

TD AMERITRADE HOLDING CORP
Form 8-K
December 01, 2015

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, DC 20549

FORM 8-K

Current Report

Pursuant to Section 13 or 15(d)

of the Securities Exchange Act of 1934

Date of Report (Date of earliest event reported): December 1, 2015

TD Ameritrade Holding Corporation

(Exact name of registrant as specified in its charter)

Delaware
(State or other jurisdiction

of incorporation)

1-35509
(Commission

File Number)

82-0543156
(I.R.S. Employer
Identification Number)

200 South 108th Avenue
Omaha, Nebraska
(Address of principal executive offices)

68154
(Zip Code)

Registrant's telephone number, including area code: (402) 331-7856

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- “ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- “ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- “ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- “ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Item 3.01 Notice of Delisting or Failure to Satisfy a Continued Listing Rule or Standard; Transfer of Listing

On December 1, 2015, TD Ameritrade Holding Corporation provided written notice to the New York Stock Exchange (NYSE) that it intends to voluntarily delist its common stock from the NYSE at the close of trading on December 11, 2015 and intends to transfer the listing of its common stock to The NASDAQ Global Select Market (NASDAQ) on the opening of trading on December 14, 2015. TD Ameritrade has been authorized for listing on NASDAQ, and its common stock will continue to trade under the stock symbol AMTD on NASDAQ.

A copy of the press release issued by TD Ameritrade is furnished as Exhibit 99.1 to this Current Report on Form 8-K.

Item 9.01 Financial Statements and Exhibits

(d) Exhibit

99.1 TD Ameritrade s press release regarding the transfer of listing to NASDAQ

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

TD AMERITRADE HOLDING CORPORATION

Date: December 1, 2015

By: /s/ Stephen J. Boyle

Name: Stephen J. Boyle

Title: Executive Vice President, Chief Financial
Officer