<sup>1</sup> TD Ameritrade Institutional is a division of TD Ameritrade, Inc., a brokerage subsidiary of TD Ameritrade Holding Corporation

<sup>2</sup> Cerulli Associates, the Cerulli Report, *Advisor Metrics 2014*