



## TD AMERITRADE® Business Continuity Plan Statement

TD AMERITRADE, Inc. (TD AMERITRADE) is committed to providing our clients with secure and reliable access to their accounts. This commitment includes providing information regarding plans to address disruptions in our business operations due to power outages, natural disasters or other significant events. In the event of a disruption, TD AMERITRADE has a Business Continuity Plan designed to maintain critical business functions such as processing client orders and transactions; providing access to cash and securities; and providing access to information about balances and transactions in client accounts. Examples of how TD AMERITRADE's plan addresses disruptions of varying scope and magnitude include:

- Disruption of service at any of our service centers will result in calls, orders and electronic communications being re-routed to an alternative service center located in a different region of the country with a separate power grid and transportation system.
- A significant disruption in our primary data center would result in the transition to systems at an alternate data center. Our data centers are each supported by backup power generators and are located in different regions of the country with different power grids and transportation networks. Our data centers and service centers are located in separate and distinct regions from each other.

Our plan provides for recovery of critical, core trading functions within four hours. Recovery of other critical, but non-core trading functions will be accomplished in 24-72 hours following a disruption.

While no business continuity plan can eliminate all risk or delay resulting from an unexpected interruption in service, we continually assess, update and test our plans to ensure that TD AMERITRADE has taken the steps necessary to protect our clients. Any modifications to our plan will be reflected in this Business Continuity Plan Statement, which will be posted on our Web site or you may obtain a current version by writing us at 1005 N. Ameritrade Place, Bellevue, NE 68005.