

WILLIAM PATERSON UNIVERSITY
and the
Cotsakos College of Business

“PIONEERS IN FINANCIAL SERVICES AWARD”

Each year, the Cotsakos College of Business at William Paterson University seeks to honor a pioneer in the field of financial services for their outstanding contributions that have helped shape the field today.

To be considered for this award, the individual, group, or organization must meet the following criteria:

- Enhance and improve the life and livelihood of a large number of Americans
- Enhance and improve the financial well-being of a large number of Americans
- Promote trust and confidence in the financial services industry
- Demonstrate ethical behavior by providing products and services without conflicts of interest
- Empower college students and novice investors to invest and/or prepare for retirement
- Increase financial literacy and awareness amongst consumers

This award seeks to recognize individuals, groups, or organizations that have dedicated themselves to genuinely improve and enhance the financial services profession. Recipients have engaged themselves in making a positive difference in their regional, national, or global communities.

2013 RECIPIENT = Tom Bradley, CEO of TD Ameritrade Retail, former CEO of TD Ameritrade Institutional

DATE: April 17, 2013, 11 am

LOCATION: Cotsakos College of Business at WPU. 1600 Valley Road, Wayne, NJ 07470, room #1012.

WHAT: Tom Bradley (CEO of TD Ameritrade Retail, former CEO of TD Ameritrade Institutional) speaking and being presented with “Pioneers in Financial Services” Award presented by President Kathleen Waldron of William Paterson University. Tom Bradley will be introduced by Lauren Locker, NAPFA’s National Chair and WPU alumnus.

WHO: This event is free and open to anyone that would like to attend, but seating is limited, so we suggest you arrive 15-20 minutes early to ensure that you can get a seat.

Tom Bradley is the President of TD Ameritrade-Retail, and he previously served as President of TD Ameritrade-Institutional. Tom has spent over 25 years working in various aspects of TD Ameritrade’s business unit supporting independent registered investment advisors (RIA’s). In 1992, he started TD’s independent investment advisor services unit. In 1998, he was charged with creating the TD’s Investment Center, which provides retail customers with investment guidance and support.

Over his tenure, Tom has built a reputation for his advocacy efforts, particularly with respect to those issues impacting RIA’s. Specifically, he has been an advocate for the U.S. to impose a fiduciary requirement on all professionals that hold themselves out to be a financial advisor to clients. He was also instrumental in helping the Coalition for Financial Planning to reverse the “Merrill Lynch rule” created by the SEC which allowed brokerage firms to market and charge fees for investment advisory services without being held to the fiduciary standard of care required by the 1940 Investment Advisors Act. ((See this Bloomberg article written at the time for more details on the fiduciary standard and Merrill Lynch rule:

<http://www.bloomberg.com/apps/news?pid=newsarchive&sid=a6xcdDORhQwc>).

In 2011 he was named one of the 25 most influential people in the RIA community by Investment Advisor magazine, an honor he received in 2004, 2006 and 2009 as well.

Bradley has more than 26 years of experience in the financial services industry. He joined TD Waterhouse in 1986 and continued with the firm upon its merger with Ameritrade in 2006. At TD Waterhouse he was responsible for TD Waterhouse Group’s U.S. independent RIA services, correspondent clearing and capital markets businesses.

Tom is married (Susan) and has 6 children. Prior to joining TD Waterhouse, Bradley was a financial advisor with Northwestern Mutual Life and RW Baird & Co.

He received a B.S. in business administration, with a concentration in finance, from the University of Richmond, Robins School of Business. He earned a Certified Fund Specialist (CFS) designation and holds Series 4, 7, 8, 24, 53, 63 and 65 securities licenses.

This award presentation, and luncheon were made possible thanks to a generous grant from StateFarm.

For more info about Mr. Bradley:

<http://investing.businessweek.com/research/stocks/people/person.asp?personId=24559633&ticker=AMTD&previousCapId=359086&previousTitle=TD%20AMERITRADE%20HOLDING%20CORP>

For more info about William Paterson University:

<http://www.wpunj.edu/university/universityfacts/index.dot>



Tom Bradley

2012 RECIPIENT = John C. Bogle, Founder & former CEO of Vanguard

For more info about Mr. Bogle:

<http://johncbogle.com/wordpress/about/>

For more info about William Paterson University:

<http://www.wpunj.edu/university/universityfacts/index.dot>

