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NEWS RELEASE

Thursday, September 8, 2016

Fiduciary September 2016
'Raising the bar' and 'Delivering the promise'

DOL Fiduciary Rule, a 'Shot Heard Round the World,' launches new era;
DOL Rule and market forces, technologies, products offer
investors more convenience, new choices and services

WASHINGTON D.C. - The Institute for the Fiduciary Standard today launched *Fiduciary September 2016*. *Fiduciary September*, established in 2012 by the Institute, is the Institute's annual month-long special recognition of the vital role of fiduciary duties for investors and the capital markets.

"2016 is a watershed year. The DOL Fiduciary Rule helps create an opportunity for era of investor-centric advice. An era, in its infancy, where new products and technology offer investors unprecedented convenience, choice and services." according to Institute president, Knut A. Rostad. "The DOL and market forces have set the stage for a fiduciary renaissance."

"Our 2016 programs and research assist investors in vetting advisors and assist advisors in doing more to better communicate with and serve investors," said Rostad. "The Frankel Fiduciary Prize Program is a special opportunity acknowledge the courage and vision of this year's recipient, Phyllis C. Borzi."

TD Ameritrade Institutional is the exclusive sponsor of *Fiduciary September*.

"The DOL's final conflict-of-interest rules usher in a new era for retirement investors and the advisors who service them," said Skip Schweiss, TD Ameritrade Institutional's managing director of advisor advocacy. "Investors will benefit and all advisors need to adapt; including RIAs. *Fiduciary September 2016* is about winning investor trust by 'raising the bar' and how RIAs can benefit."

Fiduciary September programs begin September 12 and run through Sept. 29:

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- A conference call press briefing on the release of a report, “How Form ADV Helps Investors Screen Investment Advisers,” September 12.
- A press briefing in New York on the roll out of the Best Practices Fiduciary Advisor Affirmation Program, September 19.
- The Frankel Fiduciary Prize program in Washington on September 23.
- Knut Rostad, will MC “Breaking Through Power” in Washington on September 27.
- A WealthManagement.com / Institute webinar on the “Investor Trust and Fee Expense Transparency” at 4.15 ET on Sept 29.

Fiduciary September 2016: *Raising the Bar, Delivering the Promise*

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Press Briefing
857-232-0159; 626004

11:00 AM ET

*Release White Paper: “What Investors Can Learn
About Registered Investment Advisers and their conflicts of interest
from An Adviser’s Form ADV”*

Knut A. Rostad, Institute for the Fiduciary Standard
Brian Hamburger, Market Counsel; General Counsel to the
Best Practices Board

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Press Briefing
Chrysler Building, 405 Lexington Avenue
New York. 10:00 AM ET

*Best Practices Fiduciary Advisor
Affirmation Program*

Knut A. Rostad, Institute for the Fiduciary Standard
Jane Bryan Quinn, Personal Finance Advocate, AARP
Luis Aguilar, SEC Commissioner, 2008-2015 (Pending travel arrangements)
Brian Hamburger, Market Counsel; General Counsel to the
Best Practices Board
Jim Patrick, Envestnet

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Pam Krueger, WealthRamp

Information and registration: Lucie Dufour, Tiller LLC, ldufour@tillerllc.com or 212 358-8515, ext 7

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Frankel Fiduciary Prize Program

Ronald Reagan Building, Washington DC

10.00 – 11.30 AM

Phyllis C. Borzi, Department of Labor

Tamar Frankel, Boston University School of Law

Panel Discussion: “The DOL Rule in History”

Robert A. G. Monks, *Corporate Governance Activist*,

Department of Labor, Administrator of the Office of Pension and Welfare Benefit Programs, 1985

Barbara Roper, Consumer Federation of America

David Certner, AARP

Joseph C. Peiffer, Public Investors Arbitration Bar Association

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WealthManagement.com Webinar, 4.15-5.15 ET:

“Investor Trust and Fee Transparency”

Rebecca Fender, CFA Institute

Brie Williams, SSGA

Ron Carson, Carson Wealth Management

Knut Rostad, Institute for the Fiduciary Standard

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About the Institute for the Fiduciary Standard

The Institute for the Fiduciary Standard formed as a non-profit organization in 2011 to provide research, education and advocacy on the vital role of the fiduciary standard for investors and the capital markets. For more information, visit www.thefiduciaryinstitute.org.

About TD Ameritrade Institutional

TD Ameritrade Institutional is a leading provider of comprehensive brokerage and custody services to more than 5,000 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. TD Ameritrade Institutional is a division of TD Ameritrade, Inc., a brokerage subsidiary of TD Ameritrade Holding Corporation. (NASDAQ: AMTD)
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