

2012

TOPS CLUB MEMBERS

PROFESSIONALISM

THE BEST

BEYOND EXPECTATIONS



Ameritrade

DEPENDABLE



November 2012

2012 TOPS Winners,

Congratulations! You have been recognized by your peers and management for your outstanding efforts in 2012. You are a member of a distinguished group, consisting of more than 250 TOPS winners we have honored since the program began in 2008.

I often speak of the importance of building our culture, and you exemplify our Core Values—the heart of our culture. Many of you have been nominated multiple times and some of you are repeat winners. Thank you for your continued efforts to make TD Ameritrade not only the better investment firm for today's investor, but also a better workplace for all of us.

Take some time and check out your fellow winners—you are in good company. Now I'm looking to you to 'pay it forward' and nominate the colleagues you would like to see recognized in 2013.

I hope you have enjoyed your well-deserved time in the spotlight this year—and I trust you will have a great time at the year-end event with your fellow winners and guests. Again, thank you for all you do. Keep up the great work!

Felix B. Davidson
Managing Director, Brokerage Operations





Mark Bishop
Performance Improvement Coach
Client Account Services, Omaha

Q3 Winner

The month of May presented multiple hurdles for the Client Account Services team and Mark stepped up to the plate and was a true team player. He worked on various projects and provided support to multiple Associates within the department with any issues that needed to be resolved. Mark is an extremely valuable asset to the company and to the team. His knowledge regarding tax exempt trusts has resulted in several Associates contacting him for his advice and his expert opinion. Mark is very dependable and can be relied upon on to take on any of the challenges that the team faces each and every day.



Breyn Blakely
Senior Representative
Priority Response Desk (PRD), Omaha

Q2 Winner

Breyn was recently selected as a Semi Annual winner of the corporate Better Begins With Me program as well as being selected as a TOPS winner for this quarter. Her dedication and drive has been noticed by multiple people within the organization. Breyn is an incredibly driven person when it comes to pushing herself to increase her knowledge base. When the PRD team lost their Client Account Services subject matter expert, she stepped up and asked for additional training to fill that gap. When it was identified that we had a single point of failure when it came to Delivery Versus Payment (DVP) accounts, she volunteered to learn the process to fix this and reduce the burden that this had on her peers. Breyn's manager reports that she consistently receives "massive amounts of positive feedback on her performance" from both her peers and our clients.



Brandon Bower
Analyst
Government Reporting, Fort Worth

Q4 Winner

Brandon has been instrumental in developing better productivity measurements for the Transfer Desk, which will help with better forecasting and staffing for those responsibilities. As part of best practices for Cost Basis, we are required to send our client's Cost Basis to the other firm once assets move over and if there are issues, we send a hard copy of this information. The document we were sending to them included the total market value of assets in the account—essentially we were sending other firms branch lead referrals on the amount of money our clients had with TD Ameritrade. Brandon came up with a plan to have this form downloaded in a different format so that only the cost basis information was sent to the other firms. This solution had the potential for substantial savings and to keep our clients. Brandon doesn't just come to work and do his job. He keeps his eyes open and understands the big picture.



Shane Brooks

Team Manager

Priority Resource Desk (PRD), Omaha

Q3 Winner

UPBEAT

Shane leads by example. He brings an upbeat, positive attitude to his team and the surrounding departments. Shane was able to successfully implement Lean within his team by having his team work with Lean objectives before the program rolled out. The PRD team has established an identifying role of being the “best of the best” and this is largely due to Shane’s leadership and effectiveness. Shane is also a mentor to his fellow Associates. He is often sought out by his peers to assist in interview preparation, coaching and feedback. It’s not unusual to see Shane helping Associates prep for interviews during his lunch hour or staying after work to conduct post-interview feedback sessions with Associates regarding interviews. He comes highly recommended by others, as he offers reliable advice which prepares each Associate for leadership roles and career advancement within TD Ameritrade.



Charles Buckman

Operations Systems Administrator

Cage, Omaha

Q3 Winner

Charles has worked tirelessly to provide technological solutions to the Cage department. Realizing the importance of addressing internal and external client requests promptly and accurately, Charles has dedicated many hours to creating technology to assist in speed as well as accuracy of processing. These processes have moved from labor intensive, manual processes to efficient automated processes. In addition to creating automation solutions for the Cage Physicals department, Charles is always willing to help other areas of the firm. He exemplifies the core values of People Matter and Working Together through his interactions with his teammates.



Cheryl Bunales

Options Analyst

Purchase & Sales (P&S), Fort Worth

Q2 Winner

Cheryl has one of the highest productivity levels of anyone on her team and she consistently achieves her daily goals. She is a true team player and goes above and beyond for her department. Cheryl will stay late and come in on weekends to ensure the department work is being processed on time and client accounts are corrected and updated to provide an outstanding client experience. She is the definitive example of an Associate who daily demonstrates our Core Values within their work. She treats everyone with respect and professionalism, and is always looking to inspire others to go above and beyond for the betterment of themselves and the firm. Cheryl is a very valuable Associate to the Purchase & Sales Department as well as the firm.

TEAM PLAYER



Kylie Burley

**Performance Improvement Coach
Client Account Services, Omaha**

Q1 Winner

Kylie was instrumental in creating the training material for the Intro to Brokerage Operations presentation in the Client Account Services (CAS) department. Her number one goal is to make sure that an Associate is comfortable in the process they are learning and has all the tools to do their job to the fullest. Six weeks into the BOLD rotation, the Process Improvement Coaches were told that another Associate would be added to the program in the middle of the cycle. Kylie worked with PDG to create a "fast track" schedule to condense five weeks of training into one week. Kylie worked with this Associate one-on-one and accomplished the training in the one week allotted. With her dedication, the newest BOLD Associate was brought up to speed and able to join the rest of the group.



Garrett Buss

**Analyst
Trading, Omaha**

Q4 Winner

Garrett brings a fresh personality full of drive to his team. Although his team has not been through Lean implementation yet, Garrett has made it his mission to become leaner and more efficient, working with fellow teammates and members across the organization to tighten our processes. Garrett also understands how expense management affects everyone at TD Ameritrade. He was instrumental in gathering the necessary data for the Best Execution Review committee to make a very well-informed decision on the retirement of TD Ameritrade's legacy '5-second guarantee' program. He approached the task in a concise and thoughtful manner and presented the data in an easy to understand format that helped the committee to evaluate the ongoing usefulness of the offering. Garrett's assistance contributed towards a substantial cost savings for the firm. Garrett cares about his team and firmly believes that you should treat others the way you would like to be treated.

PROFESSIONALISM



Tina Caddell

**Senior Manager
Securities Lending, Fort Worth**

Q3 Winner

Tina takes a personal stake in leading her team, holding herself and her Associates to a high level of professionalism and expectation for execution. She leads from the front, and regardless of the challenging business environment or resource constraints, finds a way to deliver outstanding results routinely. Tina quickly adapts and responds to conditions, and strives to keep her team aligned with the operating principles of the Securities Lending business: risk and regulatory management, client allocation and experience, provision of firm liquidity and revenue generation.



Bobby Carlton*

Mutual Funds Systems Administrator
Mutual Funds, Fort Worth

Q3 Winner

Bobby has spent the last three quarters building the MAC (Mutual Fund Automation Center) workflow system. The initial focus of the project was to apply Lean principles to our Transfers Department and is now focusing on Commissions and Dividends. The results of his automation amounted to an incredible amount of resources saved. Bobby has taken time to train other Associates in his department as well as other departments. He organized lunch sessions with other Associates and was able to effectively network with T2 to acquire SQL and Web Server space for our MAC workflow system. Bobby is a great team member who takes the time to teach other Associates, treats everyone with respect and is always looking for ways to improve on what we do on a daily basis.



Harsh Chudgar

Senior Risk Analyst
Margin Risk Management, Fort Worth

Q4 Winner

Harsh built and maintains a collection database that contains all of the relevant information pertaining to unsecured accounts in a centralized and readily assessable source. While his department has not yet implemented Lean, the centralization and availability of information has increased department efficiencies. Harsh also created a client risk scorecard to systematically score our entire margin book by the risk associated with client attributes to provide a whole picture when combined with the security metrics presently measured. This scorecard gives a much deeper look into our client behaviors and their likelihood of repayment should their account be unsecured. Harsh has been able to get the department ahead of the curve before Lean implementation by creating some big wins on efficiencies as well as helped move them into a more proactive state with Client Risk.



Mark Cowan

Non-Standard Assets Analyst
Alternative Investments, Fort Worth

Q1 Winner

Mark has become a subject matter expert (SME) in the area of restricted stock and has received multiple compliments this quarter from branches and internal Associates for his willingness to pursue issues for clients and make sure that everyone is on the same page. Mark is a great example of Client Centricity. He always puts the client first and encourages his teammates to do the same. He has been recognized by the branches as a great resource and noted for his willingness to help. Mark is not afraid to question a policy if he does not think it is in the best interest of the client. He is also an excellent educator of Associates as well as clients. With his combination of knowledge and client centricity, he truly is making a difference wherever he works.

* denotes repeat winners



Stacey Daniels*

Team Manager

Retirement Account Services (RAS), Fort Worth

Q1 Winner

Stacey is a returning TOPS winner from 2008. Throughout her career, she has been widely recognized as an inspirational leader. Since leading the Vision and Values map exercises last summer, she was selected to lead Client Dialogue Model courses and has done a phenomenal job shepherding and coaching the initial cadre of BOLD candidates in Fort Worth. Stacey is also great at troubleshooting problems. After noticing a disappointing trend in Series 63 scores, Stacey researched the pass/fail rates for Associates using our new study materials compared to those using the old materials. She was able to determine the rate of failure was much higher with the new materials. She then worked with PDG to acquire the older materials and the success rate changed dramatically. Similarly, after one of her Associates failed the updated version of the Series 7, Stacey communicated the problem and worked with her partners to ensure that all candidates were currently armed with the best materials to have a fighting chance.

INSPIRATIONAL LEADER



Pat Douglas

User Acceptance Testing (UAT) Analyst

Operations Strategy, Omaha

Q3 Winner

Pat is a key resource to the UAT team and is a key contributor to the new UAT framework. He leads the team by example, using the framework and documenting how the team can get better. Pat's project work is often used as a reference for best practices and he has received multiple compliments from his colleagues and leaders for his efforts. He has been added to several projects because of his ability to build and strengthen relationships throughout the business. Pat makes certain the UAT group understands the impact to the clients and keeps that at the front of their minds when completing their work.

BEYOND EXPECTATIONS



Lana Dye*

Vendor Relations Coordinator

Regulatory Document Management, Omaha

Q2 Winner

Lana is a two-time TOPS winner and has been nominated consecutively for the past five quarters. This shows that she is consistently performing at a high level, above and beyond expectations. Lana played a critical role in the recent Confirm Field Length project. She put in long hours to assist in testing the new file process and managed the testing coordination with Broadridge and T2. Without her help this project would not have been a success. Lana has built a foundation of Working Together with various departments. She has a great rapport with many areas, including Operations, T2 and our vendors. This has helped not only her department improve processes and implement key projects, but it has helped TD Ameritrade as these initiatives have created a better client experience.

* denotes repeat winners



Rick Fleeman
Ops Control Analyst
Operations Control, Fort Worth

Q3 Winner

Rick takes complete ownership and follows up with all issues until a resolution is determined. He asks good questions about policy and procedures to determine if there is a better way to do things and was instrumental in getting the Ops Control procedures streamlined and uniform. Rick is a valuable leader and he understands the impact his work has on clients and other departments within the firm. His peers view him as a leader and frequently use him as a resource. He is always among the first to volunteer when something needs to get done. Rick is a great coach to others and has mastered the art of giving constructive feedback.



Bawn Froning
Dividend Analyst
Reorganization, Omaha

Q3 Winner

INTEGRITY

Bawn knows the dividend process inside and out. He was heavily involved in the creation of the Written Supervisory Procedures for the department and also single-handedly produced the Dividend department material for the BOLD program. He is continuously looking for ways to improve the dividend process. Bawn took charge of an AT&T master out of balance for May dividend that no one else could solve. He volunteered to run comparisons of stock record vs. transactions posted to find the difference. The project was similar to finding a needle in a haystack (involving approximately 170,000 transactions), but Bawn solved it in short time. Bawn puts Integrity First in everything he does. He is more concerned with doing it right every time. He accepts responsibility for himself and his actions and communicates with honesty, clarity and respect.



Lane Fujii*
Senior Representative
Priority Resource Desk, Omaha

Q1 Winner

Lane is a two-time TOPS winner and also holds the impressive honor of receiving the most TOPS nominations since the program has been in existence. Since 2009 he has received a remarkable 15 TOPS nominations from 13 different people. This alone speaks volumes about Lane's top-quality work and the number of people he has impressed across the company. Lane recently transferred from the Transfers department, where he was a subject matter expert regarding internal transfer processes and procedures, to the Priority Resource Desk (PRD) team. He has quickly become the go-to person on the PRD team for many Transfer issues and is utilized by the team on a daily basis for his large knowledge base. Lane's reputation as a high performer with a focus on the client experience was one of the main reasons why he was selected to join the Priority Response Desk.

* denotes repeat winners



Manny Gakou
Assistant Team Manager
Mutual Funds, Omaha

Q4 Winner

Manny is a key player in the Mutual Funds department in terms of risk management. In the last quarter he has identified erroneous trades twice before they were sent to market and he initiated steps to get those trades cancelled or offset without any risk to the firm. This proactive mindset prevented significant market risk to the firm and provided a great example to his team as the right thing to do. Manny is always willing to grow and learn. He has grown in his ability to step into the team manager role when needed. When his team manager was on PTO the team did not skip a beat—Manny led daily team huddles, organized and assigned out daily work, and effectively communicated escalations to senior management. Through the beginning stages of Lean implementation, Manny has taken a significant role in leading the team through change. He has worked through a lot of questions and concerns from Associates in terms of productivity numbers and helped set a positive tone by embracing Lean principles.

Inspirational leader



John Grace, Jr.
Trade Analyst
Trading, Fort Worth

Q3 Winner

John's superior knowledge of the TOS platform and his communication skills has greatly improved the option break process, which was previously referred to as a horrible nightmare. He researched and identified the TOS allocation issue which was the number one contributor to the breaks. The issue has yet to be resolved, but John has discovered a work-around to the issue while the cause is being fixed. John always gets to the root of the problem. He responds promptly to issues and provides an accurate and courteous answer every time. He is very adept at analyzing TOS to BOS issues, finding the root cause and suggesting or implementing solutions.



Amy Havansek
Senior Transfer Analyst
Asset Transfer Services (ATS), Fort Worth

Q1 Winner

On multiple occasions Amy has been given tasks to be researched and delivered—including TransUnion information, the IRA account opening process for Community Property states and Foreign Account opening process and restrictions. Upon receiving compliments on her work, she is quick to give credit to others she has worked with and to make sure they are recognized as well for the input they had in bringing resolution to these tasks. Amy is also proactive to keep others aware of her progress and delays in finding answers to the tasks that are given to her.



Kristi Hedrick*

Team Manager

Client Account Services, Omaha

Q3 Winner

Kristi had an impressive seven nominations submitted this quarter. This is the highest amount of nominations submitted for any one person in a quarter since we started the TOPS program in 2008. Kristi is the Lean Implementation Coach for the team and she is the management coordinator for Alternative Sourcing Engagement. Kristi inspires her team to Strive to Win through her exemplary daily management of the Process Improvement Team. She has a positive influence on every aspect of the department's affairs and demonstrates how one person can make the impossible seem possible by proper planning and dedication. Kristi embodies what it means to live the core values and her commitment is second to none. She has the ability to multi-task a variety of different roles and responsibilities while maintaining a positive and forward-thinking attitude.



Jeff Heldridge

Analyst/Performance Improvement Technician (PIT)

Payment Services, Omaha

Q4 Winner

Fully embedded in day-to-day processing, Jeff is always finding ways in improving the process to maximize productivity. Using his influence as a PIT, these workflow ideas are often shared with management and Associates as best practices to increase output and several have become set procedure. Jeff has supported the Lean initiative pulling random samples for quality evaluations, revising desktop procedures for standardized new hire training, and has volunteered for Friday Associate-run huddles. As a closing Associate, Jeff often runs into late days supporting the extended hours demanded by our Institutional partners and ensuring accounts are reconciled to zero prior to day's close. If a job needs to be done, Jeff will often make himself available to do it regardless of the time of day. He enjoys giving back to the company any way he can and takes pride in his reputation. Selfless in his contributions, Jeff will never showboat or look for the accolades. He does it because it's the right thing to do.



Travis Ho

Assistant Team Manager,

Purchase & Sales (P&S), Fort Worth

Q3 Winner

Travis jumped in feet first when going through the TOS to BOS process after he joined the P&S team last August. He made sure the team was at full force to successfully transfer from TOS to BOS, which was a very tedious process and required a lot of man hours to ensure the success of our clients' trades. He also played a large part in the Facebook IPO in May 2012, coming in early and staying late to make sure all the trades were processed correctly. Travis tries to involve each team member in different projects, giving them a chance to learn something new. He also encourages Associates to speak up with any ideas that they think may help their team run more efficiently. He also makes arrangements for team members to shadow other departments so they can get a better understanding of how their work ties into the other department's workflow.

THINK OUTSIDE THE BOX



Heather Irvin*
Corporate Actions Specialist
Reorganization, Omaha

Q4 Winner

Not only does Heather excel with her own metrics, but she also makes time to assist her teammates with improving their own productivity and quality statistics. She is proactive with providing peer-to-peer coaching and works together with her teammates, identifying areas where they could use a hand. Her contributions have led to her department being listed in the top ranks of the OPSS survey more often than any other department. Prior to the Lean rollout and implementation within her department, the Corporate Actions teams were challenged to identify areas of waste. Not only did Heather identify an area for improvement and potential exposure to risk, but she took it upon herself to build an Excel script that standardizes the process, creates uniform verbiage for client-facing Associates, and reduces the risk exposure. This tool is still in the testing phase, but it is anticipated that after piloting the Clearing team will be able to implement the use of the tool for inputting offers into our database. This is just one example of the "think outside the box" mentality that Heather brings to the table each and every day. Heather is a second time TOPS winner. Her first win was in Q3 of 2011.



Scott Irwin
Analyst
Government Reporting, Omaha

Q1 Winner

Scott is always on the lookout to simplify processes and apply Lean principles. He frequently shadows with other teams to learn how they impact Government Reporting. He organized Cost Basis break reports and coordinated activity amongst Associates in Fort Worth and Omaha to maximize the efficiency in clearing breaks. Scott was also instrumental in isolating specific events and trends within the breaks, which he incorporated into his organization of the daily work among the team. This resulted in the correction of thousands of transactions that may otherwise have not reported correctly.



Vicki Jarrett
Cost Basis Analyst
Government Reporting, Omaha

Q2 Winner

Vicki was integral to the success of the Tax team this quarter. She completed 81% of the Tax Inquiries received from internal and external clients, logging more than 200 overtime hours this quarter alone. She sacrificed her personal time to ensure clients, both internal and external, were given the best service possible. Vicki handles the most complex tax issues with relative ease and a smile. She is very goal driven, takes pride in her accomplishments and can always be relied on to come in and work whenever needed. Vicki is a team player and she demonstrates our Core Values on a daily basis.

* denotes repeat winners



Chad Johnsen
Senior Manager
Corporate Actions, Omaha

Q2 Winner

Chad is incredibly dedicated, present and always available to his teams. During a recent Washington Mutual bankruptcy issue, Chad burned the midnight oil, working weekends and through a snowstorm right alongside the Corporate Actions Associates who worked diligently through six weeks of non-stop mail processing. Chad is especially perceptive to the improvements needed in Corporate Actions, both from his experience in Middle Office and in managing the clearing side. He has identified the need for consistent communication to clients on corporate action events, but also recognizes our current system limitations. Chad is a wealth of information about things such as time management, organization and leadership development for his managers. One of his managers reported that it is not uncommon to go into a meeting with Chad feeling overwhelmed, and come out feeling incredibly empowered.



Sara Johnson
Consultant
Retirement Account Services (RAS), Omaha

Q4 Winner

Sara plays an instrumental role in the success of RAS, especially during tax season. Sara has managed to continually produce outstanding productivity numbers and has maintained excellent quality throughout her five years in the department. More than that, she recognizes her weaknesses and uses constructive criticism to make critical improvements to further her perfect performance. She continues to work hard and doesn't quit until the job is done. Sara spearheaded the testing and re-wrote the requirements for internal cash transfers which saved the testers several weeks' worth of testing. Her efforts resulted in substantial savings to TD Ameritrade by completing the testing a month ahead of schedule. Not only did she save the company this money during the testing phase, but it will also have additional savings in the future when it is released into production, due in part to the reduction in manual processing.



Amber Jordan-Sauls
Consultant
Retirement Account Services (RAS), Fort Worth

Q2 Winner

Amber serves as a great example for her peers in the areas of company and community involvement. She is actively involved in the Brokerage Operations PERC Committee and RAS Improvement Group, and is also heavily involved in activities outside of work. Amber is an amazing problem solver. It is not unusual for her peers, ATM or even her manager to ask for her opinion or perspective on issues encountered or how to handle a client request. She heavily utilizes her education and experience to deliver great results. Amber's work is superior in all duties; she takes advantage of all the materials and resources available to her to determine appropriate courses of action and what is in the best interest of the client.

PROBLEM SOLVER



Robert Kenison*

Performance Improvement Coach (PIC)

Asset Transfer Services (ATS), Omaha

Q2 Winner

Robert is a two-time TOPS winner, winning the first time as a member of the inaugural TOPS Officer's Club in 2008. Robert consistently recommends process improvements for the data he sees in his PIC role. He recently took the lead role in outlining the areas that needed to be covered in additional training for our Alternative Sourcing Engagement (ASE) partners. Robert put the project plan together to ensure each functional process had all documentation required for training. He then took the lead in the training sessions with our ASE partners, running the calls, delivering the information and addressing questions and feedback. The results of this training included increased knowledge of the ATS process and reduced delays due to questions from ASE associates.



Phyllis Knowles

Senior Manager

Operations Control, Fort Worth

Q4 Winner

Phyllis is a key resource in assisting with Written Supervisory Procedures (WSP), Open Pages and Work Flow mapping. She has helped create many advocates of the Internal Control Assessment Program (ICAP) by making changes in Open Pages that better align with our processes and procedures. Phyllis is viewed by many as a mentor and provides straightforward answers with good guidance. She has a wealth of knowledge and often challenges people to think from a different perspective. Due to the work she is doing in Ops Control, she often has to push people to complete their assignments by specific deadlines. She is always respectful in addressing the need for the information and is appreciative of the work required. Phyllis is involved in the Women's Initiative group in Fort Worth and her shared experiences have been a wonderful addition. She is a good motivator and is a great asset to Brokerage Operations and to TD Ameritrade. She goes above and beyond to make our company a great place to work.



Brian Krackl

Assistant Team Manager

Margins, Omaha

Q1 Winner

Brian does a fantastic job of continually improving the efficiency and effectiveness of his team. There are a myriad of tasks on the Margins team and those tasks change constantly in response to decisions made by upstream and downstream departments/processes. Brian sends emails almost daily detailing tweaks to these processes. In his staff meeting, he then gathers all the emails and uses them to create the meeting agenda. This reinforcement in the meeting environment has proven to be very effective and well received by the team. It also fosters dialogue on the underlying issues and, as a result, uncovers training needs and procedural weaknesses. Brian's team has become much more effective as a result of his innovative way of managing through the changes. Brian also has the ability to remain positive through tough times and lead with his actions.

* denotes repeat winners



Brett Maxwell
Reporting Analyst
Operations Strategy, Omaha

Q4 Winner

Brett produces the majority of the Lean reporting: daily huddle reports, weekly trending dashboards, and weekly coaching reports, as well as pulling much of the baseline and diagnostics data for each new Lean wave. He was able to automate the Lean reporting and also added validations to ensure the supporting data has been loaded to the database before the reports run. Brett especially exemplifies Client Centric and Work Together. He's focused on how to get information to our business partners that is meaningful and contains the right information at the right time to the right people. In addition, he's always willing to help anyone who asks—whether it's for one of his peers or from any other department. Brett is really a go-to person on his team. Whenever a complex task arises, his name is routinely suggested as someone who can likely solve the problem.

WORK TOGETHER



Courtney McGill*
Assistant Team Manager
Government Reporting, Fort Worth

Q4 Winner

In Q4 of 2012, Courtney stepped up to the challenge of leading her team during her manager's extended PTO. Her manager stated that he had no reservations or concerns leaving Courtney in charge because he knew she would make the right decisions on her own. She understands the huge corporate and client tax liabilities their team routinely faces and still keeps the Client Centric attitude in mind. She tackles numerous escalations head on and adheres to both the company's values and her own as well. Courtney has done a great job of building her departmental brand and showing that her Cost Basis knowledge has grown immensely. This is the second time Courtney has been chosen as a TOPS winner. She was first selected as a winner in Q1 of 2011.



Keaton Mercer
Team Manager (Lean Leader)
Reorganization, Omaha

Q4 Winner

Keaton shines when it comes to engaging and developing others. If a team manager encountered challenges utilizing the Lean tools, he took it upon himself to provide them with additional training or support documents. Keaton has made a significant impact on the organization via his "lead by example" style. He has dedicated his efforts to making Lean successful within Operations, working to learn and adopt the Lean methodologies and to teach and support Operations team managers that are going through their own Lean transformation. Keaton is seen as a leader within the Lean Coach network, with Lean Coaches, managers and Associates utilizing him as a resource. He has excellent organizational skills and has the ability to think several steps ahead. Keaton is also a dedicated and active member of the Guiding Coalition, often asking his peers for input as they try to make the Guiding Coalition the best it can be.

LEADER

* denotes repeat winners



Matt Merkle

**Assistant Team Manager
Operations Control, Chicago**

Q3 Winner

Matt has been instrumental in motivating the members of the Ops Control team in Chicago to take on new challenges. Recently the team was assigned some rather complex reconciliation and monitoring tasks that were a bit daunting to a team that was not deeply experienced in the workings of BOS. Matt ambitiously stepped up, learned the ins and outs of the new processes and was able to impressively deliver the message to the teammates assigned to these new duties. Matt eagerly and effectively took on the role of both learning and teaching.



Delon Mollett*

**Senior Quantitative Analyst
Risk Modeling, Fort Worth**

Q2 Winner

Delon is a returning TOPS winner from 2010. He took the initiative to re-engineer the entire Option assignment process. This complex process involves many teams in different departments. Delon met with every person impacted by the process, and has already automated a great deal of it, drastically reducing the amount of manual data manipulation and the communication risks inherent in such a complex setup. He exemplifies how to live the Core Values every day. He not only executes at a high level, but does so with a positive attitude and an energy level that results in numerous Share Better certificates from the people he assists.



Matt Newman

**Cost Basis Analyst
Government Reporting, Omaha**

Q3 Winner

Matt is able to quickly pick up and apply new skills and information. His ability to learn, mixed with his positive attitude, made him a unanimous management selection for one of three spots in the department for vendor correspondence. This is an extremely important role, requiring someone who can quickly acquire vendor knowledge and understand their systems and processes at a high level. Matt has a fantastic attitude, making him well-liked by his peers, both inside and outside of the department. He is always willing to assist and to try new things, and has shown the ability to work successfully within multiple levels in the organization, across different business units and third parties.

* denotes repeat winners



Natalie Oblazny*

Team Manager

TOS Middle Office, Chicago

Q4 Winner

Natalie works to motivate our Associates to achieve goals and encourages cross training and communication to promote internal education and exceptional customer service. Natalie is excellent at building alliances, working closely with key contacts and the heads of business. To optimize our working relationship with thinkorswim Singapore (a group based in Singapore charged with developing foreign business that clears Apex), she assigned specific functions to Chicago-based Associates to assist with processing and to expedite the funding of new accounts. Unfortunately the time difference between the two locations was negatively impacting response times, so Natalie arranged a video conference call with the Singapore team to outline the areas of improvement. Associates were able to speak to their specific duties and clarified procedures that normally caused bottlenecks, and many of these issues were resolved after one quick group conversation. This simple meeting that Natalie took the initiative to schedule immediately bonded the teams and greatly improved morale. This is Natalie's second TOPS win. She was first selected as a winner in Q1 of 2010.



Michelle Orr

Assistant Team Manager

Reorganization, Omaha

Q2 Winner

Michelle is actively engaged in all areas of the Reorganization department. She knows the team well and has a keen sense for who would be good at a particular project, recognizing their strengths and their desire for development in a particular area. Michelle meets with Associates on a regular basis to go over expectations, issues and achievements. She is dedicated and focused on the client experience. Michelle leads by example and the people that work with her strive to follow her path of exemplary work. She is tirelessly willing to help with any issue or question. Michelle is quick to reply, quick to investigate and always willing to assist when asked. She is a great asset to the company and the true definition of a role model.

EXEMPLARY WORK
DILIGENT
GREAT ASSET

* denotes repeat winners



Jake Pavlish*
System Integrity Analyst
Trading, Omaha

Q3 Winner

Jake is the go-to person when it comes to order routing configurations in AOM. He has in-depth knowledge of our routing strategy and how it works. This knowledge is a very valuable resource to his team. When the Facebook order delays occurred, Jake was a key resource. He was able to collaborate with the group to come up with a plan to help alleviate the pain some of our clients were feeling. A plan was devised and executed in a quick manner, but not until things had been carefully thought through, given the complexity and risk associated with anything that we may do internally. Not only was he able to help devise a plan, but he was able to execute upon it. This was a group and team effort, but Jake was a key player in those "behind the scenes" updates. Jake does everything he can within his power to protect our clients and to improve their experience in sometimes frustrating situations.



Becky Pfeiffer*
Consultant
Retirement Account Services (RAS), Omaha

Q1 Winner

Becky was first selected as a TOPS winner in 2008. Since then she has continued a career of exemplary work and is currently one of the highest performers in her department. Her pace is lightning fast but she also has exceptional quality in her work. She juggles incoming phone calls, emails and specific Instant Messages (with people who know she will get the job done); flexes into ISIS queues to assist our processing partners in RAS; and also works the consultant ISIS queues. The RAS management team frequently asks for Becky's assistance on projects that need to be tackled by a competent go-getter. Somehow she manages to always keep a smile on her face and deliver unmatched service. She is truly a role model for her peers.

MOTIVATED

* denotes repeat winners



Shasta Phillips

Team Manager

Government Reporting, Fort Worth

Q1 Winner

Shasta was recently tasked with building a Cost Basis phone team in Fort Worth. The importance of this team became evident with the regulatory change to Cost Basis Reporting. And despite high volumes, Shasta has trained, developed and organized this group into an efficient phone team that is currently within their Service Level Averages (SLAs). Her team is prepared to take on the upcoming challenges that we will face as we continue through this three-year phased Cost Basis regulatory implementation. Throughout all of this she has kept the team motivated and has been willing to do whatever it takes to make the area a success for TD Ameritrade. Shasta's team is one of the first to offer assistance when other areas within Government Reporting require help to maintain SLAs. She constantly challenges not only her staff but herself to identify better ways to service our clients.



Jay Reilly

Senior Manager

Client Account Services, Fort Worth

Q4 Winner

In the past year, Jay has made a tremendous impact on all aspects of Client Account Services. He has built his team manager leadership talent, managed costs by ensuring efficient staffing, reduced overtime expenses, streamlined processing and worked with our vendors for more viable and cost-effective solutions. Jay recently worked with Strategic Sourcing to improve our rates with TransUnion. This effort has enabled the firm to save \$126,000 in annual costs. Jay is always seeking ways to enhance the effectiveness of his team. He inspires the Will to Win by continuously thinking creatively about improving our business and finding both short- and long-term solutions.



Tyson Rose

Cost Basis Analyst

Government Reporting, Omaha

Q2 Winner

Tyson is consistently one of the top producers on his team. This past quarter he worked more than 250 hours of overtime—all while taking night classes. Tyson is truly dedicated and willing to go the extra mile. He is often one of the first to volunteer for many projects. Tyson's problem solving is best demonstrated by his ability to break down complicated issues and relate them to clients as well as his fellow teammates. Tyson has an outstanding commitment to his team and to our clients. His knowledge and willingness to help is well-known and he is highly sought after by his teammates.

COMMITMENT



Bethany Schultze
Analyst
Mutual Funds, Omaha

Q1 Winner

Beth has been instrumental in the successful integration of two new tasks assigned to her group in the last several months. She was part of the group who assumed the Middle Office functions to handle Mutual Fund review release in AOM and also the manual review, input and execution of mutual fund orders in ToS admin. Handling the ToS orders is particularly time sensitive and potentially stressful because the entire process is manual. Part of the duties includes contacting Retail clients when rejecting an order. Beth utilizes her past experience from Investor Services to assist the other reps when communicating with clients.

EXTRAORDINARY



Sara Sheridan*
Senior Analyst
Asset Transfer Services (ATS), Omaha

Q4 Winner

Sara holds the highest productivity in the department, which is currently at 144%. She has also shown great leadership this quarter by taking ownership of complex issues and being willing to help others. Sara is one of the biggest contributors to the success of the Asset Transfer Services team. She frequently takes ownership of the Lean issues that result from problem solving meetings. Sara has received 11 Share Better certificates for the quarter (so far). Ryan Paul wrote "Sara is extraordinary in many ways. She is a true wealth of knowledge and always willing to help." Sara truly exemplifies the meaning of TOPS.



Ashley Slechta
Loss Prevention Analyst
Payment Services, Omaha

Q3 Winner

Ashley consistently has the highest production on her team and has proven herself to be a valuable asset because she is able to flex into several other queues when needed. Ashley was asked to speak at the Associate Kickoff for Lean Wave 2. She accepted and was very eager to share her own experiences about Lean. She prepared for the speech by noting how Lean has been an overall benefit to the team, but did not shy away from saying there were also some struggles along the way. Ashley is the most involved Associate during her team's huddle discussions and problem solving sessions and does a great job acknowledging other Associates during these sessions. These were just two of the many reasons that Ashley was recently promoted to a Performance Improvement Technician (PIT) position on her team.

VALUABLE ASSET

* denotes repeat winners



Katie Smith

Cost Basis Analyst

Government Reporting, Fort Worth

Q1 Winner

Katie has been dubbed the “go-to” person by many Investment Consultants (ICs) for complex Gainskeeper issues. She received this prestigious honor because the ICs discovered that Katie won’t quit until it’s fixed and is fixed correctly. Recently Katie spent over a month working on resolving a break in Gainskeeper that no one could solve and had been chalked up as unfixable due to system limitations. Partnering with several different departments, Katie evaluated how information was entered into our systems and how it affected the Gainskeeper break. After doing this, she was able to identify the cause of the break and the information was sent to the administrator for a global fix.



KC Snow

Estate/Divorce Specialist

Client Account Services, Fort Worth

Q2 Winner

KC approaches her interactions with clients and coworkers very professionally. She brings a high degree of emotional intelligence to the table and models this behavior for all those who come into contact with her. When working through complex client situations, she does a great job balancing risk to the firm with a Client Centric focus. When delivering difficult news to a client, KC always looks for a way to make it easier for the client to focus on the solution by offering options to complete additional requirements or asking for exceptions from management when warranted. While client satisfaction is a strong focus, KC’s expert command of our policies and procedures ensures she does not compromise the firm’s integrity as she works toward solutions.



Blaine Stockfleth

Team Manager

Trading, Omaha

Q2 Winner

Blaine sets an excellent example for his team to follow and has really inspired them. He embodies something we try to instill in our Associates and that is always looking for ways to improve. Blaine has helped inspire the Will to Win by showing our Associates that their ideas matter and how they can put them into action. One of Blaine’s Associates said the following about him. “Blaine takes the time to listen. He is very understanding and easy to work with and he is the hardest working person I know at TD Ameritrade.” Blaine is the type of Associate that others look to when they don’t know where to go for a solution. His willingness to help and his expertise allow him to make an impact every day not only in Brokerage Operations, but throughout the organization.

WILL TO WIN



Clark Taylor

Team Manager

Account Transfer Services (ATS), Fort Worth

Q2 Winner

As a team leader, Clark was a key point of contact as well as a subject matter expert for ATS, handling daily escalations that required complex solutions. In his new role as a Lean coach, Clark has become an advocate of those he coaches, helping them to understand and work through hurdles they may face. Coupled with his call center knowledge and managerial courage, he is able to effectively call upon his commitment to the role and work through these situations. Most importantly, Clark consistently displays excellent judgment through timely communications with senior management that display integrity and transparency.



Josh Tingle

Senior Risk Analyst

Margin Analytics, Fort Worth

Q1 Winner

From the first day Josh came into Margin Analytics, his highest ambition was to dramatically improve what we do on a daily basis. Josh has met his goal and continues to elevate the team to new levels of performance. He constantly finds ways to improve the effectiveness of various processes and repeatedly proves his skill and determination by building tools that are groundbreaking to TD Ameritrade and Margin Analytics. For example, Josh created an incredible web-based application that allows analysts, managers, directors and executives to look into various risk metrics on demand. He undertook the entire process—from managing the database that stores the data to creating the interface that allows the user to easily understand what they are looking at. In most companies, this project would require many different representatives working together, but Josh accomplished it on his own. The skill set Josh commands is highly diverse and very valuable, and we are lucky to have him on our team.

**FINDS WAYS
TO IMPROVE**



Lisa Tracy*
thinkorswim Clearing Analyst
TOS Middle Office, Omaha

Q2 Winner

Lisa is a two-time TOPS winner; she was selected as one of the first TOPS winners in 2008 when the program was created. She continued doing great work, excelling in challenges sent her way and established herself as a key member of the thinkorswim team. Recently there were some issues stemming from the ToS/TDA clearing conversion that made assisting clients with tax preparation extremely difficult. As such, Lisa was designated as the team's point person to assist each client who was negatively impacted by missing or incorrect cost basis information. She proactively retrieved the requested information and also went the extra mile to perform quality checks complete with in-depth explanations to our clients. She embodies the Business Made Easy theme endorsed by TD Ameritrade and her management team is proud to have her at the forefront of the department promoting excellent customer service.



Andrew Weeks
Assistant Team Manager
Non-Standard Assets, Omaha

Q2 Winner

Andrew engages the Associates on his team every day to find ways to improve the processes and systems. He speaks with them individually and in group settings to find better ways to do things. Through working with the team, he has decreased keystrokes for Associates by 84% which has inspired them to look for additional efficiencies. He has been a pivotal leader in the department during the changes that have come due to process and system changes. Andrew spends time with each Associate teaching them about the new systems, engages them for ideas and leads by example on always improving on all ideas—even including his own. He is also willing to put his weaknesses and mistakes out in the open for the entire team to learn from.



Bree Welfl
Assistant Team Manager
Asset Transfer Services (ATS), Omaha

Q1 Winner

Bree was nominated for TOPS this quarter by three individual Associates on her team. She is held in extremely high regard and has earned both respect and admiration from her teammates. One Associate noted that "Bree takes time to listen to the situation, listen to your suggestions and gives valuable feedback when needed. She will communicate your suggestions to the management team and provide follow up to you from the management team. She asks you to give feedback on developments, encouraging us to become more involved in the team development." Bree's energy and quick thinking is solid to the team, and her decision making is always for the betterment of the team.

* denotes repeat winners



Skyla Wolcott

Principal

Client Account Services, Fort Worth

Q3 Winner

Skyla regularly exceeds team averages in processing and ended the quarter averaging 130% in productivity. Her daily contribution to production in the queues makes a significant impact on the team's ability to meet service level commitments to our clients and business partners. Skyla has a sharp focus on the team's processes and how we interact with our business partners in Investor Services and the branches. Skyla came to the team from Investor Services so she brings a strong Client Centric outlook to everything she does. She always brings the client view back into play to make sure that we don't lose sight of the end goal which is client satisfaction and loyalty. Skyla is results driven and she brings 100% to work every day.

CONSUMMATE TEAM PLAYER



Jessica Ybarra*

Senior Analyst

**Automated Customer Account Transfer Services (ACATS),
Fort Worth**

Q3 Winner

Jessica is the go-to person in the ACATS group for her depth of departmental knowledge and also for her network of contacts throughout the firm. At the team level, Jessica consistently finds ways to impart her knowledge on her fellow Associates and often acts as a conduit to spur teamwork and unity. Because of her intimate knowledge of the ACATS department and their processes in general, Jessica is able to clearly outline improvement opportunities and champion their implementation. Management leans heavily on Jessica's ability to bring divergent groups together to drive initiatives with common goals. She is the consummate team player, always willing to help her fellow Associates and takes pride in ensuring that the department hits their team goals.

MANAGERIAL COURAGE



Jessica Zulkosky*

Team Manager (Lean Leader)

Payment Services, Omaha

Q2 Winner

Jessica is a two-time TOPS winner, winning the first time in Q1 of 2011. She has shown managerial courage during a time when it was absolutely needed. As Lean was implemented into Payment Services, there were many critical points when this cultural change could have created Associate animosity. Instead, Jessica stepped up and led her team by thoroughly explaining the methodologies and building a unified workforce that embraced the implementation. The impact that Jessica has made specific to Lean this past quarter is her biggest accomplishment. She has developed a skill set regarding Lean principles that have impressed all levels of the company resulting in an invitation to serve as a Lean leader.

* denotes repeat winners



Jake Christensen

Team Manager, Margins, Omaha

Three-time TOPS Winner: 2008, 2010 and 2011

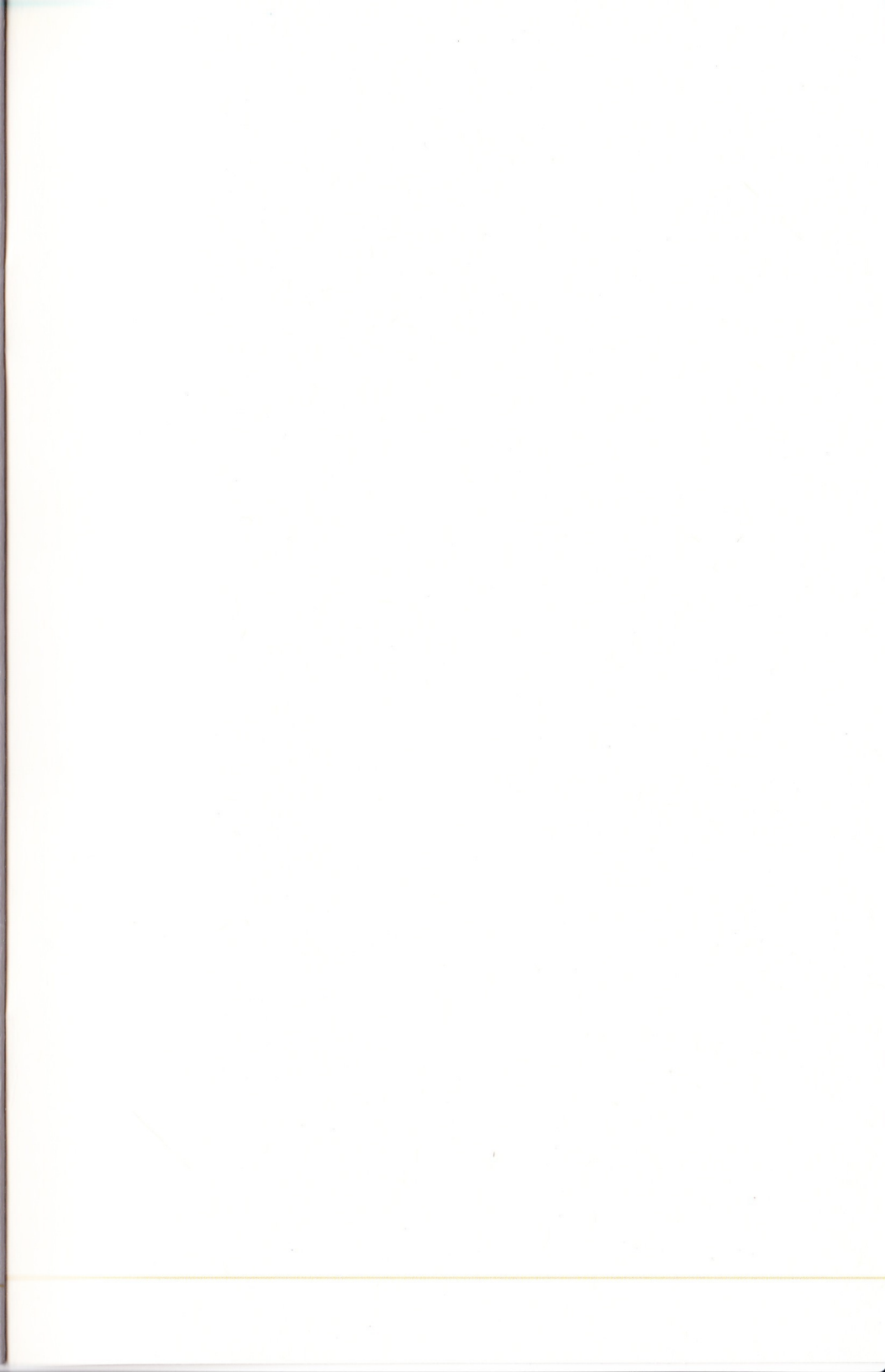
Guest of Honor

Jake Christensen is the only Associate to have been selected as a TOPS winner on three separate occasions. He has held a number of positions during his tenure at TD Ameritrade—beginning with Client Services in 2006, then moving to Credit Risk and Operations Strategy. During his career, he has amassed a tremendous wealth of knowledge and has served as a subject matter expert on many different projects. Jake's tremendous work ethic and leadership ability helped him earn a promotion to Margins Team Manager in July 2012.

Jake was unable to attend the 2011 year-end TOPS celebration, so we invited him to attend this year's gala as our special guest of honor.

**TREMENDOUS
WORK ETHIC**





HIGHEST PRODUCTIVITY

RESPECT FOR OTHERS

BEST OF

INSPIRES
OTHERS