

RICKETTS J JOE

Form 4

May 04, 2009

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 *
RICKETTS J JOE

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)

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

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

C/O HUGO LLC, 1395 S. PLATTE
RIVER DRIVE

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

DENVER, CO 80223

(City) (State) (Zip)

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership Indirect Beneficial Ownership (Instr. 4)
Common Stock	04/30/2009		M	387,443 (1)	A \$ 12.92 58,637,737	D	
Common Stock	04/30/2009		M	537,557 (1)	A \$ 8.41 59,175,294	D	
Common Stock	04/30/2009		S	925,000 (2)	D \$ 16.24 58,250,294	D	
Common Stock	05/01/2009		M	435,268 (1)	A \$ 8.41 58,685,562	D	
	05/01/2009		M		A \$ 4.25 59,125,294	D	

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Common Stock			439,732 (1)				
Common Stock	05/01/2009	S	875,000 (4)	D	\$ 16.04 (5)	58,250,294	D
Common Stock	05/04/2009	M	537,558 (1)	A	\$ 4.25	58,787,852	D
Common Stock	05/04/2009	M	104,827 (1)	A	\$ 3.51	58,892,679	D
Common Stock	05/04/2009	S	1,202,385 (6)	D	\$ 16.51 (7)	57,690,294	D
Common Stock						20,493,876	I By Spouse

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

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(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Options	\$ 12.92	04/30/2009		M ⁽⁸⁾	387,443	⁽⁹⁾ 09/30/2009	Common Stock 387,443
Stock Options	\$ 8.41	04/30/2009		M ⁽⁸⁾	537,557	⁽⁹⁾ 09/30/2009	Common Stock 537,557
Stock Options	\$ 8.41	05/01/2009		M ⁽⁸⁾	435,268	⁽⁹⁾ 09/30/2009	Common Stock 435,268
Stock Options	\$ 4.25	05/01/2009		M ⁽⁸⁾	439,732	⁽⁹⁾ 09/30/2009	Common Stock 439,732
Stock Options	\$ 4.25	05/04/2009		M ⁽⁸⁾	537,558	⁽⁹⁾ 09/30/2009	Common Stock 537,558
Stock Options	\$ 3.51	05/04/2009		M ⁽⁸⁾	104,827	⁽⁹⁾ 09/30/2009	Common Stock 104,827

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
RICKETTS J JOE C/O HUGO LLC, 1395 S. PLATTE RIVER DRIVE DENVER, CO 80223	X	X		

Signatures

/s/ J. Joe

Ricketts

05/04/2009

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) Reflects shares received upon exercise of Stock Options granted to Mr. Ricketts pursuant to Rule 16b-3.
- (2) Reflects the aggregate amount of shares sold by Mr. Ricketts on April 30, 2009.
- Reflects the weighted average sale price per share for Mr. Ricketts' transactions on April 30, 2009. The price per share for such transactions ranged from \$15.85 to \$16.85. Full information regarding the number of shares sold at each separate price will be provided to the United States Securities and Exchange Commission, the Issuer or a security holder of the Issuer upon a request for such information.
- (3)
- (4) Reflects the aggregate amount of shares sold by Mr. Ricketts on May 1, 2009.
- Reflects the weighted average sale price per share for Mr. Ricketts' transactions on May 1, 2009. The price per share for such transactions ranged from \$15.84 to \$16.19. Full information regarding the number of shares sold at each separate price will be provided to the United States Securities and Exchange Commission, the Issuer or a security holder of the Issuer upon a request for such information.
- (5)
- (6) Reflects the aggregate amount of shares sold by Mr. Ricketts on May 4, 2009.
- Reflects the weighted average sale price per share for Mr. Ricketts' transactions on May 4, 2009. The price per share for such transactions ranged from \$15.99 to \$16.83. Full information regarding the number of shares sold at each separate price will be provided to the United States Securities and Exchange Commission, the Issuer or a security holder of the Issuer upon a request for such information.
- (7)
- (8) Exercise of Stock Options granted to Mr. Ricketts pursuant to Rule 16b-3.
- (9) Stock Options are currently exercisable.
- (10) The Stock Options were granted to Mr. Ricketts pursuant to Rule 16b-3.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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