Service Team Contact Information
XY Financial Planning Network

TD Ameritrade Institutional

Service Team Contact Information for XY Planning Network

7:30 am – 7:00 pm , Central Time

Phone: (866) 418-0401

Option 1: Trading

Option 2: Relationship Service Team*

Option 3: Technology

**If caller does not select an option, the call will roll to the general Independence service team.*

Fax: (866) 226-4617

XYPlanningNetwork@TDAmeritrade.com

Regular

TD Ameritrade Institutional
P.O. Box 650567
Dallas, TX 75265-0567

Overnight

TD Ameritrade Institutional
7801 Mesquite Bend Drive, Suite 112
Irving, TX 75063-6043

ESCALATION PATH

For escalated issues, when using the contact information to the left, please ask the TDA representative to "escalate through the XYPN inbox". TDA has created an internal inbox to handle urgent XY items. This inbox is handled by management and senior associates.

Digital information

Veo - Advisor Website

Our account management and trading platform designed with input from advisors like you.

AdvisorServices.com

Client Portal

Give your clients the ability to view their account balances, positions, transaction history and more within our secure client website.

AdvisorClient.com

Conferences & Events

Attend one of our world-class events for an opportunity to connect with peers and uncover best-practices to help your business thrive.

TDAmeritradeConferences.com

Public Site

Learn about our products and services. Gain access to resources and ideas for you, your clients, and your business.

TDAInstitutional.com

Social Media

facebook.com/TDAmeritradeInstitutional/

@TDA4advisors

youtube.com/TDA4advisors

linkedin.com/company/tdameritradeinstitutional

tda4advisors.com

Operations

Service Level Agreements

Service level agreements are based on request being in good order.

Processing Service Level Agreements

Process Name	Fax received or email responded to by:	Must be in process by:
Account services	PST	PST
Account Opening	1:00 pm	6:00 pm Same Day
Account Maintenance	1:00 pm	6:00 pm Same Day
Banking	1:00 pm	6:00 pm Next Day
Cash management		
Wires	10:00 am	1:00 pm Same Day
International Wires	9:30 am	12:00 Same Day
Internal transfers	10:00 am	1:30 pm Same Day
ACH requests	12:00 pm	2:00 pm Same Day
Check requests	12:00 pm	3:00 pm Same Day
Move Money request	10:00 am	6:00 pm Next Day
Periodic payment set up	4:00 pm	6:00 pm Next Day
Management fee billing	4:45 pm	1:45 pm Next Day
Incoming Transfers		
ACAT	10:00 am	8:59 pm Next Day
Partial ACAT	10:00 am	8:59 pm Next Day
Mutual Fund	10:00 am	8:59 pm Next Day
Non-Acat	10:00 am	8:59 pm Next Day
Rollover	10:00 am	8:59 pm Next Day

Service level Timeline Examples

Client John Doe - acct (-xxxx): In good order

- New account documents received 7/6 at 11:00 am
- Account opened and operational 7/6 at 1:42 pm
- Viewable in Veo 7/7

Client Jane Doe - acct (-xxxx): In good order

- New account documents received 7/6 at 11:02 am
- Account opened and operational 7/6 at 1:33 pm
- Viewable in Veo 7/7
- Client Jane Doe - acct (-xxxx): Paperwork deficient & PA Flag (most delayed scenario)

New account documents received 7/6 at 11:56 pm

- E-mail sent missing client phone number 7/7
- Received phone number 7/7
- Account attempted to be opened 7/7 – Flagged for Patriot Act
- 7/8 – Email sent to advisor with PA flag details

Client Joe Doe – acct (-xxxx): Paperwork submitted after cut-off

- New account documents received 10/5 at 1:56 pm
- Paperwork worked 10/6; account opened and operational 10/6
- Viewable in Veo 10/7

Topics of interest

Pre-assigning Account Numbers

By obtaining a pre-assigned account number prior to submitting account paperwork your firm will be better equipped to monitor the work flow progress. Pre-assigned account numbers are also helpful by giving multiple internal departments (transfers, new accounts, cash management etc.) a common number to index items under, making it easier to locate all associated paperwork.

Veo Alerts & Subscriptions

Preferences > User Preferences > Alerts & Subscriptions – Utilizing the alerts and subscriptions is the best way to stay attentive and responsive to client accounts. They are useful for a wide variety of situations and allow internal workflows to be leaner, e.g. – Alert type *Money In* – allows a trader to see when funds hit an account, allowing them to trade immediately. Alerts and subscriptions are User ID specific, so they can be tailored to the specific user's task profile.

Veo Message Center

The Message Center is a direct, secure link to your service team and the technology team. It allows you to send correspondence securely (no need to encrypt documents) to TD Ameritrade Institutional as well as request general service from your service team. It is an effective way to get documents to TD Ameritrade Institutional, any expedited requests should be made through the message center and followed with a phone call asking for us to process that item.

PATRIOT Act Flags

We verify client information (SSN, address, etc.) at the end of our review process. This is by design. A Patriot Act flag is when a client is unable to be fully verified and the team will have to reach out and collect extra information to manually clear the client. There are times when this is after we have already reached out to collect information that was deficient on the account application in our up-front review.