

TD AMERITRADE HOLDING CORP

Form 4

April 07, 2010

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF  
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
MOGLIA JOSEPH H

2. Issuer Name and Ticker or Trading  
Symbol  
TD AMERITRADE HOLDING  
CORP [AMTD]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
4211 SOUTH 102ND ST.  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
04/05/2010

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)

OMAHA, NE 68127

4. If Amendment, Date Original  
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------------------------|
| Common<br>Stock                       | 04/05/2010                              |                                                             | M                                       | 9,000                                                                   | A \$ 3.9                                                                                                           | 728,589                                                              | D                                       |
| Common<br>Stock                       | 04/05/2010                              |                                                             | S <sup>(1)</sup>                        | 9,000                                                                   | D \$<br>19.39<br>(2)                                                                                               | 719,589                                                              | D                                       |
| Common<br>Stock                       | 04/06/2010                              |                                                             | M                                       | 9,000                                                                   | A \$ 3.9                                                                                                           | 728,589                                                              | D                                       |
| Common<br>Stock                       | 04/06/2010                              |                                                             | S <sup>(1)</sup>                        | 9,000                                                                   | D \$ 19.8<br>(3)                                                                                                   | 719,589                                                              | D                                       |
| Common<br>Stock                       | 04/07/2010                              |                                                             | M                                       | 9,000                                                                   | A \$ 3.9                                                                                                           | 728,589                                                              | D                                       |

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|        |            |                  |       |   |                    |         |   |
|--------|------------|------------------|-------|---|--------------------|---------|---|
| Common | 04/07/2010 | S <sup>(1)</sup> | 9,000 | D | \$<br>20.03<br>(4) | 719,589 | D |
| Stock  |            |                  |       |   |                    |         |   |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                    | 8               |                                        |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|-----|---------------------------------------------------------------------|--------------------|-----------------|----------------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code                                    | V                                                                                                               | (A)                                                            | (D) | Date<br>Exercisable                                                 | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of<br>Shares |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 3.9                                                                | 04/05/2010                              |                                                             | M                                       |                                                                                                                 | 9,000                                                          |     | <u>(5)</u>                                                          | 03/01/2013         | Common<br>Stock | 9,000                                  |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 3.9                                                                | 04/06/2010                              |                                                             | M                                       |                                                                                                                 | 9,000                                                          |     | <u>(5)</u>                                                          | 03/01/2013         | Common<br>Stock | 9,000                                  |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 3.9                                                                | 04/07/2010                              |                                                             | M                                       |                                                                                                                 | 9,000                                                          |     | <u>(5)</u>                                                          | 03/01/2013         | Common<br>Stock | 9,000                                  |

## Reporting Owners

| Reporting Owner Name / Address          | Relationships                    |
|-----------------------------------------|----------------------------------|
|                                         | Director 10% Owner Officer Other |
| MOGLIA JOSEPH H<br>4211 SOUTH 102ND ST. | X                                |

OMAHA, NE 68127

## Signatures

/s/ Graham Fowler, as attorney-in-fact for Joseph H.  
Moglia

04/07/2010

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) The sales reported in this Form 4 were effected under a Rule 10b5-1 trading plan adopted by the reporting person on December 4, 2009.
- This price represents the weighted average sales price for multiple transactions reported on this line. The prices of the transactions reported on this line ranged from \$19.31 to \$19.47. Upon request by the SEC staff, the issuer or a security holder of the issuer, the reporting person will undertake to provide full information regarding the number of shares and prices at which transactions were effected.
- (3) This price represents the weighted average sales price for multiple transactions reported on this line. The prices of the transactions reported on this line ranged from \$19.39 to \$20.09. Upon request by the SEC staff, the issuer or a security holder of the issuer, the reporting person will undertake to provide full information regarding the number of shares and prices at which transactions were effected.
- (4) This price represents the weighted average sales price for multiple transactions reported on this line. The prices of the transactions reported on this line ranged from \$19.89 to \$20.19. Upon request by the SEC staff, the issuer or a security holder of the issuer, the reporting person will undertake to provide full information regarding the number of shares and prices at which transactions were effected.
- (5) The option vested daily from the date of grant over 731 days.
- Shows options remaining under the Rule 10b5-1 trading plan adopted by the reporting person on December 4, 2009. As of the commencement of trading under the Rule 10b5-1 trading plan adopted by the reporting person on December 4, 2009, the reporting person beneficially owned options to purchase 7 million shares of common stock of the issuer.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.