

Users' Guide

Account Management

 Interactive Brokers

Account Management Users' Guide

February 2016

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Getting Started

This chapter introduces you to Account Management and provides an overview of common functions. The following topics are included:

- [About Account Management](#)
- [Account Management Access and Account Structures](#)
- [Logging In](#)
- [Home Page](#)
- [Menus](#)
- [Getting Help](#)
- [Navigating Account Management Pages](#)
- [Changing the Active Account](#)
- [Account Selector](#)
- [Changing the Display Language](#)
- [Printing](#)
- [Logging Out](#)

About Account Management

Our Account Management system lets you configure and manage your account from a single window, and gives you convenient access to these account and website functions:

- [Trade](#) - All accounts can launch Trader Workstation and WebTrader, trade within Account Management using QuickTrade, and some multiple account structures can access Post-Trade Allocations.
- [Reports](#) - Customize and generate reports such as activity statements, margin reports, trade confirmations, and tax forms.
- [Funding](#) - Set up fund and position transfers to and from your account, check the status of your deposits, transfers and withdrawals; specify client fees for broker or advisor client accounts; submit advisor-calculated fee invoices for client accounts; authenticate pending bank instruction requests; and more.
- [Manage Account](#) - Configure your account, including account- and user-level settings. These include personal, financial and regulatory information; IP restrictions; pricing structures; base currency; master account functions; adding users and defining their access rights; viewing, adding and closing broker or advisor client accounts; and much more.
- [Manage Clients/Funds/Traders](#) - Advisors, Brokers (Fully Disclosed and Non-Disclosed) and SIPP account administrators access this menu to configure their client accounts. Hedge Fund Investment Managers who manage multiple funds access this menu as Manage Funds. Proprietary Trading Group STL Account Master Users access this as the Manage Traders menu. Functions include viewing and adding client accounts and fund accounts; configuring client account trading permissions; specifying client fees for broker or advisor client accounts and SMA accounts; submitting fee invoices for client accounts; and much more.
- [Investors' Marketplace](#) - Eligible customers can access our Hedge Fund Investor Site, eligible hedge funds can participate in Hedge Fund Capital Introduction program, and other accounts can access the Money Manager, Administrator marketplaces and Third Party Custodian pages.
- [Support](#) - Point of access for submitting and tracking Customer Service issues; initiating live chat; and accessing Customer Service tools.
- [Reference](#) - Access important information from our website, including our product and exchange listings and detailed information on margin and order types.

Note: When navigating through the different pages in Account Management, do NOT use your browser's Back button. If you do, you may be logged out of the system. Instead, use the **Back** button provided on the Account Management pages.

Account Management Access and Account Structures

Access to the many features in Account Management is based on your customer type and account structure.

Customer Types

There are two main customer, or legal, types:

- **Single** - An individual is classified as individual, joint (two individuals), trust, or IRA.
- **Organization** - An organization is classified as a corporation, partnership, limited liability corporation (LLC), or unincorporated business.

Account Structures

Access to the many functions in Account Management depends on your account structure. For example, you might be an advisor or broker master user, an advisor or broker client user, proprietary trading group master user or an institution sub user, or an individual trader or investor.

We offer the following account structures, which reflect your business:

Account Structure	Description
Traders and Investors	
Individual, Joint, Trust, and IRA and Custodial (UGMA/UTMA)	Individual, Joint, Trust and IRA users who manage their own accounts, and UGMA/UTMA account custodians who manage accounts for minors.
Small Business	Single Corporations, Partnerships, Limited Liability Corporations and Unincorporated legal structures that manage their own accounts.
Friends and Family Group Group	Multiple accounts (15 or fewer) managed under a single login. Managed accounts can be single and/or organization customer types, including family office and small business accounts.
RSP and TFSA (IB Canada only)	IB Canada offers Regular RSP, Spousal RSP and TSFA accounts for individuals only. RSP accounts require a minimum equity size of 10K USD equivalent. A Spousal RSP account allows spouse or common law partner to contribute to your RSP and receive the benefit of the tax deductions for such contributions.
Advisors	

Account Structure	Description
Advisor Master User Individuals	Individual financial advisors who manage a group of master and/or client accounts.
Advisor Master User Organizations	Organizations who manage a group of master and/or client accounts.
Advisor Client User Individuals	Individuals whose accounts are managed by a professional financial advisor.
Advisor Client User Organizations	Organizations whose accounts are managed by a financial advisor.
Self-Directed IRA Third-Party Custodian Accounts	Advisor client IRA accounts that are held at designated third party trustees.
Pension Plan Trust Accounts	These client accounts are trust accounts that hold assets for a qualified Pension Plan (as specified in Section 401(a) of the Internal Revenue Service Code).
Hedge and Mutual Funds	
Investment Manager Master Users	Investment managers who manage a single fund, multiple or omnibus funds.
Funds	Hedge or mutual funds managed by an investment manager.
Separately Managed Accounts	Separately Managed Accounts (SMAs) that are part of a multiple hedge fund account structure. SMAs can be Individuals or Organizations.
Registered Brokers and FCMs	
Broker Master Users	Introducing brokers or broker/dealers who manage a group of broker master and/or broker client accounts.
Broker Fully Disclosed Client User Individuals	Fully disclosed individuals whose accounts are managed by a Broker Master User.
Broker Fully Disclosed Client User Organizations	Fully disclosed organizations whose accounts are managed by a Broker Master User.
Broker Non-Disclosed Client Users	Non-disclosed broker clients whose accounts are managed by a broker.

Account Structure	Description
Broker Omnibus Client Users	Omnibus broker clients whose accounts are managed by a broker.
Proprietary Trading Groups	
Proprietary Trading Group Master Users	Proprietary trading accounts with jurisdiction over multiple accounts for banks, brokers, trading arcades or other institutions. A Proprietary Trading Group Master User can create sub accounts with separate trading limits for their employees.
Proprietary Trading Group Sub Users	Traders (employees of an institution) whose sub accounts are managed by a Proprietary Trading Group Master User.
SIPP Accounts	
SIPP Administrator	A SIPP Administrator is the Master User of a SIPP account. A SIPP Administrator's clients can open sub accounts and trade their SIPP through Interactive Brokers (UK) Limited.
Administrators	
Administrator	Third-party administrators, auditors and outside legal counsel log in once to perform reporting and other administrative tasks for multiple client accounts.

The following table shows the Account Structure Key. We reference these account structures throughout this guide to identify who can access each function in Account Management.

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
AM	Advisor Master Individual
AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)

AC	Advisor Client Individual (Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
BFC	Broker Fully Disclosed Client (Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
A	Administrator

For more information...

- [Account Configuration](#)

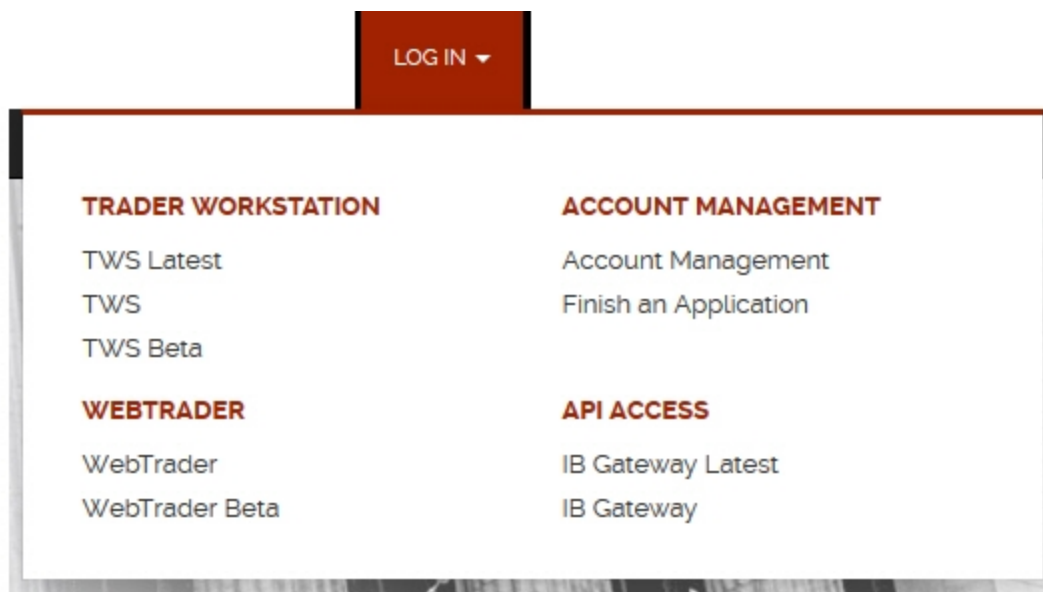
Logging In

There are three ways to log into Account Management:

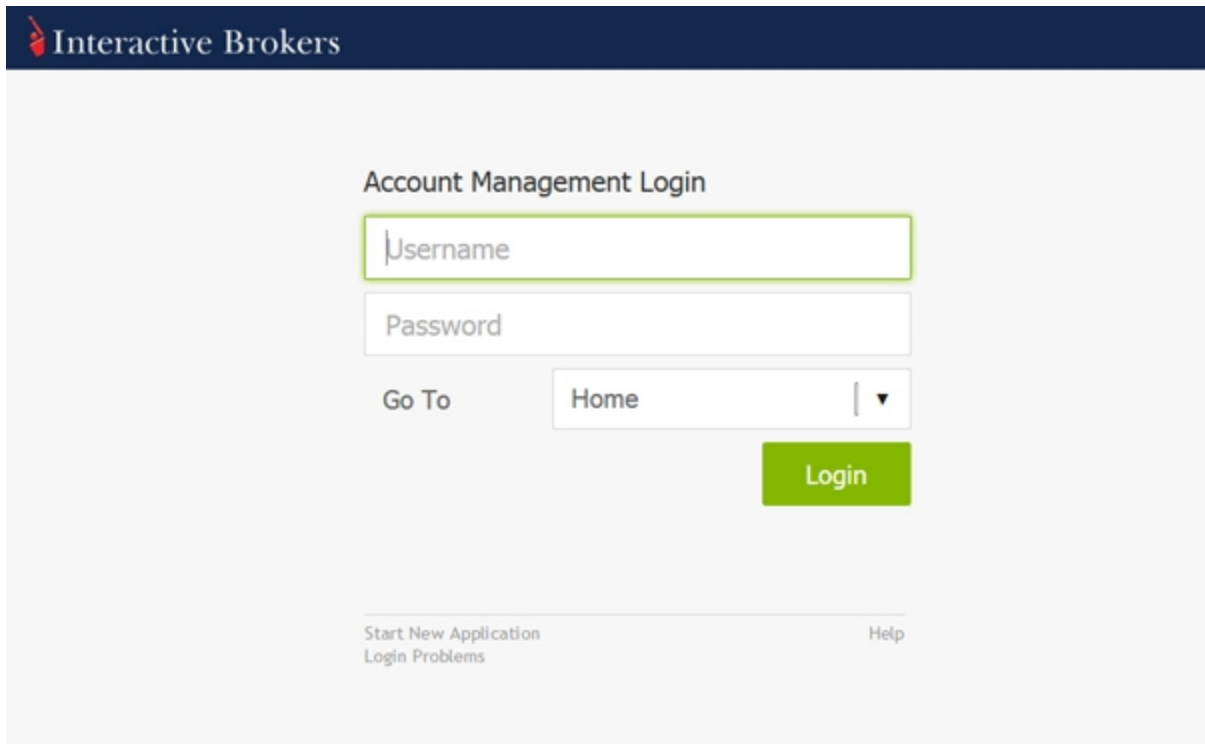
- From our website.
- From Trader Workstation.
- By typing the Account Management Login URL in your web browser.

To log into Account Management from our website

1. From our web site, select **Account Management** from the Login dropdown list on the upper right corner.



The Account Management login screen appears.



The image shows the Interactive Brokers Account Management Login page. At the top left is the Interactive Brokers logo. The main heading is "Account Management Login". Below this are two input fields: "Username" and "Password". To the left of the "Go To" dropdown menu is the text "Go To". The dropdown menu currently shows "Home" and a downward arrow. To the right of the dropdown is a green "Login" button. At the bottom left, there are links for "Start New Application" and "Login Problems". At the bottom right, there is a link for "Help".

If you have a Secure Login System security device, the login screen looks like this:

Account Management Login

Username (24)

●●●●●●●●

Go To Home ▾

Use your security code card for authentication. Two card index numbers are shown in the image below. For each index, look up the corresponding value, and enter in the field below.

Index Numbers
2 9 3 4

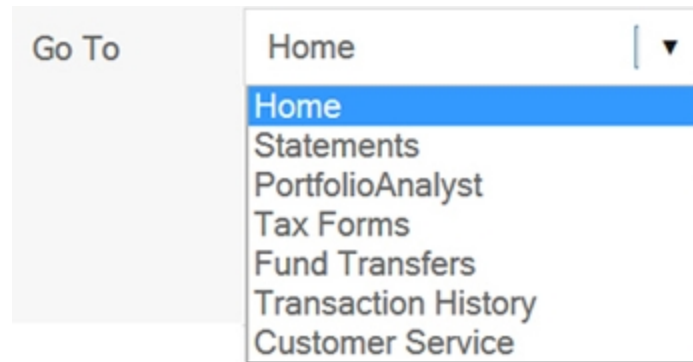
Card Values

Help

Login

Start New Application Help
Login Problems

2. In the **Username** field, type your account username.
3. In the **Password** field, type your account password.
4. Optionally select a specific destination in Account Management from the **Go To** drop-down.



5. Click the **Login** button. Account Management opens.

If you are having difficulty logging into Account Management, click the Login Problems link. This link opens a page that contains useful login troubleshooting information.

Note: Your web browser must have cookies enabled before you can log into Account Management.

To log into Account Management from Trader Workstation

1. Log into Trader Workstation.
2. From the **Account** menu, select **Account Management Home**. The Account Management Home page opens.

To log into Account Management using the Login URL

1. Open your web browser.
2. Type the following URL in your browser's address field:

<https://gdcdyn.interactivebrokers.com/Universal/servlet/AccountAccess.Login>

The Account Management Login screen appears.

3. In the **Username** field, type your account username.
4. In the **Password** field, type your account password.
5. Optionally select a specific destination in Account Management from the **Go To** drop-down.
6. Click the **Login** button. Account Management opens.

Failed Login Attempts

After ten failed login attempts in 24 hours, your Account Management login will be disabled. If this happens, contact [Customer Service](#).

Home Page

The Account Management Home page includes the following tabbed pages:

- [Summary](#) - The Real-time Summary appears by default on the Home page and includes current balances, margin requirements and available funds for your account, or in the case of a multiple account structure, for the selected account.
- [Positions](#) - The Positions tab displays all of the positions in your account, or in the case of a multiple account structure, in the selected account.
- [Pending Items](#) - The Pending Items tab displays all pending items, including outstanding document submissions or funding requests for your account, or in the case of a multiple account structure, for the selected account. The current number of pending items appears on the Pending Items tab.
- [Messages](#) - The Messages tab displays all current Customer Service messages, such as responses to inquiries, for your account, or in the case of a multiple account structure, for the selected account.. The current number of messages appears on the Message Center tab.
- [Corporate Actions](#) - The Corporate Actions tab displays all current corporate actions for your account, or in the case of a multiple account structure, for the selected account.. The current number of corporate actions appears on the Corporate Actions tab.

To return to the Home page from any place in Account Management, simply click the red icon on the left side of the Account Management menu.

The Home page also includes the following:

- Your Account Name and ID are displayed on the bottom left side of the page. Individuals with linked accounts can use this field to switch between accounts; when you switch to a linked account, Account Management reloads with data for the selected account.
- The latest news and scheduled webinars are displayed on the right side of the Home page.
- At the bottom right side of the screen, you also have access to [dynamic help](#), the [Reference menu](#) and a PDF link. Click the PDF link to create a PDF file of the currently displayed Account Management page ..

Trade Reports Funding Manage Account Manage Clients Investors' Marketplace Support Logout

Summary Positions Pending Items 0 Messages 0 Corporate Actions 0

Summary as of 8:18:10 AM Refresh

Balances (USD)

	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Net Liquidation	724.82	0.00	0.00	724.82
Equity With Loan	724.82	0.00	0.00	724.82
Cash	724.82	0.00	0.00	724.82

Current Margin Requirements (USD)

	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Initial	0.00	0.00	0.00	0.00
Maintenance	0.00	0.00	0.00	0.00

Current Available for Trading (USD)

	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Available Funds	724.82	0.00	0.00	724.82
Excess Liquidity	724.82	0.00	0.00	724.82
Buying Power				724.82
SMA				724.82

Getting Started at IB for Advisors

Wednesday, April 9, 2014
4:30 pm (EDT)

Click to Register

News

- » [Holiday Hours](#)
- » [Optimize your capital gains and losses with IB's Tax Optimizer](#)
- » [Barron's: Interactive Brokers is Number 1 in our online ranking](#)
- » [IB wins two categories in inaugural WSL Institutional Trading Awards](#)

Click [here](#) to go to the Interactive Brokers News page.

Upcoming Webinars

No scheduled Webinars for the next seven days

IB offers a comprehensive program of professional trader webinars that can be viewed live or played back at any time from your computer. [View entire list of webinars.](#)

Yankee -
PDF Help Reference

Real-Time Summary

The Real-time Summary gives you a snapshot of important account values for your account or, for multiple account structures, for the selected account, in real time on the Account Management Home page. The exact time of the current data is displayed at the top of the page, along with a **Refresh** button that you can click to update all values on the page.

Summary
Positions
Pending Items 4
Messages 0
Corporate Actions 0

Summary as of 12:54:46 PM
Refresh

Balances (USD)

You can only click the **Refresh** button once every 60 seconds. The first "click" of the button occurs when you first log into Account Management and the Home page appears; this automatically disables the button for 60 seconds. After 60 seconds, you can click the button again to refresh the data on the Home page.

The Real-time Summary includes the following tables:

Balances

The Balances table displays the current Net Liquidation Value, Equity With Loan Value and Cash for your account. Depending on where your account is based (US, Canada, UK, Japan or India), you will see columns that reflect your account.

Balances (USD)			
	Securities	Futures	Total
Net Liquidation	-100.00	0.00	-100.00
Equity With Loan	-100.00	0.00	-100.00
Cash	-100.00	0.00	-100.00

Margin Requirements

The Margin Requirements table displays the Current Initial Margin and Current Maintenance Margin requirements for your account. Depending on where your account is based (US, Canada, UK, Japan or India), you will see columns that reflect your account.

Current Margin Requirements (USD)			
	Securities	Futures	Total
Initial	0.00	0.00	0.00
Maintenance	0.00	0.00	0.00

Available for Trading

Displays the Current Available Funds, Current Excess Liquidity, Buying Power and SMA for your account. Depending on where your account is based (US, Canada, UK, Japan or India), you will see columns that reflect your account.

Current Available for Trading (USD)				
	Securities	Futures	Regulated	Total
Available Funds	724.82	0.00	0.00	724.82
Excess Liquidity	724.82	0.00	0.00	724.82
Buying Power				724.82
SMA				724.82

For more information

- Learn more about these and other important account values in the [The Account Window](#) topic in the Trader Workstation Users' Guide.

Positions

The Positions tab displays all of the positions and cash in your account, or in the case of a multiple account structure, in the selected account. You can hover your mouse cursor over a symbol to display the full name of the position in a popup box. Positions are grouped by asset class.

Note: Currently, the Positions tab is only visible to Individual, Joint, Trust, and IRA accounts that are NOT Advisor or Fully Disclosed clients. If you are a master user in an institution account (Advisor, Broker, Multiple Hedge Fund, Proprietary Trading Group STL), you can view Positions for your clients, funds or sub accounts in the Manage Clients/Funds/Traders menu under **Accounts > View > Summary**.

For example, here is the Positions tab for an account with cash in several currencies.

CASH	
Currency	Amount
CNH	7,480.20
EUR	-13,066.01
GBP	-223.24
JPY	921,284.93
USD	119,590.77
Total (EUR)	85,618.79

Pending Items

The Pending Items page shows items such as outstanding document submissions or pending funding requests for your account or, for multiple account structures, for the selected account.

The screenshot shows a navigation bar with 'Summary', 'Positions', 'Pending Items 4', 'Messages 0', and 'Corporate Actions 0'. Below the navigation bar, there are two sections: 'Document Submission' with a 'More Information.' link and 'Investor Category' with a 'Complete' link. A yellow warning box contains the text: 'Clients with recurring transaction instructions must cancel the request by clicking on (Funding > Fund Transfers) and then selecting "Click here to view or cancel instructions for recurring transactions." Cancelling a recurring transaction below will **NOT** delete the instruction.' Below the warning box is a table with the following data:

ID	Type	State	Request Date	Action
123456789	Scheduled Transaction (ACH - DEPOSIT)	Processing	November 21, 2013	Cancel
123456789	Scheduled Transaction (ACH - DEPOSIT)	Processing	November 21, 2013	Cancel

A quick glance at the Pending Items tab under the Home menu lets you know how many pending items you have.

The screenshot shows a navigation bar with 'Summary', 'Positions', 'Pending Items 4', 'Messages 0', and 'Corporate Actions 0'. The 'Pending Items 4' tab is highlighted.

The page displays a "No Pending Items" message if you do not have pending items.

The screenshot shows a gray message box with the text: 'No Pending Items'.

Institutional accounts with pending changes to user access rights or access rights configuration can move their mouse over those pending items to see a popup with Eligible Security Officers displayed:

The screenshot shows the Pending Items page with a popup window. The navigation bar is the same as in the previous screenshot. The main content area shows a list of pending items:


- User Access Right Change Authorization (Request Date: 08/31/2012)
- Access Rights Configuration Authorization (Request Date: 08/23/2012)
- Access Rights Configuration Authorization (Request Date: 08/23/2012)
- User Access Right Change Authorization (Request Date: 08/23/2012)

The popup window displays the text: 'Eligible Security Officers: ibtest421, ibtest981'. Below the popup, the text for each item reads: 'You have authorized this request. (2 additional Security Officers required)'.

Messages

The Messages tab displays pending Customer Service inquiries for your account or, for multiple account structures, for the selected account. Pending Customer Service inquiries include messages from Customer Service in response to inquiry tickets. A quick glance at the Message Center tab under the Home menu lets you know how many Customer Service messages you have.

The page displays a "No Messages" message if you do not have any Customer Service messages.




No Messages

Corporate Actions

The Corporate Actions tab displays notifications of all upcoming corporate actions that may affect your account or, for multiple account structures, for the selected account, based on the positions held in the account. This means for example, that regardless of whether you hold a stock, option, bond, or SSF position in ABC company, you will receive notification of any and all upcoming corporate actions on ABC stock. We notify you of impending actions up to three months out, and track 14 different types of voluntary and mandatory corporate actions, including dividends, forward and reverse splits, spinoffs and issuances, mergers, name/symbol changes, and a variety of tenders and offers.

If you have any notifications of corporate actions, they appear on the Corporate Actions page. A quick glance at the Corporate Actions tab under the Home menu lets you know how many corporate actions you have.

The page displays a "No Messages" message if you do not have any corporate actions.



No Corporate Actions

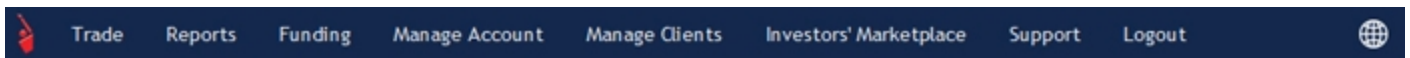
Menus

You access all Account Management functions from the menu bar. You can return to the Home page any time by clicking the red icon on the left side of the menu.

Here is the Account Management menu for Individual accounts and some institution accounts (Single Funds, Omnibus Brokers, Proprietary Trading Group Pool accounts):



The Account Management menu for all other multiple account structures contains an additional menu, Manage Clients:



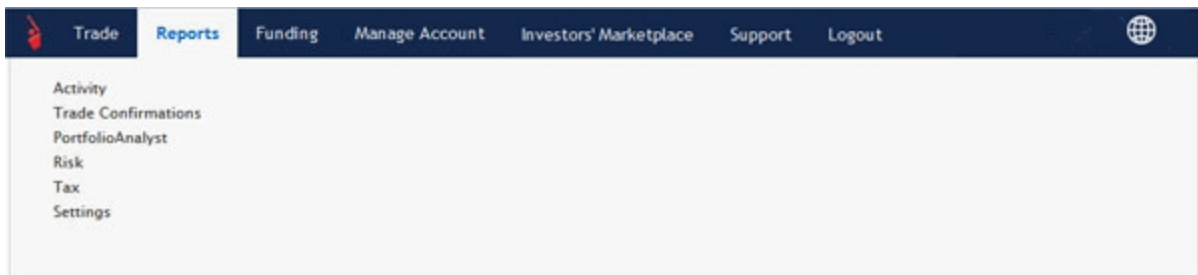
Each item on the main menu contains a submenu with individual functions and in some cases, additional levels of menus.

Note: Throughout this guide, we use the convention "**Menu > Second-level menu**" to describe locations of functions and pages in Account Management. For example, "**Reports > Activity**" means the Activity blue menu item under the Reports menu.

Navigating the Account Management Menus

Getting around in Account Management is easy. Simply click an item on the top-level menu to display the available blue menu items.

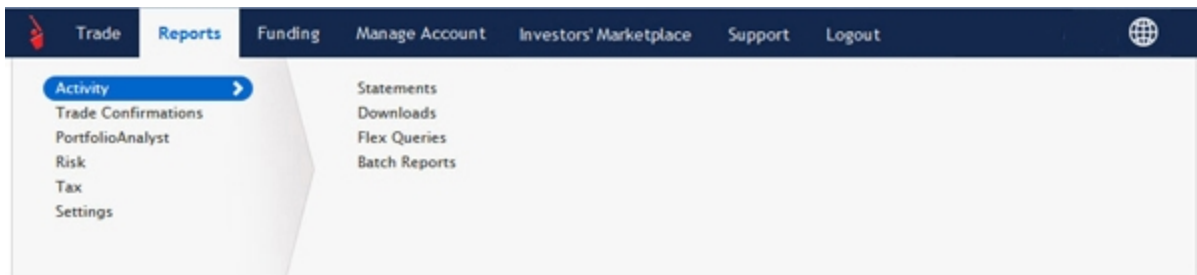
1. Using the Reports menu as an example, first move your mouse directly over the word "Reports" in the main menu. The second-level menu drops down in a menu panel:



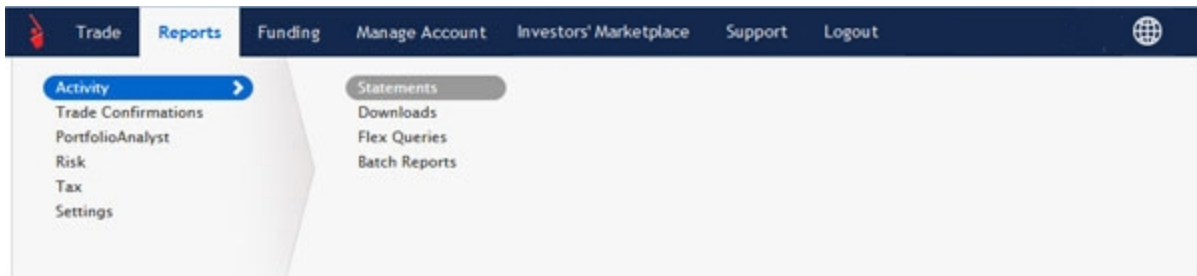
2. Next, move your mouse over the first menu item under Reports, which is Activity. Activity is highlighted in grey and shows an arrow, indicating that there are additional menu items. Note that at this point, the current page that is displayed in Account Management does not change (for example, if you started on the Home page, the Home page is still displayed at this point).



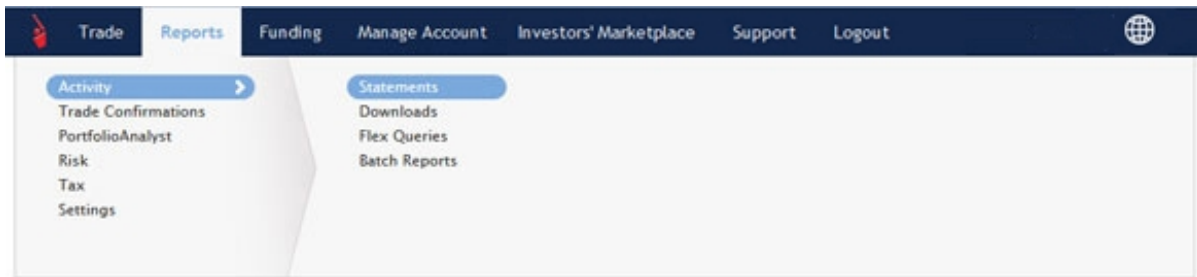
3. Click **Activity** to view the additional pages available in that menu:



4. **Activity** is now highlighted in blue, and you can move your mouse over all of the pages available under Activity.



5. Click any page in the Activity menu to display that page. In the image below, the **Reports > Activity > Statements** page is displayed. As soon as the selected page opens, the menu panel hides from view.



Activity Statements

Use this page to view activity statements and create and view customized statements.

View Statements

To view an Activity Statement, make selections below then click **View**.

Statements	Date(s)	Account(s)	Format	Language
Default Full	Period: Daily Date: November 22, 2013	U1000073	HTML/Web	English

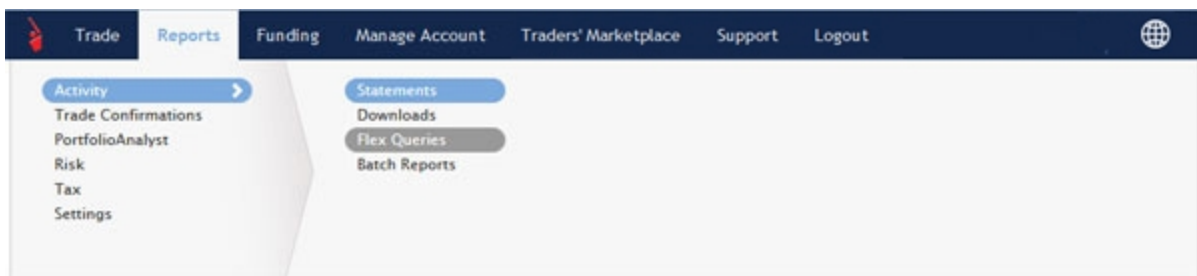
Include closed accounts

View →

[Customize Statements](#)



- You can now switch to a different page in the **Reports > Activity** menu by moving your mouse over **Reports** to display the menu panel, then moving your mouse over the desired page under Activity.



Getting Help

You can get additional information about Account Management in the following ways:

- Dynamic Help
- Reference Menu
- Users' Guide

Access Dynamic Help and the Reference Menu using the two icons located on the upper right portion of the Account Management screen.

Trade Reports Funding Manage Account Manage Clients Investors' Marketplace Support Logout

Summary Positions Pending Items 0 Messages 0 Corporate Actions 0

Summary as of 8:18:10 AM Refresh

Balances (USD)				
	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Net Liquidation	724.82	0.00	0.00	724.82
Equity With Loan	724.82	0.00	0.00	724.82
Cash	724.82	0.00	0.00	724.82

Current Margin Requirements (USD)				
	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Initial	0.00	0.00	0.00	0.00
Maintenance	0.00	0.00	0.00	0.00

Current Available for Trading (USD)				
	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Available Funds	724.82	0.00	0.00	724.82
Excess Liquidity	724.82	0.00	0.00	724.82
Buying Power				724.82
SMA				724.82

Getting Started at IB for Advisors

Wednesday, April 9, 2014 4:30 pm (EDT)

Click to Register

News

- » Holiday Hours
- » Optimize your capital gains and losses with IB's Tax Optimizer
- » Barron's: Interactive Brokers is Number 1 in our online ranking
- » IB wins two categories in inaugural WSL Institutional Trading Awards

Click [here](#) to go to the Interactive Brokers News page.

Upcoming Webinars

Yankee -

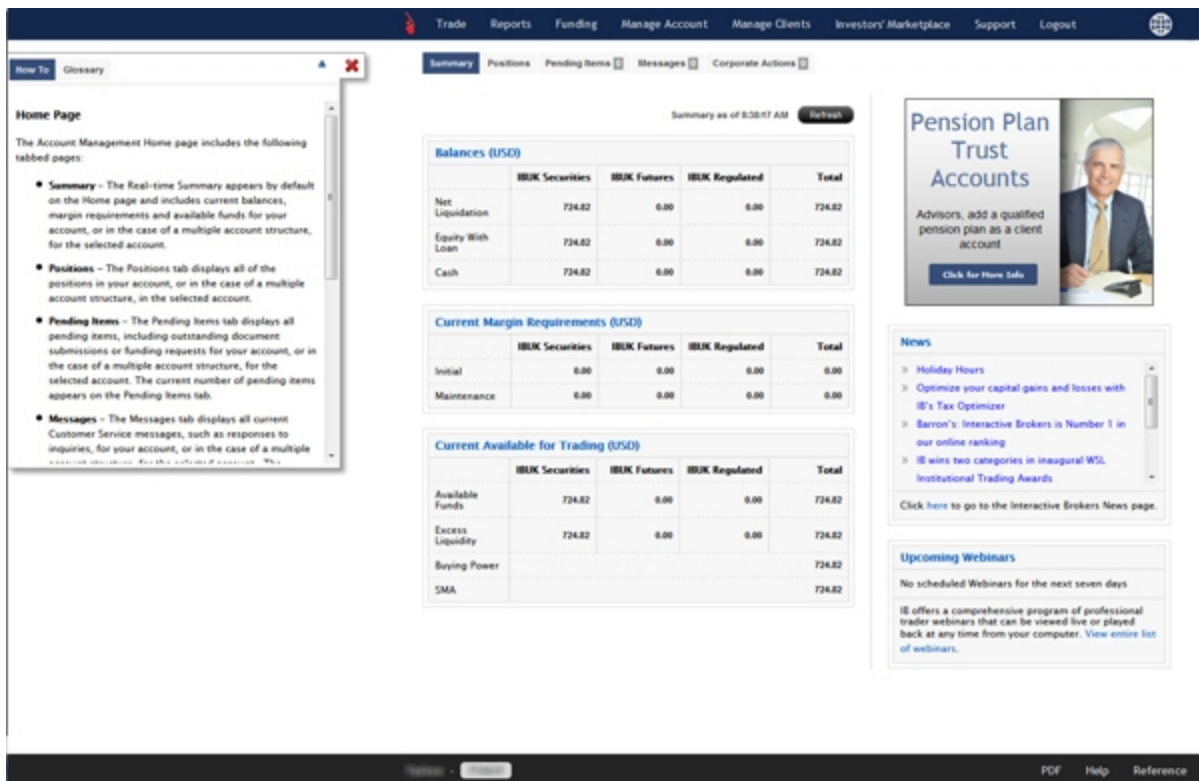
PDF Help Reference

Dynamic Help and Reference Menu

Dynamic Help

On most pages, you can display a help panel that contains simple step-by-step instructions. To display the How To help panel, click the blue and white question mark symbol on the upper right corner of the page. The help panel slides in from the left side of the screen.

To close the help panel, click the red X.



The Reference Menu

The Reference menu includes a wealth of information for our customers, including detailed instructions and rules on funding, IB TWS order types, margin, products and exchanges.

Click the book icon located in the upper right corner to display the Reference menu, which opens in a new browser window.

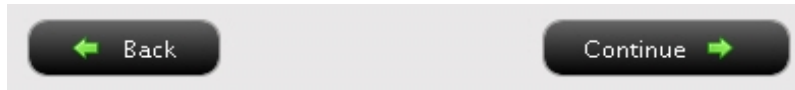
For more information about the Reference menu, see the [Reference](#) chapter in this guide.

Account Management Users' Guide

This Guide contains detailed instructions on how to use the different functions in Account Management. Access this guide from within most dynamic help topics, or from the Reference Menu, or from the Documentation page in the Traders' University on our website.

Navigating Account Management Pages

Many Account Management functions contain a sequence of multiple pages, which are connected by **Continue** and **Back** buttons. The presence of a **Continue** button means that there is another page that contains information that you need to view or a form that you need to complete. You can use the **Back** button to return to the previous page in the sequence.



Note: When navigating through the different pages in Account Management, do NOT use your browser's Back button. If you do, you may be logged out of the system. Instead, use the **Back** button provided on the Account Management pages.

You can also use the menus to navigate to any other page in Account Management, or click the red icon on the left side of the menu to return to the Account Management Home page.

Changing the Active Account

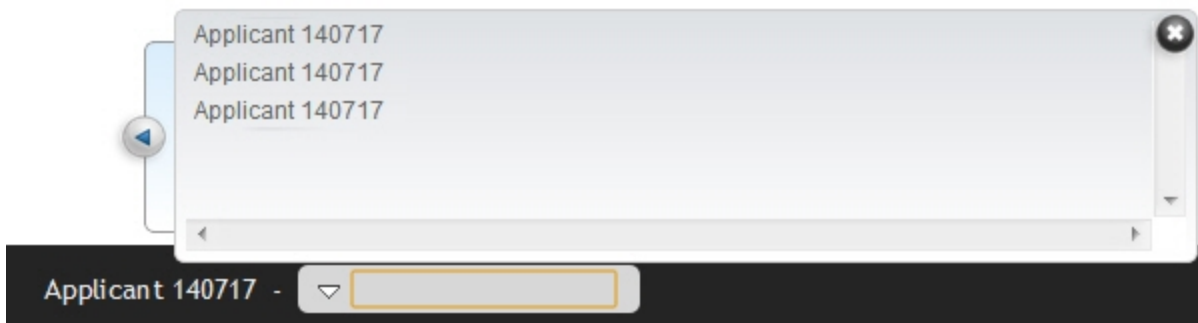
If you have multiple linked accounts or account partitions and you log in to Account Management, only one account will be the active account. You can quickly change the active account to another linked account or account partition from any page in Account Management using the account switching tool at the bottom of the screen. You can switch between accounts and switch back at any time in Account Management.

Note: This is not the same thing as using the [Account Selector](#) at the top of some Account Management pages. Changing the active account affects all of Account Management while the Account Selector lets you choose accounts on which to perform certain tasks on specific pages.



Change the Active Account

1. If you have multiple linked accounts or account partitions, a down arrow displays next to the Account ID. Click the down arrow to display a list of your available accounts by Account ID.

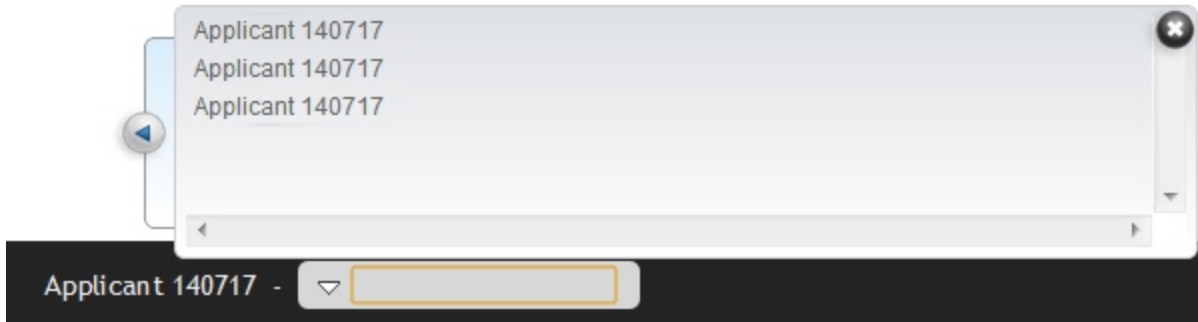


2. Click the account that you want to make the active account. Account Management reloads for the selected account, which means any task you perform will now be performed in that account. On the Home page, the account values always apply to the active account. If you have account partitions, click the account listed below the line that says "Partition."

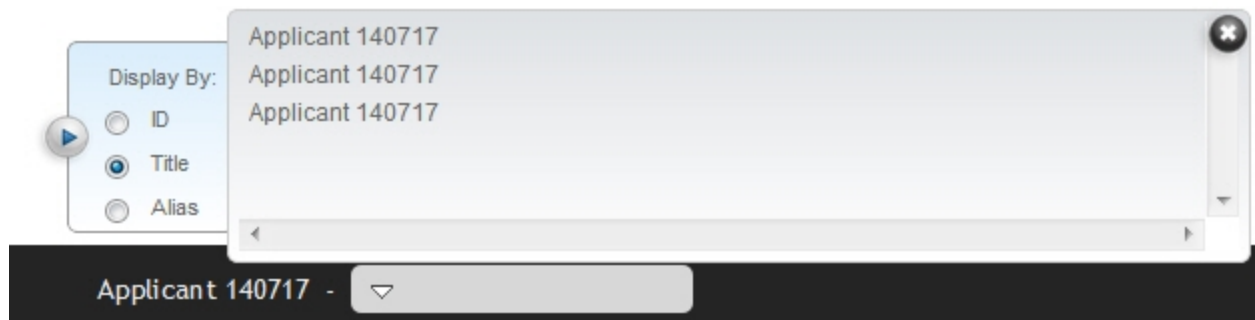
Change the Display in the Account Switching Tool

By default, the account switching tool displays your Account Title. You can also display your different accounts by Account ID or Account Alias if you prefer.

1. Click the down arrow to display a list of your available accounts.



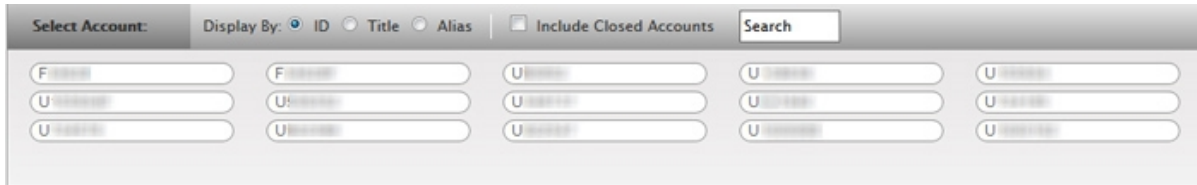
2. Click the left-facing arrow on the left side of account list.
3. Change the display of accounts by selecting the desired radio button. Click **ID** to display your account list by Account Title or **Alias** to display your account list by Account Alias (if you have assigned account aliases to your account).



4. You can now change the active account or close the account switching tool and change the active account later.

Account Selector

If you have a master account or any other multiple-account structure, including linked accounts, many of the pages you access in Account Management, including the Home page, allow you to select or change the account in which to perform a given task. On these pages, you will see the Account Selector appear at the top of the page:



To use the Account Selector

Within the Account Selector, there are several ways to search for and select accounts:

- Click the client or sub account ID to select it. Use the scroll bar to view more accounts.
- Use the Search field to search for specific accounts. Enter an Account ID one character at a time to view dynamic search results.
- Use the Display By: radio buttons to search for accounts by Account ID, Account Title or Account Alias. Matching accounts are displayed below the controls.

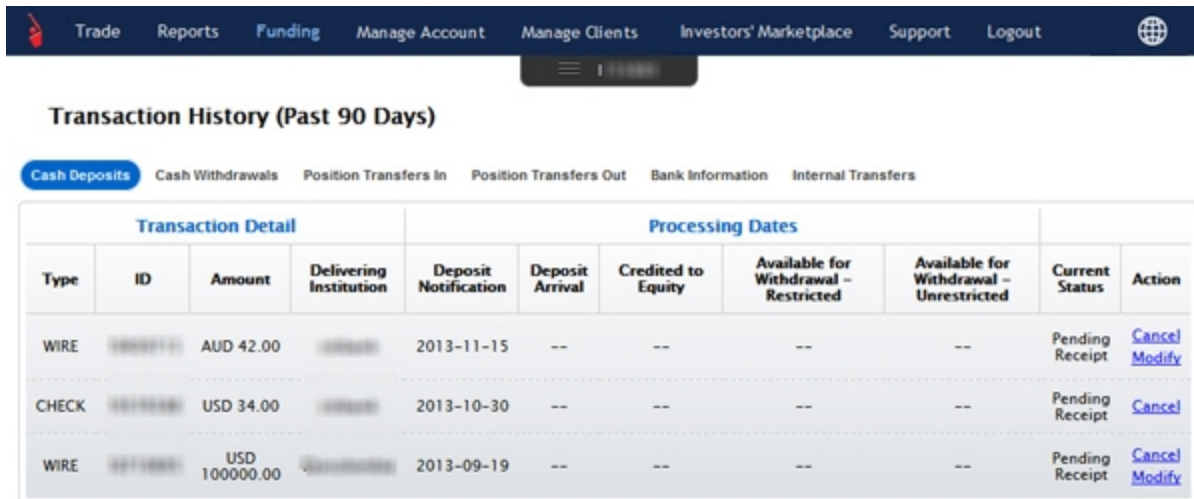
If you choose to search by Account Alias and there is no account alias associated with any client or sub accounts, the Account ID + Account Title will be displayed instead.

- On some Account Management pages, you can also search for closed accounts. For example, if you are an Advisor and you want to generate a statement for a closed client account, you can select the **Include Closed Accounts** check box to display closed accounts in the Account Selector.

There are different varieties of the Account Selector, depending on which Account Management page is currently displayed and what kind of account you have:

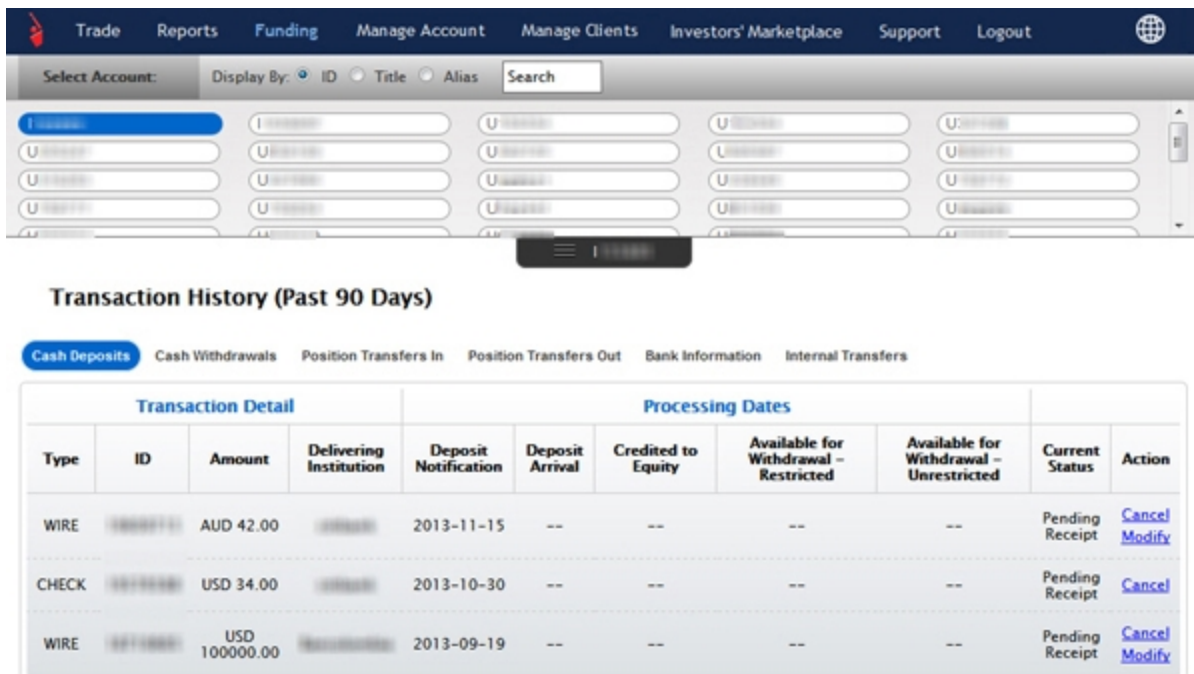
- **Most pages allow to you select a single account, then make changes that affect only that one account.** On these pages, you make changes to one account at a time, then click the tab at the top of the page to display the Account Selector, which you use to change accounts. After you select a client or sub account on one page then switch to another page, the account you previously selected will remain the active account until you change it.

The following image shows the Transaction History page with the Account Selector tab for a Fully Disclosed Broker account. The information on the page pertains to only the account number shown on the tab.



Transaction Detail				Processing Dates					Current Status	Action
Type	ID	Amount	Delivering Institution	Deposit Notification	Deposit Arrival	Credited to Equity	Available for Withdrawal - Restricted	Available for Withdrawal - Unrestricted		
WIRE	12345678	AUD 42.00	ABC BANK	2013-11-15	--	--	--	--	Pending Receipt	Cancel Modify
CHECK	87654321	USD 34.00	DEF BANK	2013-10-30	--	--	--	--	Pending Receipt	Cancel
WIRE	98765432	USD 100000.00	GHI BANK	2013-09-19	--	--	--	--	Pending Receipt	Cancel Modify

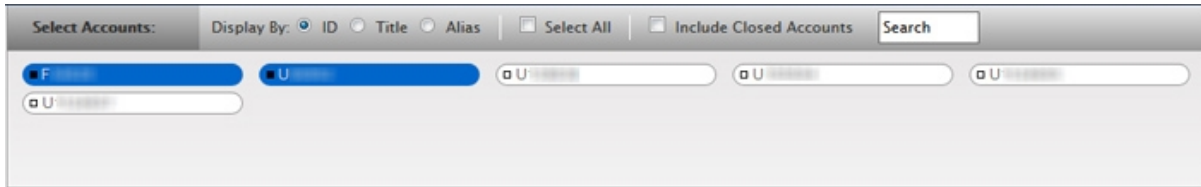
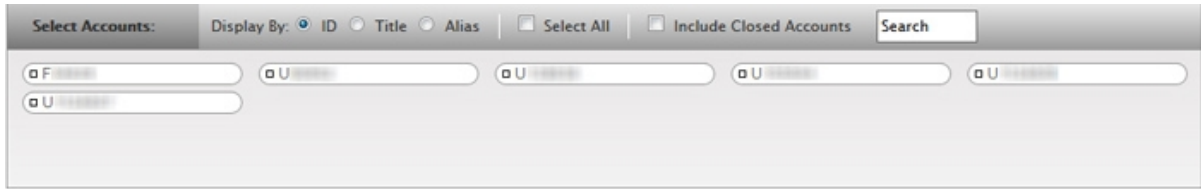
The Account Selector expands after you click the tab, allowing you to select another account:



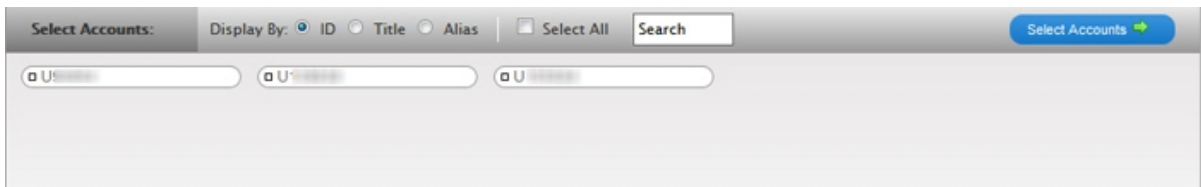
Transaction Detail				Processing Dates					Current Status	Action
Type	ID	Amount	Delivering Institution	Deposit Notification	Deposit Arrival	Credited to Equity	Available for Withdrawal - Restricted	Available for Withdrawal - Unrestricted		
WIRE	12345678	AUD 42.00	ABC BANK	2013-11-15	--	--	--	--	Pending Receipt	Cancel Modify
CHECK	87654321	USD 34.00	DEF BANK	2013-10-30	--	--	--	--	Pending Receipt	Cancel
WIRE	98765432	USD 100000.00	GHI BANK	2013-09-19	--	--	--	--	Pending Receipt	Cancel Modify

- **Some pages allow you to select and make changes to more than one account at a time.** On these pages, you use the Account Selector to select multiple accounts, clicking the check boxes next to each account you wish to select then clicking the View Accounts button.

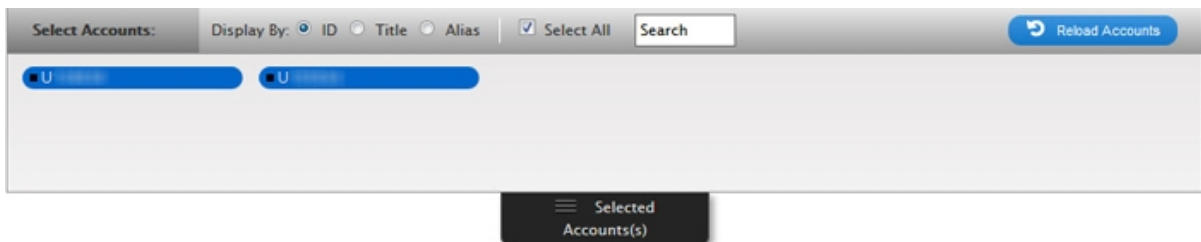
The following image shows the Account Selector for the Activity Statements page in an Advisor account. When you select Reports > Activity Statements from the Account Management menu, the page opens with the multiple selection Account Selector open. Click one or more accounts to select them; the accounts turn blue in the Account Selector.



The following image shows a version of the Account Selector that appears on the **Manage Clients > Settings > Account Alias** and **Manage Clients > Settings > Excess Funds Sweep** pages. This Account Selector lets you select more than one account, but you must click the **Select Accounts** button to load the page with your selected accounts.



To select different accounts on these pages, click the Account Selector tab, then click the **Reload Accounts** button to clear your selections from the Account Selector.

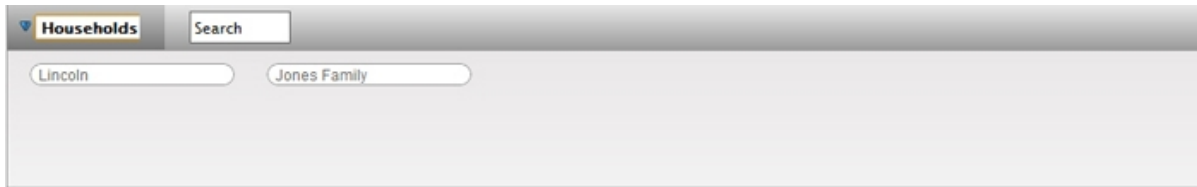
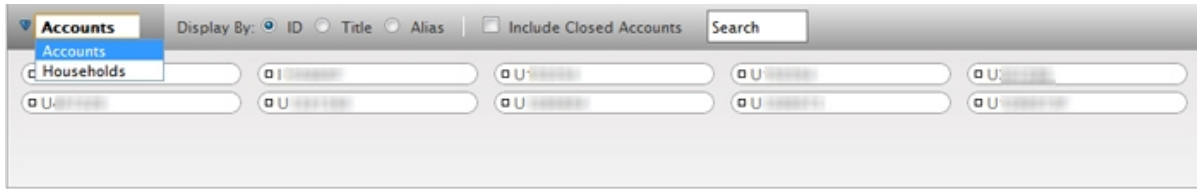


- **Some pages allow Advisors and Fully Disclosed Brokers to search for and select [households](#).** Once a household is selected in the Account Selector, the names of the members of the household will appear in the Selector.

To search for a household

- Click the drop-down menu located in the upper left corner the Account Selector, and then click *Households*. The Account Selector will update to display only households.
- Click a household to display all of the accounts in that household. For some pages allow you to select more than one account in a household.

Click *Accounts* from the drop-down to search for accounts instead of households.



The following pages in Account Management support searching and selecting by household:

- Activity Statements
- Activity Flex Queries
- Quarterly Summaries
- Trade Confirmation Flex Queries
- PortfolioAnalyst
- Tax Forms
- Client Invoicing
- Account Alias

Account Selector for Three-Level Accounts

If you are a Fully Disclosed Broker with a three-level account (you have one or more Advisor Master, Proprietary Trading Group Separate Trading Limit Master or Multiple Hedge Fund Investment Manager in your account structure), the Account Selector you use on some Account Management pages will let you select an Advisor, STL or Multiple Hedge Fund Master account, or their client/sub/fund accounts.

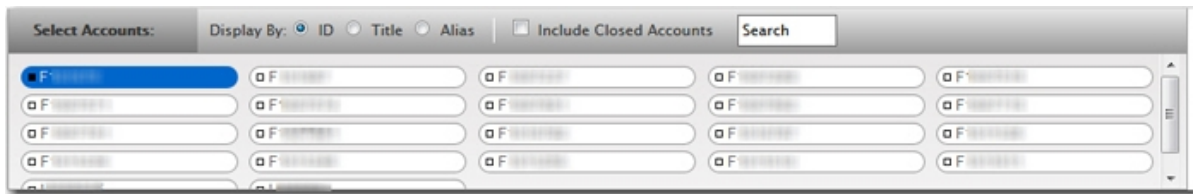
You will see this Account Selector behavior on the following pages in Account Management:

- In the Reports menu:
 - Activity Statements
 - Activity Downloads
 - Activity Flex Queries
 - Trade Confirmations
 - Trade Confirmation Flex Queries
 - Margin Reports
 - Stress Test Reports

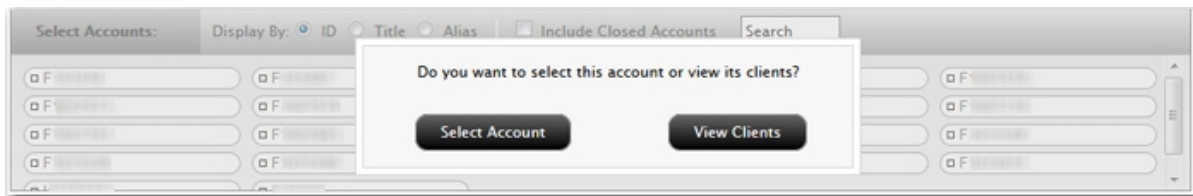
- Tax Forms
- In the Manage Clients menu:
 - Accounts > View > Open/Pending/Closed/Rejected

To use the Account Selector on these pages

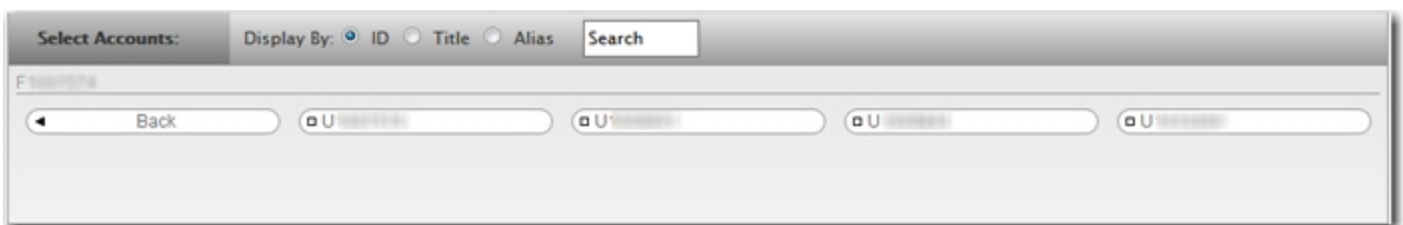
Select one or more accounts from the Account Selector. In the image below, the Account Selector displays a large number of "F" accounts, which in this case are Advisors.



If the account you selected is an Advisor with client accounts, a Proprietary Trading Group Master account with its own STL sub accounts, or a Multiple Hedge Fund Investment Manager with Fund accounts, you are prompted to select that account or view the client/sub/fund accounts associated with that account.



If you click **Select Account**, the page loads for the selected account. If you click **View Clients**, the Account Selector displays the client/sub/fund accounts associated with the selected account. At this point, you can select one or more of the client accounts.



For more information

- [Adding Advisors, STL Accounts and Multiple Hedge Funds to a Fully Disclosed Broker Account](#)

Changing the Display Language

You can change the display language in Account Management and the Customer Service Message Center using the Language Menu located at the top right of the screen.

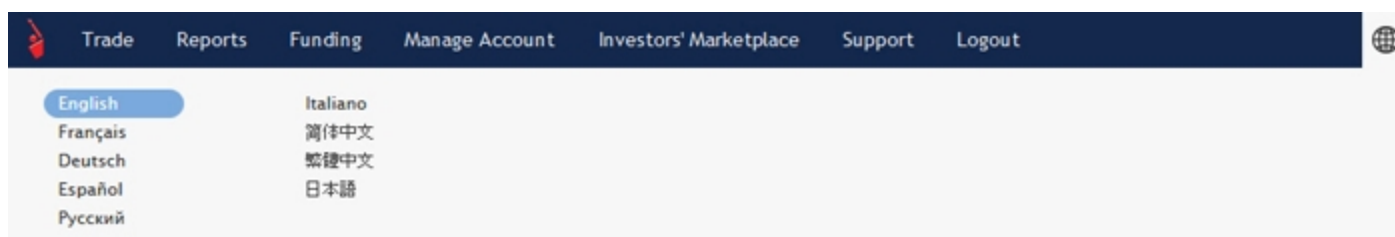
To change the display language

1. Log into Account Management.
2. Move your mouse over the globe icon located at the far right of the menu bar.



The language settings panel drops down, showing all possible languages for Account Management.

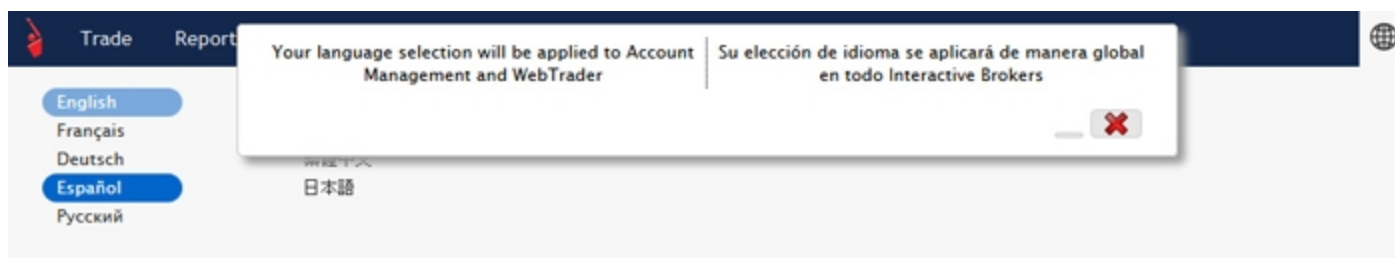
3. Click the language you want to change.



4. Click the language to which you want to switch the display.

A message appears in two languages - the original language and the newly selected language.

For example, if you change the display language from English to Spanish (Español), the following message appears:



5. Click the green check mark to save your changes and dismiss the message.

If you change your mind, click the red X. Your changes will NOT be saved and the display language will remain unchanged.

Printing

You can print any Account Management page using your web browser's Print functions.

Logging Out

To log out of Account Management

1. Click the **Logout** button in the upper right corner of the screen.



Permissions

Trading permissions specify which products you can trade and in which locations. You use the Permissions page to view or modify existing trade permissions or subscribe to new permissions. When specifying permissions, you will be asked to sign any risk disclosures required by local regulatory authority.

Who can access the Permissions page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual/Organization (can only view)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User (can only view)
- Fund

The Permissions page is available in PDF format for advisor clients.

To set trading permissions

1. Click **Manage Account > Trade Configuration > Permissions**. The Trading Permissions page appears by default.
2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the desired account to view the pending items or requests for that account.
3. In the Trading Programs section of the page, sign up for a trading program
 - The Stock Yield Enhancement Program allows us to borrow shares from you in exchange for cash collateral, and then lend the shares to traders who want to sell them short and are willing to pay a fee to borrow them. For more information, see our [Stock Yield Enhancement Program highlights](#).
 - Portfolio Margin customers can also sign up for our Pre-Borrow Program, which lets you pre-borrow stocks for short sales in Trader Workstation instead of waiting three days until the settlement date. Note that we will charge you the indicative borrow rate for each day up to the settlement date beginning with the trade date, and you can find this rate on your daily Activity Statement.

Trading Programs

If you would like to participate in the programs listed below, check the box and we will provide you with the required disclosures and agreements.

Stock Yield Enhancement Program (example) Pre-Borrow Program

- The Trading Permissions section of the page lists all of the products you can trade and the countries in which you can trade them. Currently approved products are shown in green and products with pending approval are shown in pink.

Trading Permissions

Check the products that you wish to trade and the countries in which you want to trade them and we will provide you with the required disclosures and agreements.

Country	Check All	Stocks	Bonds	Options	Futures	Futures Options	Single Stock Futures	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	-	-	-	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Korea	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-

To modify your trading permissions, click the check box for the product you wish to trade in the country or countries in which you wish to trade them.

- Click the **Global** check box to request permission for all products in all countries.
 - Click the **Check All** check box next to a country name to request permission to trade all products in that country.
 - Click the **Check All** check box below a specific product name to request permission to trade a specific product in all countries.
- Click **Continue**.
The Financial Information page opens.
 - Review your investment objectives, investment experience and financial information, then click **Continue**.
Some products require specific investment experience, which you can also modify on this page.

7. Depending on the products that you have requested permission to trade, you are prompted to sign a risk disclosure, as required by law. Complete the online Disclosure Form(s) by typing your name in the Signature field, then click **Continue**.
8. Click the link(s) to read the complete agreements and/or disclosures, then click the **Accept** radio button to acknowledge your acceptance of the terms of the agreements and disclosures and click **Continue**.

A Final Acknowledgments/Confirmation page opens, listing your current and requested trading permissions and the current status of each. If approved, your trading permissions will be listed with a status of Approved.

Note: Trading permission upgrade requests received by 11:00 AM ET on a business day will be reviewed by the next business day under normal circumstances.

Trading UK CFDs and Metals

If you meet the eligibility requirements, you can request permission to trade United Kingdom CFDs and/or Metals. Currently, we offer Over-the-Counter Gold (OTC Gold) trading in the Metals product category. When you elect to trade one or both of these products, we create a special IB-UKL account for you. You must fund this account separately to trade these products.

This topic includes the following procedures:

- [Trading UK CFDs and/or Metals if You are an Advisor Master User](#)
- [Trading UK CFDs and/or Metals if You are an Advisor Client User, Broker Client User or Single User](#)
- [Trading UK CFDs and/or Metals if You are an Broker Master User](#)

UK CFDs Eligibility Requirements

The following customers are eligible to trade UK CFDs:

Customer	Eligible to trade UK CFDs
All US customers.	No
All Canadian customers.	No
Customers from countries other than the US and Canada.	Yes
Japanese and Indian customers who trade through IB-UK.	Yes
Japanese and Indian customers who do not trade through IB-UK.	No
Fully-disclosed Broker Clients of non-US and non-Canadian Brokers. The clients must meet the country eligibility requirements.	Yes
Non-disclosed and Omnibus Broker Clients, whose Master Account satisfies all other eligibility rules.	Yes
Fully-disclosed Broker Clients of US and Canadian Brokers	No

Metals Eligibility Requirements

The following customers are eligible to trade Metals:

Customer	Eligible to trade Metals
US-based Eligible Contract Participants (ECPs).	Yes
All US customers who are NOT Eligible Contract Participants.	No
All Canadian customers.	No
Customers from countries other than the US and Canada.	Yes
Japanese and Indian customers who trade through IB-UK.	Yes
Japanese and India customers who do not trade through IB-UK.	No
Fully-disclosed Broker Clients of non-US and non-Canadian Brokers.	Yes
Non-disclosed and Omnibus Broker Clients, but only if their Master Account satisfies all other eligibility rules.	Yes
Fully-disclosed Broker Clients of US and Canadian Brokers.	No

To trade UK CFDs and/or Metals if You are an Advisor Master User

1. Log in to Account Management.
2. Do one the following:
 - Click **Yes** then **Continue** if you want to trade UK CFDs and/or Metals. Your Advisor Clients must log in separately to elect to trade these products.
 - Click **No** then **Continue** if you do not want to trade UK CFDs and/or Metals. If you answer No, your Advisor Clients will not be able to trade these products either.
 - Click **Ask me later** if you do not want to trade UK CFDs and/or Metals now, but might in the future. This screen will reappear until you answer Yes or No.

A special IB-UKL account is created for your Advisor Master User account. The account ID is identical to your Advisor Master User account ID, with the addition of the letter F appended to the end.

3. Once the IB-UKL account is approved, you must fund it separately to trade UK CFDs and metals:
 - Log into Account Management.
 - Click **Funding > Fund Transfers**.

- To deposit funds directly into the IB-UKL account, select the account ending in “F” from the Account list, then select *Deposit Cash* from the Transaction list and select the deposit method of your choice. Complete the deposit notification to fund the account.
- To transfer funds from your existing account to the IB-UKL account, select *Transfer Funds Internally* from the Transaction list, then select *Funds Transfer* from the Method list and complete and submit the funds transfer form to transfer funds into the IB-UKL account.

To trade UK CFDs and/or Metals if You are an Advisor Client User, Broker Client User or Individual User

1. Log in to Account Management.
2. In the Trading Permissions section of the page:
 - Click the **Metals** check box for the country in which you want to trade metals.
 - Click the **CFD** check box for the country in which you want to trade UK CFDs.
4. Click **Continue**. The following page appears:
5. Click the links to read the trading disclosures, then click every check box on the page to signify agreement with all the conditions required to open your IB-UKL account.
6. Click **Continue**, and read and provide your electronic signature on the trading agreements and disclosures that appear.

On the last screen, which summarizes all of your trading permissions, look for the section entitled “Trading Permissions for your UKL account.”

A special IB-UKL account is created for your account. The account ID is identical to your regular account ID, with the addition of the letter F appended to the end.

7. Once the IB-UKL account is approved, you must fund it separately to trade UK CFDs and metals:
 - Log into Account Management.
 - Click **Funding > Fund Transfers**.
 - To deposit funds directly into the IB-UKL account, select the account ending in “F” from the Account list, then select *Deposit Cash* from the Transaction list and select the deposit method of your choice. Complete the deposit notification to fund the account.
 - To transfer funds from your existing account to the IB-UKL account, select *Transfer Funds Internally* from the Transaction list, then select *Funds Transfer* from the Method list and complete and submit the funds transfer form to transfer funds into the IB-UKL account.

To trade UK CFDs and/or Metals if You are an Broker Master User

1. Log in to Account Management. If you meet the eligibility requirements to trade these products, the following page appears:
2. Read the information on the page, then click the check box at the bottom of the page to indicate acknowledgment and click **Continue**.

A special IB-UKL account is created for your account. The account ID is identical to your regular account ID, with the addition of the letter F appended to the end.

3. Once the IB-UKL account is approved, you must fund it separately to trade UK CFDs and metals:

- Log into Account Management.
- Click **Funding > Fund Transfers**.
- To deposit funds directly into the IB-UKL account, select the account ending in “F” from the Account list, then select *Deposit Cash* from the Transaction list and select the deposit method of your choice. Complete the deposit notification to fund the account.
- To transfer funds from your existing account to the IB-UKL account, select *Transfer Funds Internally* from the Transaction list, then select *Funds Transfer* from the Method list and complete and submit the funds transfer form to transfer funds into the IB-UKL account.

Trade

The Trade menu gives you quick access to trading platforms and Post Trade Allocations.

This chapter includes the following topics:

- [QuickTrade](#)
- [Trader Workstation](#)
- [WebTrader](#)
- [Post Trade Allocations](#)

QuickTrade

QuickTrade gives you easy access to a simplified trading interface, where you can quickly place orders for a variety of asset types from within Account Management. QuickTrade works the same way as the Order Management Panel in WebTrader.

QuickTrade Account: U977689 [Bulletin]

Order Management

New Order | Orders | Trades

Stock | Option | Futures | Forex | Fund | Bond | Warrant | CFD | Structured Product | Commodity | Spread | Simple Order Rules

Action	Quantity	Symbol	Limit Price	Order Type	TIF	Exchange	Currency	Fill Outside RTH
BUY	100	Go		LIMIT	DAY	SMART		N/A

Contract	Size	Bid	Ask	Size	Last	Change	Change (%)	Size	Volume	High	Low

Preview Order | Clear

Balances

Net Liquidation	0.00 USD
Cash	0.00 USD

Maintenance Margin

Equities	0.00 USD
Commodities	0.00 USD

Available for Trading

Available Funds	0.00 USD
Excess Liquidity	0.00 USD

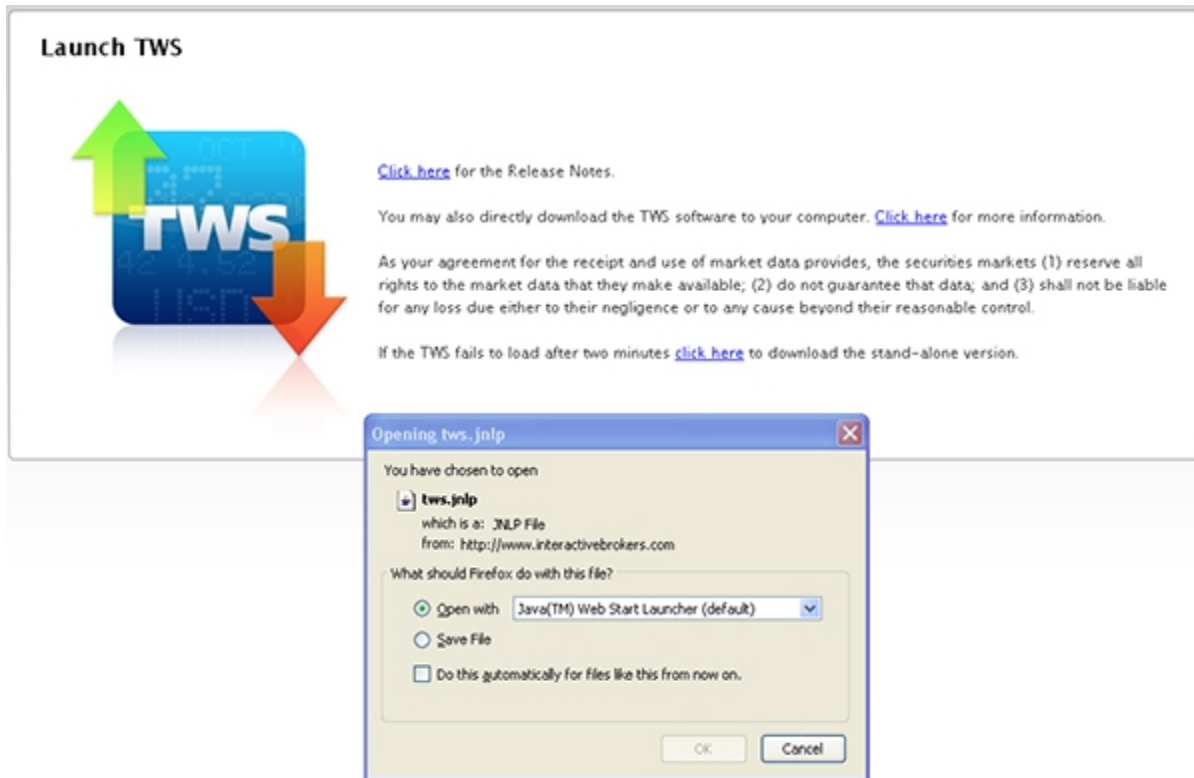
Positions

Contract	Position	Mark Price	Mark Value	Average Cost	Unrealized P&L	Realized P&L	Liquidate Last
No Positions Exist at This Time							

For more information about using the Order Management Panel in WebTrader, see the [WebTrader Users' Guide](#).

Trader Workstation

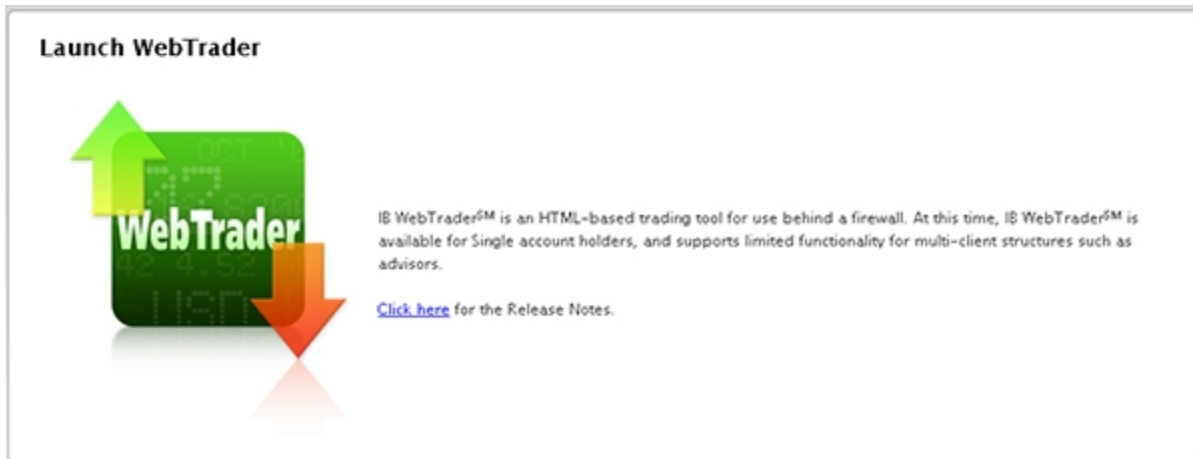
This item launches Trader Workstation.



For more information about Trader Workstation, see the [Technology](#) section of the Reference menu.

WebTrader

This menu item launches WebTrader in a new browser window. WebTrader is our HTML-based trading platform.



For more information about WebTrader, see the [Technology](#) section of the Reference menu.

Post Trade Allocations

The Post Trade Allocations page lets you allocate some or all of your US stock and options trades to defined clearing brokers. Make allocations any time during the trading day, from seconds after execution up until 6:00 PM ET. Note that you must first define settlement instructions (located on the Funding > Instructions page) before you can allocate any trades post-trade. To activate the Post Trade Allocation feature, please contact your Sales Representative.

Who can access the Post Trade Allocations page?

You can access this page if you are a(n):

- Proprietary Trading Group Master User - Institutional accounts with IBExecution services can compress, split, and give-up trade executions to third-party brokers and cleared accounts.
- Investment Manager Master User
- Fund

Use post-trade allocations to:

- [Allocate](#) any time during the day: up until 6:00 pm ET for equities and up until 5:15 PM ET for options; After this time, your trades will automatically be allocated using the selected default clearing destination.
- Quickly [unallocate](#) any trades before the end of the day.
- Configure re-usable [allocation templates](#) that allow you to quickly allocate one or multiple trades to a pre-defined clearing broker or set of clearing brokers.
- [Import allocations](#) from a properly-formatted .csv file.
- [Create a custom Average Price trade](#) by selecting trades for the same symbol and side where only the price differs. By default an average price display is expandable to show actual trades and trade prices.
- [Define configuration preferences](#) including allocation settings, display preferences and symbol display.
- [Manage odd lots allocations](#). By default, the feature is set to allow round lots only.

Open the Post Trade Allocations Window

To access the Post Trade Allocations window

1. Select *Account Management* from the Login menu on our web site.
2. Enter your username and password and click **Login**.
3. Click **Funding > Post Trade Allocations**.

The Post Trade Allocations window opens, displaying trades on the top and the allocations layout on the bottom.

Allocate Trades

The allocation screen is composed of two sections. The top displays the day's trades that have been allocated or are available for allocation. This section is color-coded for quick reference as follows:

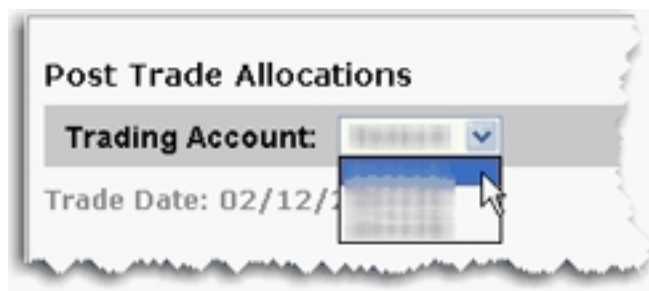
Color	Description
-------	-------------

Yellow	Trades are unallocated.
Blue	Trade has been partially allocated.
Green	Trade is completely allocated.
Lavender	Identifies legs for an Average Price trade.

The check box at the beginning of each line is used to select the trade for post-trade allocation; to unallocate if the trade has already been allocated, and to create an average price trade.



If you have several trading accounts, you must select a single account of interest from the Trading Account list, which appears as shown below. If you do not have several trading accounts, the Trading Account list does not display.



The trading accounts are sorted by color in the Trading Account list as follows:

Color	Description
Yellow	Trades for the account are unallocated.
Blue	Some trades for the account have been allocated.

Green	All trades for the account have been allocated.
White	There are no available trades for this account.

The bottom section includes a list of approved clearing brokers defined for the account, and provides entry fields where you enter the percent of each trade you want to allocate.

Choose a Template: test 1

	Account Name	TechStocks	optionsBasic	Odd Lots	Option	Percent	Odd Lots
<input checked="" type="checkbox"/>	U42607		30.00	<input type="radio"/>		40.00	<input type="radio"/>
<input checked="" type="checkbox"/>	CMTA_1					50.00	<input checked="" type="radio"/>
<input checked="" type="checkbox"/>	DU42607@		20.00	<input checked="" type="radio"/>			
			50.00			90.00	

Continue

Post Trade Allocations
 Trade Date: 08/27/2008
 Equities Settlement Date: 08/27/2008
 Options Settlement Date: 08/25/2008

[Configuration](#) [Allocation Summary](#)

<input type="checkbox"/>	Avg	Symbol	Side	O/C	Quantity	Price	Commission	SEC Fee	Amount(USD)	Exch.	Allocated
<input type="checkbox"/>		GPY JUL 65 P	Bought	O	10	100.100000			100100.00		Yes
<input type="checkbox"/>		IBM	Bought		300	65.341000	-	-	19605.81		No

Unallocate Average Price

Choose a Template: TechStocks

<input checked="" type="checkbox"/>	Account Name	Equity		Odd Lots	
<input checked="" type="checkbox"/>	Account Name	Percent	Odd Lots	Percent	Odd Lots
<input checked="" type="checkbox"/>	CMTA_1			0.00	<input type="radio"/>
<input checked="" type="checkbox"/>	DU42607@	25.00	<input checked="" type="radio"/>		
<input checked="" type="checkbox"/>	U42607	75.00	<input type="radio"/>	0.00	<input type="radio"/>
		100.00		0.00	

Continue

Select the trades you want to allocate. By default, all trades with the same symbol, side etc are grouped into an Average Price trade with expandable sub-trades

Approved clearing brokers are displayed. Select a template with pre-defined allocations, or manually set allocations by checking the account(s) you want to use and entering the allocation percent for each selected account.

To manually allocate a trade

1. Select the trade(s) you want to allocate using the check box(es) in the trades list.
2. In the bottom matrix, check the clearing account(s) to which you want to allocate the trade(s) or a portion of the trade(s).
3. For each selected account, enter a percent value of the trade to allocate.

Note: You must define an Odd Lots recipient to which odd lot allocation amounts will be sent.

4. Click **Continue** to review your trade allocations.

Allocation
Trading Account: [REDACTED]

Trade Date: 08/22/2008
 Equities Settlement Date: 08/27/2008

Flip Display

	IBM	Total Buys (USD)	Total Sells (USD)
Side	Bought		
Quantity	200		
Price	65.341000		
Commission*	39.40		
Comm Rate	0.3031		
SEC Fee	-		
Amount(USD)	13071.71		
Unallocated	70		
DU42607@	50	3267.05	0.00
U42607	80	5227.28	0.00

Allocate Cancel

* Equity commission rate
 ** Opt

- Review your allocations and click **Allocate**, or click **Cancel** to make changes. Allocated trades are displayed alphabetically in the [Allocation Summary](#).

Note: The Allocation review window pictured above has two display modes: Accounts as Columns (default) and Accounts as Rows (shown above). Change the display mode by clicking the **Flip Display** button at the top of the allocation data. Change the default display mode using the [Configuration](#) page.

To make the post trade allocation process easier and more efficient, create re-usable allocation templates from the [Configure](#) page.

To allocate trades using a template

- Select the trade(s) you want to allocate using the check box(es) in the trades list.
- Choose a template from the dropdown list. This template will be applied to all trades you selected in Step 1.

Choose a Template:

Unallocate

Average Price

	Equity		Option	
	Percent	Odd Lots	Percent	Odd Lots
<input checked="" type="checkbox"/> Account Name				
<input checked="" type="checkbox"/> CMTA_1			0.00	<input type="radio"/>
<input checked="" type="checkbox"/> U42607	75.00	<input type="radio"/>	0.00	<input type="radio"/>
<input checked="" type="checkbox"/> DU42607@	25.00	<input checked="" type="radio"/>		
	100.00		0.00	

* Equity commissions are not calculated until trade is allocated
 ** Option commissions are not calculated

3. Click **Continue** to review your trade allocations.
4. Review your allocations and click **Allocate**, or click **Cancel** to make changes. Allocated trades are displayed alphabetically in the [Allocation Summary](#).

Average Price Trades

By default, all trades on the same underlying with the same side are grouped and displayed as an average price trade. You can create a custom Average Price trade on any subset of trades with the same underlying and side.

To create an Average Price trade

1. Expand the default Average Price trade by clicking the “+” sign next to a symbol.
2. Use the check boxes to select the subset of trades you want to group together.
3. Click the **Average Price** button.

Post Trade Allocations
 Trade Date: 08/25/2008
 Equities Settlement Date: 08/27/2008
 Except for NYSE : 07/21/2008
 Options Settlement Date: 08/25/2008

<input type="checkbox"/>	Avg	Symbol	Side	O/C	Quantity	Price	Commis
<input type="checkbox"/>	+	GPY JUL 05 P (GPYSM)	Bought	O	15	100.100000	-
<input type="checkbox"/>	+	IBM	Bought		200	65.341000	-
<input type="checkbox"/>	-	IBM	Sold		200	100.100000	-
<input checked="" type="checkbox"/>	-	IBM	Sold		50	100.100000	-
<input checked="" type="checkbox"/>	-	IBM	Sold		50	100.100000	-
<input checked="" type="checkbox"/>	-	IBM	Sold		50	100.100000	-
<input type="checkbox"/>	-	IBM	Sold		50	100.100000	-

Average Price

An average price trasade line is created in the Trades matrix. Note that if you elect to allocate an Average Price trade, the Allocation Summary will display a single allocation. If you elect to individually allocate the components of an average price trade, the Allocation Summary will display a group of allocated trades. In the preceding figure, the default Average Price trade for 200 IBM has been expanded to show the leg trades. We've selected three to create a new, custom average price trade.

Unallocate Trades

You can unallocate trades before the end of the day as follows:

Post Trade Allocations
 Trade Date: 08/25/2008
 Equities Settlement Date: 07/21/2008

<input type="checkbox"/>	Avg	Symbol	Side	O/C	Quantity	Price	Commission	SEC I
<input type="checkbox"/>	-	GPY JUL 65 P (GPYSM)	Bought	O	5	100.100000	-	
<input type="checkbox"/>	+	GPY JUL 65 P (GPYSM)	Bought	O	10	100.100000	-	
<input type="checkbox"/>	+	IBM	Bought		200	65.341000	39.10	-
<input checked="" type="checkbox"/>	+	IBM	Sold		200	100.100000	596.40	75.89

Unallocate Average Price

To unallocate a trade

1. From the Trades matrix select any allocated or partially trade by checking the check box at the beginning of the trade line.
2. Click the **Unallocate** button and click **OK** on the confirmation message if you're certain you want to unallocate the selected shares.

Post Trade Allocations
 Trade Date: 08/25/2008
 Equities Settlement Date: 08/27/2008
 Except for NYSE : 07/21/2008
 Options Settlement Date: 08/25/2008

<input type="checkbox"/>	Avg	Symbol	Side	O/C	Quantity	Price
<input type="checkbox"/>	-	GPY JUL 65 P (GPYSM)	Bought	0	5	100.10
<input type="checkbox"/>		GPY JUL 65 P (GPYSM)	Bought	0	10	100.100
<input type="checkbox"/>		IBM	Bought		200	65.3410
<input type="checkbox"/>		IBM	Sold		200	100.1000

3. The trade line now displays in yellow and shows **No** in the Allocated field.

Create Allocation Templates

Templates allow you to quickly define allocations with a single selection.

To create a template

1. From the top right corner of the Post Trade Allocation window, click *Configuration*.

[Configuration](#) [Allocation Summary](#)

SEC Fee	Amount(USD)	Exch.	Allocated
-	3891.66	NYSE	Yes
	100100.00		No

2. In the Configurations page, enter a name for your new template in the Template Name field.

The allocation matrix seen below displays asset types along the top row, and destination accounts in the farthest left column. The number of columns/row that you see will depend on the approved pairs of asset types/clearing

instructions defined for the account.

3. Enter allocation percentages and click **Save**.

Available Templates:

- test 1
- TechStocks**
- optionsBasic

Template Name: Default

Account Name	Equity		Option	
	Percent	Odd Lots	Percent	Odd Lots
CMTA_1			<input type="text" value="0.00"/>	<input type="radio"/>
U42607	<input type="text" value="75.00"/>	<input type="radio"/>	<input type="text" value="0.00"/>	<input type="radio"/>
DU42607@	<input type="text" value="25.00"/>	<input checked="" type="radio"/>		
Total:	<input type="text" value="100.00"/>		<input type="text" value="0.00"/>	

Note: Select an [Odd Lots](#) recipient to which odd lot allocation amounts will be sent. The saved template will now be available in the Choose a Templates dropdown list on the Post Trade Allocations page.

Odd Lot Designations

There are several odd lot settings to be aware of for post trade allocations. By default, the setting to **Allocate in Round Lots only** is active.



Allocate in Round Lots

When this is checked, allocation percents are applied to an order as defined, and the calculations are then rounded up or down to the nearest round lot (i.e. for stocks, to the closest 100 shares). The remaining shares are then allocated to the account designated for odd lots (specified by the Odd Lots radio button on the allocations page).

For example, if you allocate a 1000 share trade across three accounts, A, B and C, with percentages of 33%, 33%, and 34% respectively, and account A is designated for odd lots, the allocations shall be calculated as follows: A = 400 shares, B = 300 shares, and C = 300 shares.

Allow Odd Lots Allocation

When the check box is not selected, allocation percents are applied to an order as defined, but the calculations are *not* rounded to the nearest round lot. However, you must still designate an odd lots account that is used when the quantity does not divide evenly among accounts. The remaining shares are allocated to this account.

Using the same premise as the above example, in this case the allocations would be calculated as: A = 330 shares, B = 330 shares, and C = 340 shares.

In another example, if you allocated 349 shares evenly across three accounts (116.33 shares each), the calculations are each rounded down to 116, and 116 shares are allocated to two accounts and 117 shares are allocated to the odd lots account.

View the Allocation Summary

The Allocation Summary page display all trades allocated today. Use the Allocation Account list to view a summary for a single clearing broker.

To view the Allocation Summary

1. From the top right of the Allocation window, click *Allocation Summary*.

Fee	Amount(USD)	Exch.	Allocated
	3891.66	NYSE	Yes
	100100.00		No
	6517.91	NYSE	Partial
	13071.71		Yes

The following figure shows the Allocation Summary screen for a customer with multiple trading accounts. If you only have a single trading account, you will not see the Trading Account list.

Allocation Summary Post Trade Allocation

Trading Account: Trade Date: 02/11/2009 Allocation Account: DU42607@

Equities Settlement Date: 02/16/2009
Options Settlement Date: 02/12/2009

Browse...

Account Name	Symbol	Side	Quantity	Price	Commission	SEC Fee	Amount(USD)
DU42607@	ALC	Bought	100	9.690000	3.40	-	972
DU42607@	IBM	Bought	11	65.341000	2.17	-	720
U42607	IBM	Bought	11	65.341000	2.17	-	720
DU42607@	IBM	Bought	50	65.341000	9.85	-	3276
U42607	IBM	Bought	150	65.341000	29.55	-	9830
U42607	ALC	Bought	300	9.690000	10.19	-	2917
Unallocated	IBM	Bought	78	65.341000	15.37	-	5111

* Equity commissions are not calculated until trade is allocated
** Option commissions are not calculated

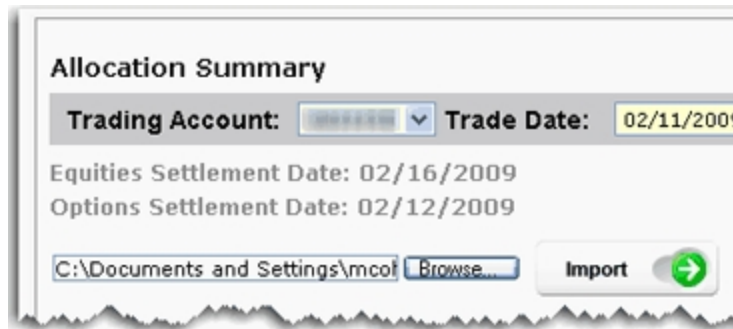
Import Allocations

You can import allocations using a comma-separated values (.csv) file. Imported files must adhere to the following guidelines:

	A	B	C	D	E	F
1	U42607	5	IBM	B	IBKR	300
2						

Where the required order and content of columns is:

- Column A - Trading Account ID
- Column B - Allocation account ID
- Column C - Symbol
- Column D - Side (B = Buy, S = Sell, SS = Short Sell, BC = Covered Buy)
- Column E - Executing broker
- Column F - Quantity, which must equal the quantity available for allocation for that symbol, side, trading account ID and executing broker.



To import allocations

1. In the import field, enter the name of the .csv file to import, or click the **Browse** button and navigate to the file.
2. Click the **Import** button.
3. If the file is successfully imported, it will be displayed alphabetically in the Allocation Summary as shown below.

Imported successfully.

Account Name	Symbol	Side	Quantity	Price	Commiss-
U42607	ALC	Bought	300	9.690000	10.19
DU42607@	ALC	Bought	100	9.690000	3.40
U42607	IBM	Bought	200	65.341000	39.40
DU42607@	IBM	Bought	11	65.341000	2.17

Configure Post Trade Allocation Settings

You can configure the layout and some display items as well as allocation settings from the Configuration page.



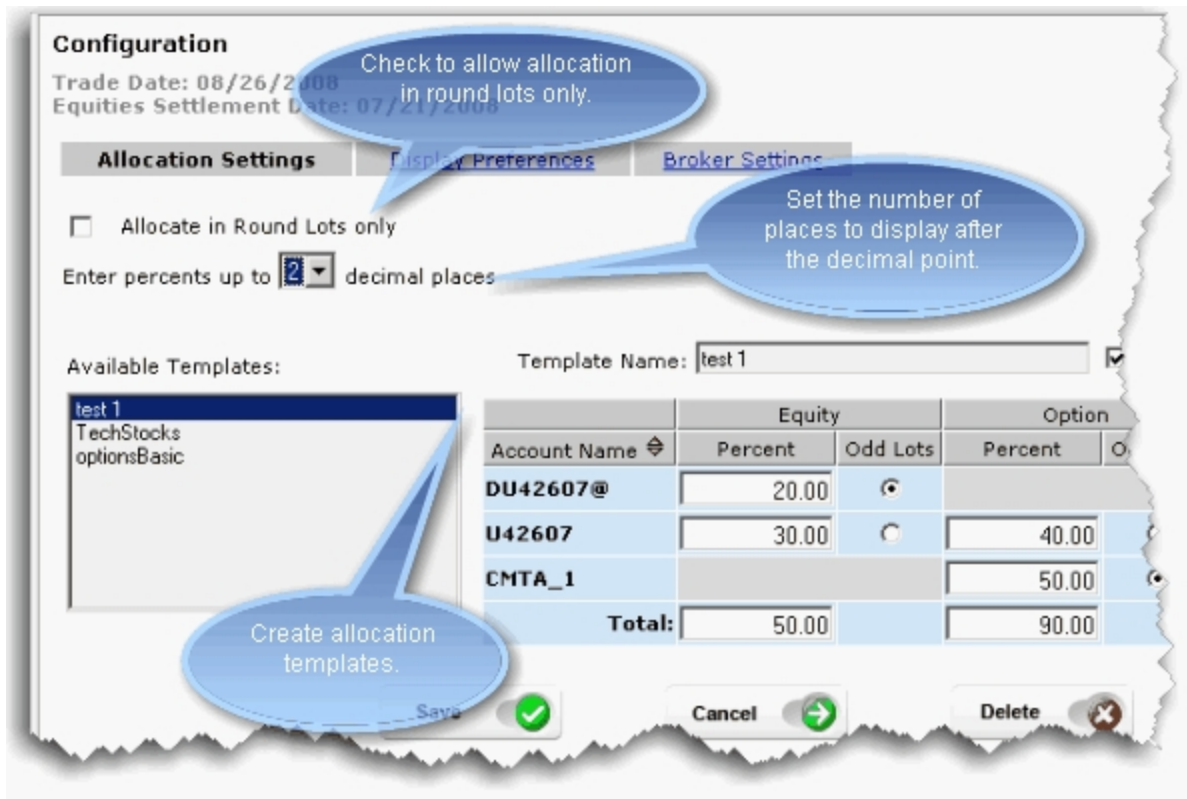
To access configuration settings

1. From the top right corner of the Allocation window, click *Configuration*.
2. From the Configuration page, click *Display Settings*.

Configuration Settings

Allocation Settings

The Allocation Settings page is where you define whether to allow allocation in round lots only, the desired number of decimal places for numeric display, and creation of or changes to [allocation templates](#). If you have several trading accounts, you can select a single account of interest from the Trading Account list. If you do not have several trading accounts, the Trading Account list does not display (as shown below).



Display Preferences

The settings you specify in the Display Preferences page are for default settings; they can be modified at any time, and in some cases the layout can be changed on the page itself.



Configuration
Trade Date: 08/25/2008

Allocation Settings | **Display Preferences** | Broker Settings

Include Account numbers in displays
 Include Tracking ID's in displays

Default Allocation Display: After Allocating go to:
 Accounts as Rows Allocation Summary
 Accounts as Columns Post Trade Allocations

Symbol Display
Options:
 Option Symbol
 OPRA Code
 Option Symbol & OPRA code

Buttons:

Callout 1: If checked, the Account Number is displayed in the Allocation matrix, and the Tracking ID is displayed in the Trades matrix.

Callout 2: *Option Symbol* displays just the underlying symbol for options trades, i.e. GPY JUL 65 P. *OPRA Code* displays just the Options Price Reporting Authority code, i.e. GPYSM. *Option Symbol & OPRA code* displays both, i.e. GPY JUL 65 P (GPYSM).

Callout 3: Default Allocation Display determines the default layout for reviewing allocations. Use the Flip Display button on the actual page to toggle between layouts.

Callout 4: Specify which page to open after allocating trades.

Reports

This chapter describes the reporting features of Account Management, including activity statements, trade confirmation reports and supplemental reports such as margin reports.

This chapter includes the following topics:

- [Activity Statements](#)
- [Trade Confirmation Reports](#)
- [PortfolioAnalyst](#)
- [Transaction Cost Analysis](#)
- [Risk](#)
- [Supplemental Reports](#)
- [Tax](#)
- [Settings](#)
- [Customer Activity Monitor \(CAM\)](#)

Activity

The Reports > Activity menu includes the following tabbed pages:

- [Statements](#) - View and create activity statements. You can run default statements or create your own customized statements.
- [Downloads](#) - Download activity statements in one of several formats, such as Microsoft Excel or Quicken.
- [Flex Queries](#) - Create highly customized activity statements in text or XML format.
- [Batch Reports](#) - View the status of reports queued for batch processing, and run batch reports.

Who can access the Activity page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Non-Disclosed Client User
- Investment Manager Master User
- Fund

and you have been granted Reporting access rights.

About Activity Statements

Activity Statements include information about your account activity, which can be generated on a daily, monthly, and yearly basis for all accounts.

Information included in an Activity Statement is presented in expandable and collapsible sections with click-down detail, and you can create customized statements to include or exclude individual sections. You can also choose to include closed accounts in your statement. You are notified via email when there is account activity.

Activity by Account Type

The following figure shows what kind of activity statements are available for each account type.

Individuals	One statement for each Individual Account.
Advisors	Clients can access their statements electronically. Advisors can view statements for their advisor accounts, client accounts, and a consolidated statement including some or all accounts.
Mutual and Hedge Funds	Investment Managers can view statements for their master account, fund accounts, and a consolidated statement including some or all accounts.
Proprietary Trading Groups	Supervisory Users can view statements for the master account, sub accounts if applicable, and a consolidated statement including some or all accounts. Sub users can view statements for their sub accounts.
Fully and Non-Disclosed Brokers	Clients can access their statements electronically. Brokers can view statements for the master account, client accounts, and a consolidated statement including some or all accounts.
Omnibus Brokers	Statements will be provided for the long, short, master, and consolidated accounts.

Activity Statement Archive Policy

We provide access to activity statements as follows:

- Daily account statements are available for the four previous calendar years and from the start of the current calendar year.
- Monthly account statements are available for the five previous years (60 prior months).
- Annual account statements are available for the five previous years.
- Custom Date Range account statements are available for the four previous calendar years and from the start of the current calendar year.
- You can obtain account statements older than this for a processing fee. See the [Other Fees](#) page on our website for more information.

Viewing Activity Statements

Activity Statements include information about your account activity, and can be generated on a daily, monthly, and yearly basis for all accounts.

You view activity statements from Account Management or from the View menu in Trader Workstation. Make a note of the following guidelines when viewing activity statements:

- Multi-account structures (Advisor, Broker, Institutions) can select one or more accounts from the Account(s) list.
- Monthly statements are generally available by five business days after the close of a month.
- Annual statements are available by January 31 under normal circumstances.

Default Statements

There are several default statements available for viewing Activity Statements:

- *Partition Summary* - This default statement appears ONLY for account holders who have divided their accounts into partitions. If you select this statement, the Calendar Year time period is not available.
- *Default* -The primary default statement. It includes Net Asset Value (NAV), Realized and Unrealized and Mark-to-Market (MTM) performance summaries, deposit and withdrawals, dividends, interest, fees, and other summary information related to changes in NAV. This default statement supports the Calendar Year period.
- *Realized Summary* -A simpler statement that includes NAV, Positions and realized P&L summaries as well as other summary information related to changes in NAV.
- *MTM Summary* - A simpler statement that includes NAV and Position and MTM profit and loss summaries as well as other summary information related to changes in NAV.
- *Commodities Regulatory* - The Commodities Regulatory statement breaks out domestic (US) and foreign cash/holdings for the Commodities segment of your account (required by the CME Group). This type of statement is available for any accounts that trade futures or futures options.

You can also select one of our legacy default statements:

- *Legacy Full* - This statement includes ALL sections of an activity statement; this is the only default statement that supports the Yearly period.
- *Legacy Simple* - A simpler statement that includes details but excludes MTM P&L.
- *Legacy Summary* - A simple summary statement that includes only a few sections.
- *Multi-Account Summary* - A summary statement for linked accounts and multi-account structures.

To view an activity statement from Account Management

1. Click **Reports > Activity > Statements**.

The Statements page appears by default.

Activity Statements

Use this page to view activity statements and create and view customized statements.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select one or more accounts on which to report. To include activity from accounts you have recently closed, select the **Include Closed Accounts** check box. If you choose to include closed accounts, those accounts appear in the Account Selector.

2. In the Statements list, select the default statement or one of your own saved customized statements that you want to view.
3. In the Date(s) fields, select the Period (*Daily*, *Custom Date Range*, *Monthly* or *Calendar Year*) and a Date.
 - For Custom Date Range, select the From and To dates, which define the period covered by the statement.
 - For Daily statements, you can select a specific date or the last business day.
 - For Monthly statements, you can select the last month or a specific month.
 - For Calendar Year (annual) statements, you can select a specific year.
 - For Commodity Regulatory Statements, you can select *Daily* or *Custom Date Range*. Data is available from 5/29/2015 forward.
4. If you have a multiple account structure, selected more than one account in the Account Selector, and want to view a consolidated statement, select the **Consolidate Selected** check box. This check box **ONLY** appears if you selected more than one account in the Account Selector (or if you selected one or more accounts in a Household in the selector). You can also generate statements for all accounts in a single statement (multiple statements are joined together in a single statement) if you select your own master account in the Account Selector and then select the **Concatenate All** check box.

Advisors, Money Managers and Brokers and master account users with reporting access rights who select their own master account in the Account Selector have access to client-only consolidated and concatenated statements. Select **Consolidated (Clients-Only)** to generate activity data for all clients combined into a single statement, or

Concatenate All (Clients-Only) to generate statements for all client accounts in a single statement (multiple client statements are joined together in a single statement).

5. In the Format list, select either HTML/WEB, PDF or Excel, depending on how you want to view the statement.
6. In the Language list, select your desired language.
7. Click **View** to generate the activity statement.

If you selected PDF as the Format, you will be prompted to open the generated report or save it to your computer.

8. You can expand and collapse each section of the statement individually. Click the slate blue section heading bar to expand a section, and click it again to collapse it.



Interactive Brokers		Activity Statement					
		August 1, 2014					
Interactive Brokers LLC, Two Pickwick Plaza, Greenwich, CT 06830		Help Expand All Contract All Print					
Account Information ?							
Name	Interactive Brokers LLC (Master Account) - Management - 01 - Trade - 01 - 01/01/2014						
Account	11111111						
Account Type	Broker Master						
Customer Type	Limited Liability Company						
Account Capabilities	Portfolio Margin						
Trading Permissions	SSF, Stocks, Options, Warrants, Bonds, Leveraged Forex, Futures, Futures Options						
Base Currency	USD						
Net Asset Value							
	July 31, 2014	August 1, 2014					
	Total	Long	Short	Total	Change	Change in NAV	Total
Cash	784,799.17	1,576,748.61	0.00	1,576,748.61	791,949.44	Starting Value	24,639,326.32
Stock	23,981,814.78	23,850,096.14	-1,589.54	23,848,506.60	-133,308.17	Mark-to-Market	-66,629.99
Options	-138,799.51	52,639.66	-174,074.40	-121,434.74	17,364.77	Deposits & Withdrawals	738,705.00
Interest Accruals	4,664.00	4,840.01	0.00	4,840.01	176.01	Dividends	2,701.47
Dividend Accruals	6,847.89	8,447.84	0.00	8,447.84	1,599.95	Interest	180.22
Total	24,639,326.32	25,492,772.26	-175,663.94	25,317,108.32	677,782.01	Fees	-0.08
Time Weighted Rate of Return					-0.24%	Commissions	3,533.18
						Withholding Tax	-212.55
						Other FX Translations	-495.25
						Ending Value	25,317,108.32
Mark-to-Market Performance Summary in Base ?							
Realized & Unrealized Performance Summary in Base ?							
Open Positions ?							
Forex Balances ?							
Trades ?							

Creating Customized Statements

We let you create and save customized statements that enable you to exclude unnecessary information from activity statements. Customized statements let you select only those sections that you want to include in your activity statement, as well as additional statement options. If you want your customized statements delivered by email or FTP on a daily or monthly basis, you can also select delivery settings to be saved with the statement.

To create a customized statement

1. Click **Reports > Activity > Statements**.

The Statements page appears by default.

Activity Statements

Use this page to view activity statements and create and view customized statements.

View Statements

To view an Activity Statement, make selections below then click **View**.

Statements	Date(s)	Format	Language	Options
Default ▾	Period: Monthly ▾ Date: August, 2014 ▾	HTML/Web ▾	English ▾	<input type="checkbox"/> Consolidated <input type="checkbox"/> Concatenate All

View →

2. Click the **Customize Your Statements** bar to expand that section.

3. In the Create New/Select to Edit list, select *Create New*, then enter a name for the statement in the Statement Name field, or select one of the default statements as the basis for your customized statement (Default, MTM Summary, Realized Summary or Multi-Account Summary).
 - You can also edit an existing statement and save it under a new name. To edit an existing customized statements, select it from the Create New/Select to Edit list.
4. Select the check box next to each section you want to include in an activity statement. Select ALL to include all sections in your customized statement.
5. In Optional Sections, select the check box next to each section you want to include in your statement.
6. In Section Configurations, select the check box next to each option you want to apply to your statement.

7. In the Profit and Loss list, select the profit and loss format for the statement. Select *MTM and Realized P/L*, *Realized P/L Only*, *MTM Only*, or *None*.
8. Select one of the following from the Statement Type list:

- If you are an Executions Services customer, select either *Activity Statement* or *Execution Settlement*.

Execution Settlements show activity by settlement date instead of trade date. If you select Execution Settlement, filter the settlement by broker name or broker account using the fields provided.

- If you are a Prime Services customer, select *Activity Statement*, *Settlement* or *Projected Settlement*. Prime Settlements show activity by settlement date; Projected Prime Settlements show activity by projected settlement date.
 - If you want to view your statements on your mobile device, in the Statement Type list, select *Mobile Summary*. The Mobile Summary is a scaled-down statement designed to be viewed on a mobile device.
9. In the Customize Statements Delivery Settings section, specify additional information for customized activity statement that you want to be sent via email. Enter the following information for customized statements that will be delivered via email:
- **Account:** Select account ID, ALL or CONSOLIDATED. Select ALL to apply the statement to the master account and all sub accounts (or linked accounts). A separate email will be sent for each account. (If you select FTP on the Delivery Settings page in Report Management, all files will be delivered to the FTP site, but the directory will be appended with the report date for organizational purposes.)

Although email and FTP delivery methods are available, we recommend that Advisors and Brokers choose FTP as their delivery method for customized statements with ALL accounts selected. Advisors and Brokers who select email as the delivery method for customized statements with ALL accounts selected, you will get an emailed statements for each client or sub account.

- **Activity Period:** Select Daily or Monthly.
- **Format:** Select HTML/WEB, PDF or Excel.
- **Language:** Select your language from the list.

If you would like your customized statements delivered by email or FTP on a daily or monthly basis, complete the following fields, then go to *Report Management > Delivery Settings* to select the statements(s) to be delivered.

Account(s):	<input type="text" value="Yankee"/>
Activity Period:	<input type="text" value="Daily"/>
Format:	<input type="text" value="HTML/Web"/>
Language:	<input type="text" value="English"/>

10. Click **Save** to save your statement template.

Your customized statement will now appear in the Available Statements drop-down in the View Statements section of the page.

Profit and Loss Selection

When you create a customized statement, you can select one of the following Profit and Loss options:

- MTM and Realized P/L
- Realized P/L Only
- MTM Only
- None

Your selection affects which sections and which columns appear in certain sections in your statement. Note that default statements use the MTM and Realized P/L Profit and Loss setting.

The following figure shows how your profit and loss selection affects customized Activity Statements.

Statement Sections Affects	Profit and Loss Selection			
	MTM and Realized P/L	Realized P/L Only	MTM Only	None
Mark-to-Market Performance Summary in Base	Included	Not included.	Included	Not included.
Realized & Unrealized Performance Summary in Base	Included	Included	Not included.	Not included.
Month & Year to Date Performance Summary in Base	Included	Not included.	Not included.	Not included.
Change in Position Value	Included	Included	Not included.	Not included.
Long Open Positions¹	Unrealized P/L, and cost information is included.	Unrealized P/L and cost information is included.	Unrealized P/L and cost information is not included.	Unrealized P/L and cost information is not included.
Short Open Positions¹	Unrealized P/L and cost information is included.	Unrealized P/L and cost information is included.	Unrealized P/L and cost information is not included.	Unrealized P/L and cost information is not included.
Trades	Realized P/L and cost information is included; MTM P/L and Close Price column is included	Realized P/L and cost information is included; MTM P/L and Close Price is not included.	MTM P/L and Close Price is included, Realized P/L and cost information is not included.	Realized P/L, cost information and MTM P/L and Close Price are not included.

¹ Long Open Positions and Short Open Positions sections never include MTM P/L.

Third-Party Downloads

The Activity Downloads page lets you download daily and monthly activity statements into any one of the following software:

- Microsoft Word
- Microsoft Money
- Quicken
- Tradelog
- GainsKeeper
- Captools (Legacy)

In addition, the following downloads are available upon request:

- Daily Captools Downloads - Daily Captools downloads are available for customers upon request. Send your request to enable Captools downloads to reportingintegration@interactivebrokers.com. Note that Captools downloads are not available to Non-Disclosed Broker Clients. If you request Daily Captools Downloads, the Activity Downloads page will contain an additional section for Daily Captools Downloads.
- Daily PortfolioCenter®/MorningstarDownloads for Advisors (for advisor accounts only).

PortfolioCenter is a product of Schwab Performance Technologies, a subsidiary of The Charles Schwab Corporation.

Note: If you are downloading your statements for use in a proprietary program that requires a set format, use Activity Flex Queries instead of Activity Downloads.

Who can access the Activity Downloads page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization

- Investment Manager Master User
- Fund
- Administrator who is subscribed (linked) to a client account.

To download activity statements

1. Click **Reports > Activity > Downloads**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account on which to report. To download a statement for a closed account, select the **Include Closed Accounts** check box, and then select the closed account.

The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. Make the following selections:
 - In the Date fields, select the Period (Daily, Monthly or Custom Date Range) and a Date. For Custom Date Range, select the From and To dates, which define the period covered by the statement you want to download. Note that downloads to Quicken (.OFX format) can go back 90 days.
 - Select a download format from the Format drop-down. Advisors can download to PortfolioCenter/Morningstar; they can download all six files in a single zip file.

Third-Party Downloads

Use this page to download daily and monthly activity statements in a variety of formats. Select an account, statement date and download format for daily and monthly activity below, then click **Download** to save the file on your computer.

3. Click **Download**.

A new browser window opens, informing you that the report was generated successfully.

4. Open the generated report with the appropriate application, or download the report to your computer.

If You are Downloading a Zip File Using Internet Explorer 7 or 8

If you are downloading a Zip file using Internet Explorer 7 or 8, verify that automatic prompting for file downloads is enabled.

To verify that automatic prompting for file downloads is enabled

1. In Internet Explorer, select **Internet Options** from the **Tools** menu.
2. In the Internet Options dialog box, select the **Security** tab.
3. Click the **Custom Level...** button.
4. Scroll down to the Downloads section.
5. *Automatic prompting for file downloads* should be enabled.

Activity Flex Queries

The Activity Flex Queries page lets you create highly customized report templates for activity statements. Flex queries let you specify exactly which fields you want to view in your Activity Statement, the time period you want the report to cover, the order in which you want the fields to display, and the display format, TEXT or XML, in which you want to view your report.

You can create multiple Flex Queries with different fields for each statement. All of your Flex Queries are stored in Account Management, and can be easily run from the Activity Flex Queries page. An activity Flex Query is different from a customized activity statement in that you can customize a Flex Query at the field level, allowing you to include and exclude detailed field information. Customized statements only let you include and exclude sections.

The Flex Queries page lets you create a new Flex Query or edit an existing Flex Query. Existing Flex Queries are displayed in the Saved Flex Queries section of the page. You can also edit default Flex Queries for Trades and Positions, then use those queries as the basis for your own Flex Queries.

Saved Flex Queries are available for the four previous calendar years and from the start of the current calendar year.

Who can access the Flex Queries page?

You can access this page if you are a(n):

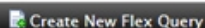
- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

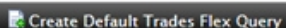
To create an activity Flex Query

1. Click **Reports > Activity > Flex Queries**.

Activity Flex Queries

Use this page to create Activity Flex Queries, which are highly customized text- or XML-based report templates for activity statements.

 Create New Flex Query

 Create Default Trades Flex Query

 Create Default Positions Flex Query

Saved Flex Queries

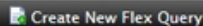
You do not have any saved Flex Queries. Click one of the buttons above to create a new Flex Query.

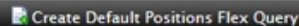
2. Do any of the following:
 - To create a new query, click **Create New Flex Query**.
 - To run an existing query, click **Run** for the query.
 - To edit an existing query, click **Edit** for the query, then make your changes to the query and click **Save Query**.
 - To delete an existing query, click **Delete**.
 - To add the Default Trades query, click **Create Default Trades Query**.
 - To add the Default Positions query, click **Create Default Positions Query**.

Note that when you add a default query to the list, the button disappears from the page. If you delete a default query from the list, the button re-appears.










Activity Flex Queries

Use this page to create Activity Flex Queries, which are highly customized text- or XML-based report templates for activity statements.

 Create New Flex Query

 Create Default Positions Flex Query

Saved Flex Queries

ID	Name	Run	Edit	Delete
44007	DefaultTrades			
61104	Test			
44006	Tester			

3. If you clicked **Create New Flex Query**, a new page appears on which you create your new Flex Query.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select one or more accounts on which to report. To include activity from accounts that you have recently closed, select the **Include Closed Accounts** check box. If you choose to include closed accounts, those accounts appear in the Account Selector.

4. Make selections and set options in the General Configuration and Date Configuration sections.

- In the Query Name field, enter the name of the Flex Query.
- In the Output Format list, select *Text* or *XML*. If you select *Text*, you must also choose a delimiting character (comma, pipe or tab character), and optionally choose to include header and trailer records; column headers; and section code and line descriptors.
- Select other options as required. Note that the **Consolidated** and **All** options are only available when the master account has been selected in the Account Selector.
- In the Date Configuration section, select the period for the Flex Query, or enter a range of dates in the From Date and To Date fields. The following periods are available:

Last Business Day
 Last Month
 Last 30 Calendar Days
 Last 365 Calendar Days

Month to Date

Year to Date

Last Business Week (Mon-Fri)

Last N Calendar Days (when you select this option, you must then select a number from 1 to 365 from a drop-down)

- In the Date Configuration section, select a Date Format, Time Format and Date/Time Separator:

Available date formats are:

yyyyMMdd (default)

yyyy-MM-dd

MM/dd/yyyy

MM/dd/yy

dd/MM/yyyy

dd/MM/yy

dd-MMM-yy

Available time formats are:

HHmmss (default)

HH:mm:ss

Available date/time separators are:

; (semi-colon, the default)

, (comma)

" (single-spaced)

No separator

- Advisors, Money Managers and Brokers and master account users with reporting access rights who select their own master account in the Account Selector have access to client-only consolidated and concatenated statements. Select **Consolidated (Clients-Only)** to generate activity data for all clients combined into a single statement, or **Concatenate All (Clients-Only)** to generate statements for all client accounts in a single statement (multiple client statements are joined together in a single statement).
5. Advisors who have created models in Trader Workstation can include model information in their Activity Flex Queries. In the Models section of the page, select one of these options:
 - **All** - Include data for all models joined together.
 - **Consolidated** - Include consolidated data for all models and a single account.
 - **Select a Model** - Select this check box to view available models in the Model drop-down list. Select a model from the drop-down to view a statement for a single model. Only models that have been created in Trader Workstation for the selected account(s) will appear.
 6. To specify which fields in which sections to include, click each section to expand it, then select the fields to include in the Flex Query in each section by highlighting the fields in the Fields Available list, then using the green right arrow to move the fields to the Fields Included list. Use the green left arrow to move fields from the Fields Included list (and exclude the fields from the report).

The screenshot shows a configuration interface for a query. It features a section titled "Account Information" with a dropdown arrow. Below this, there are two columns: "Fields Available" and "Fields Included". The "Fields Available" column contains a list with three items: "Account ID", "Account Alias", and "Currency". The "Fields Included" column is currently empty. Green arrows indicate the functionality: a right-pointing arrow from "Fields Available" to "Fields Included", a left-pointing arrow from "Fields Included" back to "Fields Available", and two vertical arrows (up and down) next to the "Fields Included" list, indicating that items in that list can be reordered.

Below the "Account Information" section, there are several other sections, each with a dropdown arrow and a title:

- Net Asset Value (NAV) in Base
- Mark-to-Market Performance Summary in Base
- Realized and Unrealized Performance Summary in Base
- Month & Year to Date Performance Summary in Base
- Cash Report

7. Click **Save Query**.

The saved query will now appear in the list of saved queries on the Activity Flex Queries page.

For more information

- [Reporting Guide](#)
- [Activity Flex Query Reference](#)

Batch Reports

Requests for Activity Statements and Activity Flex Queries with a large amount of activity are placed in a queue for batch processing. Specifically, any Activity Statement or Activity Flex Query request that includes over 20,000 activities (activities are mostly trades but can also include transfers, dividend payments, corporate actions, etc.) or over 250 accounts will be automatically submitted for batch processing. If you try to view one of these reports, you will receive a message indicating that it has been submitted for batch processing.

You can view the status of these requests on the Batch Reports page. Activity Statements and Activity Flex Queries listed on the Batch Reports page have one of the following statuses:

- **Queued** - The report has been placed in the queue and will be generated as soon as possible.
- **In Progress** - The report is currently being generated.
- **Completed** - The report has been generated and can be viewed/downloaded. Completed batch reports are available for seven days.
- **Failed** - The report generation failed.

Batch Reports

This page displays Activity Statement and Activity Flex Query requests that could not be generated in real time due to excessive activity. These requests will be queued for batch processing and you can check the status of the requests on this page.

Available Batch Reports					
Requested By	Request Date	Statement Type	Statement Summary	Status	Action
U-XXXXXX	2012-11-15	Activity Statement	Custom Trades; U-XXXXXX; 20120402-20121114	Completed	View
U-XXXXXX	2012-11-15	Activity Statement	Custom Trades; U-XXXXXX (Consolidated); 201210	Completed	View
U-XXXXXX	2012-11-15	Activity Flex	DefaultTrades; U-XXXXXX (Consolidated); 20121016-20121114	Completed	View
U-XXXXXX	2012-11-15	Activity Statement	Default; U-XXXXXX; 20120801-20121114	Completed	View
U-XXXXXX	2012-11-15	Activity Flex	DefaultTrades; U-XXXXXX (All); 20121001-20121031	Completed	View
U-XXXXXX	2012-11-16	Activity Flex	P/L; U-XXXXXX; 20120102-20121115	Completed	View
U-XXXXXX	2012-11-16	Activity Statement	Default; U-XXXXXX; 20120801-20121115	Completed	View
U-XXXXXX	2012-11-16	Activity Statement	DefaultActivityDownload; U-XXXXXX (Consolidated); 20121016-20121115	Completed	View
U-XXXXXX	2012-11-19	Activity Statement	Default; U-XXXXXX; 20120702-20121116	Queued	
U-XXXXXX	2012-11-19	Activity Flex	Trades and Positions; U-XXXXXX (All); 20121022-20121116	Queued	

* Request submitted on behalf of customer by operator [Refresh](#)

To view the status of reports queued for batch processing

1. Click **Reports > Activity > Batch Reports**.
2. Any report with a status of **Completed** can be viewed and/or downloaded immediately. Click the *View* link to view an HTML or PDF report or download a PDF report or Flex Query.
3. If a batch report has a status of **Failed**, try running the report again. If it fails again, contact [Customer Service](#).
4. Click the *Refresh* link in the lower right corner of the page to refresh the list of available batch reports.

Quarterly Summaries

The Quarterly Summaries page lets advisor clients generate a Brokerage Account Quarterly Activity Summary, which is a simplified activity statement for quarterly periods. Advisor Masters can view quarterly summaries for their clients. Each quarter you will receive a hard-copy of the summary by mail. Using the form on this page, you can download the summary in PDF format.

There are two versions of the Quarterly Advisor Client Activity Summary - a default version and a version for Advisors who have been granted additional advisor authorizations ("full-service" advisors).

The Quarterly Summary PDF includes the following sections:

- Account Information
- Net Asset Value including Change in NAV
- Open Positions
- Trades
- Deposits and Withdrawals (for Advisors who have been granted additional advisor authorizations only)
- Other Information
- Codes

Who can access the Quarterly Summaries page?

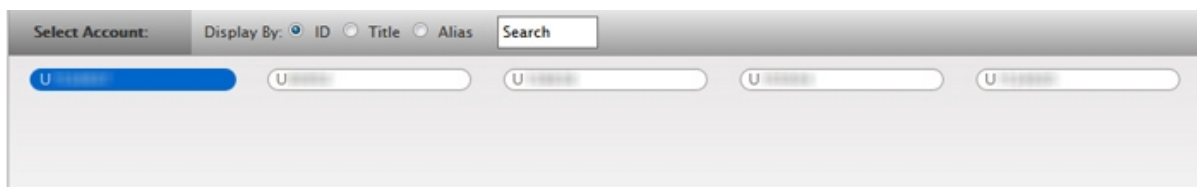
You can access this page if you are a(n):

- Advisor Master User Individual (view only)
- Advisor Master User Organization (view only)
- Advisor Client User Individual
- Advisor Client User Organization

To view a quarterly summary

1. Click **Reports > Activity > Quarterly Summaries**.

If you are an Advisor Master User, use the Account Selector at the top of the page to select an account on which to report.

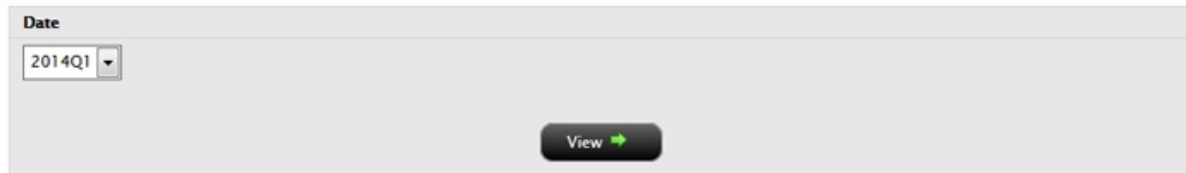


The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. In the Date field, select the fiscal quarter.

Quarterly Activity Summary

The Quarterly Activity Summary is a simplified quarterly statement containing activity summaries of advisor client accounts. Make selections below, then click **View** to generate the report, which is presented as a downloadable PDF.

A screenshot of a web form titled "Quarterly Activity Summary". The form has a light gray background. At the top left, the word "Date" is written in bold. Below it is a dropdown menu with "2014Q1" selected and a small downward arrow. In the center of the form is a dark gray button with the word "View" in white and a small green right-pointing arrow.

3. Click **View** to generate the summary.

The quarterly summary is generated and displayed as a PDF file in a new browser window.

Trade Confirmations

The Trade Confirmations menu includes the following tabbed pages:

- [Reports](#) - View trade confirmation reports.
- [Trade Allocations](#) - View pre-trade and post-trade allocation details.
- [Flex Queries](#) - Create highly customized trade confirmation reports in text or XML format.

Real-time trade confirmations are generated for all executions. You can view a trade confirmations report, which lists trade confirmations separately by asset class.

Trade confirmations are available for the four previous calendar years and from the start of the current calendar year.

Who can access the Trade Confirmations page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

and you have been granted Reporting access rights.

Trade Confirmation Reports

To generate a trade confirmation report

1. Click **Reports > Trade Confirmations > Reports**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account on which to report. To generate a Trade Confirmation report for a closed account, select the **Include Closed Accounts** check box, and then select the closed account.

The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. Make the following selections:
 - In the Date fields, select the dates for the report.
 - In the Format field, *HTML/WEB* is automatically selected for you. You cannot save a Trade Confirmation report in PDF format.
 - In the Language list, select your desired language.

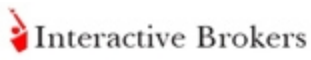
Trade Confirmations

Use this page to view trade confirmation reports.

Advisors, Money Managers and Brokers and master account users with reporting access rights who select their own master account in the Account Selector have access to client-only consolidated and concatenated reports. Select **Consolidated (Clients-Only)** to generate trade confirmations for all clients combined into a single report, or **Concatenate All (Clients-Only)** to generate statements for all client accounts in a single report (multiple client reports are joined together in a single report).

3. Click **View** to generate the report.

Summary rows are marked with a plus sign. Click a summary row to display detail rows; click the summary row again to close the detail rows.



Trade Confirmation Report

August 1, 2013 - November 7, 2013

[Help](#) | [Expand All](#) | [Contract All](#) | [Print](#)

Interactive Brokers (U.K.) Ltd.
5th Floor, 1 Carey Lane, London EC2V 8AE, UK. Regulated by FSA

Account Information ?

Name	IBUSIPS TEST ACCOUNT
Account Alias	IBUSIPS
Account	F 100000
Accounts Included	F 100000 - F 100000
Account Type	Advisor Master
Customer Type	Individual
Account Capabilities	Cash
Trading Permissions	Forex
Base Currency	USD

Trades ?

Acct ID	Symbol	Trade Date	Settle Date	Buy/Sell	Exchange	Quantity	Price	Proceeds	Comm	Tax	Order Type	Code
Stocks - Held with Interactive Brokers (U.K.) Limited carried by Interactive Brokers LLC												
USD												
+F 100000	IBM	2013-08-09, 15:34:31	2013-08-14	BUY	-	10	187.7600	-1,877.60	-0.71	0.00	LMT	D
+F 100000	IBM	2013-08-09, 15:34:31	2013-08-14	ALLOC	-	-10	187.7600	1,877.60	0.71	0.00		T
Total IBM (Bought)								0.00	0.00	0.00		
Total								0.00	0.00	0.00		

Contract Information ?

Codes ?

Order Types ?

Notes/Legal Notes

General:

1. Quantities preceded by a "-" sign indicate sell transactions. Other transactions are purchases. In case of partial executions, commissions are charged on the total quantity executed on the original order. The commission is displayed on the first partial execution only. Trade execution times are displayed in Eastern Time.
2. Please promptly report any inaccuracy or discrepancy in this statement, or in your account. Contact the IB Customer Service Department in writing using the form available on the IB website.

Transactions in Stocks, Bonds, Mutual Funds, Exchange Traded Commodity Futures and Options and Foreign Currency:

3. Interactive Brokers (U.K.) Ltd. ("IB UK") acts as agent in transactions in securities, exchange-traded commodity futures and options, and foreign currencies. For transactions in these products, IB UK's U.S. affiliate Interactive Brokers LLC ("IB LLC") provides trade execution, Client Money and Custody Services. IB LLC holds Customer money, securities, or other assets under the rules of the U.S. Securities and Exchange Commission ("SEC") and the U.S. Commodity Futures Trading Commission ("CFTC"), as applicable. For assets held with IB LLC, different practices for the separate identification of Customer's money, securities, and assets may apply and, in the event of a default of IB LLC, Customer's money, securities and assets may be treated differently from the position that would apply if the money, securities or assets were held in the United Kingdom. IB LLC is a member of the U.S. Securities Investor Protection Corporation ("SIPC"). A financial statement of Interactive Brokers LLC is

Trade Allocations

The Trade Allocation Report provides pre-trade and post-trade allocation details. Post-trade allocations should be available by 6:15 PM Eastern time for the current trading day.

Who can access the Trade Allocations page?

You can access this page if you are a Proprietary Trading Group Master or Sub Account and subscribe to our IBExecution Service.

To run the Trade Allocations report

1. Click **Reports > Trade Confirmations > Trade Allocations**.

2. On the Trade Confirmations screen, make the following selections:

- In the Account ID list, select the account for which you want to generate the report.

If you are a Master User, the Account list will not appear. Instead, use the Account Selector to select an account. The most recent account you selected is the current account when you come to this page. You can switch accounts after you select an account by clicking the Account Selector tab, then selecting a different account.

- In the From and To Date fields, select the dates for the report.
- To filter the report by a specific broker name, select a broker name in the Broker Name field. Select All to include all broker names in the report.
- To filter the report by a specific broker account, select All in the Broker Name field and select a specific broker account in the Broker Account field. Select All to include all broker accounts in the report.

3. Click **View** to generate the report.

Trade Confirmation Flex Queries

The Trade Confirms Flex page lets you create multiple, customized report templates for trade confirmations. A trade confirmation Flex Query lets you specify the exact fields you want to view in your report, the time period you want the report to cover, the order in which you want the fields to appear in the report, and the display format for the report.

You can create multiple Flex Queries with different fields for each query. All of your Flex queries are stored in Account Management. You can also add a default Flex Query, then use it as the basis for your own by editing it.

The Flex Queries page lets you create a new flex query or edit an existing Flex Query. Existing Flex Queries are displayed in the Saved Flex Queries section of the page. You can also edit the default Flex Query to use it as the basis for your own Flex Query.

Saved Flex Queries are available for the four previous calendar years and from the start of the current calendar year.

Who can access the Trade Confirmation Flex Queries page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

and you have been granted Reporting access rights.

To create a trade confirmation flex query

1. Click **Reports > Trade Confirmations > Flex Queries**.

Trade Confirmation Flex Queries

Use this page to create Trade Confirmation Flex Queries, which are highly customized text- or XML-based report templates for Trade Confirmation reports.



Saved Flex Queries

You do not have any saved Flex Queries. Click one of the buttons above to create a new Flex Query.

2. Do any of the following:
 - To create a new query, click **Create New Flex Query**.
 - To run an existing query, click **Run** for the query.
 - To edit an existing query, click **Edit** for the query, then make your changes to the query and click **Save Query**.
 - To delete an existing query, click **Delete**.
 - To add the Default Trade Confirmation Flex Query, click Create Default Flex Query.

Note that when you add a default query to the list, the button disappears from the page. If you delete a default query from the list, the button re-appears.

Trade Confirmation Flex Queries

Use this page to create Trade Confirmation Flex Queries, which are highly customized text- or XML-based report templates for Trade Confirmation reports.



Saved Flex Queries				
ID	Name	Run	Edit	Delete
44009	DefaultConfirms			
44010	Tester3			

3. If you clicked **Create New Flex Query**, a new page appears on which you create your new Flex Query.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select one or more accounts on which to report. To include accounts that you have recently closed, select the **Include Closed Accounts** check box. If you choose to include closed accounts, those accounts appear in the Account Selector.

Select Accounts: Display By: ID Title Alias Select All Include Closed Accounts

F: [Account ID] U: [Account ID] U: [Account ID] U: [Account ID] U: [Account ID]

4. Make selections and set options in the Configuration sections as follows:

General Configuration

Query Name:

Output Format: XML

Options: Consolidated
 All

Account Alias: Display Account Alias in Place of Account ID

Include Canceled Trades: No

Date Configuration

Period: Select One

or

From Date: Select One

To Date: Select One

Date Format: yyyyMMdd

Time Format: HHmmss

Date/Time Seperator: ; (semi-colon)

Trade Confirmations Configuration

Fields Available		Fields Included
<input type="text" value="ClientAccountID"/> <input type="text" value="AccountAlias"/> <input type="text" value="Model"/> <input type="text" value="CurrencyPrimary"/>	➔ ➔	<input type="text" value=""/> ↑ ↓

Level of Detail

← Back

Save Query →

- In the Query Name field, enter the name of the flex query.
- In the Output Format list, select *Text* or *XML*. If you select Text, you must also choose a delimiting character (comma, pipe or tab character), and optionally choose to include header and trailer records; column headers; and section code and line descriptors.
- Select other options as required. Note that the **Consolidated** and **All** options are only available when the master account has been selected in the Account Selector.
- In the Date Configuration section, select the period for the Flex Query, or enter a range of dates in the From Date and To Date fields. The following periods are available:

Today

Last Business Day

Last Month

Last 30 Calendar Days

Last 365 Calendar Days

Month to Date

Year to Date

Last Business Week (Mon-Fri)

Last N Calendar Days (when you select this option, you must then select a number from 1 to 365 from a dropdown)

- In the Date Configuration section, select a Date Format, Time Format and Date/Time Separator:

Available date formats are:

yyyyMMdd (default)

yyyy-MM-dd

MM/dd/yyyy

MM/dd/yy

dd/MM/yyyy

dd/MM/yy

dd-MMM-yy

Available time formats are:

HHmmss (default)

HH:mm:ss

Available date/time separators are:

; (semi-colon, the default)

, (comma)

" (single-spaced)

No separator

- Advisors, Money Managers and Brokers and master account users with reporting access rights who select their own master account in the Account Selector have access to client-only consolidated and concatenated reports. Select **Consolidated (Clients-Only)** to generate trade confirmations for all clients combined into a single report, or **Concatenate All (Clients-Only)** to generate statements for all client accounts in a single report (multiple client reports are joined together in a single report).

5. In the Trade Confirmation Configuration section, Select the fields to include in the Flex Query in by highlighting the fields in the Fields Available list, then using the green right arrow to move the fields to the Fields Included list. Use the green left arrow to move fields from the Fields Included list (and exclude the fields from the report).
6. In the Trade Confirmation Configuration section, select your desired level of detail: *Symbol Summary*, *Order* or *Execution*. *Execution* is the default setting.
7. Click **Save Query**.

The saved query will now appear in the list of saved queries on the Trade Confirmation Flex Queries page.

For more information

- [Reporting Guide](#)

PortfolioAnalyst

PortfolioAnalyst allows you to evaluate the performance of your portfolio by creating and saving reports based on a set of measurement criteria and optionally comparing their data to selected industry benchmarks. Once you create and save reports, you can run, edit or delete them.

Institutional account Master users (Advisor Masters, Broker Masters, Fund Investment Managers and Proprietary Trading Group Masters) can also create and save [synopses](#), which are text-based cover letters that you can assign to PortfolioAnalyst reports.

PortfolioAnalyst lets you:

- [Create Detailed Reports](#) - Select any combination of reports for a variety of performance analysis. Save your reports in PDF or comma-separated values (CSV) format.
- [Create Snapshot PDF reports](#) - One-page summaries of an account's return, NAV, asset allocation and distribution of returns.
- [View your portfolios of external investment accounts](#). Note that this feature is in beta release and is available by request. Email us at portfolioanalyst@interactivebrokers.com.

You can also create your own [custom benchmarks](#) and select them when creating a Snapshot or Detailed report.

Who can access the PortfolioAnalyst page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Non-Disclosed Client User
- Investment Manager Master User
- Fund

and you have been granted Reporting access rights.






















Here is the PortfolioAnalyst main page:

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary **Default Reports** Custom Reports Custom Benchmarks External Accounts

Click the appropriate icon to run any of the default reports listed below. You can only run default reports: you cannot edit or delete them.

Name	Detailed	Snapshot
Month to Date Consolidated	 	
30 Day Consolidated	 	
Previous Month Consolidated	 	
Previous Quarter Consolidated	 	
Year to Date Consolidated	 	
12 Month Consolidated	 	
Since Inception Consolidated	 	

PortfolioAnalyst currently includes the ability to view your portfolios and positions held at other institutions. This feature is currently in Beta release. If you are participating in this Beta program, you will see the following screen when you first open PortfolioAnalyst within Account Management:

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary **Default Reports** Custom Reports Custom Benchmarks External Accounts

Time Period:

Account Type	Prior Value	Current Value	Change
Banking	8,654.04	8,654.04	0.00
Credit Cards	-4,000.00	-4,000.00	0.00
Investments	275,733.71	275,736.08	2.37
Other Liabilities	206,051.99	206,051.99	0.00
Total	486,439.74	486,442.11	2.37

You included data from an External Account in this PortfolioAnalyst report. The data concerning outside accounts is not provided by IB and IB has not reviewed its accuracy. Rather, information regarding accounts held outside of Interactive Brokers is obtained from the financial institutions holding those accounts, through a third-party service provider. IB is not affiliated with this third-party service provider or the outside financial institutions. IB does not make any representations or warranties regarding this service provider or the accuracy of the data received from any financial institution through this service provider.

Institution accounts will see an extra tabbed page for creating and managing synopses).

Snapshot PDF Reports

The Snapshot is a one-page report that displays graphs and charts representing an account's return, Net Asset Value (NAV), asset allocation and distribution of returns. The Snapshot gives you a downloadable and printable summary of an account's performance and is suitable for presentation to advisor and broker clients. Optionally, you can include a benchmark comparison to compare your own performance against an industry standard benchmark or your own custom benchmark.

To create and run a Snapshot PDF report in PortfolioAnalyst

1. Click **Reports > PortfolioAnalyst**.






















PortfolioAnalyst includes default Snapshot PDF reports. These are displayed on the Default Reports tab, which appears when you first open PortfolioAnalyst. Run these reports or any other in the list by clicking the PDF icon in the Snapshot column of the Default Reports tab.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary **Default Reports** Custom Reports Custom Benchmarks External Accounts

Click the appropriate icon to run any of the default reports listed below. You can only run default reports: you cannot edit or delete them.

Name	Detailed	Snapshot
Month to Date Consolidated	 	
30 Day Consolidated	 	
Previous Month Consolidated	 	
Previous Quarter Consolidated	 	
Year to Date Consolidated	 	
12 Month Consolidated	 	
Since Inception Consolidated	 	










2. Click the **Custom Reports** tab. This tab lists all of your previously created and saved custom PortfolioAnalyst reports.


PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary Default Reports **Custom Reports** Custom Benchmarks External Accounts

Click *Create Report* to create a new report; or run, edit or delete your own saved reports listed below.

Name	Run	Edit	Delete
433434			
ba			
sfsf			

Create Report 

3. Click **Create Report**.
4. If you are a Master account user responsible for client or sub accounts or you have multiple linked accounts, select one or more accounts in the Account Selector.

Select Accounts: Display By: ID Title Alias Select All Include Closed Accounts Search

F U U U U

U

The report settings appear.

Select General Settings

Name

Time Period

Performance Measure Money Weighted Return Time Weighted Return

Report Type Detailed Snapshot

Account Number Display Use Account Number Use Account Alias

Save Cancel

5. Type the name of the new report in the Name field.

6. If you are a Master account user, the Assign Synopsis button appears. Optionally, assign previously created [synopses](#) to the PortfolioAnalyst report:
 - Click **Assign Synopsis**.
 - In the Assign Synopsis dialog, select a previously-saved synopsis, select the accounts whose reports to which you want to attach the synopsis, then click **Assign**. Click **Apply** to apply your selections.
6. Select a time period:
 - a. Select **Daily, Monthly, Quarterly, Previous Month, Previous Quarter, Month To Date, Year To Date** or **Since Inception** (since the inception of your account), depending on how you want to view the data.
 - b. If you selected a daily time period, select a starting and ending date (up to a maximum of 60 days) using the calendar popup. If you selected a monthly time period, select a starting and ending month. If you selected a quarterly time period, select a starting and ending quarter. Click the icons next to the Starting Period and Ending Period fields to pick dates from a calendar.

Analysis results include data available from January 2008 to the present.

Select General Settings

Name

Time Period

Starting Period Ending Period

Performance Measure Money Weighted Return Time Weighted Return

Report Type Detailed Summary

Starting Period

2009 Q1

2009 Q2

2009 Q3

2009 Q4

2010 Q1

2010 Q2

2010 Q3

2010 Q4

2011 Q1

2011 Q2

2011 Q3

2011 Q4

2012 Q1

2012 Q2

2012 Q3

2012 Q4

2013 Q1

2013 Q2

2013 Q3

7. For Performance Measure, select **Time Weighted Return** or **Money-Weighted Return**.
 - **Time-Weighted Return (TWR):** Select this metric to view the percent return produced over time independent of contributions or withdrawals. TWR eliminates the impact of the timing of fund cash flows and isolates the

portion of a portfolio's return that is attributable solely to the manager's actions. TWR is typically used for public fund managers because they normally do not control cash flowing into or out of their funds.

- **Money-Weighted Return (MWR):** Select this metric to view the performance of your portfolio during the specified report period. MWR is calculated using the Modified Deitz method and is influenced by the time of decisions to contribute or withdraw funds, as well as the decisions made by the portfolio manager of a fund.
8. Select **Snapshot** as the Report Type.
 9. Choose how you want your account number to appear on your report:
 - **Use Account Number:** Select this option to include your Account ID on your report.
 - **Use Account Alias:** Select this option to include your Account Alias on your report if you want to hide the actual Account ID.
 10. If you are an Advisor, Money Manager, Broker, Proprietary Trading Group STL Account Master or you have multiple linked accounts and you have selected multiple accounts in the Account Selector, you have the option of creating a consolidated Snapshot report for all of the selected accounts.
 - Click the **Consolidate** check box to create a consolidated Snapshot report, which includes a single set of data from all of the accounts that you have selected.
 - If you select only one account in the Account Selector, click the **Consolidate All** check box to create a consolidated report which includes a single set of data from *all* accounts.
 11. Optionally, you can include a benchmark comparison in your Snapshot report. When you select the **Snapshot** radio button, the Select Benchmarks section appears.

Select up to three benchmarks from the list of Available benchmarks (including your own custom benchmarks) then click the right arrow button to move them into the Selected list. Select one or more benchmarks using the Ctrl+click keyboard combination. Move benchmarks out of the Selected list by selecting them then clicking the left arrow button.



12. Click **Save** to save the report. Once you save a report, it will appear in the list of saved PDF reports.
13. Click **Cancel** to cancel the report.
14. View the report by clicking the **Run** icon in the list of saved reports. Your report appears in a new window.

Note: If there is a negative Net Asset Value during the time period you select for your Snapshot report, the report will not be generated.

The Snapshot includes the following sections:

- **Account Information:** Displays your account name and number, account alias if you have one, your base currency, account type and the specified time period.
- **Return Over Time:** Displays a line chart showing the account's return percentage over the specified time period.
- **Net Asset Value:** Displays a bar chart showing the account's Net Asset Value over the specified time period.
- **Distribution of Returns:** Displays a bar chart showing the range of return percentage for each day, month or quarter in the specified time period and the number of times the return performance fell within that range for the entire period.
- **Key Statistics:** Displays several statistics for the specified time period, including beginning and ending NAV, return percentages (depending on your selected time period), the best return and the worst return.
- **Asset Allocation:** Displays two pie charts, one representing the account's asset allocation at the beginning of the specified time period and one representing the account's asset allocation at the end of the specified time period.

The following example shows a typical Snapshot report.

Snapshot

Name: [REDACTED]
Account: [REDACTED]
Alias: --
Base Currency: USD
Account Type: Individual
Analysis Period: 06/01/08 to 06/30/09 (Monthly)

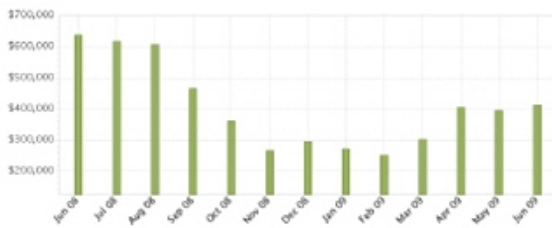
Return Over Time



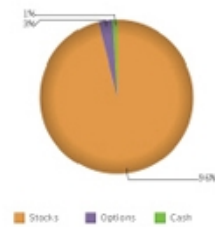
Key Statistics

Beginning NAV: 747,519.11
Ending NAV: 412,805.92
Period Return: -38.16%
1 Month Return: 4.33%
3 Month Return: 38.17%
Best Return: 34.62% (Apr 09)
Worst Return: -25.80% (Nov 08)

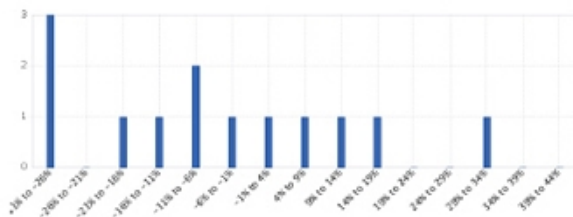
Net Asset Value



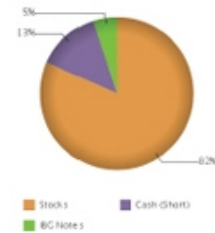
Beginning Asset Allocation



Distribution Of Returns



Ending Asset Allocation



Interactive Brokers

Detailed PDF Reports

Detailed PDF reports let you select any combination of reports, including benchmark comparisons, for a variety of performance analysis. You can also create your own [custom benchmarks](#).

To create and run a Detailed report in PortfolioAnalyst

1. Click **Reports > PortfolioAnalyst**.






















PortfolioAnalyst includes default PDF and CSV-formatted Detailed reports. These are displayed on the Default Reports tab, which appears when you first open PortfolioAnalyst. Run these reports or any other in the list by clicking the PDF or CSV icons in the Detailed column of the Default Reports tab.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary **Default Reports** Custom Reports Custom Benchmarks External Accounts

Click the appropriate icon to run any of the default reports listed below. You can only run default reports: you cannot edit or delete them.

Name	Detailed	Snapshot
Month to Date Consolidated	 	
30 Day Consolidated	 	
Previous Month Consolidated	 	
Previous Quarter Consolidated	 	
Year to Date Consolidated	 	
12 Month Consolidated	 	
Since Inception Consolidated	 	









2. Click the **Custom Reports** tab. This tab lists all of your previously created and saved custom PortfolioAnalyst reports.


PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary Default Reports **Custom Reports** Custom Benchmarks External Accounts

Click *Create Report* to create a new report; or run, edit or delete your own saved reports listed below.

Name	Run	Edit	Delete
433434			
ba			
sfsf			

Create Report 

3. Click **Create Report**.
4. If you are a Master account user responsible for client or sub accounts or you have multiple linked accounts, select one or more accounts in the Account Selector.

Select Accounts: Display By: ID Title Alias Select All Include Closed Accounts

F U
 U
 U
 U

The report settings appear.

Select General Settings

Name

Time Period

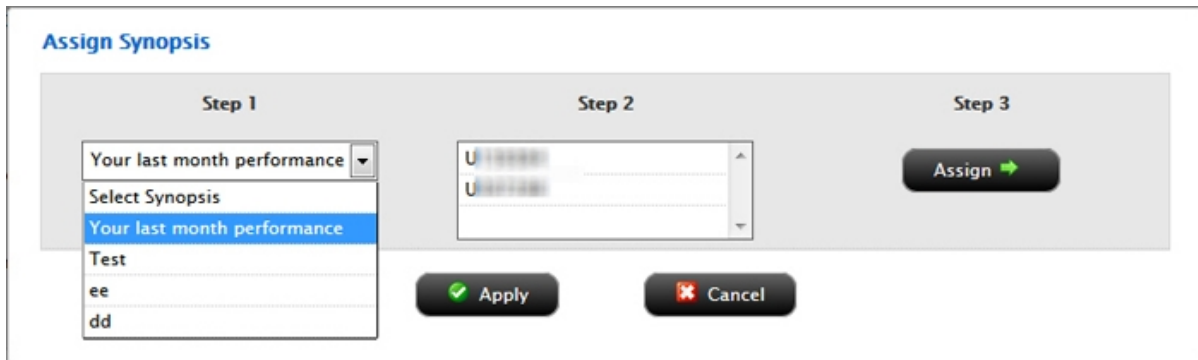
Performance Measure Money Weighted Return Time Weighted Return

Report Type Detailed Snapshot

Account Number Display Use Account Number Use Account Alias

Format CSV PDF

5. Type the name of the new report in the Name field.
6. If you are a Master account user, the Assign Synopsis button appears. Optionally, assign previously created [synopses](#) to the PortfolioAnalyst report:
 - Click **Assign Synopsis**.
 - In the Assign Synopsis dialog, select a previously-saved synopsis, select the accounts whose reports to which you want to attach the synopsis, then click **Assign**. Click **Apply** to apply your selections.



6. Select a time period:
 - a. Select **Daily**, **Monthly**, **Quarterly**, **Previous Month**, **Previous Quarter**, **Month To Date**, **Year To Date** or **Since Inception** (since the inception of your account), depending on how you want to view the data.
 - b. If you selected a daily time period, select a starting and ending date (up to a maximum of 60 days) using the calendar popup. If you selected a monthly time period, select a starting and ending month. If you selected a quarterly time period, select a starting and ending quarter. Click the icons next to the Starting Period and Ending Period fields to pick dates from a calendar.

Analysis results include data available from January 2009 to the present.

The screenshot shows the 'Select General Settings' form. The 'Name' field contains 'Report ABC'. The 'Time Period' dropdown is set to 'Quarterly'. The 'Performance Measure' section has 'Money Weighted Return' selected. The 'Report Type' section has 'Detailed' selected. A 'Starting Period' dropdown menu is open, displaying a list of quarters from 2009 Q1 to 2013 Q3. A 'Save' button is located at the bottom center of the form.

7. For Performance Measure, Time-Weighted Return (TWR) is already selected for you, select **Time Weighted Return** or **Money-Weighted Return**.
 - **Time-Weighted Return (TWR):** Select this metric to view the percent return produced over time independent of contributions or withdrawals. TWR eliminates the impact of the timing of fund cash flows and isolates the portion of a portfolio's return that is attributable solely to the manager's actions. TWR is typically used for public fund managers because they normally do not control cash flowing into or out of their funds.
 - **Money-Weighted Return (MWR):** Select this metric to view the performance of your portfolio during the specified report period. MWR is calculated using the Modified Deitz method and is influenced by the time of decisions to contribute or withdraw funds, as well as the decisions made by the portfolio manager of a fund.
8. Select **Detailed** as the Report Type.
9. Choose how you want your account number to appear on your report:
 - **Use Account Number:** Select this option to include your Account ID on your report.
 - **Use Account Alias:** Select this option to include your Account Alias on your report if you want to hide the actual Account ID.
10. Select the output format for the report (**CSV** or **PDF**).
11. Optionally, you can include cover page and table of contents with your Detailed PDF report by checking the appropriate Optional Pages check boxes.

Select General Settings			
Name	<input type="text" value="Report ABC"/>		
Time Period	<input type="text" value="Quarterly"/>	<input type="text" value="2014 Q1"/>	<input type="text" value="2014 Q4"/>
Performance Measure	<input type="radio"/> Money Weighted Return	<input checked="" type="radio"/> Time Weighted Return	
Report Type	<input checked="" type="radio"/> Detailed	<input type="radio"/> Snapshot	
Optional Pages	<input type="checkbox"/> Include Cover Page	<input type="checkbox"/> Include Table Of Contents	

12. If you are an Advisor, Money Manager, Broker, Proprietary Trading Group STL Account Master or you have multiple linked accounts and you have selected multiple accounts in the Account Selector, you have the option of created a consolidated Snapshot report for all of the selected accounts.
- Click the **Consolidate** check box to create create a consolidated Detailed report, which includes a single set of data from all of the accounts that you have selected.
 - If you select only one account in the Account Selector, click the **Consolidate All** check box to create a consolidated report which includes a single set of data from *all* accounts.

Note: If you have selected the **Consolidate** or **Consolidate All** check box, you can select the Breakdown of Accounts report, which provides key account values for the accounts that you have chosen to consolidate.

13. Detailed PDF reports can contain the following distinct reports for each selected account. Click the check box to include a report. Note that this section is not available in Snapshot reports.

Edit Report(s)			
Breakdown of Accounts	<input type="checkbox"/>		
Account Overview	<input type="checkbox"/>	Open Position Summary	<input type="checkbox"/>
Allocation By Asset Class	<input type="checkbox"/>	Allocation By Sector	<input type="checkbox"/>
Time Period Performance Statistics	<input type="checkbox"/>	Time Period Benchmark Comparison	<input type="checkbox"/>
Cumulative Performance Statistics	<input type="checkbox"/>	Cumulative Benchmark Comparison	<input type="checkbox"/>
Risk Measures	<input type="checkbox"/>	Risk Measures Benchmark Comparison	<input type="checkbox"/>
Performance Attribution vs. S&P 500	<input type="checkbox"/>	Performance by Sector	<input type="checkbox"/>
Deposits and Withdrawals	<input type="checkbox"/>	Corporate Actions	<input type="checkbox"/>
Dividends	<input type="checkbox"/>	Interest Details	<input type="checkbox"/>
Fee Summary	<input type="checkbox"/>		

Note: See [Available Reports in Detailed PDF Reports](#) for descriptions of these reports.

14. If you select any of the benchmark reports, the Select Benchmarks section appears.

Select up to three benchmarks from the list of Available benchmarks (including your own custom benchmarks) then click the right arrow button to move them into the Selected list. Select one or more benchmarks using the Ctrl+click keyboard combination. Move benchmarks out of the Selected list by selecting them then clicking the left arrow button.



Note: The same set of benchmarks will apply to all the benchmark reports that you select.

15. Click **Save** to save the report. Once you save a report, it will appear in the list of saved reports.
16. View the report by clicking the **Run** icon in the list of saved reports. Your report appears in a new window. For CSV-formatted reports, you will be prompted to save the report to your computer, where you can open the file in a program like Microsoft Excel.

Note: If there is a negative Net Asset Value during the time period you select for your Detailed report, the report will not be generated.

Available Reports in Detailed PDF Reports

When create a Detailed PDF Report, you can select any of the following reports to include in the final PDF report:

Report	Description
Breakdown of Accounts	Available only to institution accounts and multiple linked accounts who have selected multiple accounts and the Consolidate option, this report shows the Beginning and Ending NAV, Return, and the total amounts of Deposits, Withdrawals, Dividends, Interest and Fees for each selected account.
Account Overview	<p>Displays general settings, including account name and number, account alias, base currency and the specified time period. It also displays the performance of your portfolio for the specified time period, including beginning and ending Net Asset Value (NAV) and return percentage based on your selected time period and performance measurement (TWR or MWR).</p> <p>A color-coded bar chart plots NAV over time, and a color-coded line chart shows the return percentage (TWR or MWR) over the same time scale. Additional performance statistics are also included in the Overview section.</p>
Open Position Summary	<p>Shows all current open positions in the selected account(s). The report output shows two pie charts: the five long open positions that have the highest market value, and the five short positions with the highest market value.</p> <p>The output also displays a table of all open positions sorted by product, then currency, then symbol. The table includes the quantity, closing price, current market value and the percent of your total Net Asset Value for that position.</p> <p>If you select this report but there are no open positions during the specified time period, the report will be omitted from your results.</p>
Allocation by Asset Class	<p>Displays a color-coded bar chart and table that illustrates the NAV of all assets in your portfolio for each day, month or quarter in the specified time period.</p> <p>If you select this report but there are no open positions during the specified time period, the report will be omitted from your results.</p>
Allocation by Sector	<p>Displays a color-coded bar chart and table that illustrates the NAV of stocks and options in your portfolio by sector for each day, month or quarter in the specified time period.</p> <p>If you select this report but there are no open positions during the specified period, the report will be omitted from your results.</p>

Report	Description
Allocation by Region	<p>Displays color-coded pie charts and accompanying tables. One pair of pie charts shows the percentage and amount of the portfolio's long and short positions allocated to assets in those regions. The second pair of pie charts shows the countries with the highest percentage and amount of long and short position allocation to assets (Weight %). The tables display the same data. If there are more than five countries to which positions are allocated, the additional countries appear in the Other category.</p>
Time Period Performance Statistics	<p>Shows the performance of your portfolio for a specified time period as a line chart and a text summary. The line chart plots the return percentage for the selected performance measure (TWR or MWR) over time. The text summary includes the beginning and ending NAV, the return percentage (TWR or MWR) for the time period, the one- and three-month return percentage (the three-month return only appears if the time period is at least six months), and the best and worst return percentage of the period.</p> <p>Reports with a monthly time period display one- and three-month returns. Reports with a daily time period display five- and ten-day returns. Reports with a quarterly time period display one- and two-quarter returns. The line chart and text summary are identical to those in the Account Overview report.</p>
Time Period Benchmark Comparison	<p>Select up to three global industry benchmarks against which you want to compare your performance results over a specified time period. The report output displays a color-coded line chart comparing the return percentage (TWR or MWR) of your portfolio over time with that of the selected benchmarks. The line chart plots the return percentage for each day, month or quarter over the specified time period, and also displays the average return percentage for the entire time period.</p> <p>Returns for ETFs and indices selected as benchmarks include dividends.</p>
Cumulative Performance Statistics	<p>Shows the cumulative performance of your portfolio over a specified time period as a line chart and a text summary. The line chart plots the return percentage for the selected performance measure (TWR or MWR) over time. The text summary includes the beginning and ending NAV, the return percentage (TWR or MWR) for the time period, the one- and three-month return percentage (the three-month return only appears if the time period is at least six months), and the best and worst return percentage of the period.</p> <p>Reports with a monthly time period display one- and three-month returns. Reports with a daily time period display five- and ten-day returns. Reports with a quarterly time period display one- and two-quarter returns. The line chart and text summary are identical to those in the Account Overview report.</p>

Report	Description
Cumulative Benchmark Comparison	<p>Select up to three global industry benchmarks against which you want to compare cumulative performance results over a specified time period.</p> <p>The report output displays a color-coded line chart comparing the cumulative return percentage (TWR or MWR) of your portfolio over time with that of the selected benchmarks. The line chart plots the cumulative return percentage over the specified time period, aggregating the return percentage for each successive day, month or quarter in the time period.</p> <p>Returns for ETFs and indices selected as benchmarks include dividends.</p>
Risk Measures	<p>Shows the current risk of your portfolio in a line chart and text summary. The line chart plots Value-Added Monthly Index (VAMI) over the specified time period. VAMI is an index that tracks the monthly performance of your portfolio based on a hypothetical initial \$1000 investment.</p> <p>The text summary shows a variety of risk measures, including Max Drawdown, Peak-to-Valley Drawdown, Recover, Sharpe Ratio, Sortino Ratio, Calmar Ratio, Standard Deviation, Downside Deviation, Mean Return, Positive Periods and Negative Periods.</p> <p>In addition, this report includes a Distribution of Returns bar chart showing the range of return percentage for each day, month or quarter in the specified time period and the number of times the return performance fell within that range for the entire period.</p>

Report	Description
Risk Measures Benchmark Comparison	<p>Select up to three global industry benchmarks against which you want to compare the current risk of your portfolio in a line chart and text summary.</p> <p>The line chart plots Value-Added Monthly Index (VAMI) over the specified time period for your portfolio and for your selected benchmarks. VAMI is an index that tracks the monthly performance of your portfolio based on a hypothetical initial \$1000 investment.</p> <p>The text summary shows a variety of risk measures for your portfolio and for your selected benchmarks, including Max Drawdown, Peak-to-Valley Drawdown, Recover, Sharpe Ratio, Sortino Ratio, Calmar Ratio, Standard Deviation, Downside Deviation, Mean Return, Positive Periods and Negative Periods.</p> <p>In addition, this report includes a Distribution of Returns bar chart showing the range of return percentage for each day, month or quarter in the specified time period and the number of times the return performance fell within that range for the entire period.</p> <p>Returns for ETFs and indices selected as benchmarks include dividends.</p>
Performance Attribution	<p>Shows how your asset allocation and selection of securities affects your portfolio's performance when compared to the performance of the S&P 500 Index over a specified time period.</p> <p>This report includes a summary table that shows how you outperformed or underperformed the S&P 500. For more information about this report, see Running a Performance Attribution Report.</p>
Performance by Sector	<p>Displays a color-coded bar chart and table that illustrate the contribution to your portfolio's return by sector for each day, month or quarter in the specified time period. The bars in the bar chart are color-coded by sector. The table shows the values depicted in the chart.</p>

Report	Description
Historical Performance	<p>Shows the history of your portfolio's performance in a variety of charts and tables on three pages:</p> <ul style="list-style-type: none"> • The first page of the report includes two charts, a History bar chart that shows the cumulative return percentage at different points in time in the history of your account (MTD, QTD, YTD, 1 year, 3 year, 5 year and since inception), a table that displays the same data as the History chart, and a line chart that shows the cumulative return percentages since the inception of your account. • The second page of the report includes two tables. One table displays the monthly returns of your account for the past five years (or since the inception of your account if it is less than five years old). The second table shows the quarterly returns of your account for the last five years (or since the inception of your account if it is less than five years old). • The third page of the report includes a bar chart and a table. The bar chart displays the return percentage of your portfolio for the year-to-date and for each of the last five years, or fewer years if your account has been open for less than five years. The table displays the data from the chart. <p>This report will only include 1 Year, 3 Year, 5 Year, Yearly, Quarterly and Monthly returns if there is data available for the account for the full period.</p>
Historical Performance Benchmark Comparison	<p>Select up to three global industry benchmarks against which you want to compare the history of your portfolio's performance. This report includes the same charts and tables as the Historical Performance Report described above.</p> <p>Returns for ETFs and indices selected as benchmarks include dividends.</p> <p>This report will only include 1 Year, 3 Year, 5 Year, Yearly, Quarterly and Monthly returns if there is data available for the account/benchmark for the full period.</p>
Deposits and Withdrawals	<p>Shows the inbound and outbound cash and position transfers (including cash deposit and withdrawals) in your account for a specified time period. This report displays a table that includes the date, type, description and amount of each inbound and outbound cash and position transfer in the time period of the report.</p>

Report	Description
Dividends	<p>The Dividends report shows all dividends that occurred in your account during a specified time period, including dividend payments, dividend cancellations, payments in lieu, short term and long term capital gains. The report includes a table and a bar chart. Each line item in the table includes the pay date, ex-date, symbol, note, quantity, dividend per share, estimated forward dividend yield %, estimated annual dividend and amount during the specified time period.</p> <p>The report also includes a color coded stacked bar chart illustrating the distributions of dividends during the time period.</p>
Interest Details	<p>Lists all interest that occurred in your account during the specified time period. Each line item in the table includes the date, description and amount.</p>
Corporate Actions	<p>Lists all corporate actions that occurred in your account during the specified time period. Each line item includes the date, type, description and quantity. If you select this report and you have no corporate actions in the specified time period, this report will not appear in your Detailed Report.</p>
Fee Summary	<p>Lists all fees that were charged to your account in the specified time period. Each line item includes the date, description and amount of the fee. The amounts are totaled at the bottom of the list.</p>

Running a Performance Attribution Report

The Performance Attribution Report helps you determine how your asset allocation and selection of securities affects your portfolio's performance when compared to the performance of the S&P 500 Index.

To run a Detailed PDF Report with the Performance Attribution Report, set up your [Detailed PDF Report](#) as you normally would, and select Performance Attribution in the Select Report(s) section of the page.

Understanding the Performance Attribution Report Table

The first part of the Performance Attribution Report contains two tables:

- Weighting by Sector
- Returns and Attribution Effects by Sector

Weighting by Sector

This table shows how your portfolio is allocated among ten different sectors, cash and unclassified (anything not included in one of the other sectors), and how that allocation compares to the S&P 500 Index. The table has three parts: Beginning Weight, Ending Weight and Average Weight.

These tables show the beginning, ending and average weight for each sector in your portfolio and the S&P 500, and the difference (positive or negative) between the two, represented by a percentage. You can use this table to see how under or overweighted your portfolio is in each sector compared to the S&P 500.

Returns and Attribution Effects by Sector

This table lets you compare your returns in each of the ten sectors, plus cash and unclassified, to those of the S&P 500, and view the attribution effects of your sector allocation and stock selection within each sector. Attribution effects let you see why your returns in a particular sector were better or worse than those of the S&P 500.

The Period Return part of the table shows the absolute return percentage for each sector in your portfolio and for the S&P 500, and the difference (positive or negative) between the two.

The Contribution to Return part of the table measures the contribution of each sector to the overall return. The table also illustrates the contribution of return for the account of each sector versus the S&P 500. The standard calculation used to derive the Contribution to Return is:

$$\text{Period Return} \times \text{Beginning Weight} = \text{Contribution to Return}$$

The attribution effect part of the table shows the attribution effects of sector allocation (Allocation column), the attribution effects of security selection within each sector (Selection column), and the total attribution effects for the period of the report. The attribution effect dissects the return and illustrates the reason for your outperformance or underperformance.

The allocation effect determines whether the overweighting or underweighting of sectors relative to a benchmark contributes positively or negatively to the account's return. Positive allocation occurs when the portfolio is overweighted in a sector that outperforms the benchmark and underweighted in a sector that underperforms the benchmark.

The selection effect measures the account's ability to select securities within a sector relative to the benchmark. A positive selection will occur if the account made better stock selections within the sector compared to the benchmark.

Creating Custom Benchmarks

While PortfolioAnalyst provides a large number of standard industry benchmarks for you to choose in a Snapshot or Detailed Report against which your portfolio's performance can be compared, there may be situations when a standard benchmark does not provide an adequate basis for comparison. In these situations, you can create your own custom benchmarks in PortfolioAnalyst.

About Custom Benchmarks

Custom benchmarks allow you to combine existing benchmarks already available in PortfolioAnalyst, the combined weight of which must equal 100%. When you select benchmarks for a specific benchmark comparison report, you can choose up to three existing benchmarks including any of your own custom benchmarks.

The return formula for a custom benchmark is calculated as:

$$\sum(\text{Benchmark Weight} \times \text{Benchmark Return})$$

Here is an example of a custom benchmark. In this example, a custom benchmark has been created by combining three existing standard benchmarks:

Index	Weight	Return
Russell 2000	40%	20.00%
S&P 500	40%	10.00%
S&P US High Yield Corporate Bond	20%	6.00%

Based on the weights and returns of each component benchmark, the return for this custom benchmark is 13.20%, calculated as:

$$(.40 \times .20) + (.40 \times .10) + (.20 \times .06) = 13.20\%$$

Observe the following guidelines when creating custom benchmarks:

- You cannot use an existing custom benchmark as part of a new custom benchmark. Only the standard benchmarks can be used when creating a custom benchmark.
- You must include at least two standard benchmarks when creating a custom benchmark.
- You can add any number of standard benchmarks to a custom benchmark, as long as the total weight equals 100%.
- Each standard benchmark included in a custom benchmark must have a weight between 0 and 100. No standard benchmark in a custom benchmark can have a weight of either 0 or 100.
- You can add multiple standard benchmarks at a time to a custom benchmark.

To create a custom benchmark

1. Click **Reports > PortfolioAnalyst**.
2. Click the **Custom Benchmarks** tab. The Custom Benchmarks tab lists all of your saved custom benchmarks. If you have not saved any custom benchmarks, the list will be empty. For example, the abbreviation for the S&P 500 Index is SPX.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Default Reports Custom Reports **Custom Benchmarks**

Use this page to create your own custom benchmarks by combining existing benchmarks. Once you save a custom benchmark, it will be available for selection when you include any benchmark comparison report in a Detailed report.

You do not have any saved custom benchmarks. Click *Create Custom Benchmark* to create one.

Create Custom Benchmark

3. Click **Create Custom Benchmark**.

Name:

Abbreviation:

Filter:

- All Ordinaries (XAO)
- AMS EOE Index (EOE)
- BEL 20 Index (BFX)
- Bovespa Brazil 50 Index (IBRX50)
- Brazil Bovespa Stock Index (IBOV)

+

Add

Benchmark	Weight	Delete
No benchmarks selected.		

Save

Cancel

4. Type the name of the custom benchmark in the Name field, and type an abbreviation in the Abbreviation field.
5. In the list of available benchmarks, select the first benchmark you would like to include, and then click **Add Benchmark**. You can type the first few characters of the desired benchmark in the entry box above the list of benchmarks or type the abbreviation of the desired benchmark. Note that you can select multiple standard benchmarks at a time and add them all at once to your custom benchmark.

The benchmark is added to the Selected list.

Benchmark	Weight	Delete
S&P 500 Stock Index (SPX)	<input style="border: 2px solid red;" type="text"/>	
iShares Russell 2000 Index (IWM)	<input type="text"/>	

6. Continue selecting and add benchmarks to your custom benchmark as required. Click the **X** to delete a benchmark from the list of selected benchmarks.
7. When you have finished adding benchmarks, enter the weight of each benchmark in the field provided. All benchmark weights must equal 100.

Benchmark	Weight	Delete
S&P 500 Stock Index (SPX)	<input type="text" value="60"/>	✕
iShares Russell 2000 Index (IWM)	<input type="text" value="40"/>	✕

- Click **Save** to save your custom benchmark. It will now be listed on the Custom Benchmarks tab, where you can edit or delete it.

Default Reports Custom Reports **Custom Benchmarks**

Use this page to create your own custom benchmarks by combining existing benchmarks. Once you save a custom benchmark, it will be available for selection when you include any benchmark comparison report in a Detailed report.

Name	Abbreviation	View/Edit	Delete	Last Updated
Custom BM1	CB1			January 11, 2016

[Create Custom Benchmark](#) ➔

- When you select benchmarks for a Detailed report, you will be able to select your custom benchmark. Custom benchmarks are always listed first in the list of benchmarks.

Select Benchmark(s)

Available Selected

<ul style="list-style-type: none"> Custom Benchmarks <ul style="list-style-type: none"> Custom Benchmark 1 (CB1) Benchmarks <ul style="list-style-type: none"> All Ordinaries (XAO) AMS EOE Index (EOE) 	➔	
--	---	--

➔

Synopses











Institutional account Master users (Advisor Masters, Broker Masters, Fund Investment Managers and Proprietary Trading Group Masters) can create and save synopses, which are text-based cover letters, and then assign them to PortfolioAnalyst reports.


Creating and Saving a Synopsis

You can create, save, edit or delete a synopsis from within PortfolioAnalyst.

To create and save a synopsis

1. Click **Reports > PortfolioAnalyst**.
2. Click **Create Report** or click the edit icon for any saved report.
3. Click the **Synopses** tab. The Manage Synopses tab displays all of your previously saved synopses. From this tabbed page, you can view or edit an existing synopsis, delete a synopsis or create a new synopsis.

Title	View/Edit	Delete	Last Updated
Your last month performance			January 15, 2015
Test			April 01, 2014
			April 11, 2014
			April 14, 2014

Create Synopsis 



4. Click **Create Synopsis**.

Synopsis Details

Title

Text

3000 characters remaining.

 Save
 Cancel

5. Enter the name of the synopsis in the Title field.
6. Type the text of the synopsis in the Text area up to a maximum of 3000 characters.
7. Click **Save**.

You will now be able to assign this synopsis to a PortfolioAnalyst report.

Assigning a Synopsis to a Report

When you are creating a new PortfolioAnalyst report or editing an existing report AND you have selected multiple client, sub or linked accounts in the Account Selector, you can attach a synopsis (cover letter) to the report.

To assign a synopsis to a report

1. Click **Reports > PortfolioAnalyst**.
2. Click **Create Report** or click the edit icon for any saved report.
3. If you are a Master account user responsible for client or sub accounts or you have multiple linked accounts, select one or more accounts in the Account Selector.

4. Enter or edit the report settings as required.
5. Click **Assign Synopsis**.

6. In the Assign Synopsis dialog, select a previously-saved synopsis, select the accounts whose reports to which you want to attach the synopsis, then click **Assign**.
7. Click **Apply** to apply your selections to the report.
8. Finish entering or editing the PortfolioAnalyst report settings as required, then save the report.

Editing and Deleting Saved PortfolioAnalyst Reports

To delete a saved report










1. Click **Reports > PortfolioAnalyst**.
2. Click the **Custom Reports** tab.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary Default Reports **Custom Reports** Custom Benchmarks External Accounts

Click *Create Report* to create a new report; or run, edit or delete your own saved reports listed below.

Name	Run	Edit	Delete
433434			
ba			
sfsf			

Create Report →

3. Click the **Delete** icon in the list of saved reports to delete the report.

To edit a saved report










1. Click **Reports > PortfolioAnalyst**.
2. Click the **Custom Reports** tab.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary Default Reports **Custom Reports** Custom Benchmarks External Accounts

Click *Create Report* to create a new report; or run, edit or delete your own saved reports listed below.

Name	Run	Edit	Delete
433434			
ba			
sfsf			

Create Report →

3. Click the **Edit** icon in the list of saved reports, then modify the report as required.
4. Click **Save**.

Viewing External Accounts

PortfolioAnalyst lets you view accounts held at financial institutions, including investment and non-investment accounts, other than Interactive Brokers at a glance, and drill down to see the value of the positions.

To do this, you use the following two tabbed pages in PortfolioAnalyst:

- [Summary](#) - View the prior value, current value and percent change in value for the asset classes held in your IB and external accounts, and drill down to view the value of individual positions.
- [External Accounts](#) - Add, view, edit and delete investment accounts from financial institutions other than Interactive Brokers.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Account Type	Prior Value	Current Value	Change
Banking	8,654.04	8,654.04	0.00
Credit Cards	-4,000.00	-4,000.00	0.00
Investments	275,733.71	275,736.08	2.37
Other Liabilities	206,051.99	206,051.99	0.00
Total	486,439.74	486,442.11	2.37

You included data from an External Account in this PortfolioAnalyst report. The data concerning outside accounts is not provided by IB and IB has not reviewed its accuracy. Rather, information regarding accounts held outside of Interactive Brokers is obtained from the financial institutions holding those accounts, through a third-party service provider. IB is not affiliated with this third-party service provider or the outside financial institutions. IB does not make any representations or warranties regarding this service provider or the accuracy of the data received from any financial institution through this service provider.

Account Summaries

The PortfolioAnalyst Summary tab lets you:

- View the current and prior values of each asset class in your IB and external accounts. View a consolidated summary of all accounts or view a summary for each financial institution.
- Drill down to view the current and prior values of each position in each asset class. View a consolidated summary of all positions for all accounts or view specific positions for each financial institution.
- Drill down to view transactions for any symbol.

To use the Summary tab

1. Click **Reports > PortfolioAnalyst**.
2. Click the **Summary** tab.

By default, the Summary tab displays the categories in which you have added external accounts (Banking, Credit Cards, Investment, etc.), along with prior and current values for all of your accounts in each category. This is the Consolidated view.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Account Type	Prior Value	Current Value	Change
Banking	8,654.04	8,654.04	0.00
Credit Cards	-4,000.00	-4,000.00	0.00
Investments	275,733.71	275,736.08	2.37
Other Liabilities	206,051.99	206,051.99	0.00
Total	486,439.74	486,442.11	2.37

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If you have not added any external accounts, the Summary page will show your account(s) held here by default.

3. Click a category to view all financial institutions that you have added.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

[Summary](#)
[Default Reports](#)
[Custom Reports](#)
[Custom Benchmarks](#)
[External Accounts](#)

Time Period: View By:

Financial Institution	Last Updated	Prior Value	Current Value	Change
▶ Charles Schwab US - Investment Services	2016-01-08, 04:24:11	239,198.20	238,747.30	-450.90
▶ E*Trade Financial - Investments	2016-01-08, 01:14:49	823,110.05	784,458.85	-38,651.20
▶ Scottrade	2016-01-07, 06:11:51	1,004,503.13	968,984.25	-35,518.88
▶ TD Ameritrade	2016-01-07, 06:14:43	540,561.57	535,116.97	-5,444.60
Total		2,607,372.95	2,527,307.37	-80,065.58

You included data from an External Account in this PortfolioAnalyst report. The data concerning outside accounts is not provided by IB and IB has not reviewed its accuracy. Rather, information regarding accounts held outside of Interactive Brokers is obtained from the financial institutions holding those accounts, through a third-party service provider. IB is not affiliated with this third-party service provider or the outside financial institutions. IB does not make any representations or warranties regarding this service provider or the accuracy of the data received from any financial institution through this service provider.

4. Select the current time period from the Time Period drop-down:

- Daily
- Month to Date
- Year to Date

The values and percent change in value will reflect your time period selection.

5. Change the view in the View By drop-down (by default, the view shows financial institutions):

- Consolidated - Displays prior and current values and percent change for all asset classes in all accounts.
- Financial Institution - Displays prior and current values and percent change for each financial institution. Click the down arrow next to a financial institution to display all of the accounts that you have under for that institution.

If you have multiple accounts for a financial institution, you can click the name of the institution to expand the view to include all accounts.

Summary Default Reports Custom Reports Custom Benchmarks External Accounts

Time Period: View By:

Financial Institution	Last Updated	Prior Value	Current Value	Change
Charles Schwab US - Investment Services	2016-01-08, 04:24:11	239,198.20	238,747.30	-450.90
E*Trade Financial - Investments		823,110.05	784,458.85	-38,651.20
AcctNumber for [REDACTED] - Name for [REDACTED]	2016-01-08, 01:14:49	823,110.05	784,458.85	-38,651.20
Scottrade	2016-01-07, 06:11:51	1,004,503.13	968,984.25	-35,518.88
TD Ameritrade	2016-01-07, 06:14:43	540,561.57	535,116.97	-5,444.60
Total		2,607,372.95	2,527,307.37	-80,065.58

You included data from an External Account in this PortfolioAnalyst report. The data concerning outside accounts is not provided by IB and IB has not reviewed its accuracy. Rather, information regarding accounts held outside of Interactive Brokers is obtained from the financial institutions holding those accounts, through a third-party service provider. IB is not affiliated with this third-party service provider or the outside financial institutions. IB does not make any representations or warranties regarding this service provider or the accuracy of the data received from any financial institution through this service provider.

- You can drill down to view positions in both the Consolidated and Financial Institution views:
 - In Financial Institution view, click the individual account to display the asset classes in that account.

Time Period: [Financial Institution](#) > [AcctNumber for \[REDACTED\] - Name for \[REDACTED\] \(E*Trade Financial - Investments\)](#)

Asset Class	Prior Value	Current Value	Change
Stocks	185,551.76	182,237.62	-3,314.14
Funds	637,003.15	601,666.09	-35,337.06
Cash	555.14	555.14	0.00
Total	823,110.05	784,458.85	-38,651.20

- Then click an asset class to drill down to the individual positions. Click a link in the breadcrumb display to quickly go back to a previous view. You can also change the Time Period.

Time Period: [Financial Institution](#) > [AcctNumber for \[REDACTED\] - Name for \[REDACTED\] \(E*Trade Financial - Investments\)](#) > [Stocks](#)

Symbol	Description	Prior			Current			Change
		Quantity	Price	Value	Quantity	Price	Value	
SDY	SPDR S&P DIVIDEND ETF	1,477.3943	72.8700	107,657.72	1,477.3943	70.5800	104,274.49	-3,383.23
VCSH	VANGUARD SHORT-TERM CORPORATE BOND INDEX FUND	987	78.9200	77,894.04	987	78.9900	77,963.13	69.09
Total				185,551.76			182,237.62	-3,314.14

- In Consolidated view, click an asset class to view all of the positions in that asset class for all of your accounts. Click a link in the breadcrumb display to quickly go back to a previous view. You can also change

the Time Period.

Time Period: Consolidated > Stocks

Symbol	Description	Prior			Current			Change
		Quantity	Price	Value	Quantity	Price	Value	
IBKR	Interactive Brokers Group Inc	24,328	41.1900	1,002,070.32	24,328	39.7300	966,551.44	-35,518.88
SDY	SPDR S&P DIVIDEND ETF	1,477.3943	72.8700	107,657.72	1,477.3943	70.5800	104,274.49	-3,383.23
SPY	SPDR TR S&P 500 ETF TR	1,628	201.36	327,814.08	1,628	198.82	323,678.96	-4,135.12
VCSH	VANGUARD SHORT-TERM CORPORATE BOND INDEX FUND	2,769	78.9200	218,529.48	2,769	78.9643	218,652.03	122.55
Total				1,656,071.60			1,613,156.92	-42,914.68

External Accounts

The PortfolioAnalyst External Accounts tab lets you:

- [Add](#) external investment accounts;
- [View and edit](#) external investment accounts that you have already added;
- [Delete](#) external investment accounts from PortfolioAnalyst.

Adding an External Account

To add an external investment account to PortfolioAnalyst

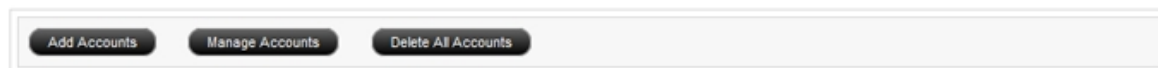
1. Click **Reports > PortfolioAnalyst**.
2. Click the **External Accounts** tab.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary Default Reports Custom Reports Custom Benchmarks **External Accounts**

Click *Add Accounts* to add external accounts. Click *Manage Accounts* to view and edit all accounts added. Click *Delete All Accounts* to delete all accounts associated with the User.



3. Click **Add Accounts**.
4. A disclaimer opens in a popup window. Read the disclaimer and then click **Yes** to close the window.
5. Select the financial institution from the list.

Add Accounts **Manage Accounts** **Delete All Accounts**

Add Accounts 1 Find your institution 2 Provide Sign In Info 3 Confirmation

Type all or part of the name of your financial institution:

TD Ameri

Examples: Bank of America, Etrade.com, or Fidelity NetBenefits

Then select the institution where your account is located:

Other Matching Institutions

TD Ameritrade

TD Ameritrade (formerly TD Waterhouse Brokerage Account)

TD Ameritrade - Client

TD Ameritrade 401(k) Profit Sharing Plan

TD Ameritrade 529 College Savings Plan - Shareholders

TD Ameritrade Institutional - Client Access

TD Ameritrade Trust Company

Note: Institutions that begin with (I) are not currently available.

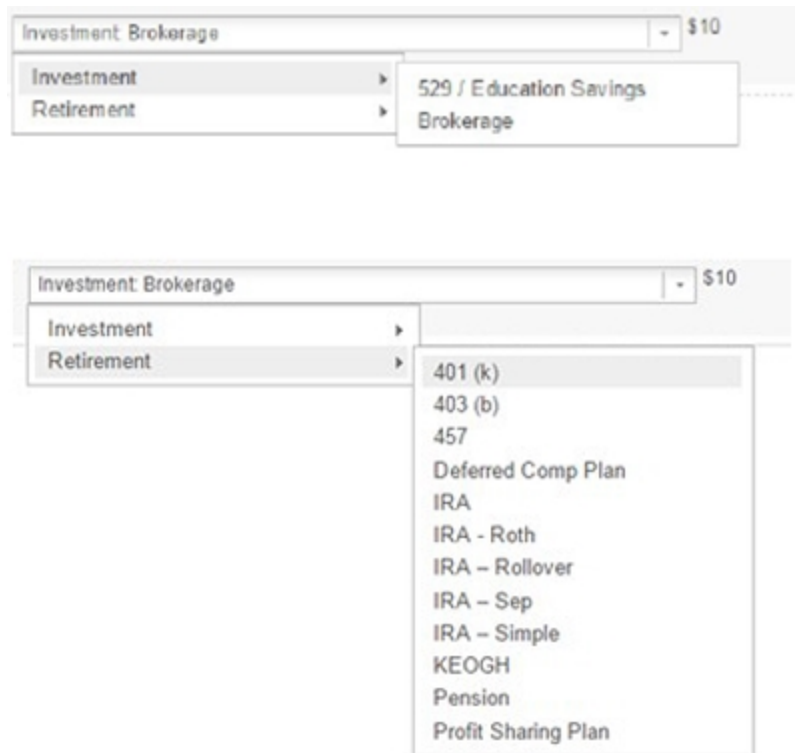
Next

You can type the name of financial institution where the external account is maintained in the search field. This is a smart search field; once you start typing the name of the institution, matching institutions appear in the list below the field.

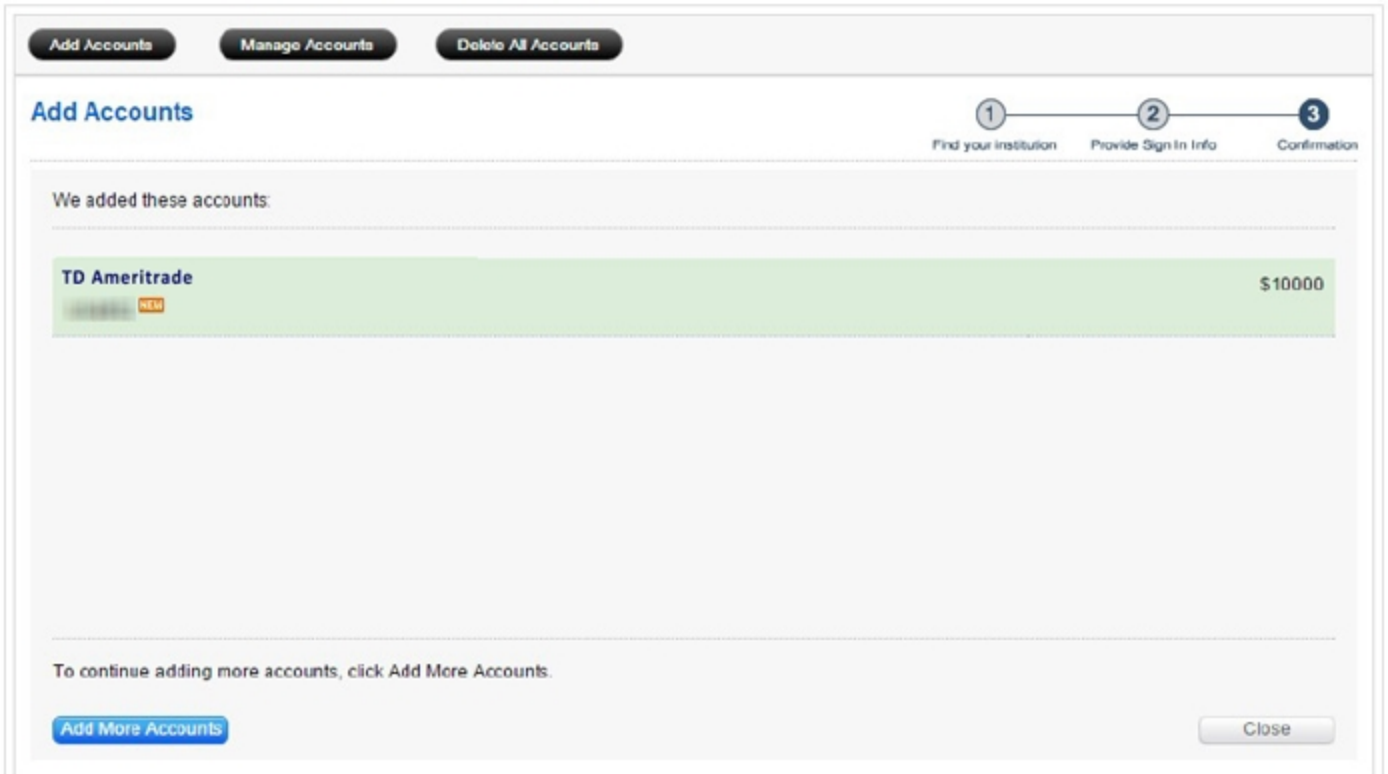
6. Once you have selected your financial institution from the list, click **Next**.
7. Type the username and password for your account at the selected financial institution. Type your password a second time, and then click **Next**

8. Select the accounts held at the selected financial institution that you want to add to PortfolioAnalyst. For example, you may have several different accounts at another financial institution but you only want to add one of them to PortfolioAnalyst.

- Click the check box next to each account that you want to add.
- For each account that you want to add, select the type of account: *Investment:Brokerage* or *Investment:Retirement*. Click the down arrow to view the drop-down menu, and then make your selections. Each type has several additional types associated with it. For example, you can select Retirement and then select IRA as the type of Retirement.



9. If the account is successfully added, a confirmation screen opens that lists the account(s) you just added, including the account ID and current balance.



10. Click **Close** to stop adding accounts or **Add More Accounts** to add more external accounts.

Note: It usually takes until the next business day to load your external account portfolio data, which you can see on the Summary tab.

Viewing and Editing External Accounts

The Manage Accounts screen lets you view and edit the external accounts that you have added to PortfolioAnalyst.

To view and edit external accounts

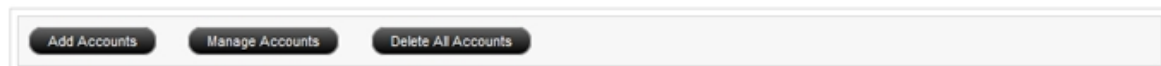
1. Click **Reports > PortfolioAnalyst**.
2. Click the **External Accounts** tab.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

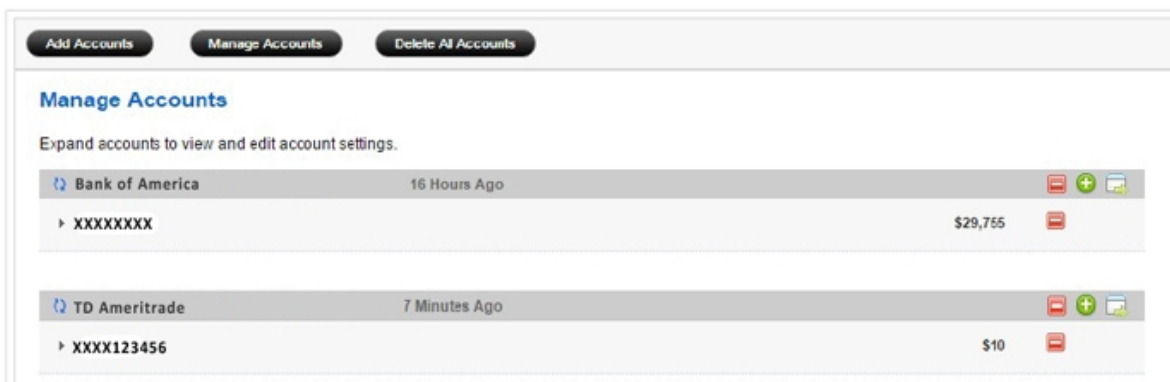
Summary Default Reports Custom Reports Custom Benchmarks **External Accounts**

Click *Add Accounts* to add external accounts. Click *Manage Accounts* to view and edit all accounts added. Click *Delete All Accounts* to delete all accounts associated with the User.



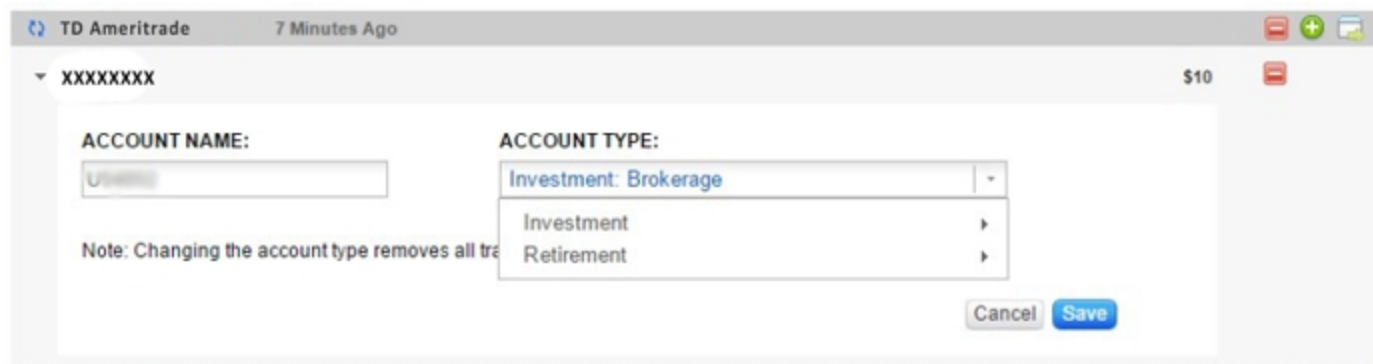
3. Click **Manage Accounts**.

All external accounts that you have added to PortfolioAnalyst are listed along with their current balances. Icons on the right side of the display let you add or delete accounts under each financial institution.



4. To change the account type of an external account:

- Click the down arrow on the left side of the account number whose type you want to change. The account expands to display the current account type.



- Use the drop-down menus to change the account type.
- Click **Save** when you have made all of your changes.

3. To add or delete accounts under a financial institution:

- Delete all accounts under a financial institution by clicking the red minus sign icon on the financial institution row (the gray-colored row with multiple icons).
- Delete an individual account under a financial institution by clicking the red minus sign icon on the specific account row.
- To add an account under an existing financial institution, click the green plus sign icon. You will be prompted to add an account as described [here](#).



- To log in to an external account that you have added to PortfolioAnalyst, click the window icon on the financial institution row (the last icon on the right). The login page for that account will open in a new browser page.

Deleting External Accounts

You can easily delete external accounts from PortfolioAnalyst. For example, you may no longer maintain an external account that you previously added.

To delete external accounts

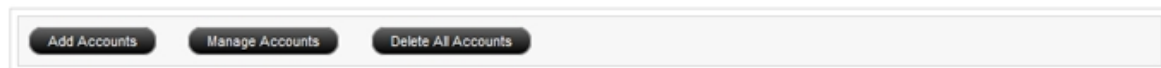
- Click **Reports > PortfolioAnalyst**.
- Click the **External Accounts** tab.

PortfolioAnalyst

PortfolioAnalyst lets you analyze the performance of your portfolio and generate customizable, presentation-ready PDF reports.

Summary Default Reports Custom Reports Custom Benchmarks **External Accounts**

Click *Add Accounts* to add external accounts. Click *Manage Accounts* to view and edit all accounts added. Click *Delete All Accounts* to delete all accounts associated with the User.



- To delete ALL external accounts from PortfolioAnalyst, click **Delete All Accounts**.

Click **Yes** in the confirmation popup that opens to complete the operation.

- To delete individual accounts (for example, you may have added multiple accounts under a specific financial institution but no longer maintain one of them):
 - Click **Manage Accounts**.
 - Clicking the red minus sign icon on the specific account row.
 - In the confirmation popup, click **Delete Institution** to complete the operation.

Transaction Cost Analysis

Transaction Cost Analysis is a dynamic and interactive analysis of your trades marked to various benchmarks grouped in different categories or on a per-order basis. Transaction Cost Analysis applies to trades of any instrument type and is typically available ten minutes after a trade is executed. Performance metrics are expressed as basis points (bps) of value traded.

Each executed trade in the period of the analysis is marked to a series of performance benchmarks with the results displayed in multiple interactive tables. You can drill down in a variety of categories, including trade date, order side, exchange, trade price and underlying, to see how each trade performed when compared to the benchmark. The performance of a trade is calculated by marking the trade price to each benchmark. A positive number indicates that the trade worked in your favor; a negative number indicates that the trade did not work in your favor.

You can also add or remove columns from tables using the Configure Columns feature.

Note: Combinations are not supported in the Transaction Cost Analysis.

See [Understanding the Transaction Cost Analysis](#) for a complete description of each column heading and performance benchmark used in the analysis results.

Who can access the Transaction Cost Analysis page?

You can access this page if you have trading access and you have been granted Reporting access rights.

To run a Transaction Cost Analysis

1. Click **Reports > Transaction Cost Analysis**.

Transaction Cost Analysis

Use this screen to view the Transaction Cost Analysis.

The screenshot shows a web form titled "Transaction Cost Analysis". At the top, it says "Use this screen to view the Transaction Cost Analysis." Below this, there is a section labeled "Dates" with two dropdown menus: "From Date:" set to "November 17, 2014" and "To Date:" set to "November 25, 2014". A "Submit" button is located at the bottom right of the form.

2. Select a start date and an end date from the From Date and To Date drop-down lists, then click **Submit** to generate your analysis.

The page displays the results of your analysis in the Instrument Type and Marketability section in the Summary Analysis. All performance numbers are in basis points, and volume is in shares or contracts, as applicable. Negative numbers appear in parentheses.

Sort the data by any column by clicking the column heading.

Here is an example of transaction cost analysis Summary Analysis results.

Summary Analysis

By Instrument Type and Marketability															
	Orders	Trades	Qty	Price Improvement	Arrival Price	vs Trade +1 min	vs Trade +10 min	vs Close	vs VWAP	vs Daily VWAP	vs Daily Range	Filled/Total Qty	Fill Rate/sec	Commission	Commission/Share
+ CASH(Marketable)	7	9	4,854,102	0.0	(0.1)	(0.1)	0.1	(1.6)	0.0	-	68.0	100.0	72.2	105.3	0.0000
+ CASH(NonMarketable)	1	1	2,000,000	-	0.0	0.0	0.0	(3.2)	0.0	-	43.0	100.0	12.1	50.2	0.0000
+ OPT(NonMarketable)	11	13	110	-	(4.1)	6.4	(8.7)	80.3	0.0	(22.3)	39.7	100.0	64.6	17.0	0.1545
+ STK(Marketable)	1,110	2,720	1,123,612	7.9	(43.0)	(13.5)	13.9	129.1	(0.3)	40.5	44.8	95.4	96.2	5,440.5	0.0048
+ STK(NonMarketable)	429	884	190,250	-	521.1	(5.2)	15.4	47.9	29.6	128.8	63.4	97.8	19.4	978.7	0.0051

Transaction Cost Analysis Reports are provided for information purposes only. We make no warranty or representation regarding the accuracy or completeness of these reports.

3. Click a category (expanding items are indicated by a plus sign) to drill down to view more detailed data by instrument type and marketability. Detailed results are displayed in additional tables:

- By Trade Date
- By Trade Side
- By Exchange
- By Trade Size
- By Trade Price
- By Underlying
- By Order Live Time in Seconds
- By Order Type
- By Average Delta

Transaction Cost (11/17/2014 - 11/25/2014)

Current Active Filters
 Click filter to remove the current active filter or to remove all filters click Remove All.
 Remove All STK(NonMarketable)

View Order Details
 Go to Outlier Analysis

Summary Analysis

By Instrument Type and Marketability															
	Orders	Trades	Qty	Arrival Price	vs Trade +1 min	vs Trade +10 min	vs Close	vs VWAP	vs Daily VWAP	vs Daily Range	Filled/Total Qty	Fill Rate/sec	Feasible Fill Rate/sec	Commission	Commission/Share
STK(NonMarketable)	429	884	190,250	521.1	(5.2)	15.4	47.9	29.6	128.8	63.4	97.8	19.4	24.2	978.7	0.0051

Details for: Non-Marketable STK Trades

By Trade Date															
	Orders	Trades	Qty	Arrival Price	vs Trade +1 min	vs Trade +10 min	vs Close	vs VWAP	vs Daily VWAP	vs Daily Range	Filled/Total Qty	Fill Rate/sec	Feasible Fill Rate/sec	Commission	Commission/Share
+ 20141117	72	131	20,334	16.3	(22.4)	(16.9)	(15.4)	20.0	43.6	54.9	96.0	34.0	39.1	108.9	0.0054
+ 20141118	45	67	11,006	16.0	(14.1)	2.2	80.7	20.2	11.9	47.1	97.9	33.8	32.1	56.9	0.0052
+ 20141119	43	89	19,876	4,597.8	(16.8)	75.9	177.4	16.7	195.5	52.7	96.2	12.9	12.7	107.0	0.0054
+ 20141120	43	76	17,182	188.5	25.7	73.8	233.4	16.8	111.4	64.2	98.4	12.6	14.0	89.1	0.0052
+ 20141121	127	274	50,933	21.8	(8.4)	(8.8)	(6.2)	32.8	74.0	73.8	97.6	20.0	19.9	257.9	0.0051
+ 20141124	56	136	40,128	47.7	(3.0)	14.8	38.5	44.4	320.0	65.5	99.1	21.9	36.0	202.1	0.0050
+ 20141125	43	111	30,791	32.0	2.1	10.4	(7.7)	30.3	35.2	61.2	98.4	8.3	17.0	156.8	0.0051
Total	429	884	190,250	521.1	(5.2)	15.4	47.9	29.6	128.8	63.4	97.8	19.4	24.2	978.7	0.0051

By Trade Side															
	Orders	Trades	Qty	Arrival Price	vs Trade +1 min	vs Trade +10 min	vs Close	vs VWAP	vs Daily VWAP	vs Daily Range	Filled/Total Qty	Fill Rate/sec	Feasible Fill Rate/sec	Commission	Commission/Share
+ Buy	371	796	158,426	612.8	(2.2)	3.2	(19.2)	24.3	103.6	63.9	98.1	19.0	23.7	806.7	0.0051
+ Sell	58	88	31,824	65.0	(20.2)	75.7	381.5	56.1	254.3	61.0	96.7	21.6	27.2	172.0	0.0054
Total	429	884	190,250	521.1	(5.2)	15.4	47.9	29.6	128.8	63.4	97.8	19.4	24.2	978.7	0.0051

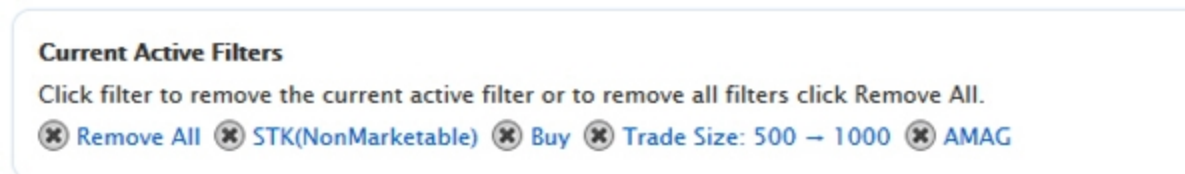
Applicant: [Name] - U [Symbol]

PDF Help Reference

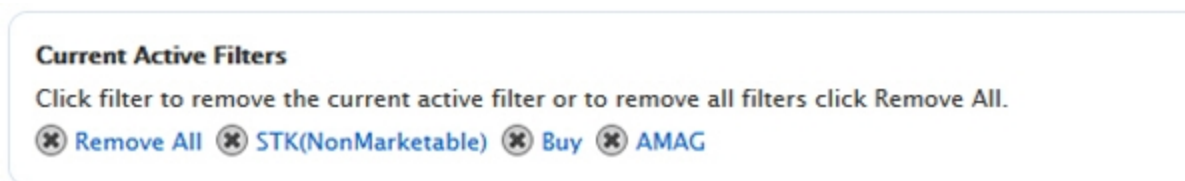
In addition, an Outlier Analysis is added to the results in the bottom half of the screen. The Outlier Analysis shows an analysis of the Top and Bottom orders for each of the performance benchmarks. You can jump quickly to the Outlier Analysis from the link at the top of the screen.

4. Filter the results further within each of the detailed breakdowns by clicking the appropriate category.
5. Remove individual filters by clicking the **X** icon next to a filter link in the Current Active Filters display located at the top of the screen. You can remove any filter in any order at any time. The report data refreshes to reflect the change in the Current Active Filters.

For example, suppose your Current Active Filters display looks like this:



You remove the *Trade Size: 500 → 1000* filter by clicking the **X** icon to the left of the filter link. The Current Active Filters changes to look like this (and the report data refreshes to indicate the new Current Active Filters):



- To return to the original Summary Analysis table and remove all filters, click the **X** icon next to *Remove All* in the Current Active Filters display.
- To choose a different date range, click *Change Date Range* in the upper right corner of the page.

[Change Date Range](#) | [Print](#)

6. View detailed data for the orders in the current view by clicking the *View Order Details* link at the top of the screen.

Click the *Back* link at the upper right corner of the screen to return to the original report view. Order Details shows data only for the orders that are visible in the current view using the current active filters. For example, if you are viewing all marketable stock orders and there are 300 orders, the Order Details will include details for those 300 orders. If your current active filters are showing only ten orders, then the Order Details will include details for those ten orders.

Transaction Cost (11/17/2014 – 11/25/2014) [Change Date Range](#) | [Print](#) | [Back](#)

Current Active Filters
Click filter to remove the current active filter or to remove all filters click Remove All.
 Remove All STK(NonMarketable)

Summary Analysis [Configure Columns](#)

By Instrument Type and Marketability

Instrument Type	Orders	Trades	Qty	Arrival Price	vs Trade +1 min	vs Trade +10 min	vs Close	vs VWAP	vs Daily VWAP	vs Daily Range	Filled/Total Qty	Fill Rate/sec	Feasible Fill Rate/sec	Commission	Commission/Share
STK(NonMarketable)	429	884	190,250	521.1	(5.2)	15.4	47.9	29.6	128.8	63.4	97.8	19.4	24.2	978.7	0.0051

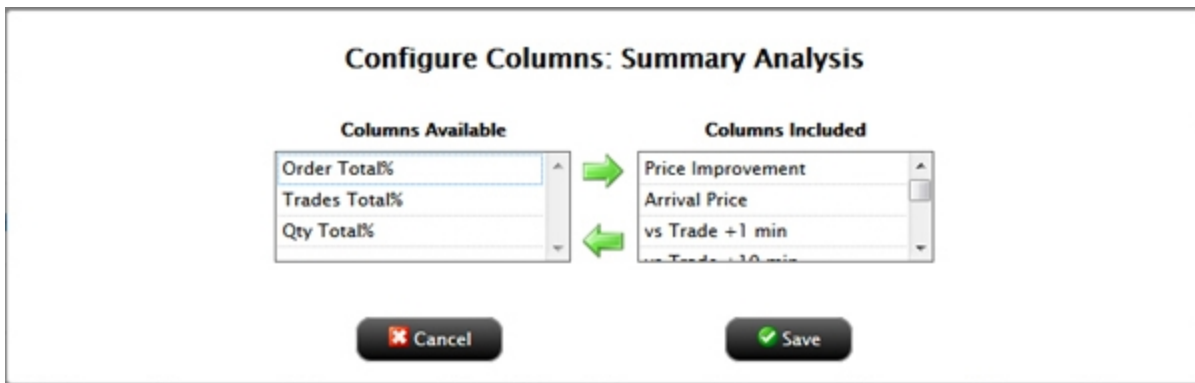
Order Details [Configure Columns](#)

Order Details

Submit Date	Submit Time	Live Time	Type	Side	Order Qty	Trades	Trade Qty	Average Price	Arrival Price	vs Trade +1 min	vs Trade +10 min	vs Close	vs VWAP	vs Daily VWAP	vs Daily Range	Filled/Total Qty
24-Nov-2014	10:06:05	0.0	Limit	Buy	600	2	600	35.9900	(6.9)	1.4	4.2	138.9	0.0	76.8	74.0	100.0
24-Nov-2014	10:06:20	0.0	Limit	Buy	400	5	400	35.9900	(2.8)	1.4	4.2	138.9	(4.1)	76.8	74.0	100.0
24-Nov-2014	10:06:28	57.3	Limit	Buy	200	3	200	35.9700	2.8	(1.4)	144.6	0.0	82.4	77.0	100.0	
24-Nov-2014	10:16:28	42.1	Limit	Buy	500	7	500	35.9900	6.9	(6.9)	(1.4)	138.9	0.0	76.8	74.0	100.0
19-Nov-2014	09:27:38	141.9	Limit	Sell	2,000	1	2,000	10.5300	(170.9)	(28.5)	607.8	2,022.8	0.0	1,570.7	90.0	100.0
19-Nov-2014	09:31:05	13.1	Limit	Sell	600	1	600	10.5600	18.9	(14.2)	696.0	2,045.5	37.8	1,594.6	91.0	100.0
19-Nov-2014	09:31:27	0.0	Limit	Sell	200	2	200	10.7500	46.5	162.8	860.5	2,186.0	0.0	1,743.2	100.0	100.0
19-Nov-2014	09:36:41	2.3	Limit	Sell	300	1	300	10.0700	5.0	109.2	407.1	1,658.4	0.0	1,185.6	71.0	100.0
19-Nov-2014	10:29:20	538.7	Limit	Sell	1,000	2	111	9.0300	16.6	60.9	105.2	697.7	41.6	170.4	26.0	11.1
19-Nov-2014	09:27:58	122.0	Limit	Sell	3,000	1	2,709	8.4300	456.7	136.4	255.0	972.7	0.0	673.5	97.0	90.3
20-Nov-2014	10:04:42	94.0	Limit	Sell	200	1	200	8.1300	12.3	(80.0)	264.5	639.6	42.9	329.4	62.0	100.0
20-Nov-2014	10:29:54	1.0	Limit	Sell	2,000	4	2,000	7.8000	25.6	(70.5)	(109.0)	243.6	12.8	(79.6)	23.0	100.0
20-Nov-2014	10:49:34	0.1	Limit	Sell	91	1	91	7.8000	12.8	4.4	(89.7)	243.6	0.0	(79.6)	23.0	100.0
20-Nov-2014	12:32:48	0.0	Limit	Sell	3,014	1	10	7.7200	6.5	13.0	(6.5)	142.5	0.0	(164.1)	14.0	0.3
21-Nov-2014	09:32:55	1,284.3	Limit	Sell	2,000	4	2,000	7.7100	32.4	(77.8)	(19.5)	207.5	163.7	14.4	52.0	100.0
21-Nov-2014	09:47:52	2.0	Limit	Sell	700	2	700	7.6400	39.3	(19.6)	(38.2)	117.8	0.7	(77.0)	34.0	100.0
21-Nov-2014	09:48:09	5.1	Limit	Sell	600	3	600	7.6400	26.2	(6.5)	(38.2)	117.8	5.6	(77.0)	34.0	100.0
21-Nov-2014	09:48:28	339.3	Limit	Sell	200	3	200	6.7000	19.6	(141.2)	(71.7)	156.5	42.7	(37.5)	42.0	100.0
21-Nov-2014	09:56:54	80.5	Limit	Sell	200	2	200	7.7400	6.5	51.7	25.8	245.5	36.8	53.1	59.0	100.0

Applicant: Username: PDF Help Reference

- You can configure columns for the Summary Analysis table, for all of the detailed tables, for the Outlier Analysis tables and for the Order Details table. When you configure columns for the detail tables, your changes apply to all detail tables.
 - Click the Configure Columns link located above and to the right of each configurable table.



- All current columns are listed in the Columns Included box on the right. Columns that you can add are listed in the Columns available box on the left. To add a column, click the column name on the left to select it, and then click the green right-facing arrow to move the selected column name to the list of Columns Included. To remove a column, click the column name on the right to select it, and then click the left-facing arrow to move the selected column name to the list of Columns Available. You can select more than one column name at a time using the Control+click keyboard-mouse combination.
- Click **Save** to update the tables with the modified columns.

Note: When you log in for the first time, we display all columns by default. If you choose to remove all columns, we will still display the default columns. Any changes applied to Summary Analysis columns will also be applied to the Details table columns and vice versa.

8. Optionally, print the current view of the report by clicking the *Print* link in the upper right corner of the screen, including the Order Details page.

Understanding the Transaction Cost Analysis

Transaction Cost Analysis lets you analyze the cost of the decision to trade over a specified time period with respect to various benchmarks.

Each executed trade in the period of the analysis is marked to a series of performance benchmarks with the results displayed in multiple interactive tables. You can drill down in a variety of categories, including trade date, order side, exchange, trade price and underlying, to see how each trade performed when compared to the benchmark. The performance of a trade is calculated by marking the trade price to each benchmark. A positive number indicates that the trade worked in your favor; a negative number indicates that the trade did not work in your favor.

Marketability

Indicates whether an order was marketable or not. A marketable order is either a market order or is an order that is bought at a price that is greater than or equal to the prevailing ask price (or sold at a price that is less than or equal to the prevailing bid price) when the order is submitted.

Transaction Cost

Every trade has costs associated with the transaction. There are explicit costs like commissions and exchange fees etc, and there are implicit costs that depend primarily on the characteristics of the trade relative to prevailing market conditions and trading strategy.

The Transaction Cost Analysis report compares trades to various industry standard benchmarks and some unique measures, allowing you to evaluate the quality of the executions.

Basis Points

Unit of measure that describes the percentage change in the value or rate of a financial instrument. One basis point = 0.01%, or 0.0001 in decimal form. Performance metrics are expressed as basis points (bps) of value traded.

Currency

All commissions are in your account's base currency. When we add notional value and total premium, those will also be in account's base currency. The trade price will stay in traded currency.

Methodology

We mark each trade to a series of benchmarks such as price improvement, arrival price and more. We aggregate trades weighted by volume and present overall performance as well as various tables that show performance broken down by various criteria such as trade date, trade price, underlying, exchange and more.

Negative numbers are indicated by parentheses.

You can drill down into reports by clicking categories, essentially filtering the results as required; the current active filters are always displayed at the top of the page and you can remove any individual filter by clicking the **X** icon next the filter. Detailed tables show data for the following:

- By Trade Date
- By Trade Side
- By Exchange
- By Trade Size
- By Trade Price
- By Underlying
- By Order Live Time in Seconds
- By Order Type
- By Average Delta

You can also view the details of each order in the Order Details table, which opens on a new page.

Outliers for each performance benchmark are displayed in the Outlier Analysis section, which shows an analysis of the Top and Bottom symbols for all performance benchmarks.

Report Columns

The following table shows all of the columns in the Transaction Cost Analysis report and their descriptions, including all of the performance benchmarks.

Column	Definition
Orders	Number of executed orders.
Total%	In Detail views, this column follows the Orders column. It shows the line item's percentage of the total number of executed orders. For example, in the By Trade Side breakdown, suppose there are 40 Buy orders and 60 Sell orders. The Total% of Buy orders would be 40, or 40% of the total number of orders, and the Total% of Sell orders would be 60, or 60% of the total number of orders.
Trades	Number of individual fills/executions.
Total%	In Detail views, this column follows the Trades column. It shows the line item's percentage of the total number of fills/executions. For example, in the By Trade Side breakdown, suppose there are 232 trades that were Buys and 341 trades that were Sells. The Total% of Buy trades would be 40.5, or 40.5% of the total number of trades, and the Total% of Sell trades would be 59.5, or 59.5% of the total number of trades.

Qty	Number of executed shares/contracts.
Total%	In Detail views, this column follows the Quantity column. It shows the line item's percentage of the total number of shares or contracts executed. For example, in the By Trade Side breakdown, suppose there are 79,853 shares traded that were Buys and 11,662 shares traded that were Sells. The Total% of Buy shares would be 40.5, or 40.5% of the total number of shares traded, and the Total% of Sell shares would be 59.5, or 59.5% of the total number of shares executed.
Performance Benchmarks	
Price Improvement	Basis points that your orders were filled better (worse) than then National Best Bid (for sell orders) or Offer (for buy orders) at time each order was submitted.
Arrival Price	Basis points that your orders were filled better (worse) than the midpoint of the National Best Bid and Offer at time each order was submitted.
vs Trade +1 min	Basis points that your orders were filled better (worse) than the midpoint of the National Best Bid and Offer one minute after each trade.
vs Trade +10 min	Basis points that your orders were filled better (worse) than the midpoint of the National Best Bid and Offer ten minutes after each trade.
vs Close	Basis points that your orders were filled better (worse) than the Close price of each security on the day the order was executed.
vs VWAP	Basis points that your orders were filled better (worse) than the VWAP (volume weighted average price) for each order's security measured between the time of each order's submission and the time the order is completed or cancelled.
vs Daily VWAP	Basis points that your orders were filled better (worse) than the VWAP (volume weighted average price) for each order's security measured over the entire day of trading that the order was executed.
vs Daily Range	Percentage of today's High and Low price range that the trade captured. For example, a buy at the day's low captures 100% of the daily range. This is calculated as the average across included orders of: Buy Orders: $(\text{Daily High} - \text{Execution Price}) / (\text{Daily High} - \text{Daily Low})$ Sell Orders: $(\text{Execution Price} - \text{Daily Low}) / (\text{Daily High} - \text{Daily Low})$

Fill Rates	
Filled/Total Qty	Average across included orders of: Fill Quantity/Total Quantity.
Fill Rate/sec	Average across included orders of: Fill Quantity / Total Quantity per second.
Feasible Fill Rate	Percentage of an order that could be filled considering the size available at the NBBO.
Commissions	
Commission	Sum of commissions for all included orders.
Commission/Share	Average commission per share/contract.
Order Details	
Ticker	Symbol.
Submit Date	The date on which the order was placed.
Submit Time	The time at which the order was placed.
Time Zone	Time zone for the order time.
Live Time	Duration the order was live.
Type	The order type (Market, Limit, etc.).
Side	Identifies the order as a Buy or Sell.
Order Qty	Order quantity.
Trades	Number of individual fills/executions.
Trade Qty	Trade quantity.
Average Price	Average trade price.

Risk

The Risk menu gives you access to the following reports:

- [Margin Reports](#)
- [Stress Test Report](#)
- [Value at Risk Report](#)

Margin Reports

You can see real-time margin summary amounts displayed in the Account window in Trader Workstation. For position margin requirements, however, you can view margin reports in Account Management. At 16:15 ET each day, we record your margin and equity information for positions across all asset classes and exchanges for the margin report.

Margin reports show the margin requirements for all open single and combination positions. The report displays Available Funds (to determine if you can put on a new trade) and Excess Liquidity (when excess is depleted, you risk liquidation). Note that because information on your statements is displayed "as of" the cut-off time for each individual exchange, the information in your margin report may be different from that displayed on your statements.

Margin reports in Account Management are the only place where you can view the margin requirements for combination/spread positions. Margin reports are available for the previous 180 days.

Who can access the Margin Reports page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To generate a Margin report

1. Click **Reports > Risk > Margin**. The Margin Reports page appears by default.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account on which to report. To generate a Margin report for a closed account, select the **Include Closed Accounts** check box, and then select the closed account.

The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. On the Margin Reports screen, make the following selections:
 - In the Type field, select *Default* or *Commodities Regulatory*. The Commodities Regulatory Margin report breaks out domestic (US) and foreign cash/holdings for the Commodities segment of your account (required by the CME Group). This type of margin report is available for any accounts that trade futures or futures options.
 - In the Report Date field, select the date for the report.
 - In the Format field, HTML/WEB is selected by default.
 - In the Language field, select your language.

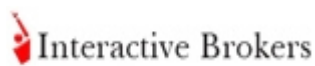
Margin Reports

Use this page to view a Margin Report, which displays your margin requirements for single and combination positions as well as available and excess liquidity.

3. Click **View** to generate the report.

You can expand and collapse each section of the report individually. Click the slate blue section heading bar to expand a section, and click it again to collapse it.

The following figures show two views of a typical Margin report. The first figure shows the report with all sections collapsed, while the second shows the Margin Detail section of the report expanded. Note the links in the upper right corner of the report; these links let you expand all sections in the report, collapse all sections in the report, and print the report.



Margin Report

As of 2013-10-31, 16:15:00 EDT

Interactive Brokers (U.K.) Ltd.
5th Floor, 1 Carey Lane, London EC2V 8AE, UK. Regulated by FSA

[Help](#) | [Expand All](#) | [Contract All](#) | [Print](#)

Account Information ?				
Margin Summary ?				
	Security	Futures	IB-UKL	Total
Base Currency				
-Equity with Loan Value	724.82	0.00	0.00	724.82
Cash Value	724.82	0.00	0.00	724.82
Span Option Value	0.00	0.00	0.00	0.00
-Net Liquidation Value	724.82	0.00	0.00	724.82
Stock and Bond Value	0.00	0.00	0.00	0.00
Mutual Fund Value	0.00	0.00	0.00	0.00
Non Span Option Value	0.00	0.00	0.00	0.00
Interest Payable/Receivable Value	0.00	0.00	0.00	0.00
Dividend Payable/Receivable Value	0.00	0.00	0.00	0.00
Initial Margin Requirement	0.00	0.00	0.00	0.00
Available Funds	724.82	0.00	0.00	724.82
Maintenance Margin Requirement	0.00	0.00	0.00	0.00
Excess Liquidity	724.82	0.00	0.00	724.82

Legal Notes

Generated: 2013-11-07, 08:55:58 EST

Stress Test Report

The Stress Test report lets you see the change in the Profit and Loss (PNL) of your positions if the underlying price of each of your positions declines by 3%, 5%, 10%, 20% and 30% and independently increases by 3%, 5%, 10%, 20% and 30%.

Who can access the Stress Test page?

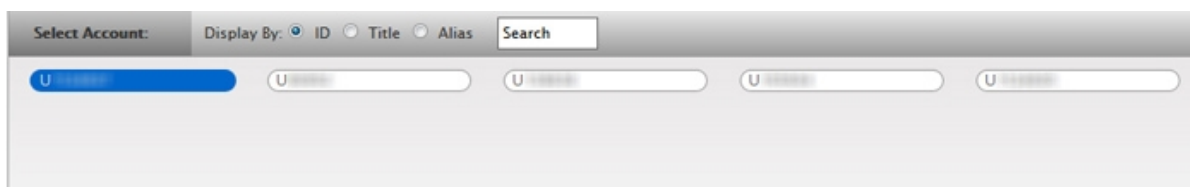
You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To generate a Stress Test report

1. Click **Reports > Risk > Stress Test**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account on which to report.



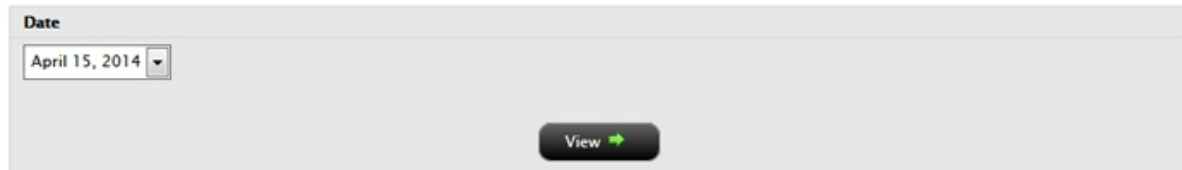
The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. In the Date field, select the date for the report.

Stress Test Report

Use this page to view the Stress Test Report, which calculates the change in the Profit and Loss (PNL) of your positions for a 30% up and down movement in the underlying.

Do not refresh your browser while the report is being generated.



The screenshot shows a web interface for generating a Stress Test Report. At the top, there is a yellow warning box that says "Do not refresh your browser while the report is being generated." Below this is a grey form area. On the left, there is a "Date" label above a dropdown menu currently showing "April 15, 2014". In the center of the form area is a dark button labeled "View" with a small green arrow pointing to the right.

3. Click **View** to generate the report.

Using the Stress Test Summary Report

The Stress Test Summary report lets you see the change in the PNL of your positions if the underlying price of each of your positions declines by 3%, 5%, 10%, 20% and 30% and independently increases by 3%, 5%, 10%, 20% and 30%. The results are based on theoretical pricing models and do not take into account coincidental changes in volatility or other variables that affect derivative prices.

The report shows:

- The Net Liquidation Value (NLV) of your account on the close, in USD.
- The cash balance of your account, in USD.
- Equity of all stock and derivatives, equity index derivatives and mutual funds, with P&L (displayed as “PNL” in the report) in USD.

To use the report, click the radio button that corresponds to the up or down price change you want to see (+/- 3, 5, 10, 20 or 30%). The PNL for each position is updated by the selected percentage.

Note: Certain positions are shown in the report but not valued under the stress scenarios of -30%/+30% changes in the underlying price. You must evaluate your own risk for these positions and include them in the totals provided.

The following figure shows an example of a Stress Test report, with -30% selected.

Stress Test Report for [REDACTED]

Positions Including Activity Up To the End of Business on March 03, 2009

NOTES:

- The following report shows the change in value of your positions under the assumption that the underlying price of each of your positions declines by 3%, 5%, 10%, 20% and 30% and independently increases by 3%, 5%, 10%, 20% and 30%. These results are based on theoretical pricing models and do not take into account coincidental changes in volatility or other variables that affect derivative prices.
- Certain positions are shown in this report but not valued under the stress scenarios of -30%, -20%, -10%, -5%, -3%, +3%, +5%, +10%, +20% and +30% changes in the underlying price. You must evaluate your own risk for these positions and include them in the totals provided.
- The PNL numbers are expressed in USD.
- Equity includes stock and its derivatives, equity index derivatives and mutual funds.

Account [REDACTED] has equity position(s).

Net Liq Value (NLV) on the close: 62,682,923.69 USD
 Cash balance: 85,775,391.89 USD

Product Category	Measure	<input type="radio"/> -30%	<input type="radio"/> -20%	<input type="radio"/> -10%	<input type="radio"/> -5%	<input type="radio"/> -3%	<input type="radio"/> +3%	<input type="radio"/> +5%	<input type="radio"/> +10%	<input type="radio"/> +20%	<input type="radio"/> +30%
Equity	PNL	-1,283,873.39	-443,982.11	+96,261.35	+155,946.44	+118,657.12	-76,180.79	-173,543.57	-377,192.07	-421,433.33	+159,624.03

Equity

Qty	Und.	Type	Exp.	Strike	Right	Symb	Listing Exchange	Mult.	Price		Curr.	Exch. Rate	PNL in USD
									Close	-30%			-30%
47,200	ACE	STK					NYSE		33.95	23.76	USD		-480,732.00
44,084	ACGL	STK				NMS	NASDAQ		51.34	35.94	USD		-678,981.77
87,597	AHL	STK					NYSE		20.12	14.08	USD		-528,735.49
94,400	AXS	STK					NYSE		20.27	14.19	USD		-574,046.40
177,510	BAC	STK					NYSE		3.65	2.56	USD		-194,373.45
-1,776	BP	OPT	20090320	40	PUT	BP	CBOE+	100	5.99	16.10	USD		-1,795,678.08
1,776	BP	OPT	20090320	50	CALL	BP	CBOE+	100	0.00	0.00	USD		-71.04
227,615	COF	STK					NYSE		10.20	7.14	USD		-696,501.90
100,000	AE	STK					NYSE		11.70	15.19	USD		+651,000.00

For more information

- [Stress Test Report Reference](#)

Value At Risk Report

Value at Risk is a number that represents an estimate of how much your portfolio may lose due to market movements for a particular time horizon and for a given confidence level (probability of occurrence). This report is completed overnight for a one-day horizon only. The report is based on account and, where applicable, sub-portfolios, and supports consolidated data for Advisor and Broker client accounts.

Note: To find on-demand VAR, use the VaR tab in the Risk Navigator in IB TWS. On-demand VAR supports multi-day VaR, shows the Expected Shortfall, and allows you to choose between Monte Carlo and Historical VaRs.

Confidence Level

The Value at Risk report computes your Value at Risk (VAR) at a 99.5% confidence level using two simulation methods, Variance-Covariance and Historical. A 99.5% confidence level means that 99.5% of the time, your losses will be lower than the VAR number (shown in this report as P/L), while 0.5% of the time, your portfolio will experience greater losses.

Value At Risk Simulation

The Value at Risk report breaks your portfolio into sub-portfolios, each with exposure to a distinct set of risk factors. These numbers are generated by simulating scenarios of risk factor movements (e.g. stock price, FX rates, etc), using historical volatility and correlation experienced in the recent past.

For each symbol in a sub-portfolio and for each currency, we compute the simulated price, the percent difference between the price and the simulated price, and the monetary difference between the simulated value and the closing value. The simulations show the market outcome that was found at the 99.5% confidence level. Specifically, it shows the price of the underlying in that scenario, the percentage price change versus the previous close and the P&L for the sub-portfolio (the underlying and its derivatives) that results from that market outcome.

Who can access the Value At Risk Report page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User

- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund
- Administrator who is subscribed (linked) to a client account.

To generate a Value at Risk Summary report

1. Click **Reports > Risk > Value at Risk**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account on which to report.

The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. Select a date and language, then click **View**. Note that this report is always generated as an HTML/Web page.

Value at Risk Report

Use this page to view the Value at Risk Report, which computes your Value at Risk (VAR) using Variance-Covariance and Historical methods at a 99.5% confidence level.

Here is an example of a Value at Risk report.



Value at Risk Report

April 8, 2014

Interactive Brokers LLC, Two Pickwick Plaza, Greenwich, CT 06830

[Help](#) | [Expand All](#) | [Contract All](#) | [Print](#)

Account Information									
Value at Risk Summary									
Account		Variance-Covariance Method VaR					Historical Method VaR		
USD (Base Currency)									
U000000						599.66			1,607.67
Value at Risk Details									
Underlying Symbol	Underlying Description	Price	Value	Variance-Covariance Method			Historical Method		
USD (Base Currency)									
Sub-Portfolios									
AAFL	APPLE INC	523.44	523.44	518.86	-0.87	-4.58	494.85	-5.46	-28.59
ALME	ALAMO ENERGY CORP	0.0145	0.36	0.0130	-10.05	-0.04	0.0159	9.72	0.04
CAD	CAD	0.9114	-1,057.03	0.9136	0.25	-2.59	0.8980	-1.47	15.53
DHT	DHT HOLDINGS INC	8.0100	64.08	7.9313	-0.98	-0.63	7.4148	-7.43	-4.76
DISCA	DISCOVERY COMMUNICATIONS-A	80.4200	804.20	79.2843	-1.41	-11.36	75.0428	-6.69	-53.77
EPB	EL PASO PIPELINE PARTNERS LP	31.6100	474.15	31.2464	-1.15	-5.45	29.8085	-5.70	-27.02
EPD	ENTERPRISE PRODUCTS PARTNERS	71.0500	7,141.10	70.5551	-0.70	-47.06	66.9609	-5.76	-381.33
FCG	FIRST TRUST ISE-REV NAT GAS	21.3300	469.26	20.9194	-1.93	-9.03	19.3494	-9.29	-43.57
GBP	GBP	1.6606	25,219.73	1.6535	-0.43	-107.30	1.6531	-0.45	-113.84
GE	GENERAL ELECTRIC CO	25.7500	283.25	25.3511	-1.55	-4.39	24.0656	-6.54	-18.53
GSS	GOLDEN STAR RESOURCES LTD	0.6766	16.92	0.5990	-11.47	-1.94	0.6116	-9.61	-1.62
HL	HECLA MINING CO	3.1100	152.39	2.8824	-7.32	-11.15	2.8928	-6.98	-10.64
HON	HONEYWELL INTERNATIONAL INC	91.9700	899.91	90.4967	-1.60	-33.32	84.8969	-7.69	-208.64
IBB	ISHARES NASDAQ BIOTECHNOLOGY	225.83	451.66	221.09	-2.10	-9.48	211.88	-6.18	-27.89
IEZ	ISHARES U.S. OIL EQUIPMENT &	67.9700	679.70	66.2569	-2.52	-17.13	60.7918	-10.56	-71.78
IPT	IMPACT SILVER CORP	0.6200	169.51	0.6118	-1.32	-1.83	0.6200	0.00	-2.49
NES	NUVERRA ENVIRONMENTAL SOLUTI	19.6200	39.24	18.6784	-4.80	-1.88	18.5516	-5.45	-2.14
PAL	NORTH AMER PALLADIUM LTD	0.9932	78.64	0.9512	-10.69	-8.40	0.9266	-16.95	-13.33
PM	PHILIP MORRIS INTERNATIONAL	83.8200	8,382.00	82.1778	-1.96	-164.22	80.1089	-4.43	-371.11
SNDK	SANDISK CORP	78.7400	551.18	77.7044	-1.32	-7.25	72.2117	-8.29	-45.70
SRCL	STERICYCLE INC	113.88	1,138.80	111.48	-2.10	-23.97	107.06	-5.99	-68.20
TJX	TJX COMPANIES INC	60.4500	6,044.99	59.7948	-1.08	-65.44	58.2362	-3.66	-221.29
TNG	TRANSGAMING INC	0.1900	34.63	0.1804	-5.05	-1.67	0.1713	-9.86	-3.87
USD	USD	1.0000	16,967.10	1.0000	0.00	0.00	1.0000	0.00	0.00
ZGLDUS	ZKB GOLD ETF-A (USD)	1,282.38	3,847.14	1,276.33	-0.47	-18.15	1,316.55	2.66	102.50
ZSILUS	ZKB SILVER ETF USD	194.82	1,948.20	190.68	-2.12	-41.39	194.26	-0.29	-5.59
Total			75,324.55			-599.66			-1,607.67
Currency Risk Factors									
CAD		0.9114		0.9136	0.25		0.8980	-1.47	
GBP		1.6606		1.6535	-0.43		1.6531	-0.45	
Notes									

For more information

- [Value At Risk Report Reference](#)

Supplemental Reports

The Supplemental menu gives you access to the following reports:

- [Models](#)
- [Broker Exception Report](#)
- [Advisor Fee Cap Report](#)
- [Client Summary Report](#)
- [P/L Markup Summary Report](#)
- [Broker Client Revenue and Expense Summary Report](#)

Models

Models provide an efficient method for advisors to manage multiple trading strategies for their clients without requiring them to open multiple accounts. Client investments are allocated among instruments in the Model based on the Model's allocation ratios as defined by the advisor.

Advisors and their clients can view Model Statements in Account Management on the Models page, provided models have been created in Trader Workstation. Model Statements include additional information about the selected model in the Account Information section.

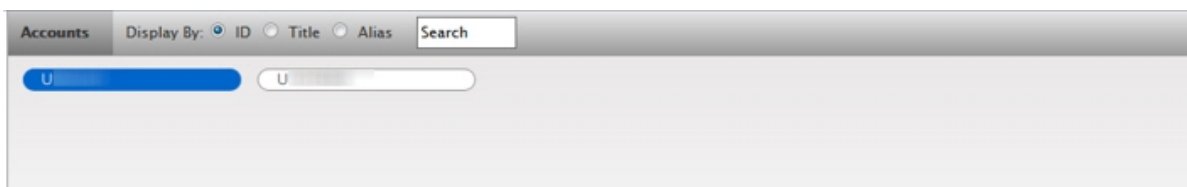
Who can access the Models page?

You can access this page if you are a Financial Advisor, a Money Manager or an Advisor Client, or a Fund Investment Manager or a Fund AND models have been created and saved in your trading platform.

To view a Model statement

1. Click **Reports > Supplemental > Models**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account on which to report. To view a model statement for a closed account, select the **Include Closed Accounts** check box, and then select the closed account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

Models

Models provide an efficient method for advisors to manage multiple trading strategies for their clients without requiring them to open multiple accounts. Use this page to view Model statements, which include additional information about the selected model.

View Model Statements

To view a Model Statement, make selections below then click **View**.

Date(s)	Format	Language	Options
Period: <input type="text" value="Daily"/>	<input type="text" value="HTML/Web"/>	<input type="text" value="English"/>	<input type="checkbox"/> Consolidated <input type="checkbox"/> Concatenate All <input type="checkbox"/> Summary <input checked="" type="checkbox"/> Select a Model
Date: <input type="text" value="June 25, 2015"/>			<input type="text" value="Independent"/>

2. In the Period field, select *Daily*, *Custom Date Range* or *Monthly*.
3. In the Date field, select a date or a month, depending on your Period selection. If you selected *Custom Date Range*, enter a From and a To date.
4. In the Format field, select either *HTML/WEB* or *PDF*, depending on how you want to view the statement.
5. In the Language field, select your desired language.
6. Select options:
 - **Consolidated** - View a consolidated Model Statement for all models and a single account.
 - **Concatenate All** - View a Model Statement that shows data for all models joined together in a single statement.
 - **Summary** - View a Model Summary statement that summarizes data for all models for one or more accounts.
 - **Select a Model** - Select this check box to view available models in the Model drop-down list. Select a model from the drop-down to view a statement for a single model. Only models that have been created in Trader Workstation for the selected account(s) will appear.
5. Click **View** to generate the statement.

Advisor Fee Cap

We cap the amount of fees an advisor can charge a client, up to a maximum of 25% of the client's average equity in a given year. The Advisor Fee Cap report displays the amount of available fee cap by client.

Who can access the Advisor Fee Cap page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Investment Manager Master User

To generate an advisor fee cap report

1. Click **Reports > Supplemental > Fee Cap**.

Advisor Fee Cap Report

The Advisor Fee Cap report shows the available advisor fee cap for each client account. Make selections below, then click **View** to generate the report.

Account(s)	Date(s)	Section(s)	Language
Yankee ▾	April 15, 2014 ▾	All ▾	English ▾
View →			

2. On the Advisor Fee Cap page, make the following selections:
 - In the Account(s) list, select the account for which you want to generate the report.
 - In the Date(s) field, select the date for the report.
 - In the Section(s) field, select ALL.
3. Click **View** to generate the report.

For more information

- [Advisor Client Markups](#)
- [Advisor Fee Cap Report Reference](#)

Broker Exception Reports

The Broker Exception Report provides snapshots of your top 40-performing clients over different time periods and based on specific criteria. View Daily, Month-to-Date (MTD) and Year-to-Date (YTD) reports of your top 40 Highest Commissions customers, top 40 Highest P/L customers, and top 40 Lowest P/L customers. Daily reports also include the top 40 Highest Equity customers.

Who can access the Broker Exception page?

You can access this page if you are a Broker Master User with Reports access.

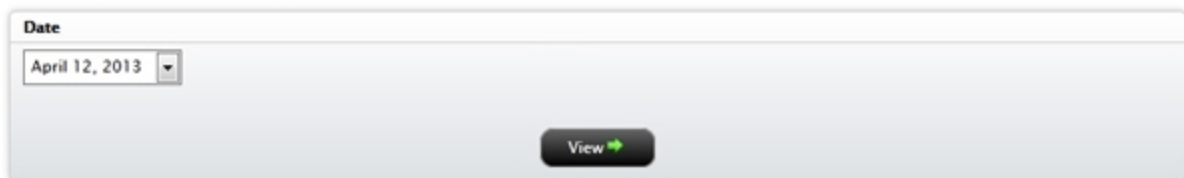
To generate a Broker Exception report

1. Click **Reports > Supplemental > Broker Exception**.

Broker Exception Reports

Use this page to run the Broker Exception Report, which is a snapshot of your top 40 performing clients over different time periods based on specific criteria.

Select a date, then click **View** to generate the report.



The screenshot shows a web interface for generating a Broker Exception Report. At the top, there is a title 'Broker Exception Reports' and a brief instruction: 'Use this page to run the Broker Exception Report, which is a snapshot of your top 40 performing clients over different time periods based on specific criteria. Select a date, then click View to generate the report.' Below this is a form with a 'Date' label and a dropdown menu showing 'April 12, 2013'. To the right of the dropdown is a 'View' button with a green arrow pointing right.

2. Select the date for the report from the Date field dropdown, then click **View**.
The report will appear in a new browser window.

For more information

- [Broker Exception Report Reference](#)

Client Summary Report

Advisors, Brokers and Fund Investment Managers can run this snapshot of client balances and performance over a one-day period. Because information on client's statements is displayed "as of" the cut-off time for each individual exchange, it should be noted that information on your client summary report may not equal information on your client's statements.

Who can access the Client Summary page?

You can access this page if you are a(n):

- Advisor Master Users
- Advisor Client Users (Individuals) with Report Management access
- Broker Master User
- Fund Investment Manager

To generate a Client Summary report

1. Click **Reports > Supplemental > Client Summary**.

Client Summary

The Client Summary report is a summary of client account balances and performance over a one day period. Make selections below, then click **View** to generate the report.

Date	Format	Language
April 15, 2014	HTML/WEB	English

View →

- Make the following selections:
 - In the Date field, select the date for the report.
 - In the Language field, select your language .
- Click **View** to generate the report.

For more information

- [Client Summary Report Reference](#)

P/L Markup Summary

This report shows a summary of client profit and loss (P/L) used to determine quarterly and annual performance fees paid to an Advisor for a single client account or for all client accounts.

Who can access the P/L Markup Summary page?

You can access this page if you are an Advisor Master User.

To generate a P/L Markup Calculation Summary report

- Click **Reports > Supplemental > P/L Markup**.
- Use the Account Selector at the top of the page to select an account on which to report. To view a model statement for a closed account, select the **Include Closed Accounts** check box, and then select the closed account.

Select Account:	Display By: <input checked="" type="radio"/> ID <input type="radio"/> Title <input type="radio"/> Alias	<input type="checkbox"/> Include Closed Accounts	Search
F [Account ID]	F [Account ID]	U [Account ID]	U [Account ID]
U [Account ID]	U [Account ID]	U [Account ID]	U [Account ID]
U [Account ID]	U [Account ID]	U [Account ID]	U [Account ID]

To change the selected account, click the tab to open the Account Selector, and then click a different account.

- Make the following selections:
 - In the Date field, select the date for the report.
 - In the Language field, select your language .

P/L Markup Summary

The P/L Markup Summary report is a supplemental statement that explains the performance fees paid to advisors. Make selections below, then click **View** to generate the report.

Date	Format	Language
2014Q1	HTML/WEB	English

View →

- Click **View** to generate the report.

For more information

- [P/L Markup Summary Report Reference](#)

Broker Client Revenue and Expense Summary

Broker run this report to view a snapshot of client daily, month-to-date and year-to-date expenses, revenues, net revenue, gross margin and aggregate client MTM.

Who can access the Broker Client Revenue and Expense Summary page?

You can access this page if you are a Broker Master.

To generate a Revenue and Expense Summary report

- Click **Reports > Supplemental > Client Revenue & Expense**.

Client Revenue and Expense Summary

The Broker Client Revenue and Expense Summary report is a snapshot of broker client revenues and expenses by product traded. Make selections below, then click **View** to generate the report.

Date	Format	Language
April 15, 2014	HTML/WEB	English

View →

- Make the following selections:
 - In the Report Date field, select the date for the report.
 - In the Language field, select your language .
- Click **View** to generate the report

For more information

- [Broker Client Revenue and Expense Summary Report Reference](#)

Tax

The Tax menu gives you access to the following pages:

- [Tax Optimizer](#)
- [Tax Forms](#)
- [Position Transfer Basis](#)
- [Forex Cost Basis](#)

Tax Optimizer

Use the Tax Optimizer page to [launch the Tax Optimizer](#) Java-based application, which lets you manage your stock, option, bond, warrant and single-stock future gains and losses for tax purposes. Specifically, the Tax Optimizer lets you select one of several tax lot-matching algorithms to:

- Change the default tax lot-matching method for your account.
- Change the default tax lot-matching method for the current or prior trading day.
- Change the default tax lot-matching method for a specific symbol for the current or prior trading day.
- Run real-time "what if" scenarios that let you change the lot-matching method on the fly to immediately see the effect on your gains and losses.
- Manually match specific sales to open tax lots for the current or prior trading day.

Who can access the Tax Optimizer page?

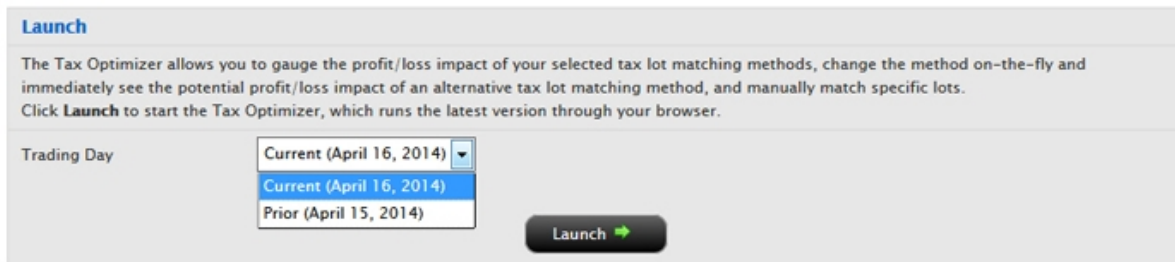
All users can access the Tax Optimizer.

To run the Tax Optimizer

Note: You must have the Java Runtime Environment minimum version 1.6 installed on your computer to be able to run the Tax Optimizer.

1. Click **Reports > Tax > Tax Optimizer**.

Tax Optimizer



The screenshot shows the 'Tax Optimizer' interface. At the top, there is a 'Launch' button. Below it, a text box explains the tool's purpose: 'The Tax Optimizer allows you to gauge the profit/loss impact of your selected tax lot matching methods, change the method on-the-fly and immediately see the potential profit/loss impact of an alternative tax lot matching method, and manually match specific lots. Click **Launch** to start the Tax Optimizer, which runs the latest version through your browser.' Below this text is a 'Trading Day' dropdown menu with three options: 'Current (April 16, 2014)', 'Current (April 16, 2014)', and 'Prior (April 15, 2014)'. To the right of the dropdown is a 'Launch' button with a green arrow.

2. Select either the current or prior trading day from the Trading Day drop-down.
3. Click **Launch**.
4. You are prompted to open the file `taxoptimizer.jnlp`. Depending on your web browser, click **Open** or **OK** to open the file.

The Tax Optimizer opens.

Symbol	Method	Short Term P/L	Long Term P/L	Tax Lot Details
ADGI	First In, First Out (FIFO)	0.00	0.00	Show
AMX	First In, First Out (FIFO)	0.00	0.00	Show
BGM.ESC	First In, First Out (FIFO)	0.00	0.00	Show
BKU	First In, First Out (FIFO)	0.00	0.00	Show
BLD	First In, First Out (FIFO)	0.00	0.00	Show
BP	First In, First Out (FIFO)	0.00	0.00	Show
BRY	First In, First Out (FIFO)	0.00	0.00	Show
BTM	First In, First Out (FIFO)	6,882.00	0.00	Show
Total Stocks		6,991.58	0.00	

Note: If you log out of Account Management while the Tax Optimizer is open, you will not be able to save your changes in the Tax Optimizer.

For complete instructions on using the Tax Optimizer, see the [Tax Optimizer Users Guide](#).

Tax Forms

You can view and print annual tax forms for the last five years on the Tax Forms page. Note that tax forms are not required or generated for US corporations. Tax forms available on this page include:

- Individuals, joint account holders and trusts in the United States will have access to 1099 forms, a Gain Loss Report and a Dividend Report.
- Canadian individuals, primary joint account holders and trusts will have access to Forms T3, T5, and T5008 as well as a Dividend Report. Quebec residents will also receive a Form RL-3.

Note: Some Canadian accounts have two separate sets of 2013 tax forms that correspond to two separate accounts, one open account and one closed account. We only display the set of tax forms for one of those accounts on this page. To see the tax forms for your other account, use the Account Selector at the top of this page as follows:

1. Click the tab to open the Account Selector.
2. Click the Include Closed Accounts check box to see your closed account.
3. Click the account in the Account Selector. The tax forms for that account will now appear on the page.

If you do not see the Account Selector, then you only have one set of tax forms.

- Non-US and non-Canadian individuals, primary joint account holders and trusts will receive Forms 1042S as well as a Dividend Report.

Who can access the Tax Forms page?

You can access this page if you are a(n):

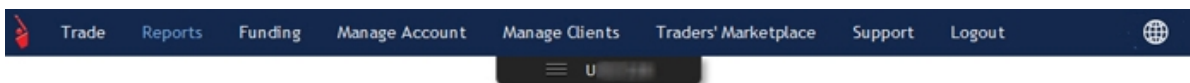
- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To view and print tax forms

1. Click **Reports > Tax > Tax Forms**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account on which to report. To view tax forms for a closed account, select the **Include Closed Accounts** check box, and then select the closed account.

The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.



Tax Forms

2. For each tax form you want to view, select the year and display format (HTML/Web or MS Excel), then click **View Form** or **View Report**.

Here is an example of the Tax Forms page. The Tax Forms page for your account may have different forms available.

Tax Forms

Use this page to view important tax forms.

For complete descriptions of tax forms, reports and important tax-related issues, [click here](#).

For more information

- [Tax Reporting](#)

Position Transfer Basis

The Position Transfer Cost Basis page lets you specify the cost basis for positions transferred into your account using ACATS (Automated Customer Account Transfer Service), ATON (Account Transfer Online Notification), or FOP (Free of Payment). Under the FIFO cost basis accounting method, a closing transaction is matched with the cost basis of the earliest transaction in the position to determine realized profit or loss. The FIFO cost basis method is used throughout the US for stocks, security options, single stock futures and Forex.

Who can access the Position Transfer Basis page?

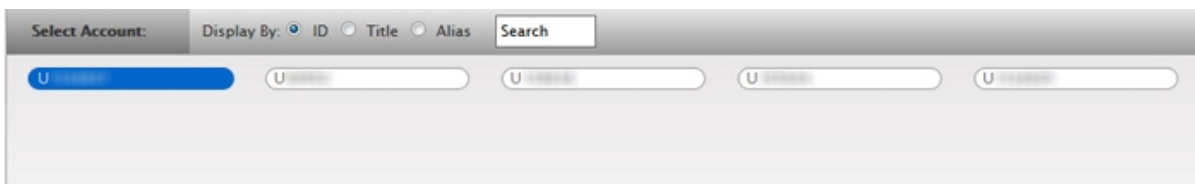
You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To specify the position transfer basis for an ACATS, ATON or FOP transfer

1. Click **Reports > Tax > Position Transfer Basis**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. If there are eligible transactions, select a transfer date from the list, then click **Continue**.

Symbol	Quantity	Acquisition Date	Total Cost	Currency	Action/Message
PFN	300.0			CAD	Add Lot
	<input type="text" value="20.0"/>	<input type="text" value="03/18/2007"/>	<input type="text" value="30.0"/>	<input type="text" value="AUD"/>	Delete
	<input type="text" value="45.0"/>	<input type="text" value="03/05/2008"/>	<input type="text" value="89.0"/>	<input type="text" value="USD"/>	Delete
	<input type="text" value="30.0"/>	<input type="text" value="03/25/2008"/>	<input type="text" value="45.0"/>	<input type="text" value="CAD"/>	Delete

3. Update the cost basis for your transfer:
 - Enter the number of shares or contracts for the position in the Quantity field.
 - Enter the date of purchase for the position in the Date field.
 - Enter the total cost basis for the entire position in the Total Cost field.
 - Select a currency for the position. You can select the asset trading currency, your base currency or USD. Available selectable currencies are the asset trading currency, your base currency and USD. For new tax lots, the asset trading currency is the default currency. The asset trading currency is displayed on the symbol row. For old tax lots that may not have a currency, USD is the default currency.
 - Optionally delete a tax lot by clicking the Delete link.
5. Click the *Edit* link to break the position into multiple purchase dates and times.
6. Click **Continue** to submit your cost basis update.

Forex Cost Basis

This page lets you update the cost basis for your Forex balances as of December 31, 2009.

Who Can Access the Forex Cost Basis Page?

You can access this page if you are a(n):

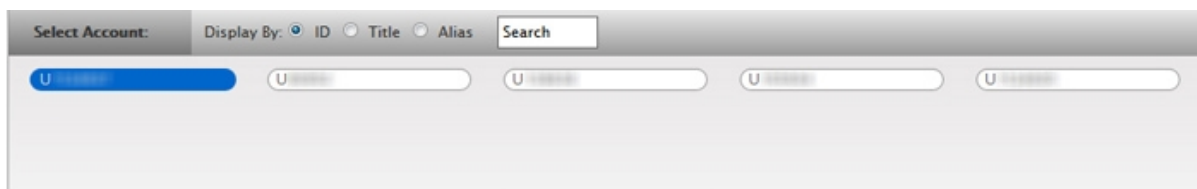
- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User

- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To update your Forex cost basis

1. Click **Reports>Tax > Forex Cost Basis**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account.



To change the selected account, click the tab to open the Account Selector, and then click a different account.

The Forex Cost Basis page opens, displaying all of your Forex balances as of December 31, 2009.

Forex Cost Basis

Use this page to update the cost basis for your Forex balances as of December 31, 2009.

Current Forex Cost Basis		
Currency	Quantity	Cost Basis (USD)
EUR	162.00	-50.00

[Edit](#) →

If you do not have any Forex balances as of December 31, 2009, a message to that effect appears, and there will be nothing that you can do on this page.

2. Click **Edit**.

Update Forex Cost Basis

Enter the Cost Basis in USD (your Functional Currency) as of December 31, 2009, then click Update.
Enter cost basis in the opposite sign (+ or -) of quantity.

Currency	Quantity	Cost Basis (USD)
<input type="text" value="EUR"/>	<input type="text" value="162.00"/>	<input type="text" value="-50.00"/>

3. Enter the cost basis for each Forex balance in the fields provided. Be sure to enter the cost basis in the opposite sign of the balance. That is, if the quantity is a positive number, enter a negative cost basis.
4. Click **Update**.

Customer Activity Monitor (CAM)

You can access the Customer Activity Monitor (CAM) from the Report Management section of Account Management. The Customer Activity Monitor helps professional advisors and brokers quickly find and view all client activities, including the complete order history and its routing sequence. The CAM user interface displays real-time queries, audit trails and account status.

Who can access the Customer Activity Monitor from Account Management?

You can access this page if you are a(n):

- Advisor Master User
- Broker Master User

To access the Customer Activity Monitor from Account Management

1. Click **Reports > CAM**.
2. You are prompted to save the CAM installer file on your computer. Save the installer file, then run it to install the CAM on your computer.



3. After the CAM installation is complete, you can run it from your computer.

Settings

The Reports > Settings menu gives you access to report-related settings, including delivery settings, on the following pages:

- [Activity Statements and Trade Reports](#) - Select notification and delivery settings for your customized activity statements.
- [SMS Alerts](#) - Enable SMS (Short Message Service) alerts to be able to receive alerts on your mobile device.
- [Flex Queries](#) - Set notification and delivery settings for your saved Flex Queries.
- [Flex Web Service](#) - Access your pre-configured flex queries via HTTPS protocol without logging into Account Management.
- [Third Party Services](#) - Activate or deactivate third-party services such as Mint, which let you download your activity data to those services.
- [Trader ID](#) - Enable the Trader ID field in Activity Statements, Activity Flex Queries, Trade Confirmation Reports and Trade Confirmation Flex Queries.
- [Broker Client Activity Statements](#) - Brokers can select delivery settings for the their clients' activity statements.
- [Client OATS Settings](#) - Broker Master Users can configure the OATS settings their client accounts.

Delivery

The Report > Settings > Delivery menu contains the following pages:

- [Activity Statements and Trade Reports](#) - Select notification and delivery settings for your customized activity statements.
- [SMS Alerts](#) - Enable SMS (Short Message Service) alerts to be able to receive alerts on your mobile device.
- [Flex Queries](#) - Set notification and delivery settings for your saved Flex Queries.
- [PortfolioAnalyst](#) - Configure delivery settings for your PortfolioAnalyst reports.
- [Broker Client Activity Statements](#) - Brokers can select delivery settings for the their clients' activity statements.

Delivery Settings for Activity Statements and Trade Reports

The Activity Statements and Trade Reports page lets you set up notification preferences for daily and monthly Activity Statements and for Daily Trade Reports, and specify your preferred delivery method for your customized Activity Statements. Non-disclosed Broker Masters can also specify delivery settings for client statements.

Additional Guidelines

- Notifications are delivered only when there is trading activity.
- In multi-account structures (for example, Registered Advisors, Fully Disclosed Brokers or Non-disclosed Brokers), these notifications are for the master account only. They are not consolidated across all client accounts.
- Using a Registered Advisor as an example, the daily Activity Statement or Daily Trade Report would only be delivered to the master account user if there were trade allocations. The daily Activity Statement or Daily Trade Report would not be delivered to a Fully Disclosed or Non-disclosed Broker Master.
- Multi-account structures looking to receive daily or monthly statements on a consolidated basis should set up a customized activity statement for the master account user.

Who can access the Activity Statements and Trade Confirmations page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Client User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To enter notification and delivery settings

1. Click **Reports > Settings > Delivery > Activity Statements & Trade Reports**.


Delivery Settings for Activity Statements and Trade Reports

Use this page to set your notification preferences for Activity Statements and Daily Trade Reports, and your preferred delivery mode for your saved customized Activity Statements.

Notification Defaults				
Set your Activity Statement and Daily Trade Report notification preferences below.				
Type	Email Notification Only	Customer Service Message Center	Email Notification with Attachment	Disable Notification
Daily Activity Statement	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monthly Activity Statement	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	N/A
Daily Trade Report	N/A	N/A	<input type="radio"/>	<input checked="" type="radio"/>

Daily Activity Statement Delivery
You have not saved any customized Daily Activity Statements. Go to <i>Reports > Activity > Customize Statements</i> to create and edit your own customized Daily Activity Statements.

Monthly Activity Statement Delivery	
If you have any saved customized Monthly Activity Statements, select your preferred delivery method and enable delivery for each statement below. If you want your statements delivered via FTP, you must request it before that option is available. You can also encrypt your statements, but you must first request encryption and provide a public key to enable the option below.	
Delivery Method	<input checked="" type="radio"/> Email <input type="radio"/> FTP
Encryption	<input type="checkbox"/>
Statement Name	Enable Delivery
Custom Statement 1	<input type="checkbox"/>

Submit 

2. Set your Activity Statement and Trade Report notification preferences:
 - Daily Trade Reports, select the **Email Notification with Statement** check box to receive notification with the actual report via email, or select **Disable Notification** if you do not want to be notified when a new Daily Trade Report is available. Note that the **Customer Service Message Center** and **Email Notification Only** options are not available for Daily Trade Reports.
 - For Activity Statements, select your preferred method of notification by clicking the radio button for **Email Notification Only**, **Email Notification with Statement** or **Customer Service Message Center**. Note that you cannot disable notification for Monthly Activity Statements.

Registration is immediate upon submitting the page, and you will receive daily statements beginning the next business day, and monthly statements within the first week following the end of the month.

3. Select your preferred delivery method and enable delivery for each customized statement that you have created.
 - Select **Email** or **FTP** as the Delivery Mode.
 - Click the Encryption check box to encrypt your statements.

Note: You must request FTP delivery and Encryption to enable those options. Contact your Sales Representative to make these requests.

- For each statement listed, click the **Enable Delivery** check box to enable delivery using the selected delivery mode.

Note: Although email and FTP delivery methods are available, we recommend that Advisors and Brokers choose FTP as their delivery method for customized statements with ALL accounts selected on the Activity Statements page. Advisors and Brokers who select email as the delivery method for customized statements with ALL accounts selected will get an emailed statement for each client or sub account.

4. If you are a Broker Master with non-disclosed clients, specify delivery settings for your client accounts in the Statement Delivery section:

- **FTP** is the default Delivery Mode. You must send a request to us to enable FTP delivery.
- Select a language from the Language drop-down.

While we use English as the default language for Activity Statements for legal purposes, you have the option of selecting a different language. If you select a different language, we will provide statements in two languages, English, and your selected language.

- Select the **Enable Delivery** check box to enable delivery of Daily and Monthly Client Activity Statements to the Master account. Daily statements are delivered only when there is activity in the client account.

5. Click **Submit**.

SMS Alerts

This page lets you enable delivery of alerts via SMS (Short Message Service) on your mobile device. This option is only available if you have set up a valid SMS address on the [Alert Notification](#) page.

Who can access the SMS Alerts page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Client User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To enable delivery of SMS alerts


1. Click **Reports > Settings > Delivery > SMS Alerts**.

Delivery Settings for SMS Alerts

Use this page to enable SMS alerts. Configure a valid SMS address on the Manage Account > Trade Configuration > Alerts page.

Delivery Options

To enable SMS alerts, you must have a valid SMS address, which can be configured on the [Alerts](#) page.

Submit 

2. Click the check box for each alert you want to receive via SMS.
3. Click **Submit**.

Flex Queries

Use this page to set your preferred delivery mode for your Activity Flex Queries and Trade Confirmation Flex Queries. Note that delivery settings are only available on this page for your saved Flex Queries.

Who can access the Flex Queries Delivery Settings page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Client User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To configure delivery settings for your saved Flex Queries

1. Click **Reports > Settings > Delivery > Flex Queries**.

Delivery Settings for Flex Queries

Use this page to set your preferred delivery mode for your Activity Flex Queries and Trade Confirmation Flex Queries. Note that delivery settings are only available on this page for your saved Flex Queries.

Activity Flex Query Delivery

Select your preferred delivery method and enable delivery for each saved Flex Query below. If you want your Flex Queries delivered via FTP, you must request it before that option is available. You can also encrypt your Flex Queries, but you must first request encryption and provide a public key to enable the option below.

Delivery Method	<input type="radio"/> Email <input type="radio"/> FTP
Encryption	<input type="checkbox"/>
Flex Query Name	Enable Delivery
DefaultPositions	<input type="checkbox"/>
DefaultTrades	<input type="checkbox"/>

Trade Confirmation Flex Query Delivery

Select your preferred delivery method and enable delivery for each saved Flex Query below. If you want your Flex Queries delivered via FTP, you must request it before that option is available. You can also encrypt your Flex Queries, but you must first request encryption and provide a public key to enable the option below.

Delivery Method	<input type="radio"/> Email <input type="radio"/> FTP
Encryption	<input type="checkbox"/>
Flex Query Name	Enable Delivery
DefaultConfirms	<input type="checkbox"/>

Submit

2. Select your preferred delivery method and enable delivery for each saved Flex Query that you have created.
 - Select **Email** or **FTP** as the Delivery Mode.
 - Click the Encryption check box to encrypt your statements.
 - **Note:** You must request FTP delivery and Encryption to enable those options. Contact your Sales Representative to make these requests.
 - For each Flex Query listed, click the **Enable Delivery** check box to enable delivery using the selected delivery mode.
3. Click **Submit**.

Portfolio Analyst Delivery Settings

Use this page to set your preferred delivery mode for default PortfolioAnalyst reports and your saved PortfolioAnalyst reports that have a time period of MTD, YTD, or since inception. Advisor Masters, Money Managers and Broker Masters can set their preferred delivery mode for consolidated default reports and their own saved consolidated reports with YTD and MTD time periods.

Selected reports are delivered as follows:

Time Period of Report	Delivery Frequency
MTD	Daily
YTD	Daily
Since Inception	Daily
Default Consolidated Reports	
30 Day Consolidated	Daily
1 Quarter Consolidated	Quarterly
12 Month Consolidated	Monthly

Who can access the PortfolioAnalyst Delivery Settings page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Non-Disclosed Client User
- Investment Manager Master User
- Fund

and you have been granted Reporting access rights.

To configure delivery settings for PortfolioAnalyst

1. Click **Reports > Settings > Delivery > PortfolioAnalyst**.

The Delivery Settings for PortfolioAnalyst page opens.

Delivery Settings for PortfolioAnalyst

Use this page to set your preferred delivery mode for your PortfolioAnalyst reports. Note that delivery settings are only available on this page for your saved PortfolioAnalyst reports that have a selected time period of MTD or YTD along with the default PortfolioAnalyst reports. Select your preferred delivery method and enable delivery for each listed PortfolioAnalyst report below. If you want your PortfolioAnalyst reports delivered via FTP, you must request FTP before that option is available. You can also encrypt your PortfolioAnalyst reports, but you must first request encryption and provide a public key to enable the option.

Delivery Method	<input checked="" type="radio"/> Email	<input type="radio"/> FTP
Encryption	<input type="checkbox"/>	<input type="checkbox"/>
Name of PortfolioAnalyst Report		
Month to Date Consolidated Detailed	<input type="checkbox"/>	<input type="checkbox"/>
Month to Date Consolidated Snapshot	<input type="checkbox"/>	<input type="checkbox"/>
Year to Date Consolidated Detailed	<input type="checkbox"/>	<input type="checkbox"/>
Year to Date Consolidated Snapshot	<input type="checkbox"/>	<input type="checkbox"/>
30 Day Consolidated Detailed	<input type="checkbox"/>	<input type="checkbox"/>
30 Day Consolidated Snapshot	<input type="checkbox"/>	<input type="checkbox"/>
One Quarter Consolidated Detailed	<input type="checkbox"/>	<input type="checkbox"/>
One Quarter Consolidated Snapshot	<input type="checkbox"/>	<input type="checkbox"/>
12 Month Consolidated Detailed	<input type="checkbox"/>	<input type="checkbox"/>
12 Month Consolidated Snapshot	<input type="checkbox"/>	<input type="checkbox"/>
MTDFor90952	<input type="checkbox"/>	<input type="checkbox"/>
customConsolidated	<input type="checkbox"/>	<input type="checkbox"/>

Submit →

- Select your preferred delivery method and enable delivery for each PortfolioAnalyst report listed on the page.
 - Select **Email** or **FTP** as the Delivery Method.
 - Click the **Encryption** check box to encrypt your statements.

Note: You must request FTP delivery and Encryption to enable those options. Contact your Sales Representative to make these requests.

- For each report listed, click the check box to enable delivery using the selected delivery mode.
- Click **Submit**.

Broker Client Activity Statements

If you are a Broker Master with non-disclosed clients, you can specify delivery settings for your clients' statements on the Delivery Settings for Broker Client Activity Statements page.

You can specify these delivery settings:

- Enable FTP delivery of daily and monthly client activity statements. Daily statements are delivered only when there is activity in the client account.
- Select a language other than English.

Who can access the Delivery Settings for Broker Client Activity Statements page?

You can access this page if you are a Non-Disclosed Broker Master User.

To specify delivery settings

1. FTP is the default delivery method for broker client activity statements. You must send a request to us to enable FTP delivery. To do this, click **Support**, then create a ticket in the Message Center to send your request to us.
2. When FTP delivery has been enabled, log into Account Management, then click **Reports > Settings > Broker Client Activity Statements**.

The Delivery Settings for Broker Client Activity Statements page opens.

Delivery Settings for Broker Client Activity Statements

Use this page to set the preferred delivery mode and default language for receiving your clients' Activity Statements.

Delivery Options	
Delivery Method	<input checked="" type="radio"/> FTP
While IB uses English as the default language for Activity Statements for legal purposes, you have the option of selecting a different language. If you select a different language, IB will provide statements in two languages, English, and your selected language.	
Language	Japanese
Type	Enable Delivery
Daily and Monthly Activity Statements	<input checked="" type="checkbox"/>

Submit →

3. Select a language from the Language drop-down.
 - While we use English as the default language for Activity Statements for legal purposes, you have the option of selecting a different language. If you select a different language, we will provide statements in two languages, English, and your selected language.
4. Select the Enable Delivery check box to enable delivery of Daily and Monthly Client Activity Statements to the Master account. Daily statements are delivered only when there is activity in the client account.

Using the Flex Web Service

The Flex Web Service lets you access your pre-configured flex queries via HTTPS protocol without logging into Account Management. This feature lets you write automated client software in your preferred language, which can request previously defined Flex queries.

There are currently two versions of the Flex Web Service available:

- [Version 2](#) - Version 2 is the default version if you do not specify a specific version in your query.
- [Version 3](#) - Version 3 returns more meaningful error messages.

Who Can Access the Flex Web Service Page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

For more information

- [Reporting Guide](#)

Flex Web Service Version 2

To use the Flex Web Service Version 2

1. Click **Reports > Settings > FlexWeb Service**.

Flex Web Service

Use this page to activate or deactivate the Flex Web Service. You will need generate a token to initiate Flex Query requests and retrieve Flex Queries using this service.

Flex Web Service Status	Inactive
Click here to Activate	

2. Activate the Flex Web Service by clicking the *Click Here to Activate* link.

The page refreshes, indicating a status of *ACTIVE* for the Flex Web Service, and lets you generate a confirmation number, which you will need to initiate Flex requests and retrieve Flex reports.

Flex Web Service

Use this page to activate or deactivate the Flex Web Service. You will need generate a token to initiate Flex Query requests and retrieve Flex Queries using this service.

Flex Web Service Status	Active
Click here to Deactivate	

Current Token Details	
Current Token	462727404E18877818018888
Active For Period	Mon Jan 14 07:22:30 EST 2013 - Mon Jan 14 13:22:30 EST 2013
Valid For IP Address	

Generate New Token	
Generating a new token will invalidate the current token.	
Will Expire After	6 Hrs <input type="button" value="v"/>
Valid For IP Address	<input type="text"/>
(leave blank for no IP-based restriction)	
<input type="button" value="Generate New Token"/>	

3. Generate a new token:
 - a. In the Should Expire After list, select the amount of time before the token expires. The token is valid for a 6 hour period by default.
 - b. In the Valid For IP Address field, enter an IP address to restrict the token to that IP address. If you leave this field blank, there will be no IP address restrictions.

c. Click **Generate New Token**.

The page refreshes, updating the Current Token Details section with information about your newly-generated token. When you generate a new token, you invalidate the current token.

4. Initiate an automated Flex Web Service request:

a. Make sure you have the following information:

Your current token (displayed in the Current Token Details section of the page)
The Flex Query ID generated when you created the Flex query.

Note: Programmatic access requires the User-Agent HTTP header to be set. Accepted values are: BlackBerry or Java.

b. Type the following URL in your browser's Address field:

```
https://g-  
dcdyn-  
.interactivebrokers.com/Universal/servlet/FlexStatementService.SendRequest?t=TOKEN&q=QUERY_  
ID&v=2
```

Where:

TOKEN is your current token

QUERY_ID is the Flex Query ID

v=2 specifies that you are using Flex Web Service Version 2. Note that if you omit this parameter, the system will use Version 2.

You will receive an XML response from us containing the following information:

- *Reference Code* - If the request was successful, the XML response will contain a numeric reference code. This code will be used to retrieve the generated Flex query. If the request was unsuccessful, you will receive an error message as the code.
- *Response URL* - This is the URL to be used to retrieve the Flex report.

Here is a sample successful XML response using Version 2:

```
<FlexStatementResponse timestamp="28 August, 2012 11:26 AM EDT">  
<code>5372466165</code>  
<url>https://gdcdyn.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement</url>  
</FlexStatementResponse>
```

Here is a sample unsuccessful XML response Version 2:

```
<FlexStatementResponse timestamp="28 August, 2012 11:26 AM EDT">  
<code>Invalid request or unable to validate request.</code>  
<url>https://gdcdyn.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement</url>  
</FlexStatementResponse>
```

5. Retrieve the Flex data:

- a. Be sure that you have your current token number, and the reference code you received as part of the response to your initial request.
- b. Type the following URL in your browser's Address field:

**`https://gdcdyn.interactivebrokers.com/Universal/servlet/FlexStatement
Service.GetStatement?q=REFERENCE_CODE&t=TOKEN
&v=VERSION`**

Where:

REFERENCE_CODE is the code you received as part of the response when you placed the request

TOKEN is your current token

VERSION is the version of the Flex Web Service Version you are using. You can set this to 2 or 3. Note that if you do not specify a Version, the system will use Version 2.

You will receive the Flex data as the response if the request was successful. Otherwise, you will receive a XML based response informing you that the request was invalid. Here is an example of an unsuccessful request to retrieve the Flex data:

```
<FlexStatementResponse timestamp="28 August, 2012 11:26 AM EDT">  
<Code>Invalid Request or unable to validate request</Code>  
</FlexStatementResponse>
```


Flex Web Service Version 3

To use the Flex Web Service Version 3

1. Click **Reports > Settings > FlexWeb Service**.

Flex Web Service

Use this page to activate or deactivate the Flex Web Service. You will need generate a token to initiate Flex Query requests and retrieve Flex Queries using this service.

Flex Web Service Status	Inactive
Click here to Activate	

2. Activate the Flex Web Service by clicking the *Click Here to Activate* link.

The page refreshes, indicating a status of *ACTIVE* for the Flex Web Service, and lets you generate a confirmation number, which you will need to initiate Flex requests and retrieve Flex reports.

Flex Web Service

Use this page to activate or deactivate the Flex Web Service. You will need generate a token to initiate Flex Query requests and retrieve Flex Queries using this service.

Flex Web Service Status	Active
Click here to Deactivate	

Current Token Details	
Current Token	462727404E188F7818D18888
Active For Period	Mon Jan 14 07:22:30 EST 2013 - Mon Jan 14 13:22:30 EST 2013
Valid For IP Address	

Generate New Token	
Generating a new token will invalidate the current token.	
Will Expire After	6 Hrs <input type="button" value="v"/>
Valid For IP Address	<input type="text"/>
(leave blank for no IP-based restriction)	
<input type="button" value="Generate New Token"/>	

3. Generate a new token:
 - a. In the Should Expire After list, select the amount of time before the token expires. The token is valid for a 6 hour period by default.
 - b. In the Valid For IP Address field, enter an IP address to restrict the token to that IP address. If you leave this field blank, there will be no IP address restrictions.

c. Click **Generate New Token**.

The page refreshes, updating the Current Token Details section with information about your newly-generated token. When you generate a new token, you invalidate the current token.

4. Initiate an automated Flex Web Service request:

a. Make sure you have the following information:

Your current token (displayed in the Current Token Details section of the page)
The Flex Query ID generated when you created the Flex query.

Note: Programmatic access requires the User-Agent HTTP header to be set. Accepted values are: BlackBerry or Java.

b. Type the following URL in your browser's Address field:

**https://g-
dcdyn-
.interactivebrokers.com/Universal/servlet/FlexStatementService.SendRequest?t=TOKEN&q=QUERY_
ID&v=3**

Where:

TOKEN is your current token

QUERY_ID is the Flex Query ID

v=3 specifies that you are using Flex Web Service Version 3. Note that if you do not specify a Version, the system will use Version 2.

You will receive an XML response from us containing the following information:

- *Status* - If the request was successful, Status will be Success. If the request was unsuccessful, Status will be Fail.
- *Reference Code* - If the request was successful, the XML response will contain a numeric reference code. This code will be used to retrieve the generated Flex query.
- *Response URL* - This is the URL to be used to retrieve the Flex report.

Here is a sample successful XML response Version 3:

```
<FlexStatementResponse timestamp="28 August, 2012 10:37 AM EDT">
<Status>Success</Status>
<ReferenceCode>1234567890</ReferenceCode>
<url>https://gdcdyn.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement</url>
</FlexStatementResponse>
```

If the request was unsuccessful, the response will contain the following parameters:

```
<Status>Fail</Status>
```

```
<ErrorCode>XXXX</ErrorCode>
```

where XXXX = a numeric error code.

```
<ErrorMessage>TEXT</ErrorMessage>
```

Where TEXT is a text description of the specific error.

Note: See [Version 3 Error Codes](#) for a list of all error codes and error messages.

Here is a sample unsuccessful XML response Version 3:

```
<FlexStatementResponse timestamp="28 August, 2012 10:37 AM EDT">
<Status>Fail</Status>
<ErrorCode>1012</ErrorCode>
<ErrorMessage>Token has expired.</ErrorMessage>
</FlexStatementResponse>
```

5. Retrieve the Flex data:
 - a. Be sure that you have your current token number, and the reference code you received as part of the response to your initial request.
 - b. Type the following URL in your browser's Address field:

`https://gdcdyn.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement?q=REFERENCE_CODE&t=TOKEN&v=VERSION`

Where:

REFERENCE_CODE is the code you received as part of the response when you placed the request

TOKEN is your current token

VERSION is the version of the Flex Web Service Version you are using. You can set this to 2 or 3. Note that if you do not specify a Version, the system will use Version 2.

You will receive the Flex data as the response if the request was successful. Otherwise, you will receive a XML based response informing you that the request was invalid. Here is an example of an unsuccessful request to retrieve the Flex data using Version 3:

```
<FlexStatementResponse timestamp="28 August, 2012 10:37 AM EDT">
<Status>Fail</Status>
<ErrorCode>1015</ErrorCode>
<ErrorMessage>Token is invalid.</ErrorMessage>
</FlexStatementResponse>
```

Version 3 Error Codes

The following table lists all of the error codes and error descriptions returned in the ErrorCode and ErrorMessage parameters used by Version 3 of the Flex Web Service.

ErrorCode	ErrorMessage
1001	Statement could not be generated at this time. Please try again shortly.
1003	Statement is not available.
1004	Statement is incomplete at this time. Please try again shortly.
1005	Settlement data is not ready at this time. Please try again shortly.
1006	FIFO P/L data is not ready at this time. Please try again shortly.
1007	MTM P/L data is not ready at this time. Please try again shortly.
1008	MTM and FIFO P/L data is not ready at this time. Please try again shortly.
1009	The server is under heavy load. Statement could not be generated at this time. Please try again shortly.
1010	Legacy Flex Queries are no longer supported. Please convert over to Activity Flex.
1011	Service account is inactive.
1012	Token has expired.
1013	IP restriction.
1014	Query is invalid.
1015	Token is invalid.
1016	Account in invalid.
1017	Reference code is invalid.
1018	Too many requests have been made from this token. Please try again shortly. Note: Limited to one request per second, 10 requests per minute (per token).
1019	Statement generation in progress. Please try again shortly.
1020	Invalid request or unable to validate request.
1021	Statement could not be retrieved at this time. Please try again shortly.

Third-Party Services

Use this page to [activate](#) or [deactivate](#) third-party services, which lets customers download their activity data. Currently, we support the following third-party services for activity data:

- Mint Service
- CashEdge/Fiserv Aggregation Services
- TradeLog

Who Can Access the Third-Party Services Page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User

To activate a third-party service

1. Click **Reports > Settings > Third-Party Services**.

The Third-Party Services page opens.

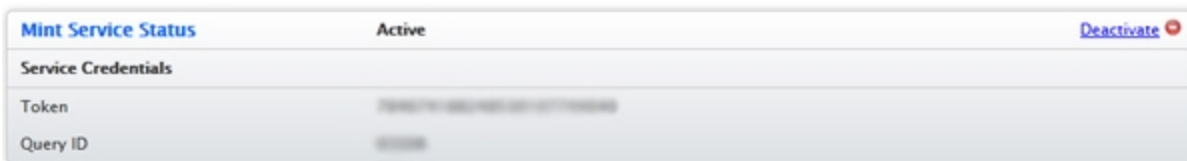
Third-Party Services

Use this page to activate or deactivate the Third-Party Services.



2. Click the *Activate* link for the third-party service you want to use.

The Service Credentials appear and the *Activate* link changes to *Deactivate*. These include a unique token and a query ID. The status of the service is also added to the Flex Query Delivery Settings page.



TradeLog Service Status		Active Deactivate 
Service Credentials		
Token	382367557953011903235120	
Query ID	103839	

Note: Because third-party services use the Flex Web Service, when you activate a third-party service, the Flex Web Service is also activated. For the purpose of using the third-party service, you do not have to do anything with the Flex Web Service. For more information about the Flex Web Service, see [Using the Flex Web Service](#).

3. Write down the Token and Query ID.
4. Log into the third-party service that you are using and follow the instructions there to retrieve your activity data.

To deactivate a third-party service

1. Click **Reports > Settings > Third-Party Services**.

The Third-Party Services page opens.

2. Click the *Deactivate* link for the third-party service.

The service is deactivated and the *Deactivate* link changes to *Activate*. Also, the third-party service status is updated on the Flex Query Delivery Settings page.

Note: When you deactivate a third-party service, the Flex Web Service is also deactivated. You can still activate the Flex Web Service without activating a third-party service if you need to use the Flex Web Service.

Trader ID

Trader ID identifies the person who executed a trade without revealing his or her username. Institutional account master users use this page to enable Trader ID and view a list of all Trader IDs and their corresponding users, usernames and account IDs.

Once enabled, all users for the master and client/sub accounts will be assigned a unique Trader ID; and the Trader ID field will be displayed in the Trades section of Activity Statements, Trade Confirmation Reports, Activity and Trade Confirmation Flex Queries.

Trader ID Rules

Trader IDs consist of a letter prefix followed by a number in sequence for each username. The letter prefixes are:

- M - Indicates a username associated with the Master account.
- C - Indicates a username associated with a client or sub account.

Who can access the Trader ID page?

You can access this page if you are a(n):

- Advisor Master User
- Proprietary Trading Group Master User (STL accounts)

- Broker Master User
- Investment Manager Master User (multiple fund accounts)

To enable Trader ID

1. Click **Reports > Settings > Trader ID**.

Trader ID

Use this page to enable Trader ID. Once enabled, the Trader ID will be displayed in the Trades Section of the Activity Statement and the Trade Confirmation Report. In addition, the field will be available in Activity Flex and Trade Confirms Flex.

The following table lists all Trader IDs and their corresponding users, usernames and account IDs.

Trader ID	Name	Username	Account ID
M1	John Doe	john.doe	111111
M2	John Doe	john.doe	111111
M3	John Doe	john.doe	111111
M4	John Doe	john.doe	111111
M5	John Doe	john.doe	111111
M6	John Doe	john.doe	111111
M7	John Doe	john.doe	111111
M8	John Doe	john.doe	111111
M9	John Doe	john.doe	111111
M10	John Doe	john.doe	111111
M11	John Doe	john.doe	111111
M12	John Doe	john.doe	111111
M13	John Doe	john.doe	111111

C1	John Doe	john.doe	111111
C1	John Doe	john.doe	111111
C1	John Doe	john.doe	111111
C1	John Doe	john.doe	111111
C1	John Doe	john.doe	111111
C1	John Doe	john.doe	111111
C1	John Doe	john.doe	111111
C1	John Doe	john.doe	111111

Enabled
Disable

Trader ID for reporting

Submit →

2. Click the **Enable** radio button.
3. Click **Submit**.

All users associated with the master account and client/sub accounts will be assigned a unique Trader ID. Once assigned, the Trader IDs will appear on the Trader ID page as shown above.

Trades reported on Activity Statements, Trade Confirmations and Flex Queries will show the Trader ID associated with the username of the person who submitted the trade.

Client OATS Settings

The Financial Industry Regulatory Authority (FINRA) established the Order Audit Trail System (OATS) as an integrated audit trail of order, quote and trade information for Nasdaq securities. I-BROKERS are required to supervise the OATS settings of their client accounts. The Client OATS Settings page displays all open and pending client accounts and the OATS Master Default Settings. You use this page to configure the OATS settings for your client accounts:

- [Override the Master Default Settings for institutional accounts.](#)
- [Respond to flashing red alerts for pending client accounts.](#)
- [Modify OATS permissions for a specific client account.](#)

Who can access the Client OATS Settings page?

You can access this page if you are a Broker Master User

- and you are a member of FINRA and/or have clients who are members of FINRA
- and you want us to do OATS reporting to FINRA for you and/or your clients.

To override the OATS Master Default Settings for an institutional account

1. Click **Reports > Client OATS Settings**.

Client OATS Details

Click on the tabs below to see Client OATS Settings or OATS Permissions.

Client OATS Settings	OATS Permissions
<p>OATS Master Default Settings are as follows: ACCOUNT TYPE = R (retail customers) MEMBER TYPE = N (non-FINRA member) MPID is null</p>	
<p>I-BROKERS are required to supervise the OATS settings of their client accounts. If there is an OATS DEFAULT ALERT displayed below, the client has answered in their application a question with a response that deviates from the OATS Master Default settings stated above. In order for this applicant to enter orders, the I-BROKER must review the applicant responses and if required, override the master default settings.</p> <p>Click on an institution account below to override the OATS Master Default Settings</p> <p>The I-BROKER must take some action to resolve all ALERTS marked in the list of pending accounts below that have a flashing red 'YES' in the ALERT column. If the I-BROKER finds that the client has not responded appropriately in their pending applications, the I-BROKER can contact the customer to request that they correct their application response to prevent any delay in the acceptance of the application. If a client finalizes their application prior to the account being corrected the open client account will be listed with an alert in the OPEN client account section. The I-BROKER can make changes to the client accounts by clicking on the client account number and changing data in the following screen. If the I-BROKER agrees with the client responses, the I-BROKER must press the approve button for the client responses to be accepted and processed.</p>	

- In the list of Open Client Accounts, click the desired Client Account number.

Open Client Accounts									
Client Account	Account Type	Broker Dealer?	FINRA Member	MPID	TWS User can modify/delete OATS records	OATS Master Default Used	Enable OATS at TWS level	Default Alert	Broker Updated
123456	ORG	N	NO	NA	N	Y	Y	NO	YES

- In the Account Type list, select *RETAIL* or *WHOLESALE*. If you select *WHOLESALE*, the FINRA Member list becomes available.
- In the FINRA Member list, select *YES* or *NO*. If you select *YES*, the FINRA Member Type list becomes available.
- In the FINRA Member Type list, select *NO*, *OATS Reporting* or *OATS Non-Reporting*. If you select *OATS Reporting* or *OATS Non-Reporting*, the MPID field becomes available.
- In the MPID field, type the Market Participant Identifier code to be used for this client account.
- In the Enable OATS at IB TWS Level list, select *Yes* or *No* as required. Click **Continue** to save your changes.

Click **Back** to return to the Client OATS Settings page without saving your changes.

Client Account	123456
Account Type	WHOLESALE
FINRA Member	Yes
FINRA Member Type	OATS Reporting
MPID	
Enable OATS at TWS Level	Yes

To respond to flashing red alerts for pending client accounts

- Click **Reports > Client OATS Settings**.
- An IBroker must resolve all alerts marked in the list of pending accounts that have a flashing red 'YES' in the

ALERT column. In the example below, an IBroker would click the Approve link to respond to the alert.


Pending Client Accounts								
Account Id	Username	Account type	Account Status	Broker Dealer	FINRA Member	MPID	Alert	Approval
*****	*****	ORG	Not Open	Y	NO	NA	YES	Approve
*****	*****	INDIVIDUAL	Not Open	N	NO	NA	NO	
*****	*****	ORG	Not Open	Y	NO	NA	YES	

To modify OATS permissions for a specific client account.

1. Click **Reports > Client OATS Settings**.
2. Click the OATS Permissions tab.

Client OATS Settings		OATS Permissions	
Open Client Accounts			
Account Id	TWS User can modify/delete OATS records	Force OATS Defaults	Modify
*****	F	F	
*****	F	F	
*****	F	F	
*****	F	F	
*****	F	F	Modify
*****	F	F	
*****	F	F	
*****	F	F	
*****	F	F	

3. Click the *Modify* link for the client whose permissions you wish to change.



The screenshot shows a settings form with three rows. The first row is labeled 'Account Id' and has a blurred input field. The second row is labeled 'TWS User can modify/delete OATS records' and has a dropdown menu with 'No' selected. The third row is labeled 'Force OATS Defaults?' and has a dropdown menu with 'No' selected.

Account Id	<input type="text"/>
TWS User can modify/delete OATS records	No ▾
Force OATS Defaults?	No ▾

4. Modify the settings on the page as required. Click **Continue** to save your changes.

If you need to make further changes, click **Back**, then make corrections before submitting.

Funding

This chapter describes how to use the Funds Management functions in the Account Management system. Funds Management lets you check the status of your deposits, transfers and withdrawals; enter deposit notifications and set up withdrawals; create bank instructions for fund and position transfers, settlement instructions for cash and position transactions and recurring instructions for recurring transactions; and authenticate pending fund management requests.

This chapter includes the following topics:

- [Viewing Transaction History](#)
- [Fund Transfers](#)
- [Position Transfers](#)
- [Instructions](#)
- [Soft Dollars Disbursement](#)

Viewing Transaction History

The Transaction History page lets you view information about cash deposits, cash withdrawals, inbound and outbound position transfers and internal transfers for your account or for a client or sub account that you manage.

On the Transaction History page, you can:

- View summary information about your transactions, and adjust the time period for which you want to view transactions from the past 10 days to the past 90 days using a slider.
- Search for any transaction by Account ID, transaction type or transaction method.
- Sort the list of transactions by any column.
- View additional details about each transaction in a popup window.
- [Cancel](#) a transaction from the details popup window.
- [Modify](#) a pending deposit notification.
- Elect to [stop payment](#) on a check withdrawal.
- [Export](#) the transaction history to Microsoft Excel.
- [Print](#) the transaction history.

Who can access the Transaction History page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

Click the following links to see complete descriptions of the fields displayed in the details popup window for each type of transaction.

- [Cash Deposits](#)
- [Cash Withdrawals](#)
- [Position Transfers](#)
- [Internal Transfers](#) (including hedge fund investment and redemption requests from the Hedge Fund Investor Site)

To view summary information about your transactions

1. Click **Funding > Transaction History**.
2. By default, the Transaction History page shows all of your funding transactions for the past ten days. You can adjust that up to the past 90 days by adjusting the time slider. Click and drag the ball on the slider right or left with your mouse to change the time. The page updates to display all of your funding transactions for the selected period.



3. By default, transactions are displayed by date in descending order. Change the sort order by clicking any column heading. To change the sort order from descending to ascending, click the column heading again.

For example, if you want to view all deposits listed together, click the **Type** column heading.

4. Search for a specific transaction by Account ID, Account Title, Transaction Type (deposit, withdrawal, etc.) or Transaction Method (check, wire, etc.) by typing the search criteria in the Smart Search field. The Smart Search starts searching as soon as you begin typing (you do not have to type an entire ID or word). Search words are *not* case sensitive.

Smart Search:

5. View additional details about any transaction by clicking the transaction row. Transaction details appear in a popup window.

Deposit (WIRE) Print Modify Cancel ✕

Pending Receipt
Your Wire deposit notification has been accepted, and IB is awaiting receipt of your funds.

Date Requested: 2014-11-21
Transaction ID: 20333140
Account ID: [blurred]
Account Title: Interactive Brokers LLC Applicant
Amount: USD
Delivering Institution:
Account Number:
Routing Number: ADSasd

From the transaction detail popup window, perform any of the following optional operations:

- Print the transaction details by clicking **Print** button.
- Cancel any transaction that has a status of *Pending* or *Not Confirmed*.
- In some cases, you may need to modify a deposit notification before any funds have actually been moved. You can modify any check or wire deposit notification that you have already submitted and have a status of *Pending*. For example, you might submit a deposit notification for a wire deposit, but then realize that you typed the wrong amount.
- Stop payment on a check withdrawal

Close the popup window by clicking the red **X** icon in the upper corner.

DO NOT CLICK THE CANCEL BUTTON AS THAT WILL CANCEL THE TRANSACTION.

To cancel a transaction

1. Find the funding transaction that you want to cancel. If necessary, re-sort the columns or use the smart search to find the transaction.
2. Click the transaction to open the details popup window.

For example, here are the details of a pending wire withdrawal.

Withdrawal (WIRE)	
Pending Your withdrawal request has been received, and is being reviewed.	
Date Requested:	2014-11-23
Transaction ID:	20336481
Account ID:	*****
Account Title:	Interactive Brokers LLC Applicant *****
Amount:	GBP 74.00
Receiving Institution:	HSBC Private Bank (UK) Limited

3. Click the **Cancel** button. Do not click the red **X** icon as that only closes the popup window.
4. Click **OK** when prompted to confirm your cancel request.
5. Click the red **X** icon to close the popup window. Note that the status of the transaction on the Transaction History page has changed to *Cancelled*.

To modify a deposit notification

Note: Remember, deposit notifications do not actually move your funds. They only notify us of your intention to deposit funds using the deposit method you selected.

1. Find the funding transaction that you want to modify. If necessary, re-sort the columns or use the smart search to find the transaction.
2. Click the transaction to open the details popup window.

Deposit (WIRE)	
Pending Receipt Your Wire deposit notification has been accepted, and IB is awaiting receipt of your funds.	
Date Requested:	2014-11-21
Transaction ID:	20333140
Account ID:	*****
Account Title:	Interactive Brokers LLC Applicant *****
Amount:	USD <input type="text" value="23021"/> <input type="text" value="00"/>
Delivering Institution:	<input type="text" value="ASF"/>
Account Number:	<input type="text" value="ADSasd"/>
Routing Number:	ADSasd

3. Click **Modify**. Editable fields change to text boxes.

Deposit (WIRE) Print Submit Cancel ✕

Pending Receipt
Your Wire deposit notification has been accepted, and IB is awaiting receipt of your funds.

Date Requested: 2014-11-21
Transaction ID: 20333140
Account ID: [blurred]
Account Title: Interactive Brokers LLC Applicant
Amount: USD
Delivering Institution:
Account Number:
Routing Number: ADSasd

4. Modify the information that you need to change, then click **Submit**.
5. Click **OK** when prompted to confirm your request.
6. Click the red **X** icon to close the popup window.

Request a stop payment of a check withdrawal

You can submit a request to stop payment of a check withdrawal on the Transaction History page. Stop payment requests are subject to the following rules:

- Stop payments can only be requested for check withdrawals.
- You can request a stop payment for check withdrawals from the last 90 days only. On the Transaction History page, all check withdrawals from the last 90 days are displayed.
- You cannot request more than one stop payment for a single check withdrawal.
- The option to stop payment only appears when a check withdrawal transaction's status is Processing.

To request a stop payment of a check withdrawal

1. Click any check withdrawal to display the transaction details in a popup window.

Withdrawal (CHECK) Print Stop Payment ✖

Sent
Your funds have been sent and should arrive shortly (up to 5 business days under normal circumstances).

Date Requested:	2014-11-21
Transaction ID:	20333293
Account ID:	U401140
Account Title:	Interactive Brokers LLC Applicant 383366
Amount:	USD 10.00

2. Click the **Stop Payment** button.
3. A confirmation message appears. Click **OK** to continue with your stop payment request.
4. Select a reason for the stop payment, then click **Continue**. Available reasons include:
 - Non-receipt
 - Incorrect address
 - Lost/stolen/damage
 - I did not request
5. Read the Stop Payment Affidavit, then type your name in the field provided and click **Continue**. This indicates that you are signing the affidavit.

An email containing a confirmation number is sent to you.

6. Enter the confirmation number from the email, then click **Continue** to complete the stop payment request process and return to the Transaction History page.

To export the transaction history to Microsoft Excel

Click the **Export** button located in the upper right section of the page. You are prompted to save or download the .XLS page to your computer (depending on your web browser). Once saved, you can open that file in Microsoft Excel.

To print the transaction history

Click the **Print** button located in the upper right section of the page. The Transaction History *as currently displayed* will print.

For more information

Cash Deposit Details

Deposit (WIRE)

✕

Pending Receipt
Your Wire deposit notification has been accepted, and IB is awaiting receipt of your funds.

Date Requested:	2014-11-21
Transaction ID:	20333140
Account ID:	11111111
Account Title:	Interactive Brokers LLC Applicant 11111111
Amount:	USD <input type="text" value="23021"/> <input type="text" value="00"/>
Delivering Institution:	<input type="text" value="ASF"/>
Account Number:	<input type="text" value="ADSasd"/>
Routing Number:	ADSasd

Cash deposit details display the following information for each deposit transaction listed on the Transaction History page:

Column	Description
Type	<p>The deposit type appears at the top of the transaction details popup window:</p> <ul style="list-style-type: none"> Check Wire (could be a bank or broker wire) Bill Payment Check ACH - Initiated at Your Bank ACH - Initiated at IB Canadian EFT
Action Buttons	<p>Depending on the type and status of the transaction, one or more of the following buttons appear at the top of the transaction details popup window:</p> <ul style="list-style-type: none"> Print - Click to print the transaction details. Modify - Click to modify a transaction. Submit - Click to submit changes to a transaction. Cancel - Click to cancel a transaction.

Column	Description
Current Status	<p>The current status of the transaction. Can be one of the following:</p> <ul style="list-style-type: none"> • Cancelled - The deposit was cancelled. • Rejected - The deposit was rejected by us. • Expired - The deposit expired before it arrived. All transactions that have not been confirmed expire after ten business days. • Funds Received - The transaction was processed and the funds have been received. • Pending Receipt - You have notified us of a deposit but it has not yet arrived, and the transaction has not expired, been cancelled or rejected. • Hold - The deposit has arrived but has not yet been credited to your account. • Available - The deposit has been credited to your account and the funds are now available.
Date Requested	The date on which you notified us of the deposit.
Transaction ID	A unique identifier assigned to the transaction by us.
Account ID	Your Account ID.
Account Title	The name of your account.
Amount	The amount and currency of the transaction.
Delivering Institution	The bank or delivering institution where the transaction originated.
Account Number	Your account number at your bank or delivering institution.
Routing Number	The ABA or routing number at your bank or delivering institution.
Check Number	For check deposits, the number printed on the check.

Column	Description
IRA Deposit Type	<p>The type of IRA deposit:</p> <ul style="list-style-type: none"> • Contribution • Rollover <p>And for a Rollover, the type of IRA:</p> <ul style="list-style-type: none"> • Traditional IRA • Roth IRA • SEP IRA
Tax Year of Contribution	The tax year of the IRA contribution.
Date Received	The date on which the deposit arrived.
Date Available for Trading	<p>The date on which the deposited funds were credited to your account:</p> <ul style="list-style-type: none"> • For checks and bill payment checks, this is the Arrival Date + seven business days. • For bank checks, bank wire transfers and broker wire transfers, this is the same as the Arrival Date. • For ACH - Initiated at IB, ACH at Your Bank or Canadian EFT, this is the Arrival Date + four business days.
Date Available For Withdrawal	The date on which the deposited funds are available for you to withdraw.
Date Available For Withdrawal - Original Bank	For ACH Initiated by Us and Canadian EFT deposits only, this is the date on which deposited funds are available to withdraw to the bank or delivering institution where the deposit originated.
Date Available For Withdrawal - Other Bank ¹	For ACH Initiated by Us and Canadian EFT deposits only, the date on which deposited funds are available to withdraw to a bank that is not where the deposit originated.

¹For security purposes, ACH deposits initiated by the customer via our website are restricted from being sent to anywhere other than originating bank/bank account for 40 business days. This withdrawal hold period is not applicable if the transfer was initiated via the customer's bank or if the funds are being sent back to the originating bank and bank account. Similarly, Canadian Electronic Funds Transfers initiated by the customer via the website are restricted from being sent to anywhere other than originating bank/bank account for 60 business days. This withdrawal hold period is not applicable if the transfer was initiated via the customer's bank or if the funds are being sent back to the originating account, bank and deposit method.

Cash Withdrawal Details

Withdrawal (WIRE)

Print
Cancel
✖

Pending
Your withdrawal request has been received, and is being reviewed.

Date Requested:	2014-11-23
Transaction ID:	20336481
Account ID:	████████
Account Title:	Interactive Brokers LLC Applicant ████████
Amount:	GBP 74.00
Receiving Institution:	HSBC Private Bank (UK) Limited

Cash withdrawal details display the following information for each deposit transaction listed on the Transaction History page:

Column	Description
Type	<p>The withdrawal type appears at the top of the transaction details popup window:</p> <ul style="list-style-type: none"> Check Wire Transfer – Bank Wire Transfer – Broker ACH at IB Canadian EFT
Action Buttons	<p>The following buttons appear at the top of the transaction details popup window:</p> <ul style="list-style-type: none"> Print - Click to print the transaction details. Modify - Click to modify a transaction. Cancel - Click to cancel a transaction.

Column	Description
Current Status	<p>The current status of the transaction. Can be one of the following:</p> <ul style="list-style-type: none"> • Cancelled - The transaction was cancelled. • Rejected - The transaction was rejected by us. • Expired - The withdrawal expired before it was sent. All transactions that have not been confirmed expire after ten business days. • Not Confirmed - Your funding request has not been confirmed. This also may include "The required number of Financial Authorizers have not authorized this request." if your account requires deposit transactions to be authorized. • Pending - Your withdrawal request has been received and is being reviewed. • Pending Advisor - Your withdrawal request has been received by us, but has not been approved by your advisor. If your advisor doesn't approve within three business days, the funds will automatically be released. • Sent - The funds have been withdrawn from your account. • Call Customer Service - There is an issue with your transaction request that you must resolve by calling Customer Service. Click Support > Contacts for instructions on contacting Customer Service.
Date Requested	The date on which you requested the withdrawal.
Transaction ID	A unique identifier assigned to the transaction by us.
Account ID	Your Account ID.
Account Title	The name of your account.
Amount	The amount and currency of the transaction.
Federal Tax Withholding Amount	The amount of Federal taxes (and tax rate) withheld from a withdrawal from an IRA account.
State Tax Withholding Amount	The amount of state taxes (and tax rate) withheld from a withdrawal from an IRA account.
Receiving Institution	The bank or delivering institution where the funds are sent.
Date Processed	The date on which the withdrawal was processed.

Position Transfers Details

Position Transfer (ACATS)
Print Cancel

Pending Receipt
Your ACATS transfer notification has been accepted.

Date Requested:	2014-10-17
Transaction ID:	20268370
Account ID:	00001100
Account Title:	Interactive Brokers LLC Applicant 00000000
Transfer Type:	Partial Transfer IN
Delivering Institution	1st Global Capital Corporation

Cash/Positions

- » 70 Stock: AAPL Description: APPLE INC
- » 20 Stock: IBKR Description: INTERACTIVE BROKERS GRO-CL A
- » 1 Stock: GM Description: GENERAL MOTORS CO
- » 5 Stock: IBM Description: INTL BUSINESS MACHINES CORP
- » USD 50

Position transfer details display the following information for each inbound and outbound position transfer listed on the Transaction History page:

Column	Description
Type	<p>One of the following types of inbound or outbound position transfers:</p> <ul style="list-style-type: none"> ACATS – US Securities Free of Payment (FOP) – US Stocks Direct Registration System (DRS) – US Stocks Deposit/Withdraw at Custodian (DWAC) ATON – Canadian Securities To Another IBAccount To an Advisor-Managed Account

Column	Description
Action Buttons	<p>The following buttons appear at the top of the transaction details popup window:</p> <ul style="list-style-type: none"> • Print - Click to print the transaction details. • Modify - Click to modify a transaction. • Cancel - Click to cancel a transaction.
Current Status	<p>The current status of the transaction. Can be one of the following:</p> <ul style="list-style-type: none"> • Cancelled - The transfer was cancelled. • Rejected - The transfer was rejected by us. • Expired - The transfer expired before it was sent. All transactions that have not been confirmed expire after ten business days. • Acknowledged - The contra broker has confirmed receipt of the ACATS or ATON transfer instructions. • Resubmitted - The contra broker was unable to confirm the initial instructions for the ACATS or ATON transfer. • Pending Receipt - The transfer has not yet arrived, and has not expired, been cancelled or rejected. • Available - The transferred positions and/or funds have been credited to your account and are now available. • Hold - The transfer is on hold. Contact Customer Service. Click Support > Contacts for instructions on contacting Customer Service.
Date Requested	The date on which you requested the position transfer.
Transaction ID	A unique identifier assigned to the transaction by us.
Account ID	Your Account ID.
Account Title	The name of your account.
Cash/Positions	Full Transfer or Partial Transfer. For Partial Transfers, moving your mouse over the text “Partial Transfer” displays details of the transfer.
Delivering Institution	For inbound transfers only - The bank or institution where the transaction originated.
Account Number at Institution	The account number at the bank or insitution where the transaction originated.

Column	Description
Receiving Institution	The bank or institution receiving the transferred positions and/or funds.
Date Processed	For outbound transfers only - The date on which we processed the transfer.
Date Available for Trading	For inbound transfers only - The date on which the transferred positions and/or funds were credited to your account. This is the arrival date.
Date Available For Withdrawal	For inbound transfers only - The date on which the transferred positions and/or funds were or will be available. This is ten days after the arrival date.

Internal Transfer Details

Internal Transfer
Print

Approved

Date Requested: 2014-10-31

Transaction ID: 20293264

Account ID: U-0011001

Account Title: Interactive Brokers LLC Applicant
U-0011001

Amount: AUD 100.00

From: U-0011001

To: U-0011001

Internal transfer details display the following information for each internal transfer listed on the Transaction History page:

Column	Description
Action Buttons	<p>The following buttons appear at the top of the transaction details popup window:</p> <ul style="list-style-type: none"> • Print - Click to print the transaction details. • Modify - Click to modify a transaction. • Cancel - Click to cancel a transaction.

Column	Description
Current Status	<p>The current status of the transaction. Can be one of the following:</p> <ul style="list-style-type: none">• Approved - The internal transfer has been approved and the funds have been transferred..• Cancelled - The transaction was cancelled.• Rejected - The transaction was rejected by us.• Pending - The funds have not yet been transferred to the destination account.
Date Requested	The date on which you requested the internal transfer.
Transaction ID	A unique identifier assigned to the transaction by us.
Account ID	Your Account ID.
Account Title	The name of your account.
Amount	The amount and currency of the transaction.
From	The source account of the internal transfer.
To	The destination account of the internal transfer.

Fund Transfers

The Fund Transfers menu lets you view the funds status of your account, and initiate deposit notifications, withdrawals and internal fund transfers. Specifically, you can:

- [Check the status of your funds](#), including cash balance and cash available for withdrawal.
- [Notify us of a deposit of funds](#)
- [Request a withdrawal of funds](#)
- [Transfer Funds Internally](#)

In addition, you can:

- [Save bank information](#)
- [Create recurring transactions](#)
- [Request a wire withdrawal of funds from your account to a third party](#)

Who can access the Fund Transfers page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Organization (master and client account)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Non-Disclosed Client User
- Investment Manager Master User
- Fund

For more information

- [Funding Reference](#)

Checking the Status of Your Funds

To check the status of your funds

1. Click **Funding > Fund Transfers**.
2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account whose fund status you want to view.

Funds status for the selected account appears at the top of the page.

Balances				
Cash Balance	Cash Available for Withdrawal	Withdrawable Cash Subject to Origination Restriction	Deposit Not Yet Posted	
10000.00	10000.00	10000.00	0.00	

Funds Status

The Fund Transfers page displays the following fund status information:

Field	Description	Notes
Cash Balance	The current debit or credit balance of cash posted to your account. Shown in your account's base currency.	All non-base currency balances are converted into your base currency.
Cash Available for Withdrawal (assuming margin loan)	The total amount of cash in your account that may be withdrawn, assuming you have a margin loan. Shown in your account's base currency.	The balance available for withdrawal may be less than your total Cash Balance. For example, for a margin account, cash balances are being used to satisfy your margin requirement, or for a cash account, any portion of that balance represents proceeds from trades that have not yet settled. In addition, there is a withdrawal hold period of three business days placed on deposits made by either wire transfer or bank check.

Field	Description	Notes
Withdrawable Cash Subject to Origination Restriction	The total amount of cash in your account that may be withdrawn with restrictions on where the withdrawal can be sent. Shown in your account's base currency.	<p>For security purposes, ACH deposits initiated by the customer from our website are restricted from being sent anywhere other than to the originating bank/bank account for 40 business days. This withdrawal hold period is not applicable if the transfer was initiated from the customer's bank or if the funds are being sent back to the originating bank and bank account.</p> <p>Similarly, Canadian Electronic Funds Transfers initiated by the customer from our website are restricted from being sent anywhere other than to the originating bank/bank account for 60 business days. This withdrawal hold period is not applicable if the transfer was initiated via the customer's bank or if the funds are being sent back to the originating account, bank and deposit method.</p>
Deposit Not Yet Posted	The total balance of deposits received but subject to a credit hold. These deposits are not included in any other account balance displayed. Shown in your account's base currency.	Deposits made by ACH, Canadian Electronic Funds Transfer and check are subject to a credit hold period prior to those funds being posted to the customer's account.

Depositing Funds

The Fund Transfers page lets you notify us of a deposit of funds into your account. A deposit notification does not actually move funds; you must make arrangements with your bank or broker to deposit the funds.

We support the following types of deposits:

- Wire
- Check (all checks, including retirement checks)
- Online bill payment check
- [Automated Clearing House \(ACH\) transfer initiated at IB](#)
- ACH transfer initiated by your bank
- [Canadian Electronic Funds Transfer \(EFT\) initiated by IB](#)(Canada only)
- Direct Rollover (IRA accounts only)
- Trustee-to-Trustee (IRA accounts only)

Deposit notifications are easy to complete. All required information appears as a form that you complete on a single page - as you fill in a field or make a selection, the next part of the notification form appears.

Short Video

To notify us of a deposit

1. Click **Funding > Fund Transfers**.
2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then select the desired client or sub account.
3. In the Transaction Type list, select *Deposit*.

The screenshot shows a form with a 'Transaction Type:' label and a dropdown menu. The dropdown menu is open, showing options: 'Choose One', 'Deposit', and 'Withdraw'. The 'Deposit' option is highlighted. Below the dropdown, there is a link: 'For important information about funding rules and limitations, see our [Funding Reference](#).'

4. Select your currency from the Currency list.

The screenshot shows the 'Transaction Type:' dropdown set to 'Deposit' and the 'Currency:' dropdown open. The 'Currency:' dropdown lists various currencies: 'Choose One', 'Australian Dollar (AUD)', 'Canadian Dollar (CAD)', 'Swiss Franc (CHF)', 'Chinese Renminbi (CNH)', 'Czech Koruna (CZK)', 'Danish Krone (DKK)', 'Euro (EUR)', 'British Pound (GBP)', 'Hong Kong Dollar (HKD)', 'Hungarian Forint (HUF)', 'Japanese Yen (JPY)', 'Mexican Peso (MXN)', 'Norwegian Krone (NOK)', 'New Zealand Dollar (NZD)', 'Swedish Krona (SEK)', and 'United States Dollar (USD)'. Below the dropdown, there is a link: 'For important information about funding rules and limitations, see our [Funding Reference](#).'

Note:
» When you submit a deposit using this page, you are creating a deposit notification, which allows us to efficiently identify your incoming funds for any funds; you must contact your bank to move the funds into your IB account.

5. In the Method list, select a deposit type.

The screenshot shows the 'Transaction Type:' dropdown set to 'Deposit', the 'Currency:' dropdown set to 'United States Dollar (USD)', and the 'Method:' dropdown open. The 'Method:' dropdown lists options: 'Choose One', 'ACH Initiated By Bank', 'ACH Initiated At IB', 'Bill Payment', 'Check', and 'Wire'. The 'ACH Initiated At IB' option is highlighted. Below the dropdown, there is a link: 'For important information about funding rules and limitations, see our [Funding Reference](#).'

Note:
» When you submit a deposit using this page, you are creating a deposit notification, which allows us to efficiently identify your incoming funds for any funds; you must contact your bank to move the funds into your IB account.

6. Type the amount of your intended deposit in the Amount field. Note that you do not enter an amount when you first set up an ACH Initiated At IB or Canadian EFT deposit.

Transaction Type: Deposit
 Currency: United States Dollar (USD)
 Method: Wire
 Amount: [] . []

7. You are asked if you want to use previously saved bank information.

Transaction Type: Deposit
 Currency: United States Dollar (USD)
 Method: Wire
 Amount: [] . []

For important information about funding rules and limitations, see our [Funding Reference](#).

Saved Bank Information

Would you like to use previously saved bank information? Choose One

- Choose One
- Yes - Use saved bank information for new transfer request
- No - Create new transfer request with new bank information
- No - Create new bank information only

Select one of the following:

- **Yes - Use saved bank information for new transfer request**
 Select this option if you want to use previously saved bank information for this deposit request.
- **No - Create new transfer request with new bank information**
 Select this option if you want to save new bank information for this deposit request. This option is automatically selected if you do not have any saved any bank information.
- **No - Create new bank information only**
 Select this option if you only want to create new saved bank information without transferring any funds (for example, if you are a non-US customer who is closing an account).

Delivering Institution Details

Which saved information would you like to use? Citibank Wire Deposit


- Citibank Wire Deposit
- Check
- ACH Deposit
- Bill Payment Deposit

Sending Institution: _____

Routing Number: _____

Account Number: _____

If you select either **No** option, complete all the fields that appear, which vary depending on the withdrawal method you selected.



Bank Information

Sending Institution:

ABA Routing Number OR SWIFT/BIC Code (optional):

Account Number (optional):

Information will be saved for future use

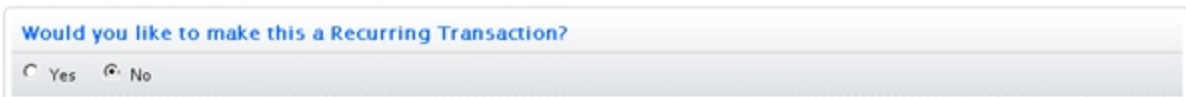
Instruction Name (5-25 characters):

The fields vary depending on your previous selections.

- Be sure to enter a Name for the bank instruction that will be saved with your bank information. You will be able to use this bank instruction for future deposit notifications without having to re-enter your bank information.

Note: You can view all of your saved bank instructions on the [Bank Information](#) page.

- Decide if you want to save the information as a recurring transaction.



Would you like to make this a Recurring Transaction?

Yes No

If you would like to save this as a recurring transaction, click **Yes**, then complete all the fields and selections in that section.



Would you like to make this a Recurring Transaction?

Yes No

Recurring Transaction Name:

Frequency:

Start Date:

End Date: Endless

November 2012						
Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

Note: You can view all of your saved recurring transactions on the [Recurring Transactions](#) page.

If you do not want to save this transaction as a recurring transaction, click **No**.

- Click **Continue** to submit your deposit notification.

Or click **Cancel** to cancel the transaction.

Depending on the type of deposit notification you selected, a page appears with additional instructions that describe what you need to provide to your bank to complete the actual deposit of funds.

- Click **Funding > View Transaction History** at any time to view the status of your deposit notification.

For more information

- [Funding Reference](#) - pages on our website that provide complete details on all funding transactions.

Withdrawing Funds

The Fund Transfers page lets you request a withdrawal of funds from your account or an internal fund transfer to another IB account. We support the following kinds of withdrawal requests:

- Wire
- US ACH transfer initiated at IB(US accounts only)
- Check (only available for US currency; your mailing address must be in the US)
- Canadian EFT transfer (Canadian accounts only)
- SEPA (Single Euro Payments Area) Initiated at IB

Note: For important information about ACH Initiated at IB and Canadian EFT withdrawals, see [ACH Initiated at IB and Canadian EFT Transactions](#).

The following rules apply to withdrawals:

- Accounts that do not participate in our Secure Login System are limited in the amount of money that can be withdrawn. Customers without a security device are limited to a maximum withdrawal of 50,000 USD per day and a maximum withdrawal of 100,000 USD in five business days. For more information, see [Withdrawal Limits](#).
- Typically withdrawal requests submitted prior to the cut-off will be sent that day, under normal business circumstances; however, in certain cases a withdrawal request may be subject for further review which may result in a delay. We apologize for any inconvenience.
- There is no charge for the first withdrawal (of any kind) every 30 days; however, we will charge withdrawal fees for any subsequent withdrawal.
- All withdrawals will be sent in the name of the account holder.

To request a cash withdrawal from your account

1. Click **Funding > Fund Transfers**.
2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then select the desired client or sub account.
3. In the Transaction Type list, select Withdraw.



The image shows a screenshot of a web interface. At the top, there is a label "Transaction Type:" followed by a dropdown menu. The dropdown menu is open, showing three options: "Choose One" (with a downward arrow), "Deposit", and "Withdraw" (which is highlighted in blue). The background of the interface is light gray.

4. Select your currency from the Currency list.

The screenshot shows a form with two dropdown menus. The first is labeled "Transaction Type:" and has "Withdraw" selected. The second is labeled "Currency:" and has "Choose One" selected. A dropdown menu is open for the "Currency:" field, showing the following options: "Choose One", "Australian Dollar (AUD)", "Euro (EUR)", "Hong Kong Dollar (HKD)", "Japanese Yen (JPY)", "New Zealand Dollar (NZD)", and "United States Dollar (USD)". The "United States Dollar (USD)" option is highlighted in blue.

5. In the Method list, select a withdrawal type.

The screenshot shows a form with four fields: "Transaction Type:" (Withdraw), "Currency:" (United States Dollar (USD)), "Method:" (Choose One), and "Amount:" (10000). A dropdown menu is open for the "Method:" field, showing the following options: "Choose One", "ACH Initiated At IB", "Check", and "Wire". The "ACH Initiated At IB" option is highlighted in blue. Below the form, there is a link: "For important information about funding rules, see our [Funding Reference](#)."

6. Type the amount of your withdrawal in the Amount field. Note that you do not enter an amount when you first set up an ACH Initiated At IB or Canadian EFT deposit.

The screenshot shows a form with four fields: "Transaction Type:" (Withdraw), "Currency:" (United States Dollar (USD)), "Method:" (Wire), and "Amount:" (empty). The "Method:" dropdown is set to "Wire".

7. If you have previously saved any bank information as bank instructions, you are asked if you want to use one.

The screenshot shows a form with four fields: "Transaction Type:" (Withdraw), "Currency:" (United States Dollar (USD)), "Method:" (Wire), and "Amount:" (empty). Below the form, there is a link: "For important information about funding rules and limitations, see our [Funding Reference](#)."

Below the form is a section titled "Saved Bank Information" with the question: "Would you like to use previously saved bank information?". A dropdown menu is open, showing the following options: "Choose One", "Choose One", "Yes - Use saved bank information for new transfer request", "No - Create new transfer request with new bank information", and "No - Create new bank information only". The "Choose One" option is highlighted in blue.

Select one of the following:

- **Yes - Use saved bank information for new transfer request**
Select this option if you want to use previously saved bank information for this withdrawal request.
- **No - Create new transfer request with new bank information**
Select this option if you want to save new bank information for this withdrawal request. This option is automatically selected if you do not have any saved any bank information.

- o **No - Create new bank information only**

Select this option if you only want to create new saved bank information without transferring any funds (for example, if you are a non-US customer who is closing an account).

The following image shows a Wire withdrawal using a saved bank instruction.

Which saved information would you like to use?:

Instruction Details

Instruction Name:	Wire Withdrawal
Instruction Type:	Local Bank
Account Number at the Bank:	123456789
Bank's Name:	123456789
Bank's Location/City:	123456789
Bank's Location/State:	123
Bank's Location/Country:	123456789
Bank's ABA Number or SWIFT Code:	123456789
Bank's Code Specific to Country:	

If you select either **No** option, complete all the fields that appear, which vary depending on the withdrawal method you selected.

Bank Country: United States

Bank Account Number:

Confirm Bank Account Number:

Bank Account Type: Checking Savings

Bank Routing Transit Number (RTN), also known as ABA Routing Number (ABA):

Type of Instruction: ACH Debit & Credit
Get & Send funds from/to your Bank via instructions you provide to IB
 ACH Credit Only
Send funds to your Bank via instructions you provide to IB

To locate your checking account number and ABA Routing Number, refer to the diagram below:

ABA Routing Number: 123456789
Account Number: 1234567890
Check Number: 1234

Bank information will be saved for future use

Information Name (5-25 characters):

If you select Wire as the withdrawal method, you are prompted to select a Wire Type:

Wire Type

Select your wire type:

Choose One

- Choose One
- Bank
- Mutual Fund
- Brokerage Firm
- Credit Union
- Other

Then you are prompted to select your bank's country:

Wire Withdrawal

Your Bank's Country:

Choose One

8. If you do not know your bank's routing number, click the **Search** button next to the routing number field.

Bank Routing Transit Number (RTN), also known as ABA Routing Number (ABA):

Then enter information about your bank in the popup window and click **Continue**.

Provide Your Banks Location

Bank Name:

State:

City/Town:

A list of all banks along with their routing numbers appears. Select your specific bank. The routing number for the bank you select will be entered into the routing number field for you.

9. Be sure to enter a Name for the bank instruction that will be saved with your bank information. You will be able to use this bank instruction for future withdrawals without having to re-enter your bank information.

Note: You can view all of your saved bank instructions on the [Bank Information](#) page.

10. Decide if you want to save the information as a recurring transaction.

Would you like to make this a Recurring Transaction?

Yes No

11. If you would like to save this as a recurring transaction, click Yes, then complete all the fields and selections in that section.

Would you like to make this a Recurring Transaction?

Yes No

Recurring Transaction Name:

Frequency:

Start Date:

End Date: Endless

If you do not want to save this transaction as a recurring transaction, click **No**.

- Click **Continue** to submit your withdrawal request. An email with a confirmation number is immediately sent to your email address.

Or click **Cancel** to cancel the transaction.

The Verify Your Identity page appears with additional information about your withdrawal request.

- Enter your username, password and the confirmation number sent to your email address. Click **Confirm**.

Verify Identity

Username:

Password:

Confirmation Number:

If you did not receive a confirmation number, click the **Resend** button to receive a new one.

- Click **Funding > View Transaction History** at any time to view the status of your deposit notification.

For more information

- [Funding Reference](#) - pages on our website that provide complete details on all funding transactions.

ACH Initiated at IB and Canadian EFT Transactions

The process of requesting ACH Initiated at IB and Canadian EFT deposit notifications and withdrawals is somewhat different from other transaction methods.

The process for these transactions is described below:

- On the **Funding > Fund Transfers** page, after you select the transaction type, currency and the transaction method, you enter and save your bank information just as you would for any other funding deposit or withdrawal method. Note that you do not enter an amount.

2. Once you submit this request, which authorizes us and your bank to electronically transfer funds between the two accounts, we will issue test transactions in the form of small debit and credit amounts to your bank account. Note that this request does not actually move your funds.
3. You must then verify these test transactions. This verification process ensures that the person entering bank information is the legitimate owner of the bank account to be used in the transaction.
4. Now that the verification process has been completed, you can submit an ACH Initiated at IB deposit or Canadian EFT deposit notification or withdrawal request on the Fund Transfers page using the bank information that you've already saved. This request will include the actual amount and will move your funds.

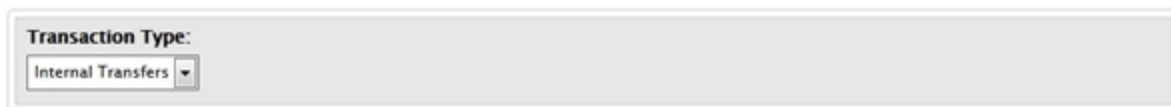
Transferring Funds Internally

The Fund Transfers page lets you transfer funds internally from your account or an internal fund transfer to another IB account. We support the following kinds of internal fund transfers:

- Internal fund transfer to another IB account (all account structures) with matching Account Name, Account Title and Tax ID.
- Customers with linked accounts can use this type of transfer. However, customers with multiple accounts that are eligible to be linked but are not currently linked cannot use this type of transfer; these customers will receive an error message.
- Internal fund transfer between a master and sub account. The account types are eligible:
 - Proprietary Trading Groups - Separate Trading Limit accounts.
 - Non-disclosed Brokers.
 - Separate Trading Limit accounts can also transfer funds between two sub accounts.
- Internal fund transfer to a client or sub account. The following account types are eligible:
 - Advisor Masters can transfer funds to a client account with trading privileges or a client account with a matching Account Name, Account Title and Tax ID.
 - Investment Manager Masters (Fund Advisors) can transfer funds to an Omnibus Fund sub account, and to any client/sub account with a matching Account Name, Account Title and Tax ID.
 - Fully Disclosed Brokers.

To request a cash withdrawal from your account

1. Click **Funding > Fund Transfers**.
2. In the Transaction list, select *Internal Transfers*.



The image shows a screenshot of a web interface. At the top, it says "Transaction Type:". Below this is a dropdown menu with a small downward arrow on the right side. The text "Internal Transfers" is visible inside the dropdown box, indicating it is the selected option.

The Internal Funds Transfers section appears.

The screenshot shows a form titled "Internal Funds Transfers". It contains three fields: "Source Account Number:" with a "Choose One" dropdown menu, "Amount:" with a text input field containing "0", and "Currency:" with a "Choose One" dropdown menu.

3. Select the source account number from the Source Account Number drop-down list.

If there are any destination accounts eligible to receive an internal funds transfer, the Destination Account Number drop-down list appears.

The screenshot shows the "Internal Funds Transfers" form with the "Source Account Number:" dropdown menu selected, displaying "U [REDACTED]". To the right of this dropdown is the text "(Cash Available for Withdrawal: [REDACTED])". The "Amount:" field still contains "0", and the "Currency:" field remains "Choose One". A new "Destination Account Number:" field with a "Choose One" dropdown menu has appeared at the bottom of the form.

4. Enter the amount of the transfer, the currency and select the Destination Account Number.
5. Click **Continue**.
 - Click **Cancel** at any time to cancel the transaction.
6. Verify that the details of the internal funds transfer are correct, then click **Continue**.
7. You will immediately receive an email notification containing a confirmation number. Enter the confirmation number where indicated on the Internal Funds Transfer page, then click **Confirm**
 - If you did not receive a confirmation number, click **Resend Confirmation Number** to receive a new one.

For more information

- [Funding Reference](#)

Saving Bank Information

As the name implies, bank information contains information about the financial institution involved in a funding transaction in your account.

When you set up a deposit notification or withdrawal on the Fund Transfers page, you are prompted to save the information about your financial institution. This bank information is saved as a bank instruction and you can view all of your bank instructions on the Funding > Bank Instructions page.

For example, the following image shows a wire deposit being set up for the first time. After you select the transaction type, currency, enter the amount of the transaction and select the method, you are prompted to enter information about your bank, including the name of the bank instruction to be saved.

Transaction Type: Deposit

Currency: United States Dollar (USD)

Amount: 25000 .

Method: Wire

NOTE: For important information about funding rules and limitations, see our [Funds and Banking](#) page.

Bank Information

Sending Institution:

ABA Routing Number (optional):

Account Number (optional):

Information will be saved for future use

Information Name (5-25 characters):

Note: All deposit and withdrawal types EXCEPT check withdrawals require that you enter your bank information, including a name for the bank instruction, before you submit the transaction. You can still save bank information for check withdrawals as bank instructions, however.

Once your transaction request has been submitted, the bank information you entered is saved as a bank instruction. The next time you set up a funding transaction and complete the first four fields (Transaction Type, Currency, Amount and Method), you will be prompted to use a saved bank instruction, as shown in the following image.

Saved Information

Use saved funding information? Yes No

If you answer no, you will be prompted to enter bank information, including a bank instruction name, which will be saved when you submit the transaction request.

If you answer yes, you are prompted to select a saved bank instruction, as shown in the image below. In this example, there are three bank instructions already saved.

Delivering Institution Details

Which saved information would you like to use?:

Sending Institution:

Bank Account Number:
(optional - helps IB process your transaction as quickly as possible)

Use the [Bank Information](#) page to delete bank instructions you no longer need to use.

For more information

About Recurring Transactions

The last step in setting up a deposit or withdrawal transaction before you submit the transaction request is the option to create a recurring transaction based on your transaction request.

- You can [view and delete existing recurring transactions](#).
- You can set up all deposit and withdrawal transaction types to be recurring transactions EXCEPT Direct Rollovers and Trustee-to-Trustee deposits, which are only available for IRA accounts.

In a funding transaction request, after you enter all of the information about your financial institution, you are prompted to create a recurring transaction:

Would you like to make this a Recurring Transaction?

Yes No

If you answer no, you can submit the transaction request and no recurring transaction will be created. If you answer yes, the recurring transaction fields appear:

Would you like to make this a Recurring Transaction?

Yes No

Recurring Transaction Name:

Frequency:

Start Date:

End Date: Endless

November 2012						
Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

To set up a recurring transaction, you specify the following information:

- A name. This is the name of the saved recurring transaction and it appears in the list on the Recurring Transactions page.
- Frequency - Schedule the transaction to recur at monthly, quarterly or annual intervals.
- A start date, in the format mm/dd/yyyy, or use the calendar icon to select a date. This indicates the first date that the recurring transaction should be processed.
- An end date, in the format mm/dd/yyyy, or use the calendar icon to select a date. This indicates the last date that the recurring transaction should be processed.
- If you have an IRA account, you must also specify:
 - For deposits, tax year (current only) and deposit type (Contribution only).
 - For withdrawals, the percentage of tax to be withheld the distribution type.

- You can also specify that a recurring transaction has no end date and therefore will not expire until you delete it. You do this by selecting the **Endless** check box.

When you submit your transaction request, the recurring transaction information you entered will also be saved and the transaction will recur at the frequency and on the start date that you entered.

Note: In the event the transaction falls on a US non-business day under normal circumstances, we will process the request on the business day prior to the recurring transaction date. In the event this processing leads to multiple withdrawals during the same month, the account holder will be assessed withdrawal fees.

Canceling a Recurring Transaction

To cancel a recurring transaction, delete the recurring transaction from the [Recurring Transaction](#) page.

For more information

- [Funding Reference](#)

Withdrawing Funds to a Third Party

The Fund Transfers page lets you request a wire withdrawal of funds from your account to an eligible third party. Only wire withdrawals are allowed. A third-party withdrawal is a two-step process:

1. [Enter third-party information and submit it to us for approval.](#)
2. Upon approval of the payee information, [create and submit a third-party withdrawal request](#) using the approved information as the bank information for the withdrawal. Note that the actual withdrawal request is also subject to approval.

Who is eligible to withdraw funds to a third party?

- Individual, Joint and Trust accounts. Specifically, the primary account holder and any account user granted Funding access rights in an Individual account, either account holder in a Joint account, and any trustee in a Trust with Funding access rights are allowed to enter third-party withdrawal payee information and initiate third-party withdrawal requests.
- Advisor accounts. A Registered Advisor is allowed to enter third-party withdrawal payee information for a client if the client has approved [additional authorizations](#) for the advisor. Registered Advisors can use third-party withdrawal information that has been entered by a client to initiate a third-party withdrawal for that client. Clients of Registered Advisors can enter third-party payee information and initiate third-party withdrawals .
- Proprietary Trading Account STL Master Users and Pool Accounts. However, third-party withdrawals are NOT allowed to officers, traders or owners or the proprietary trading group organization. Specifically, the Master User and any account user granted Funding access rights are allowed to enter third-party withdrawal payee information and initiate third-party withdrawal requests.
- Hedge Fund accounts. Hedge Funds may request third-party withdrawals to vendors and administrators but NOT to individual investors in the fund or to the Fund Investment Manager. Specifically, the Fund Investment Manager and any account user granted Funding access rights are allowed to enter third-party withdrawal payee information and initiate third-party withdrawal requests.

- Fully Disclosed Broker accounts. Specifically, the Broker Master User and any account user granted Funding access rights are allowed to enter third-party withdrawal payee information and initiate third-party withdrawal requests.

The following accounts are NOT eligible to withdraw funds to a third party:

- Master and client accounts under an unregistered Advisor account (Friends and Family account and Family Office account with an unregistered Advisor)
- IRA accounts
- Non-disclosed and Omnibus Broker accounts

To enter third-party information and submit it to us

1. Click **Funding > Fund Transfers**.
2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then select the desired client or sub account.
3. In the Transaction Type list, select *Third Party Withdrawal*.

The screenshot shows a dropdown menu for 'Transaction Type'. The menu is open, showing the following options: 'Choose One', 'Choose One', 'Deposit', 'Withdraw', and 'Third Party Withdrawal'. The 'Third Party Withdrawal' option is highlighted in blue.

4. Select your currency from the Currency list.

The screenshot shows a form with four fields: 'Transaction Type', 'Currency', 'Method', and 'Amount'. The 'Transaction Type' field is set to 'Third Party Withdrawal'. The 'Currency' field is open, showing a list of currencies: 'United States Dollar (USD)', 'Choose One', 'Australian Dollar (AUD)', 'Canadian Dollar (CAD)', 'Swiss Franc (CHF)', 'Chinese Offshore Yuan (CNH)', 'Czech Koruna (CZK)', 'Danish Krone (DKK)', 'Euro (EUR)', 'British Pound (GBP)', 'Hong Kong Dollar (HKD)', 'Hungarian Forint (HUF)', 'Japanese Yen (JPY)', 'Mexican Peso (MXN)', 'Norwegian Krone (NOK)', 'New Zealand Dollar (NZD)', 'Swedish Krona (SEK)', 'Singapore Dollar (SGD)', and 'United States Dollar (USD)'. The 'Method' field is set to 'Wire'. The 'Amount' field is set to 'Not Applicable'. Below the 'Currency' field, there is a section for 'Wire Type' with the text 'Select your wire type:'.

Wire is pre-selected for you as the withdrawal method.

5. In the Wire Type section, select a wire type.

The image shows a form section titled "Wire Type". Below the title is the text "Select your wire type:". To the right of this text is a dropdown menu. The dropdown menu is currently open, showing a list of options: "Choose One" (highlighted in blue), "Bank", "Mutual Fund", "Brokerage Firm", "Credit Union", and "Other".

6. Select the country of the financial institution that will receive the wire on behalf of the third party.

The image shows a form section titled "Wire Withdrawal". Below the title is the text "Bank Country:". To the right of this text is a dropdown menu with the text "Choose One" and a downward arrow.

7. Fill in the rest of the information about the financial institution that will receive the wire on behalf of the third party.

The image shows a form section titled "Wire Withdrawal". Below the title are four input fields, each with a label to its left: "Bank Country:" (with a dropdown menu showing "United States"), "Bank Account Number:" (with an empty text box), "Confirm Account Number:" (with an empty text box), and "Bank ABA Routing Number:" (with an empty text box). To the right of the "Bank ABA Routing Number:" field is a "Search" button.

8. If you do not know your bank's routing number, click the **Search** button next to the routing number field. Then enter information about your bank in the popup window and click **Continue**.

The image shows a popup window titled "Provide Your Banks Location". It contains three input fields: "Bank Name:" (with an empty text box), "State:" (with a dropdown menu showing "Choose One"), and "City/Town:" (with an empty text box). At the bottom of the popup are two buttons: "Cancel" (with a red 'X' icon) and "Continue" (with a green arrow icon).

A list of all banks along with their routing numbers appears. Select your specific bank. The routing number for the bank you select will be entered into the routing number field for you.

9. Fill in the information about the third-party payee.

Wire Withdrawal	
Bank Country:	<input type="text" value="United States"/>
Bank Account Number:	<input type="text"/>
Confirm Account Number:	<input type="text"/>
Bank ABA Routing Number:	<input type="text"/> <input type="button" value="Search"/>
Third Party Payee Information	
Name:	<input type="text"/>
Street:	<input type="text"/>
Street #2:	<input type="text"/>
City:	<input type="text"/>
Country:	<input type="text" value="Choose One"/>
State/Province:	<input type="text"/>
Postal Code:	<input type="text"/>
Relationship of accountholder to third party payee and reason for payment:	<input type="text"/> Failure to provide this information may result in processing delays.

10. Enter a Name for the bank instruction that will be saved with your bank information.

Bank Information for Further Use	
The instruction name is a name which you assign to a banking instruction so that you may refer to and re-use it for future deposits or withdrawals.	
Saved Bank Information File Name (5-25 characters):	<input type="text"/>

11. Click **Continue** to submit the third-party payee information to us for approval.
You will be notified when we approve the information.

To withdraw funds to a third party via a wire transfer

1. Click **Funding > Fund Transfers**.
2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then select the desired client or sub account.
3. In the Transaction Type list, select *Third Party Withdrawal*.
4. Select your currency from the Currency list.
Wire is preselected for you as the withdrawal method.
5. You are asked if you want to use previously saved bank information. From the drop-down, select the approved bank information that you previously submitted for your third-party withdrawal.
6. Type the amount of your withdrawal in the Amount field.
7. Click **Continue** to submit your third-party withdrawal request.

Position Transfers

The Position Transfers menu lets you transfer positions to and from your account. We support the following types of position transfers in Account Management:

- [Automated Customer Account Transfer Service \(ACATS\)](#)
- [Account Transfer on Notification \(ATON\) for Canadian securities](#)
- [DRS - Direct Registration System](#)
- [DWAC - Deposit/Withdraw at Custodian](#)
- [Transfer Assets to an Advisor-Managed Account](#)
- [Transfer International Assets](#)
- [Free of Payment \(FOP\) for US stocks](#)
- [US futures](#)
- [Transfer Positions Internally](#)
- [Position Transfer Between Master and Sub](#)

When you request an ACATS, ATON or FOP position transfer, you have the option of creating and/or using a [Position Instruction](#).

Who can access the Position Transfers page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Organization (master and client account)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client Users
- Broker Fully Disclosed Client User Organization
- Broker Non-Disclosed Client User
- Investment Manager Master User
- Fund

For more information

- [Funding Reference](#)

ACATS Transfers

The Position Transfers page lets you transfer US stocks, warrants, options US mutual funds, US bonds and cash held at another brokerage firm to us through the National Securities Clearing Corporation's (NSCC) Automated Customer Account Transfer Service (ACATS).

When you select ACATS as the transfer method on the Position Transfers page, you can:

- [Request a Full ACATS transfer](#), in which all of your assets are transferred from a third-party broker to your account.
- [Request a Partial ACATS transfer without a Position Instruction](#), in which you transfer only some of your assets and cash from a third-party broker to your account and you do not use an optional Position Instruction.
- [Request a Partial ACATS transfer using a Position Instruction](#), in which you use a previously-created Position Instruction to transfer only some of your assets and cash from a third-party broker to your account.
- [Create a new Position Instruction](#), which lets you save and reuse third-party broker information for future Partial ACATS transfers.

Note: Your Account Name, Tax Identification Number and Customer Type (i.e. individual, joint, Roth IRA), must exactly match the third-party broker account in order for the transfer to take place.

For more information

- [Funding Reference](#)

Requesting a Full ACATS Transfer

To request a full ACATS transfer

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *ACATS*.
4. In the Type list, select *Full*.

The Check Eligibility button appears.

The screenshot shows a web form with three dropdown menus: 'Transfer Method:' set to 'ACATS', 'Type:' set to 'Full', and 'Source:' set to 'Choose One'. Below these is a grey box containing the text 'Click the Check Eligibility button to verify that the positions you want to transfer are eligible for your selected transfer method.' and a black button with the text 'Check Eligibility'.

5. Optionally, check the eligibility of your positions by clicking the **Check Eligibility** button. For details, see [Checking Position Eligibility for a Full ACATS of ATON Transfer](#).

6. In the Source list, select your third-party broker. You can type the first two or three letters of the broker's name to quickly jump to that broker in the list.

Position Transfers - U ?

Transfer Method: ACATS	Type: Full Video Help	Source: Choose One
----------------------------------	---	------------------------------

		Choose One
		1st Discount Brokerage (Part #: 0158)
		1st Global Capital Corporation (Part #: 0226)
		1st Munich Capital, LLC (Part #: 0352)
		508 Securities, Inc. (Part #: 0501)
		A&F Financial Services, Inc. (Part #: 0052)
		A.C. Trading, Inc. (Part #: 0161)
		Aaron Capital Inc. (Part #: 0234)
		AB Wong Capital LLC (Part #: 0052)
		Abbey National Securities Inc. (Part #: 0642)
		Abel/Noser Corp. (Part #: 0100)
		ABG Sundal Collier, Inc. (Part #: 0103)
		Abner, Herrman & Brock, Inc. (Part #: 0352)
		ACAP Financial Inc. (Part #: 0052)
		ACAP Financial, Inc. (Part #: 8072)
		Access Financial Group, Inc. (Part #: 0352)
		Access Securities, Inc. (Part #: 0501)
		Access Securities, Inc. (Part #: 0443)
		Acme Securities Inc. (Part #: 0608)
		Acosta Financial Services LLC (Part #: 0443)

The ACATS Request page appears.

Position Transfers – U

Transfer Method: **Type:** [Video Help](#) **Source:**

Deposits & Transfers – ACATS

This form authorizes the transfer of assets held at a Third Party Broker to be moved to Interactive Brokers.

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Third Party Broker account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » The transfer of option positions during the week of expiration is generally not allowed in order to minimize balancing issues should an exercise or assignment occur while the transfer is in process. As a transfer may reject should the request include unsettled trades, account holders are encouraged to avoid trading in the account being transferred from during the transfer process. Delivering brokers will often "freeze" the account from trading to minimize the chance of the transfer rejecting.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

Account Title:	Applicant 1749186
Account Number:	U1004079
Tax Identification Number:	000000000
Customer Type:	INDIVIDUAL

Third Party Broker Account Information

Account Number:

Assets to be Transferred

Do you have a margin loan at your third-party broker? Yes No

Does your third-party broker account hold any short positions? Yes No

Does your third-party broker account hold any option positions? Yes No

✖ Cancel
➔ Continue

7. In the Account Information section, verify that your Account Title, Account Number, Tax ID Number and Customer Type exactly matches the information in your third-party broker account
8. In the Account Number field, type the account number for your third-party broker account exactly as it appears on your statement from your delivering firm.
9. In the Assets To Be Transferred section, click the appropriate radio button to answer Yes or No to the three questions.
10. Click **Continue**.
11. On the page that appears, type your signature in the Signature field, and then click **Continue**.
12. On the Confirmation page, enter the confirmation number that you received via email in the Confirmation Number field, then click **Confirm**.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

- [Funding Reference](#)

Requesting a Partial ACATS Transfer without a Position Instruction

Note: See [Position Instructions](#) for information about viewing and deleting position instructions. ACATS Position Instructions can only be used with Partial ACATS transfers.

To request a partial ACATS transfer without a Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *ACATS*.
4. In the Type list, select *Partial*.
5. In the Source list, select your third-party broker. You can type the first two or three letters of the broker's name to quickly jump to that broker in the list.

The ACATS Request page appears.

6. In the Account Number field, type the account number for your third-party broker account exactly as it appears on your statement from your delivering firm.
7. In the Assets To Be Transferred section, click the appropriate radio button to answer Yes or No to the three questions.
8. Click **Continue**.

The Partial ACATS Transfer page appears.

The screenshot shows the 'Partial ACATS Transfer' page. At the top, there are three dropdown menus: 'Transfer Method:' set to 'ACATS', 'Type:' set to 'Partial', and 'Source:' set to '1st Discount Brokerage (Part #: 0158)'. A 'Video Help' link is visible next to the Type dropdown. Below these is a section titled 'Partial ACATS Transfer' with the instruction 'Select an item from the list below, then click **Add**.' A dropdown menu is open, showing a list of asset types: 'Stocks', 'Warrants', 'Options', 'US Mutual Funds', 'US Bonds', and 'Cash'. The 'Stocks' option is currently selected. To the right of the dropdown is a green '+ Add' button.

9. Select an asset type to transfer, then click the **Add** button.
10. Enter the required information for each asset to be transferred, then click **Add**.

Partial ACATS - Stock Input Deposits

Symbol: Shares: All Position: Exchange (optional): Include Non-US Stocks Action:

Each time you click **Add**, the partial asset you specified is added to the list of assets to transfer.

Partial ACATS - Stock Input Deposits

Symbol: Shares: All Position: Exchange (optional): Include Non-US Stocks Action:

IBM	1000	long	<input type="button" value="X Remove"/>
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11. Click **Remove** to remove an asset from the list.
12. When the list of assets to be transferred is complete, click **Finish**.
13. Repeat Steps 10-14 for each asset type.
14. On the ACATS Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.
15. On the Confirmation page, enter the confirmation number that you received via email in the Confirmation Number field, then click **Confirm**.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

Requesting a Partial ACATS Transfer Using an Existing Position Instruction

Note: See [Position Instructions](#) for information about viewing and deleting position instructions. ACATS Position Instructions can only be used with Partial ACATS transfers.

To request a partial ACATS transfer using an existing Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *ACATS*.
4. In the Type list, select *Use/Create Instruction*. This option allows you to use an existing Position Instruction or create a new one.
5. In the Instruction list, select a previously-created Position Instruction from the list.

The instruction details appear on the screen and you can immediately begin adding assets to your partial ACATS transfer.

Transfer Method:	Type:	Instruction:
ACATS	Use/Create Instruction	ACATS1

ACATS Instruction Details

ACATS Instruction Name:	ACATS1
Account Title:	Applicant
Tax Identification Number:	
Customer Type:	INDIVIDUAL
Interactive Brokers Account Number:	
Third-party Broker Name:	Abner, Herrman & Brock, Inc.
Third-party Broker Account Number:	12345678

Partial ACATS Transfer

Select an item from the list below, then click **Add**.

Stocks	+ Add
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6. Select an asset type to transfer, then click the **Add** button.
7. Enter the required information for each asset to be transferred, then click **Add**.

Partial ACATS - Stock Input Deposits

Symbol:	Shares:	Position:	Exchange (optional):	Action:
IBM	1000	Long		+ Add

Buttons: Cancel, Finish

Each time you click **Add**, the partial asset you specified is added to the list of assets to transfer.

Partial ACATS - Stock Input Deposits

Symbol:	Shares:	Position:	Exchange (optional):	Action:
IBM	1000	long		- Remove

Buttons: Cancel, Finish

8. Click **Remove** to remove an asset from the list.
9. When the list of assets to be transferred is complete, click **Finish**.
10. Repeat Steps 6-9 for each asset type.
11. On the ACATS Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.
12. On the Confirmation page, enter the confirmation number that you received via email in the Confirmation Number field, then click **Confirm**.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

Creating a Position Instruction for a Partial ACATS Transfer

Note: See [Position Instructions](#) for information about viewing and deleting position instructions. ACATS Position Instructions can only be used with Partial ACATS transfers.

To create a new Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account, in the Client/Sub Account Selection area, use the radio buttons to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account whose transaction history you want to view.
3. In the Transfer Method list, select *ACATS*.
4. In the Type list, select *Use/Create Instruction*. This option allows you to use an existing Position Instruction or create a new one.
5. In the Instruction list, select *Add New Instruction*.

If you select this option, you will be prompted to create and save the new instruction first, and then you will have to start a new position transfer request and select the instruction you just created. Note that you can only use Position Instructions for partial ACATS transfers.

6. Read the important information on the screen, then enter the name of the new Position Instruction. This is the name that will appear in the Instruction list after the new instruction is saved.
7. Select your third-party broker from the Source list, then enter your account number with the selected broker.

Create ACATS Instruction

Provide the following information to create a(n) ACATS Instruction. This form authorizes the transfer of assets held at a Third Party Broker to be moved to Interactive Brokers.

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Third Party Broker account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » The transfer of option positions during the week of expiration is generally not allowed in order to minimize balancing issues should an exercise or assignment occur while the transfer is in process. As a transfer may reject should the request include unsettled trades, account holders are encouraged to avoid trading in the account being transferred from during the transfer process. Delivering brokers will often "freeze" the account from trading to minimize the chance of the transfer rejecting.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

ACATS Instruction Name:	<input style="width: 90%;" type="text"/>
Account Title:	Applicant (123456)
Account Number:	0123456789
Tax Identification Number:	000000000
Customer Type:	INDIVIDUAL

Third Party Broker Account Information

Source:	<input style="width: 90%;" type="text" value="Choose One"/>
Account Number:	<input style="width: 90%;" type="text"/>

8. In the Assets To Be Transferred section, click the appropriate radio button to answer Yes or No to the three questions.
9. Click **Continue**.

10. On the ACATS Signature page, review the information on the page, and then type your name in the Signature field and click **Continue**.
11. On the next page, verify your identity by typing your password and the confirmation number we emailed you in the fields provided.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

12. Your new Position Instruction has been created. Now return to the Funding > Position Transfers page and begin a new [partial ACATS transfer using your newly-created Position Instruction](#).

For more information

ATON Transfers

The Position Transfers page lets you transfer US or Canadian stocks, options and cash held at another brokerage firm to us through ATON, the Canadian equivalent of ACATS.

When you select ATON as the transfer method on the Position Transfers page, you can:

- [Request a Full ATON transfer](#), in which all of your assets are transferred from a third-party broker to your account.
- [Request a Partial ATON transfer without a Position Instruction](#), in which you transfer only some of your assets and cash from a third-party broker to your account and you do not use an optional Position Instruction.
- [Request a Partial ATON transfer using a Position Instruction](#), in which you use a previously-created Position Instruction to transfer only some of your assets and cash from a third-party broker to your account.
- [Create a new Position Instruction](#), which lets you save and reuse third-party broker information for future Partial ATON transfers.

Note: Your Account Name, Tax Identification Number and Customer Type (i.e. individual, joint, Roth IRA), must exactly match the third-party broker account in order for the transfer to take place.

For more information

- [Funding Reference](#)

Requesting a Full ATON Transfer

To request a full ATON transfer

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *ATON*.
4. In the Type list, select *Full*.

The **Check Eligibility** button appears.

The screenshot shows a form with three dropdown menus: 'Transfer Method' set to 'ATON', 'Type' set to 'Full', and 'Source' set to 'Choose One'. Below the dropdowns is a grey box containing the text 'Click the **Check Eligibility** button to verify that the positions you want to transfer are eligible for your selected transfer method.' and a black button labeled 'Check Eligibility'.

- 5. Optionally, check the eligibility of your positions by clicking the **Check Eligibility** button. For details, see [Checking Position Eligibility for a Full ACATS of ATON Transfer.](#)
- 6. In the Source list, select your third-party broker. You can type the first two or three letters of the broker's name to quickly jump to that broker in the list.

The screenshot shows the 'Position Transfers' page with the 'Source' dropdown menu open. The dropdown list includes the following brokers: Alberta Treasury BR, Bank Laurentienne CDA, BMO Nesbitt Burns INC, Caldwell Securities, CANACCORD GENUITY CORP., Canadian Shareowner INV INC, Cavali S.A. I.C.L.V., CIBC Mellon, CIBC World Markets, Cormark Sec, DWM Securities Inc, E3M Investments INC, Edward Jones Canada, Fidelity Clearing Canada, Global Securities, GMP Securities Ltd., Haywood Securities, HSBC Securities (CDA) Inc, and Intl. Advisory Services Group.

The ATON Request page appears.

Transfer Method:	Type:	Source:
ATON - Canadian Asset Transfer	Full Video Help	Alberta Treasury BR

Deposits & Transfers – ATON

This form authorizes the transfer of assets held at a Third Party Broker to be moved to Interactive Brokers.

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Third Party Broker account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » The transfer of option positions during the week of expiration is generally not allowed in order to minimize balancing issues should an exercise or assignment occur while the transfer is in process. As a transfer may reject should the request include unsettled trades, account holders are encouraged to avoid trading in the account being transferred from during the transfer process. Delivering brokers will often "freeze" the account from trading to minimize the chance of the transfer rejecting.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

Account Title:	Applicant: 1181181
Account Number:	1181181
Tax Identification Number:	1181181
Customer Type:	INDIVIDUAL

Third Party Broker Account Information

Account Number:

Please enter your account number exactly as it appears on your statement. An incorrect account number will delay the transfer of assets.

Assets to be Transferred

Do you have a margin loan at your third-party broker?	<input type="radio"/> Yes	<input type="radio"/> No
Does your third-party broker account hold any short positions?	<input type="radio"/> Yes	<input type="radio"/> No
Does your third-party broker account hold any option positions?	<input type="radio"/> Yes	<input type="radio"/> No

- In the Account Information section, verify that your Account Title, Account Number, Tax ID Number and Customer Type exactly matches the information in your third-party broker account
- In the Third Party Broker Account Information section, type the account number for your third-party broker account exactly as it appears on your statement from your delivering firm.
- In the Assets To Be Transferred section, click the appropriate radio button to answer Yes or No to the three questions.
- Click **Continue**.
- On the page that appears, type your signature in the Signature field, and then click **Continue**.
- On the Confirmation page, enter the confirmation number that you received via email in the Confirmation Number field, then click **Confirm**.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

- [Funding Reference](#)

Partial ATON Transfers without Instructions

Note: See [Position Instructions](#) for information about viewing and deleting position instructions. ATON Position Instructions can only be used with Partial ATON transfers.

To request a partial ATON transfer without a Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *ATON*.
4. In the Type list, select *Partial*.
5. In the Source list, select your third-party broker. You can type the first two or three letters of the broker's name to quickly jump to that broker in the list.

The ATON Request page appears.

Deposits & Transfers – ATON

This form authorizes the transfer of assets held at a Third Party Broker to be moved to Interactive Brokers.

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Third Party Broker account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » The transfer of option positions during the week of expiration is generally not allowed in order to minimize balancing issues should an exercise or assignment occur while the transfer is in process. As a transfer may reject should the request include unsettled trades, account holders are encouraged to avoid trading in the account being transferred from during the transfer process. Delivering brokers will often "Freeze" the account from trading to minimize the chance of the transfer rejecting.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

Account Title:	Applicant (1188188)
Account Number:	(1188878)
Tax Identification Number:	(11888888)
Customer Type:	INDIVIDUAL

Third Party Broker Account Information

Account Number:

Please enter your account number exactly as it appears on your statement. An incorrect account number will delay the transfer of assets.

Assets to be Transferred

Do you have a margin loan at your third-party broker?	<input type="radio"/> Yes <input type="radio"/> No
Does your third-party broker account hold any short positions?	<input type="radio"/> Yes <input type="radio"/> No
Does your third-party broker account hold any option positions?	<input type="radio"/> Yes <input type="radio"/> No

✖ Cancel
Continue →

6. In the Third Party Broker Account Information section, type the account number for your third-party broker account exactly as it appears on your statement from your delivering firm.
7. In the Assets To Be Transferred section, click the appropriate radio button to answer Yes or No to the three questions.
8. Click **Continue**.

The Partial ATON Transfer page appears.

Transfer Method: ATON - Canadian Asset Transfer

Type: Partial [Video Help](#)

Source: Alberta Treasury BR

Partial ATON Transfer

Select an item from the list below, then click **Add**.

- Stocks
- Warrants
- Options
- Canadian Stocks
- Canadian Options
- Cash

9. Select an asset type to transfer, then click the **Add** button.
10. Enter the required information for each asset to be transferred, then click **Add**.

Partial ATON - Stock Input Deposits

Symbol: IBM

Shares: 1000

Position: Long

Exchange (optional):

Action: Add

Cancel Finish

Each time you click **Add**, the partial asset you specified is added to the list of assets to transfer.

Partial ATON - Stock Input Deposits

Symbol:

Shares:

Position: Long

Exchange (optional):

Action: Add

IBM	1000	long	Remove
-----	------	------	--------

Cancel Finish

11. Click **Remove** to remove an asset from the list.
12. When the list of assets to be transferred is complete, click **Finish**.
13. Repeat Steps 10-14 for each asset type.
14. On the ATON Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.

15. On the Confirmation page, enter the confirmation number that you received via email in the Confirmation Number field, then click **Confirm**.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

Partial ATON Transfers with Existing Instruction

Note: See [Position Instructions](#) for information about viewing and deleting position instructions. ATON Position Instructions can only be used with Partial ATON transfers.

To request a partial ATON transfer using an existing Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *ATON*.
4. In the Type list, select *Use/Create Instruction*. This option allows you to use an existing Position Instruction or create a new one.
5. In the Instruction list, select a previously-created Position Instruction from the list.

The instruction details appear on the screen and you can immediately begin adding assets to your partial ATON transfer.

Transfer Method:	Type:	Instruction:
ATON - Canadian Asset Transfer	Use/Create Instruction	ATON Partial

ATON Instruction Details	
ATON Instruction Name:	ATON Partial
Account Title:	Applicant
Tax Identification Number:	
Customer Type:	INDIVIDUAL
Interactive Brokers Account Number:	
Third-party Broker Name:	CANACCORD GENUITY CORP.
Third-party Broker Account Number:	1234

Partial ATON Transfer	
Select an item from the list below, then click Add .	
Stocks	+ Add

6. Select an asset type to transfer, then click the **Add** button.
7. Enter the required information for each asset to be transferred, then click **Add**.

Partial ATON – Stock Input Deposits				
Symbol:	Shares:	Position:	Exchange (optional):	Action:
IBM	1000	Long		+ Add

Cancel
Finish

Each time you click **Add**, the partial asset you specified is added to the list of assets to transfer.

Partial ATON – Stock Input Deposits				
Symbol:	Shares:	Position:	Exchange (optional):	Action:
		Long		+ Add
IBM	1000	long		Remove

Cancel
Finish

8. Click **Remove** to remove an asset from the list.
9. When the list of assets to be transferred is complete, click **Finish**.
10. Repeat Steps 6-9 for each asset type.
11. On the ATON Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.
12. On the Confirmation page, enter the confirmation number that you received via email in the Confirmation Number field, then click **Confirm**.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

Creating an ATON Position Instruction

Note: See [Position Instructions](#) for information about viewing and deleting position instructions. ATON Position Instructions can only be used with Partial ATON transfers.

To create a new ATON Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account, in the Client/Sub Account Selection area, use the radio buttons to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account whose transaction history you want to view.
3. In the Transfer Method list, select *ATON*.
4. In the Type list, select *Use/Create Instruction*. This option allows you to use an existing Position Instruction or create a new one.
5. In the Instruction list, select *Add New Instruction*.

If you select this option, you will be prompted to create and save the new instruction first, and then you will have to start a new position transfer request and select the instruction you just created. Note that you can only use Position Instructions for partial ATON transfers.

6. Read the important information on the screen, then enter the name of the new Position Instruction. This is the name that will appear in the Instruction list after the new instruction is saved.
7. Select your third-party broker from the Source list, then enter your account number with the selected broker.

Create ATON Instruction

Provide the following information to create a(n) ATON Instruction. This form authorizes the transfer of assets held at a Third Party Broker to be moved to Interactive Brokers.

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Third Party Broker account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » The transfer of option positions during the week of expiration is generally not allowed in order to minimize balancing issues should an exercise or assignment occur while the transfer is in process. As a transfer may reject should the request include unsettled trades, account holders are encouraged to avoid trading in the account being transferred from during the transfer process. Delivering brokers will often "freeze" the account from trading to minimize the chance of the transfer rejecting.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

ATON Instruction Name:	<input type="text"/>
Account Title:	Applicant (101100)
Account Number:	00000000
Tax Identification Number:	00000000
Customer Type:	INDIVIDUAL

Third Party Broker Account Information

Source:	Choose One <input type="button" value="v"/>
Account Number:	<input type="text"/>

8. In the Assets To Be Transferred section, click the appropriate radio button to answer Yes or No to the three questions.
9. Click **Continue**.
10. On the ATON Signature page, review the information on the page, and then type your name in the Signature field and click **Continue**.
11. On the next page, verify your identity by typing your password and the confirmation number we emailed you in the fields provided.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

12. Your new Position Instruction has been created. Now return to the Funding > Position Transfers page and begin a new [partial ATON transfer using your newly-created Position Instruction](#).

For more information

Checking Position Eligibility for a Full ACATS or ATON Transfer

Whenever you want to request a full ACATS or full ATON position transfer, you can perform a position eligibility check to verify that the positions you want to transfer are eligible for your selected transfer method.

There are two ways to check position eligibility:

- [Manually enter contract details](#)
- [Upload a .CSV file](#)

To manually check position eligibility for a full ACATS or full ATON position transfer

1. Click **Funding > Position Transfers**.
2. Select either *ACATS* or *ATON* as the Transfer Method.
3. Select *Full* as the Type.

The Check Eligibility button appears.

Transfer Method: ACATS Type: Full Source: Choose One

Click the **Check Eligibility** button to verify that the positions you want to transfer are eligible for your selected transfer method.

Check Eligibility

4. Click **Check Eligibility**.

Transfer Eligibility

Check to see which positions we will accept for transfer.

I want to enter my positions one by one.

Enter Contract Details

I have my positions in a CSV file that I want to upload.

Upload File

Cancel

5. Click **Enter Contract Details**.

Transfer Eligibility

Select the type of position, then click Add.

Stocks

Add Stocks

Symbol: Shares: All Position: Long Exchange (optional): Include Non-US Stocks Action:

6. Select the asset class (type of position) from the drop-down.
7. Add contracts by filling in the fields for each symbol, then clicking the **+Add** button.
8. When you are done adding contracts, click **Submit**.

The Transfer Eligibility Summary opens.

Transfer Eligibility Summary

A summary of the transfer eligibility of your positions is shown below.

Stocks

Symbol	Shares	Position	Non-US	Exchange	Eligible
IBM	100	long	N		✓
aapl	100	long	N		✓

The Transfer Eligibility Summary lists all of the positions you entered and marks eligible positions with a check mark in the Eligible column. The Eligible column is blank for ineligible positions .

9. Perform one of these optional steps:
 - Click **Export** to save the data to a .CSV file, which you can use to [submit a partial ACATS or ATON request](#).
 - Click **Print** to print the list.
10. Click **Finish** to complete the eligibility check.
11. If all of the positions you entered are eligible for the transfer, you can submit a new request for a [full ACATS](#) or a [full ATON](#) transfer.

To upload positions in a .CSV file

1. Click **Funding > Position Transfers**.
2. Select either *ACATS* or *ATON* as the Transfer Method.
3. Select *Full* as the Type.

The **Check Eligibility** button appears.

Transfer Method: ACATS Type: Full Source: Choose One

Click the **Check Eligibility** button to verify that the positions you want to transfer are eligible for your selected transfer method.

Check Eligibility

4. Click **Check Eligibility**.

Transfer Eligibility

Check to see which positions we will accept for transfer.

I want to enter my positions one by one.

Enter Contract Details

I have my positions in a CSV file that I want to upload.

Upload File

Cancel

5. Click **Upload File**.

Upload File

The file must be a CSV (comma-separated values) file, and must contain the following fields:

- » **Stocks:** Symbol, Quantity, Long/Short, Non-US (optional), Exchange (optional)
- » **Warrants:** Symbol, Quantity, Long/Short, Put/Call, Strike (optional), Expiration Date (optional)
- » **Options:** Underlying Symbol, Quantity, Long/Short, Put/Call, Strike, Expiration Date, Non-US (optional)
- » **US Mutual Funds:** Symbol, Quantity, Exchange (optional)
- » **US Bonds:** CUSIP, Quantity
- » **Cash:** Amount, Margin Loan/Cash Balance, Currency (optional)

Here is a sample of an Excel spreadsheet prepared for upload:

	A	B	C	D	E	F	G	H
1	Stock	ABC		5 Long	Y	TSE		
2	Warrant	DEF		1 Short	Put	100	20130205	
3	Option	GHI		2 Long	Call	500	20130320	N
4	Mutual Fund	JKL		10 NYSE				
5	Bond	000ABC123		5				
6	Cash		10000	Cash Balance	USD			

Cancel **Browse...** No file selected. **Upload**

6. Be sure you have already prepared and reviewed your .CSV file. The Upload File window lists the formatting requirements for your .CSV file.

To avoid errors, you should also review the [rules for uploading positions in a .CSV file](#) before you upload your file.

7. Click **Browse**, then select the .CSV file you have prepared for this position transfer request. The name of the file that you select will appear next to the Browse button.
8. Click **Upload**.

A summary of the positions in your .CSV file and their eligibility for your selected transfer method appears in the Transfer Eligibility Summary window.

The screenshot shows a form with three dropdown menus. The first is labeled 'Transfer Method:' and has 'ACATS' selected. The second is labeled 'Type:' and has 'Full' selected. The third is labeled 'Source:' and has 'Choose One' selected. Below these is a text box containing the instruction: 'Click the Check Eligibility button to verify that the positions you want to transfer are eligible for your selected transfer method.' and a button labeled 'Check Eligibility'.

9. Optionally, click **Print** to print the eligibility summary.
10. Click **Finish**.

For more information

- [Funding Reference](#)

DRS Transfers

The Position Transfers page lets you transfer stocks and warrants using DRS (Direct Registration System) between a Transfer Agent and your account. DRS provides registered owners with the option of holding their assets on the books and records of the Transfer Agent in book-entry form. Through DRS, assets can be electronically transferred to and from the transfer agent and broker/dealer..

Note: Your Account Name, Tax Identification Number and Customer Type (i.e. individual, joint, Roth IRA), must exactly match the third-party broker account in order for the transfer to take place.

To request a DRS transfer

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *DRS - Direct Registration System*.
4. In the Type list, select *Deposit*.

The DRS Request page appears.

Position Transfers – 8110000275 ?

Transfer Method: DRS - Direct Registration System **Type:** Deposit

DRS

This form authorizes the transfer of assets held at a Transfer Agent to be moved to Interactive Brokers.

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Transfer Agent account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

Account Title:	Applicant: 1180180
Account Number:	000000000
Tax Identification Number:	000000000
Customer Type:	INDIVIDUAL

Transfer Agent Account Information

Account Number:

5. In the Account Information section, verify that your Account Title, Account Number, Tax ID Number and Customer Type exactly matches the information in your third-party broker account.
6. In the Transfer Agent Account Information section enter the account number for your Transfer Agent account, then click **Continue**.

The DRS Transfer page appears.

Transfer Method: DRS - Direct Registration System **Type:** Deposit

DRS

Select an item from the list below, then click **Add**.

7. Select an asset type to transfer, then click the **Add** button.
8. Enter the required information for each asset to be transferred, then click **Add**.

Partial DRS - Stock Input Deposits

Symbol:	Shares:	Position:	Exchange (optional):	Action:
IBM	1000	Long		+ Add

Cancel Finish

Each time you click **Add**, the asset you specified is added to the list of assets to transfer.

Partial DRS - Stock Input Deposits

Symbol:	Shares:	Position:	Exchange (optional):	Action:
		Long		+ Add
IBM	1000	long		X Remove

Cancel Finish

9. Click **Remove** to remove an asset from the list.
10. When the list of assets to be transferred is complete, click **Finish**.
11. Repeat Steps 7-10 for each asset type.
12. On the DRS Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.
13. On the next page, verify your identity by typing your password and the confirmation number we emailed you in the fields provided.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

- [Funding Reference](#)

DWAC Transfers

The Position Transfers page lets you transfer stocks and warrants using DWAC (Deposit/Withdrawal at Custodian) between a Transfer Agent and your account. DWAC is an automated system for deposits and withdrawals of securities at DTC.

Note: Your Account Name, Tax Identification Number and Customer Type (i.e. individual, joint, Roth IRA), must exactly match the third-party broker account in order for the transfer to take place.

To request a DWAC transfer

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *DWAC - Deposit/Withdrawal at Custodian*.
4. In the Type list, select one of the following:
 - *Deposit* - Select this option to transfer assets from a Transfer Agent to your account.
 - *Withdraw* - Select this option to transfer assets from your account to a Transfer Agent.

The DWAC Request page appears.

DWAC Withdraw

This form authorizes the transfer of assets held at Interactive Brokers to be moved to a Transfer Agent.

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Transfer Agent account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

Account Title:	Applicant (100000)
Account Number:	00000000
Tax Identification Number:	000000000
Customer Type:	INDIVIDUAL

Transfer Agent Account Information

Reference ID:	<input type="text"/>	(optional)
Account Number:	<input type="text"/>	

5. In the Account Information section, verify that your Account Title, Account Number, Tax ID Number and Customer Type exactly matches the information in your third-party broker account.
6. In the Transfer Agent Account Information section enter the account number for your Transfer Agent account, then click **Continue**. Optionally enter a Reference ID.

The DWAC Transfer page appears.

The screenshot shows the DWAC Transfer page. At the top, there are two dropdown menus: "Transfer Method:" set to "DWAC - Deposit/Withdrawal at Custodian" and "Type:" set to "Withdraw". Below this is a section titled "DWAC" with the instruction "Select an item from the list below, then click **Add**." A dropdown menu is open, showing "Stocks" (selected), "Warrants", and "Warrants". A green "+ Add" button is visible to the right of the dropdown.

7. Select an asset type to transfer, then click the **Add** button.
8. Enter the required information for each asset to be transferred, then click **Add**.

The screenshot shows the "Partial DWAC - Stock Input Deposits" form. It has five input fields: "Symbol:" (containing "IBM"), "Shares:" (containing "1000"), "Position:" (containing "Long"), "Exchange (optional):" (empty), and "Action:" (containing a green "+ Add" button). Below the form are "Cancel" and "Finish" buttons.

Each time you click **Add**, the asset you specified is added to the list of assets to transfer.

The screenshot shows the "Partial DWAC - Stock Input Deposits" form with a list of assets. The list has columns for "Symbol:", "Shares:", "Position:", "Exchange (optional):", and "Action:". The first row is highlighted with a red border and contains "IBM", "1000", "long", and a grey "X Remove" button. The "Add" button is still visible above the list. "Cancel" and "Finish" buttons are at the bottom.

9. Click **Remove** to remove an asset from the list.
10. When the list of assets to be transferred is complete, click **Finish**.
11. Repeat Steps 7-10 for each asset type.
12. On the DWAC Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.

13. On the next page, verify your identity by typing your password and the confirmation number we emailed you in the fields provided.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

- [Funding Reference](#)

Transferring Positions to an Advisor-Managed Account

Individual account holders can transfer all or some of their assets from their existing account to an Advisor-managed account or segment.

To transfer all of your assets into an Advisor-managed account

1. Identify an Advisor-managed account you want to join as a client, then request that Advisor to initiate a client account invitation.
2. Complete or have the Advisor complete the Advisor Client Account Application.

Note: The Account Titles and Tax IDs for your existing account and the new Advisor Client account must match.

3. Once your Advisor Client Account is open, log into Account Management with the username and password of your original account.
4. Click **Funding > Position Transfers**.
5. In the Transfer Method list, select *Advisor-Managed Account Asset Transfer*.
6. Enter the following information in the fields provided:
 - The username of the destination account (the destination account is the Advisor-Managed account).
 - The password of the destination account.
 - The account ID of the destination account.
7. Click **Continue**.
8. Confirm your identity by entering the confirmation number sent to you via email, then click **Confirm**.

Your original account will be closed when your assets are transferred to an Advisor-managed account.

Note: You can also create a new Advisor- or Broker-managed account or account segment while retaining your existing account. For more information see [Linking to an Advisor- or Broker-Managed Account](#),

Transfer International Assets

The Position Transfer page lets you transfer assets from Asia and Europe into your account. You can request inbound international transfers only. As part of this request process, you must use a previously-created Position Instruction or create a new instruction.

At any time during this procedure, you can click **Cancel** to cancel the request and start over.

To request an inbound transfer of Asian or European positions

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *International Assets*.
4. In the Type list, select *Deposit*.
5. You must create a Position Instruction to transfer international assets. In the Instruction list, do one of the following:
 - If you have not yet created a Position Instruction, select *Add New Instruction*.
 - If you have already created a Position Instruction (for example, you created a new instruction as part of a previous request to transfer international assets), select the instruction.

Position Transfers

Transfer Method:	Type:	Instruction:
International Assets	Deposit	Choose One

6. If you selected *Add New Instruction*, complete the Create Transfer Instruction section. After you complete your transfer request, the instruction will be saved in our system and available to you for future international position transfers.

Create Transfer Instruction	
Instruction Name:	<input type="text"/>
Account Title:	Bank of America - 123456789
Account Number:	123456789
Customer Type:	INDIVIDUAL

7. Complete the Third Party Broker Account Information section, and then click **Continue**. This section describes the brokerage firm where the positions to be transferred are currently located.

Third Party Broker Account Information	
Brokerage Firm / Bank Name:	Choose One
Account Number:	
Account Title:	
Account Type:	Choose One
Brokerage Firm / Bank Address Line 1:	
Brokerage Firm / Bank Address Line 2:	
Brokerage Firm / Bank City:	
Brokerage Firm / Bank State/Province:	
Brokerage Firm / Bank Country:	Choose One
Contact Name:	
Contact Email:	
Contact Phone:	
Contact Fax:	
Approximate Account Value	Choose One
Do you have a margin loan at your third-party broker?	<input type="radio"/> Yes <input type="radio"/> No
Does your third-party broker account hold any short positions?	<input type="radio"/> Yes <input type="radio"/> No
Does your third-party broker account hold any option positions?	<input type="radio"/> Yes <input type="radio"/> No

8. On the next page, select the search criteria for the assets you to be transferred from the Search for drop-down. Search for Stocks/ETFs, Bonds, Structured Products or Options.

Asset Transfer	
Search for:	Choose One
	Choose One
	Stocks / ETFs
	Bonds
	Structured Products
	Options

9. Complete all relevant fields for the assets to be transferred, and then click **Search**.
- For Stocks, you can choose to search by Symbol, ISIN or CUSIP.
 - For Bonds and Structured Products, you can search by ISIN.
 - For Options, you can search by underlying symbol.

For example, to search for stocks by symbol, select the Search by Symbol radio button and then enter the symbol and quantity and optionally, the exchange and currency, and then click **Search**.

To search for options, enter the underlying symbol, quantity, select Put or Call, and enter the strike and expiration date, and then click **Search**.

4. A popup appears with all possible asset matches. Click the radio button that corresponds to the correct asset.

	Asset Type	Symbol	Description of Asset
<input type="radio"/>	STOCK	TLO	TESLA MOTORS INC
<input type="radio"/>	STOCK	TSLA	TESLA MOTORS INC
<input type="radio"/>	STOCK	TSLA	TESLA MOTORS INC
<input type="radio"/>	STOCK	TSLA	TESLA MOTORS INC

5. The asset is added to the screen. Add more assets to transfer by selecting another item from the Search for dropdown and clicking **Search**.

Asset Transfer

Search for:

Symbol	Quantity	Exchange (optional)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Search"/>

Asset Type	Symbol	Quantity	Description of Asset
<input type="checkbox"/> STOCK	MSFT	100	MICROSOFT CORP
<input type="checkbox"/> STOCK	TSLA	100	TESLA MOTORS INC

Signature

User Name:

Account Title:

Dated:

Signature:

By typing my signature and sending it via the internet, I acknowledge that I have read and understand all information provided during the application process; that I intend INTERACTIVE BROKERS LLC to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

6. To remove an asset from the screen (for example, if for any reason you decide not to transfer a particular asset or if you selected the wrong asset), click the **X** next to the asset.
7. When you are finished adding assets, click **Continue**.
8. Click **OK**.

For more information

- [Funding Reference](#)

FOP Transfers

The Position Transfers page lets you use a Free of Payment (FOP) transfer to move long US stock, warrant and US Bond positions from another US bank or broker that is a member of the DTC to your account, (deposit) or from your account to another US bank or broker that is a member of the DTC (withdraw).

When you select FOP as the transfer method on the Position Transfers page, you can:

- [Request an FOP transfer without a Position Instruction](#), in which you request an FOP transfer without using an FOP Position Instruction.
- [Request a FOP transfer using a Position Instruction](#), in which request an FOP transfer using a previously-created Position Instruction.
- [Create a new Position Instruction](#), which lets you save and reuse third-party broker information for future FOP transfers.

Note: Your Account Name, Tax Identification Number and Customer Type (i.e. individual, joint, Roth IRA), must exactly match the third-party broker account in order for the transfer to take place.

For more information

- [Funding Reference](#)

FOP Transfer without Instruction

Note: See [Position Instructions](#) for information about viewing and deleting position instructions.

To request an FOP transfer without using a Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *Free of Payment*.
4. In the Type list, select one of the following options:
 - *Withdraw* - Select this option to transfer US stock positions from your account to a US bank or broker that is a member of the DTC.
 - *Deposit* - Select this option to transfer US stock positions from a US bank or broker that is a member of the DTC to your account.

You must contact your third-party broker to initiate a Deposit-type transfer.

5. In the Source list, select your third-party broker. You can type the first two or three letters of the broker's name to quickly jump to that broker in the list.

The FOP Request page appears.

Position Transfers - (\$1000000.75)

Transfer Method: Free of Payment | **Type:** Withdraw | **Destination:** ABN AMRO CLEARING CHICAGO LLC (P)

Withdrawals & Transfers - FOP

Your Account Name, Tax Identification Number, and Customer Type (i.e. individual, joint) for your Interactive Brokers Account must exactly match the third-party broker account in order for the transfer to take place.

Interactive Brokers Account Information

Account Title: | Applicant: |
 Account Number: |
 Tax Identification Number: |
 Customer Type: INDIVIDUAL

Third Party Broker Account Information

Account Number: |

Cancel | Continue

6. In the Account Information section, verify that your Account Title, Account Number, Tax ID Number and Customer Type exactly matches the information in your third-party broker account.
7. In the Third Party Broker Account Information section, type the account number for your third-party broker account exactly as it appears on your statement from your delivering firm, then click **Continue**.

The FOP Transfer page appears.

Transfer Method: Free of Payment | **Type:** Withdraw | **Destination:** ABN AMRO CLEARING CHICAGO LLC (P)

FOP Transfer

Select US Stock positions, US Warrant positions, and Corporate Municipal Bond positions by making the appropriate selection and then clicking on the Add button below, then entering information about each position.

Stocks | + Add

Stocks
Warrants
US Bonds

8. Select an asset type to transfer, then click the **Add** button.
9. Enter the required information for each asset to be transferred, then click **Add**.

The screenshot shows the 'FOP Stock Input Deposits' form. It has four input fields: 'Symbol' (containing 'IBM'), 'Shares' (containing '1000'), 'Exchange (optional)' (empty), and 'Action' (containing a '+ Add' button). Below these fields are 'Cancel' and 'Finish' buttons. At the bottom left, there is a 'Stocks' dropdown menu and another '+ Add' button.

Each time you click **Add**, the asset you specified is added to the list of assets to transfer.

The screenshot shows the 'FOP Stock Input Deposits' form with a list of assets. The 'Symbol' and 'Shares' fields are empty. Below the input fields is a table with one row: 'IBM' in the 'Symbol' column and '1000' in the 'Shares' column. To the right of this row is a 'Remove' button. Below the table are 'Cancel' and 'Finish' buttons.

10. Click **Remove** to remove an asset from the list.
11. When the list of assets to be transferred is complete, click **Finish**.
12. Repeat Steps 8-11 for each asset type.
13. On the FOP Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.
14. On the next page, verify your identity by typing your password and the confirmation number we emailed you in the fields provided.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

FOP Transfer Using Existing Instruction

Note: See [Position Instructions](#) for information about viewing and deleting position instructions.

To request an FOP transfer without using a Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *Free of Payment*.
4. In the Type list, select *Use Instruction*. This option allows you to use an existing Position Instruction or create a new one.
5. In the Instruction list, select a previously-created Position Instruction from the list.

The instruction details appear on the screen.

Transfer Method:	Type:	Instruction:
Free of Payment	Use/Create Instruction	FOP1

FOP Instruction Details	
FOP Instruction Name:	FOP 1
Account Title:	Applicant
Tax Identification Number:	
Customer Type:	INDIVIDUAL
Interactive Brokers Account Number:	
Third-party Broker Name:	BARCLAYS CAPITAL INC.
Third-party Broker Account Number:	1324
FOP Type:	Withdraw

FOP Transfer	
Select US Stock, US Warrant or Corporate and Municipal Bond by making the appropriate selection and then clicking on the <i>Add</i> button below, then entering information about each position.	
Stocks	+ Add
Click the Upload File button to upload your positions in a CSV file.	
Upload File	

6. Select *Withdraw* or *Deposit* as the FOP Type, then being adding assets to your FOP transfer.
7. Select an asset type to transfer, then click the **Add** button.
8. Enter the required information for each asset to be transferred, then click **Add**.

Each time you click **Add**, the asset you specified is added to the list of assets to transfer.

9. Click **Remove** to remove an asset from the list.
10. When the list of assets to be transferred is complete, click **Finish**.
11. Repeat Steps 7-10 for each asset type.
12. On the FOP Signature page, review the information on the page. Delete assets from the list or add more assets to transfer as required. Then type your name in the Signature field and click **Continue**.
13. On the next page, verify your identity by typing your password and the confirmation number we emailed you in the fields provided.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

Or click **Cancel** to cancel the transfer request.

For more information

Creating Position Instruction for an FOP Transfer

Note: See [Position Instructions](#) for information about viewing and deleting position instructions.

To create a new FOP Position Instruction

1. Click **Funding > Position Transfers**.
2. If you have a master account, in the Client/Sub Account Selection area, use the radio buttons to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account whose transaction history you want to view.
3. In the Transfer Method list, select *Free of Payment*.
4. In the Type list, select *Use/Create Instruction*. This option allows you to use an existing Position Instruction or create a new one.
5. In the Instruction list, select *Add New Instruction*.

If you select this option, you will be prompted to create and save the new instruction first, and then you will have to start a new position transfer request and select the instruction you just created.

6. Read the important information on the screen, then enter the name of the new Position Instruction. This is the name that will appear in the Instruction list after the new instruction is saved.
7. Select your third-party broker from the Source list, then enter your account number with the selected broker.

Transfer Method:	Type:	Instruction:
Free of Payment	Use/Create Instruction	Add New Instruction

Create FOP Instruction

Provide the following information to create a(n) FOP Instruction. This instruction can be used to do FOP Withdrawal and FOP Deposit Notifications. **You must contact your third-party broker to initiate the transfer.**

- » Your Account Name, Tax Identification Number, and Interactive Brokers Account Customer Type (i.e. individual, joint) must exactly match the Third Party Broker account for the transfer to take place.
- » Interactive Brokers accepts only products that it makes available for trading. Certain products, such as some Mutual Funds and Limited Partnership units cannot be held in your Interactive Brokers account. You may check product availability via the Contract Search tool or submit a current copy of an account statement of your transferring broker to Customer Service who will review product eligibility on your behalf.
- » The transfer of option positions during the week of expiration is generally not allowed in order to minimize balancing issues should an exercise or assignment occur while the transfer is in process. As a transfer may reject should the request include unsettled trades, account holders are encouraged to avoid trading in the account being transferred from during the transfer process. Delivering brokers will often "freeze" the account from trading to minimize the chance of the transfer rejecting.
- » Your transfer is subject to a credit check upon arrival to ensure that your IB account remains margin compliant following transfer completion. If the effect of the transfer would create a margin deficiency, the transfer will be rejected.

Interactive Brokers Account Information

FOP Instruction Name:	FOP-2
Account Title:	Applicant
Account Number:	
Tax Identification Number:	000000000
Customer Type:	INDIVIDUAL

Third Party Broker Account Information

Enter your Third-Party Broker Account Number below, then click **Continue**. Confirm the DTC Participant # with your sending broker so as not to delay the processing of your FOP delivery.

Source:	Choose One
Account Number:	1234

8. Click **Continue**.
9. On the FOP Signature page, review the information on the page, and then type your name in the Signature field and click **Continue**.
10. On the next page, verify your identity by typing your password and the confirmation number we emailed you in the fields provided.

If you do not receive a Confirmation Number by email, please check your junk email folder as sometimes email filters block messages.

Or click **Resend Confirmation Number** to receive another confirmation email.

11. Your new Position Instruction has been created. Now return to the Funding > Position Transfers page and begin a new [FOP transfer using your newly-created Position Instruction](#).

For more information

US Futures Transfers

The Position Transfers page lets you transfer US futures positions and cash held from a third-party broker to your account. This process requires you to print out and complete a form, then fax the completed form to us.

If you are transferring more than one account, please complete one form for each account that you are transferring. The type of account at your current broker should match the account receiving the assets. If the account types do not match, please visit our [web site](#) to complete a new account application.

To transfer US futures to your account

1. Click **Funding > Position Transfers**.
2. If you have a master account or multiple accounts, use the Account Selector to search for and select the account for which you want to request a position transfer.
3. In the Transfer Method list, select *US Futures*.

The Transfer of Assets Form appears.

4. Print the form.
5. Complete the form, then fax it to us at the fax number indicated on the upper left corner of the form.

Transferring Positions Between Master and Sub Accounts

Non-disclosed brokers and STL account users with fund management access for the Master Account can transfer positions between the master account and its sub accounts, and between two sub accounts. Requests submitted during regular trading hours will transfer immediately. Requests submitted outside of regular trading hours will be processed the next business day.

To transfer positions between master and sub accounts

1. Click **Funding > Position Transfers**.
2. If you have a master account, in the Client/Sub Account Selection area, use the radio buttons to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account whose transaction history you want to view.
3. In the Transfer Method list, select *Position Transfer Between Master and Sub*.

The screen displays all position transfers for your account.

4. To request a new position transfer between your master account and a sub account, click **Request New Transfer**.
5. Select the source account from the drop-down list, then click **Continue**.
6. Select the destination account from the drop-down list, then click **Continue**.

The screen displays the symbol, asset class and available quantity of all positions held by the source account.

7. Provide transfer details as follows:

- To transfer all positions to the selected sub account, select the **Transfer all positions** check box, then click **Continue**.
 - To transfer some but not all positions to the selected sub account, enter the number to transfer in the Transfer Quantity field for each symbol listed, then click **Continue**.
 - For symbols whose positions you do not want to transfer, leave the Transfer Quantity field blank.
8. Verify that the transfer information is correct, then click **Confirm**.
 9. Confirm your identity by entering the confirmation number sent to you via email, then click **Confirm**.

The positions are transferred.

Transferring Positions Internally

The Fund Transfers page lets you transfer positions internally from your IB account to another IB account. The following rules apply to internal position transfers:

- Account Titles of both accounts must match.
- The country of legal residence of both accounts must match.
- For US customers, the US tax ID (Social Security number) of both accounts must match.
- For non-US Individual customers, the ID number, ID type (passport, driver's license, national ID, or alien ID) and ID-issuing country must match. For joint non-US customers, the IDs of both first and second holder must match.
- For non-US Organization customers, the government-issued ID and issuing country of both accounts must match.
- Linked accounts can use this type of position transfer.
- Position Transfer Requests are processed during regular trading hours. Requests submitted outside regular trading hours will be processed the next business day.
- The receiving account must be funded prior to the position transfer.

To request a cash withdrawal from your account

1. Click **Funding > Position Transfers**.
2. In the Transaction list, select *Transfer Positions Internally*.

The Internal Position Transfers page appears.

3. Select the source account from the Origin Account Number list, then click **Continue**.
 - Or click **Cancel** to cancel the transaction.
4. Select the destination account from Destination account number list, then click **Continue**.
5. Type the username and password of the destination account in the fields provided, then click **Continue**.
6. All available positions in the destination account are displayed on the screen, including symbol, asset class and available quantity. Complete the position transfer information by entering the number of each symbol that you want to transfer in the Transfer Quantity field, then click **Continue**.
7. For any position that you do NOT want to transfer, leave the Transfer Quantity field blank.
8. Verify the position transfer information, then click **Continue** to complete your internal position transfer request.

Position transfer requests are processed during regular business hours. Requests submitted at other times will be processed on the next business day.

Using CSV Files for Position Transfers

When you want to submit a position transfer request, you can prepare and upload a .CSV (comma-separated values) file to:

- [Submit a partial ACATS, ATON, DRS, DWAC or FOP position transfer](#);
- [Check if the positions you want to transfer in a full ACATS or ATON position transfer are eligible](#) to be transferred (this does not actually transfer positions).

We recommend using Microsoft Excel to create your upload file, then saving the file as a *.csv file.

Note: You do not have to upload a CSV file to do a partial position transfer or check the eligibility of your positions for a full transfer. You can still manually enter positions in partial position transfer, and you can manually enter positions to check their eligibility for a full ACATS or ATON position transfer.

For more information

Uploading Positions in a CSV File for Partial Position Transfers


You can upload a *.CSV (comma-separated values) file to submit a partial position transfer request for any of the following position transfer methods:

- ACATS
- ATON
- DRS
- DWAC
- FOP

To upload positions in a .CSV file for a partial position transfer

1. Follow the instructions for starting a partial position transfer request using [ACATS](#) or [ATON](#), a position transfer deposit or withdrawal using [DWAC](#) or [FOP](#), or a position transfer deposit using [DRS](#).
2. After you complete the required information for your position transfer request on the first page and click **Continue**, the Transfer page for your selected transfer method opens.

Here is an image of the Transfer page for an FOP position transfer:



3. Click **Upload File**.

The Upload File window opens. This window is identical for all eligible position transfers.

Upload File

The file must be a CSV (comma-separated values) file, and must contain the following fields:

- » **Stocks:** Symbol, Quantity, Long/Short, Non-US (optional), Exchange (optional)
- » **Warrants:** Symbol, Quantity, Long/Short, Put/Call, Strike (optional), Expiration Date (optional)
- » **Options:** Underlying Symbol, Quantity, Long/Short, Put/Call, Strike, Expiration Date, Non-US (optional)
- » **US Mutual Funds:** Symbol, Quantity, Exchange (optional)
- » **US Bonds:** CUSIP, Quantity
- » **Cash:** Amount, Margin Loan/Cash Balance, Currency (optional)

Here is a sample of an Excel spreadsheet prepared for upload:

	A	B	C	D	E	F	G	H
1	Stock	ABC		5 Long	Y	TSE		
2	Warrant	DEF		1 Short	Put	100	20130205	
3	Option	GHI		2 Long	Call	500	20130320	N
4	Mutual Fund	JKL		10 NYSE				
5	Bond	000ABC123		5				
6	Cash	10000	Cash Balance	USD				

Buttons: Cancel, Browse... No file selected., Upload

- Be sure you have already prepared and reviewed your .CSV file. The Upload File window lists the formatting requirements for your .CSV file.

To avoid errors, you should also review the [rules for uploading positions in a .CSV file](#) before you upload your file.

- Click **Browse**, then select the .CSV file you have prepared for this position transfer request. The name of the file that you select will appear next to the Browse button.
- Click **Upload**.
 - If your CSV file contains option entries for which our system has found multiple matching assets (this may happen if you have a mini-option and an option with matching contract details), the following window opens:

Multiple Assets Detected

We have found multiple assets that match one or more option entries in your CSV file. Select the correct contract to use for each option below.

Underlying	Quantity	Position	Put/Call	Strike	Expiration Date	Non-US	Select Contract
AAPL	100	Long	Call	420	20140222	N	Choose One
GOOG	100	Long	Call	900	20140322	N	Choose One
AMZN	All	Long	Call	380	20140322	N	Choose One

Buttons: Cancel, Continue

- This window lists all of the options in your .CSV file with multiple matching assets. For each underlying, select the correct contract in the *Select Contract* column. Click **Continue** when you are done.

Provided there are no errors, a summary of the positions in your .CSV file and their eligibility for your selected transfer method appears in the Transfer Eligibility Summary window.

Transfer Eligibility Summary

A summary of the transfer eligibility of your positions is shown below. To submit a transfer request for a product, click the check box in the **Include in Transfer** column. To submit transfer requests for all positions of an individual asset type, click the check box in the section's dropdown bar. Click **Finish** to continue your position transfer request.

Stocks						
Symbol	Shares	Position	Non-US	Exchange	Eligible	Include in Transfer
IBM	100	Long	N		✓	<input type="checkbox"/>
AAPL	50	Long	N		✓	<input type="checkbox"/>

- To include a position that is marked as Eligible in your position transfer, click the check box under the *Include in Transfer* column.
To include all positions, click the check box located at the far right of the asset class heading.
- Optionally, click **Print** to print the eligibility summary.
- Click **Finish**.

For more information

Rules for Uploading Positions in a CSV File

Observe the following rules when creating your *.CSV (comma separated values) file for either a position eligibility check for a full transfer or for a partial ACATS, ATON, DRS, DWAC or FOP position transfer:

- The file you upload must be a CSV-formatted file. Although we will process any uploaded file that is formatted as a CSV file, including files saved with a .txt extension, a .csv extension, or no extension, we recommend that you create your upload file in Microsoft Excel and save it as a *.csv file.
- Enter all dates using the yyyyymmdd format.
- All entries are case-insensitive (i.e. short = SHORT = ShOrT, etc).
- All quantities and cash amounts can accept the word All to indicate to transfer everything.
- When adding a stock, the Non-US indicator:
 - Defaults to N if not provided;
 - Will include US and Non-US exchanges if set to Y in an ACATS request;
 - Will only include Canadian exchanges if set to Y in an ATON request;
 - Is ignored in DRS, DWAC, and FOP transfers.
- When adding an option, the Non-US indicator:
 - Defaults to N if not provided;
 - Will only include Canadian contracts if set to Y in an ATON request;
 - Is ignored in ACATS, DRS, DWAC, and FOP transfers.
- When adding Cash, the currency field:

- Defaults to USD;
- Can be set to CAD or USD in ATON requests;
- Is ignored in ACATS requests.
- ACATS supports stocks, warrants, options, mutual funds, bonds and cash.
- ATON supports stocks, warrants, options and cash.
- DRS, DWAC and FOP support stocks, warrants and bonds.

Instructions

The Instructions menu includes the following tabbed pages:

- [Bank Information](#) - View and delete saved bank information used for deposits and withdrawals.
- [Recurring Transactions](#) - View and delete instructions for recurring transactions.
- [Position](#) - Create, edit and delete optional position instructions for ACATS, ATON, FOP, DRS and DWAC position transfers.
- [Settlement](#) - View and delete settlement instructions for recurring transfers of stocks, options, futures and futures options.

Bank Information

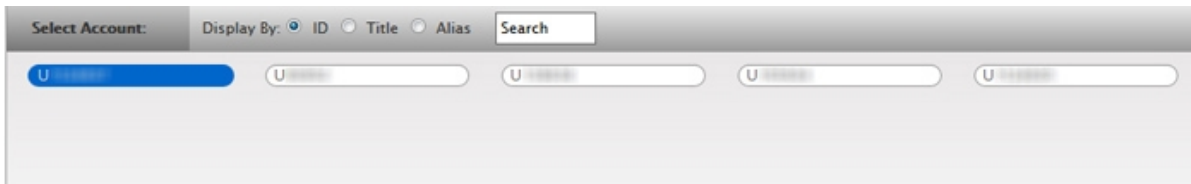
The Bank Information page lets you view and delete saved bank information. You cannot create new bank information on this page. You save bank information when you set up a deposit notification or a withdrawal on the Fund Transfers page.

Saved bank information contains information about a financial institution that you use in deposit notifications and/or withdrawals.

To view and delete bank information

1. Click **Funding > Instructions > Bank Information**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account.



To change the selected account, click the tab to open the Account Selector, and then click a different account.

Bank information is grouped into categories: Deposits, Withdrawals and information that can be used for both deposits and withdrawals (ACH/SEPA Initiated by Us).

Bank Information

Use this page to manage saved bank information.

IB Initiated ACH/SEPA			
▶ testme			
▶ TestInstructionAch			

Deposits			
▶ Test			
▶ Test Master Transfer			
▶ assdsaadss			

Withdrawals			
▶ Default			
▶ TestHM			
▶ testwire			

- Click the bank information you want to view to expand it.

Deposits			
▼ Test			
Sending Institution:	Citi		
Routing Number:	123456789		
Account Number:	12345678901234567890		
▶ Test Master Transfer			
▶ assdsaadss			

- To change the name of saved bank information, click the blue pencil icon on that row, then type a new name from 5 to 25 characters long. Click **Submit** to save your change.
- To delete bank information, click the **X** on that row, then click **OK** to confirm the deletion.

To modify bank information

You cannot modify saved bank information. You must delete the bank information, then save bank information when prompted on the Fund Transfers page during deposit or withdrawal transactions.

Bank Information Fields

The following table shows all the information that is saved in a bank instruction for each type of transaction. Note that check withdrawals do not require that you enter and save bank information.

Transaction Type and Method	Field	Notes
Deposits		
ACH from US Bank	Sending Institution	The name of the financial institution that will be sending the funds to your Account.
	Bank's ABA Number or SWIFT/BIC Code	The routing or transit number for your bank.
	Bank Account Number or IBAN	For countries outside the US. This field is optional.
	Name	The name of the instruction. This appears on the Bank Instructions page.
ACH Initiated at IB	Bank Country	The country in which the bank is located.
	Bank Account Number	Your bank account number.
	Bank Account Type	Checking or Savings.
	Bank Routing Transit Number (RTN)	This is also known as ABA Routing Number (ABA).
	Type of Instruction	One of the following: ACH Debit & Credit - For future deposits and withdrawals between us and your bank. ACH Credit Only - For future withdrawals from your account with us to your bank.
Name	The name of the instruction. This appears on the Bank Instructions page.	
Bill Payment	Sending Institution	The name of the financial institution that will be sending the funds to your Account.
	Bank's ABA Number or SWIFT/BIC Code	The routing or transit number for your bank.
	Bank Account Number or IBAN	For countries outside the US. This field is optional.

Transaction Type and Method	Field	Notes
Check (Information for check deposits only)	Sending Institution	The name of the financial institution that will be sending the funds to your Account.
	Bank's ABA Number or SWIFT/BIC Code	The routing or transit number for your bank.
	Bank Account Number or IBAN	This field is optional.
	Name	The name of the instruction. This appears on the Bank Instructions page.
Wire	Sending Institution	The name of the financial institution that will be sending the funds to your Account.
	Bank's ABA Number or SWIFT/BIC Code	The routing or transit number for your bank.
	Name	The name of the instruction. This appears on the Bank Instructions page.
Withdrawals		
ACH Initiated at IB	Bank Country	The country in which the bank is located.
	Bank Account Number	Your bank account number.
	Bank Account Type	Checking or Savings.
	Bank Routing Transit Number (RTN)	This is also known as ABA Routing Number (ABA).
	Type of Instruction	One of the following: ACH Debit & Credit - For future deposits and withdrawals between us and your bank. ACH Credit Only - For future withdrawals from your account to your bank.
	Name	The name of the instruction. This appears on the Bank Instructions page.

Transaction Type and Method	Field	Notes
Wire	Wire Type	One of the following: Bank Mutual Fund Brokerage Firm Credit Union Other
	Bank Country	The country in which the bank is located.
	Account Number	Your account number.
	International Banking Account Number (IBAN)	For countries outside the US where applicable.
	SWIFT/BIC Code	Where applicable.
	ABA Routing Number	Where applicable.
	Name	The name of the instruction. This appears on the Bank Instructions page.

Recurring Transactions

The Recurring Transactions page lets you view and delete instructions for saved recurring transactions. **You cannot create new recurring transactions on this page.** When you delete an instruction for a recurring transaction, you also cancel the recurring transaction. You are always given the opportunity to create a recurring transaction when you finish setting up a deposit notification or a withdrawal on the Fund Transfers page using saved bank information (also called a bank instruction).

A recurring transaction contains instructions to us about a transaction that you want to repeat on a regular basis. It includes the frequency of recurrence, amount of the transaction, transaction type, start and end dates and an instruction name.

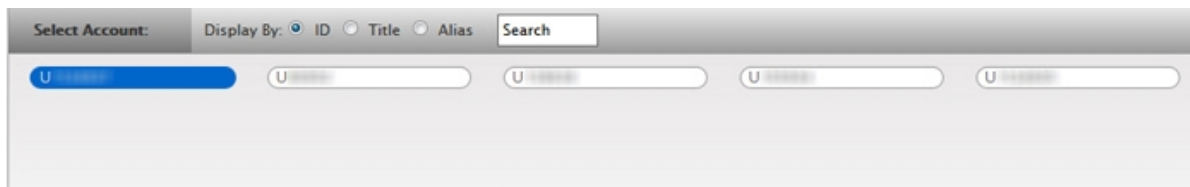
For each saved recurring transaction, the Recurring Transactions page displays:

- The name of the instruction that you entered on the Fund Transfers page.
- The frequency of recurrence (Monthly, Quarterly or Annually).
- The date on which the recurring transaction starts.
- The date on which the recurring transaction ends.
- The transaction method (Wire, ACH, etc.)
- The amount of the transaction.

To delete a recurring transaction

1. Click **Funding > Instructions > Recurring Transactions**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account.



To change the selected account, click the tab to open the Account Selector, and then click a different account.

- Click the **X** in the Action column for the recurring transaction that you want to delete.

Recurring Transactions

Use this page to manage recurring transactions.

Deleting a transaction removes the recurring transaction from the system and cancels all future transactions. If a recurring transaction is already in process, you must cancel it via the Transaction History page.

Name	Frequency	Start Date	End Date	Method	Type	Amount	Action
q	QUARTERLY	11/15/2013	-	WIRE	WITHDRAWAL	34 AUD	X

- Click **OK** to confirm the deletion.

The Action column for the deleted recurring transaction will now display *Deleted* and the recurring transaction is now canceled. The next time you open the Recurring Transactions page, the deleted item will no longer be displayed.

To modify a recurring transaction

You cannot modify a recurring transaction. If you want to modify a recurring transaction, you must delete the recurring transaction, then create a new recurring transaction on the Fund Transfers page when you finish setting up the deposit or withdrawal using saved bank information (also called a bank instruction).

Position Instructions

Position Instructions are optional instructions that you can create and use when you create certain types of position transfers. The Position Instructions page lets you view and delete existing Position Instructions.

Note: You cannot create a new instruction on Position Instruction page. You can only create a Position Instruction on the Position Transfer page after you select either ACATS, FOP or ATON as the transfer method.

A Position Instruction is a convenient way to re-use third-party broker information for the following types of position transfers:

- Automated Customer Account Transfer Service (ACATS) - Partial transfers only
- Free of Payment (FOP) for US stocks
- Account Transfer on Notification (ATON) for Canadian securities - Partial transfers only

When you request one of those types of position transfers on the Position Transfers page, you have the option of creating a new Position Instruction or using an existing Position Instruction.

Who can access the Position Instructions page?

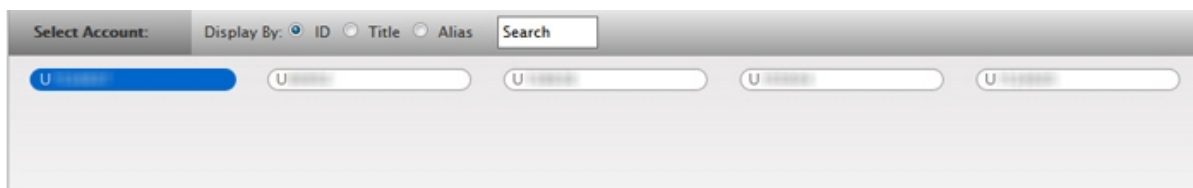
You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Organization (master and client account)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Non-Disclosed Client User
- Investment Manager Master User
- Fund

To use the Position Instructions page

1. Click **Funding > Instructions > Position**.

If you have a multiple account structure such as an institution account or multiple linked accounts, use the Account Selector at the top of the page to select an account.



To change the selected account, click the tab to open the Account Selector, and then click a different account.

The page displays all ACATS, ATON and FOP position instructions that you have created, sorted by transfer type.

Position Instructions

Use this page to manage instructions for ACATS, ATON, and FOP position transfers.

ACATS Instructions	
 asdasd	
 2014-03-05 03:36:15	
 2014-03-05 03:39:49	
 2014-03-25 04:12:44	
 2014-04-02 03:47:20	
 2014-04-03 04:53:10	

ATON Instructions	
 sadfd	

FOP Instructions	
 fopindiv	

2. Click the pen icon to view an instruction.

Note that you cannot directly modify the instruction. To modify an existing instruction, you must first delete the instruction on this page, then create a new instruction on the Position Transfer page.

3. To delete an existing instruction, click the **X** for the instruction.

For more information

Settlement Instructions

IB Execution Services customers can create, edit and delete settlement instructions on this page for trades that are given up to a third-party broker, and IB Prime Services customers can create, edit and delete settlement instructions for trades that are taken up from a third-party broker. Customers who want to allocate some or all of their trades to defined clearing brokers using [Post-Trade Allocations](#) must first create settlement instructions on this page.

- Delivery vs. Payment (DVP) and Receive vs. Payment (RVP) - DVP and RVP are instructions to deliver US stocks and bonds from one Depository Trust Account (DTC) to another in exchange for payment. DVP is from us to another broker, RVP is from another broker to us.
- Clearing Member Trade Agreement (CMTA) - CMTA is the securities options and US single stock futures equivalent of DVP/RVP and are cleared through the Options Clearing Corporation (OCC).
- GUS - GUS is a type of settlement instructions used to give up futures and futures options trades.

When you create a settlement instruction, you can select it as the default instruction for that asset type (stocks, bonds, options, futures and futures options). If no allocation is entered by the end of the trade day, the trade will be moved to the account specified in the default settlement instruction.

Who can access the Settlement Instructions page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Organization (master and client account)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Non-Disclosed Client User
- Investment Manager Master User
- Fund

The Settlement Instructions page displays instructions by asset type. Each section displays the status of each saved instruction with the default instruction labeled, and icons for Edit (the pen) and Delete (the X).

This is the page with all sections collapsed:

Settlement Instructions

Use this page to create, edit and delete settlement instructions for recurring transfers of stocks, options, futures and futures options.

Stocks		 Add New Settlement Instruction	
 PaperAM1	Default	Active	 
 Dtesting		Rejected	
Bonds		 Add New Settlement Instruction	
Options		 Add New Settlement Instruction	
 Ctesting		Rejected	
Futures		 Add New Settlement Instruction	
Futures Options		 Add New Settlement Instruction	

You can click the arrow button next to each saved instruction to view that instruction's details. Here is an example of a saved stock settlement instruction.

The screenshot shows a web form for adding a new settlement instruction under the 'Stocks' tab. The form is for a user named 'PaperAM' and is currently set to 'Default' and 'Active' status. The form fields are as follows:

Instruction Name:	PaperAM
Type:	DTCID
Institution ID:	988750
Agent Name:	JEFFERSON BANK & TRUST COMPANY
Agent ID:	988750
Participant ID:	158
Account ID:	12345678
Account Name:	Applicant 12345678
Role:	E

At the bottom of the form, there are two buttons: 'Cancel' and 'Save'.

To use the Settlement Instructions page

1. Click **Funding > Instructions > Settlement**.
2. To add a new instruction:
 - a. Click the plus sign in the Stocks, Bonds, Options, Futures or Futures Options section of the page to add a new settlement instruction.



The Add New Instruction screen opens.



- b. Complete the form on the screen then click **Continue** to create the new settlement instruction.

If you need to select a different type of settlement instruction or change information, click **Cancel**, then make a different selection.

- c. On the Confirmation screen, enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirmation Number** to have a confirmation number sent to your email address on record.

3. To change the name of an existing instruction, click the Edit icon for the settlement instruction you want to change, then change the name of the instruction and click **Save**.

4. To modify any information in an existing instruction, first delete the existing instruction by clicking the X for the instruction, then add a new instruction.
5. To delete an existing instruction, click the X for the instruction.

Settlement Instructions Fields

Click the Edit icon on the Settlement Instructions page to display the following information for each saved instruction:

Column	Description
For DVP and RVP settlement instructions, the following columns are displayed:	
Default	Identifies this as the default settlement instruction. If no allocation is entered by the end of the trade day, the trade will be moved to the account specified in the default instruction.
Instruction Name	The eight-character instruction name. You will use this instruction name in IB TWS and post-trade allocations to identify this instruction.
Type	The type of settlement instruction: NSCC (National Securities Clearing Corporation) DTCID (Depository Trust and Clearing Corporation) or DTCDO. Settlement instructions for bonds can only use DTCID.
Participant ID	Information that defines the NSCC, DTCID or DTCDO institution or agent. You do not have to enter this information. When you select or change the Type, this information appears automatically and is saved with the selected institution or agent.
Agent ID	
Agent Name	
Firm ID	
Account ID	Your account ID at your agent bank/broker.
Role	The title of your account with your agent bank/broker. Note that we will only transfer positions to an account with the same title as your account.
Status	The status of the settlement instruction.
For CMTA settlement instructions, the following columns are displayed:	
Default	Identifies this as the default settlement instruction. If no allocation is entered by the end of the trade day, the trade will be moved to the account specified in the default instruction.

Column	Description
Instruction Name	The eight-character instruction name. You will use this instruction name in IB TWS and post-trade allocations to identify this instruction.
Type	The type of settlement instruction. This is always CMTA (Clearing Member Trade Agreement).
Give-up Participant	The name of the selected give-up participant. When you create or modify an option settlement, this information is automatically saved with the selected participant.
Account ID	Your account ID at your agent bank/broker.
Role	The title of your account with your agent bank/broker. Note that we will only transfer positions to an account with the same title as your account.
Status	The status of the settlement instruction.
For GUS settlement instructions, the following columns are displayed:	
Default	Identifies this as the default settlement instruction. If no allocation is entered by the end of the trade day, the trade will be moved to the account specified in the default instruction.
Instruction Name	The eight-character instruction name. You will use this instruction name in IB TWS and post-trade allocations to identify this instruction.
Type	The type of settlement instruction. This is always GUS
Give-up Participant	The name of the selected give-up participant. When you create or modify a futures or futures option settlement, this information is automatically saved with the selected participant.
Account ID	Your account ID at your agent bank/broker.
Role	The title of your account with your agent bank/broker. Note that we will only transfer positions to an account with the same title as your account.
Status	The status of the settlement instruction.

Soft Dollars Disbursement

Use the Soft Dollars Disbursement page to request disbursements to soft dollars vendors and view existing disbursements and invoices. This page is only accessible after soft dollar vendor accounts have been set up here.

The Soft Dollars page only appears AFTER you have signed and submitted the Soft Dollars Agreement on the Request Soft Dollars page.

Who can access the Soft Dollars Disbursement page?

You can access this page only if you are a Fund Investment Manager or a Registered Professional Advisor and your soft dollar vendors have been set up and approved.

To request a Soft Dollar disbursement

1. Click **Funding > Soft Dollars Disbursement**.
2. Use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the account whose soft dollar disbursements you want to view.

The Soft Dollars page opens.

Soft Dollars

Use this page to view your accumulated soft dollars, soft dollar disbursements to existing vendors and elect to use accumulated soft dollars to pay for market data fees.

Current Balance as of yesterday for ████████ is : 36,738.40 USD

Vendor Details			
Vendor	Total Disbursed Amount (in USD)	Details	Request Disbursement
BCA Research Inc.	15,000.00	View Breakdown	Request Disbursement
Bloomberg Finance LP	0.00	View Breakdown	Request Disbursement
Fredco Holdings, Inc.	768.00	View Breakdown	Request Disbursement
Richard W. Arms	6,000.00	View Breakdown	Request Disbursement
The Financial Research Publishing Inc.	265.00	View Breakdown	Request Disbursement
Value Line Publishing, LLC	3,300.00	View Breakdown	Request Disbursement

The page shows:

- The total accumulated soft dollars for the selected account (Current Balance);
- All past soft dollar disbursements to each soft dollars vendor, including the vendor name and the total amount disbursed. If there are no past disbursements to the selected vendor, the total amount disbursed is shown as zero.

- View all soft dollar payments to a specific vendor by clicking the View Breakdown button. A popup window opens to show all payments to that vendor. Click the red X to close the popup window.

Request ID	Account Number	Invoice ID	Requested On	Amount in USD	Status	Invoice Details	Action
20858251	32	11	2015-09-15	222.00	Requested	View	Cancel
20855147	343	343	2015-09-14	333.00	Requested	View	Cancel
20855146	123	58	2015-09-14	25.00	Requested	View	Cancel
20843219	5235	4523	2015-09-09	52.00	Requested	View	Cancel
20838969	12354	5236	2015-09-04	12.00	Requested	View	Cancel
20824405	89	123	2015-08-27	25,000.00	Requested	View	Cancel
20824402	232	2331	2015-08-27	22.00	Requested	View	Cancel
20417774	1223	36	2015-01-09	150.00	Rejected by Compliance	View	

- View any individual invoice for a specific vendor by clicking the *View* link in the Invoice Details column.
- Request a disbursement to a soft dollar vendor by clicking the **Request Disbursement** button for a specific vendor.
- In the dialog, enter information into all fields. Upload your invoice by clicking the **Browse** button in the Upload Invoice field, and then selecting the invoice file on your computer. Click **Submit**.

✕

Request disbursement to **BCA Research Inc.**

Note: Invoices can only be paid in USD

Amount	<input type="text"/>	USD
Account Number at Vendor	<input type="text"/>	
Invoice ID	<input type="text"/>	
Upload Invoice	<input type="button" value="Browse..."/> No file selected.	
Description	<input type="text"/>	

For more information

- [Request Soft Dollars](#)

Manage Account

This chapter describes how to configure your account using the different account- and user-level settings in the Manage Account menu.

This chapter includes the following topics:

- [Account Information](#) - Modify personal information for individuals or entities associated with your account, modify your financial and regulatory information, update your W8 or W9 tax form, print a summary of your account details, view client accounts and invite clients to open accounts, and more.
- [Settings](#) - Configure all settings for your account, including base currency, pricing structure, margin account upgrades, paper trading account, account aliases, white branding and more.
- [Trade Configuration](#) - Access all trade-related configuration functions, including trading permissions, research and market data subscriptions.
- [Security](#) - Configure security-related settings for your account, including your account password, IP restrictions, sign up to vote in our online polls, request or share a Secure Login Device, and more.
- [Access Rights](#) - Add users and set their Account Management access rights, create user roles, and Security Officers can view account-level access rights and configure the number of authorizers.
- [Add or Link Accounts](#) - Create new accounts that are linked to your account, link existing multiple IB accounts under a single username and password, or link your account to an Advisor- or Broker-managed account. Proprietary Trading Group Master Users (Pool account) and Single Hedge Funds can also add sub accounts for authorized traders to their organizations.
- [Money Manager](#) - Advisors acting as Wealth Managers can shop for Money Managers at the Money Manager Marketplace and assign them to trade client accounts, while Money Managers can sell their trading expertise to Wealth Managers.
- [Trader Referral](#) - Invite a friend to open an account with us and receive a bonus of up to \$200.

Account Information

The Account Information menu includes the following pages:

- [Details](#) - Modify personal, financial and regulatory information, and print a summary of your account settings.
- [Updating Your W9](#) - Update your W-9 form.
- [Trading Sub Accounts](#) - Proprietary Trading Group Master Users can view and create sub accounts for authorized traders.
- [Broker Declaration](#) - Update your broker registration information.
- [Advisor Qualifications](#) - Update your advisor registration information.
- [Transfer on Death](#) - Register Transfer-On-Death beneficiaries.
- [Investor Category](#) - Answer a series of questions to determine if you qualify to trade a wider range of trading products.
- [Large Trader Identification](#) - Add SEC Large Trader ID's to your account.
- [EMIR and LEI Information](#) - Customers who are subject to the EMIR regulation can change their EMIR election.
- [Tax Information](#) - Update your W-8/W-9 tax form.

Details

The Details menu includes the following pages:

- [Account Details](#) - View and print a summary of your account settings.
- [Profile](#) - Change personal information, such as name and address, and your regulatory information for any individual or entity associated with your account.
- [Financial Information](#) - Change financial information such as investment objectives and net worth.
- [Regulatory Information](#) - Update the regulatory information for your account.

In addition, you can enable or disable [dividend reinvestment](#) for your own account from the Account Details page.

Account Details

The Print Account Details page lets you view and print a summary of all of your account settings. The following information is included in the account summary:

- Account configuration, including country, customer type and base currency
- Individual and Single Hedge Fund accounts can enable and disable [Dividend Reinvestment](#).
- Customer type and, for Master account users, an account structure diagram.
- Financial information, including investment objectives, net worth and annual income
- Investment experience
- Trading permissions, including the account type
- Market data, including products, countries and bundles

- Account holder details, including name, address and other personal information
- Accredited investor qualifications
- Regulatory information

Who can access the Print Account Details page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To view account details

1. Click **Manage Account > Account Information > Details > Account Details**.
2. Do one of the following:
 - To print your account details, click the **Print Account Details** button.
 - To print a PDF file of your account application, click **PDF Account Application**.
 - To view your account details, click a section heading to expand that section.

Note: You can open this page by clicking the *Account Details* link in the Account ID menu, located in the upper right corner of the screen.

The following figure shows a typical Account Details page.

Account Holder		Account Configuration	
Name	[Redacted]	Country of Legal Residence	United States
Address	[Redacted]	State/Prov. of Legal Residence	Connecticut
Phone Number	[Redacted]	Customer Type	Individual
Second Phone Number		Account Type:	Margin Edit
Fax Number		Trading Permissions	Stocks, Bonds, Options, Futures, Futures Options, Single Stock Futures, Mutual Funds, FXConversion Edit
Mailing Address	[Redacted]	Dividend Reinvestment	Enabled Edit
Date of Birth	29 May 1977	Subscriber Status	Non-Professional Edit
Country Of Citizenship	Spain	Email Address	nkokate@mail.timberhill Edit
Marital Status	Married	Base Currency	USD Edit
Number of Dependents	0	Regulatory Information	View Edit
Employment Type	Employed by Another	Financial Information Edit	
Occupation	web editor	Investment Objectives	Preservation
Employer Name	IB	Net Worth	50,000,000 – 999,999,999,999 USD
Nature of Employer's Business	broker dealer	Liquid Net Worth	100,000 – 249,999 USD
Employer Address	[Redacted]	Annual Net Income	100,000 – 149,999 USD
Employer Phone Number	[Redacted]	Stocks	2 / 51 – 100 / Extensive
		Bonds	4 / 26 – 50 / Extensive
		Options	3 / 51 – 100 / Extensive
		Futures	1 / > 100 / Good
		Forex	2 / > 100 / Extensive

[Print Account Details](#)
[PDF Account Application](#)

Profile

The Profile page lets you modify information for individuals or entities associated with your account. You can modify the following information:

- Name and address
- Personal information such as birthday and marital status
- Legal identification
- Employment information
- Regulatory information
- Phone numbers
- Tax Identification Number

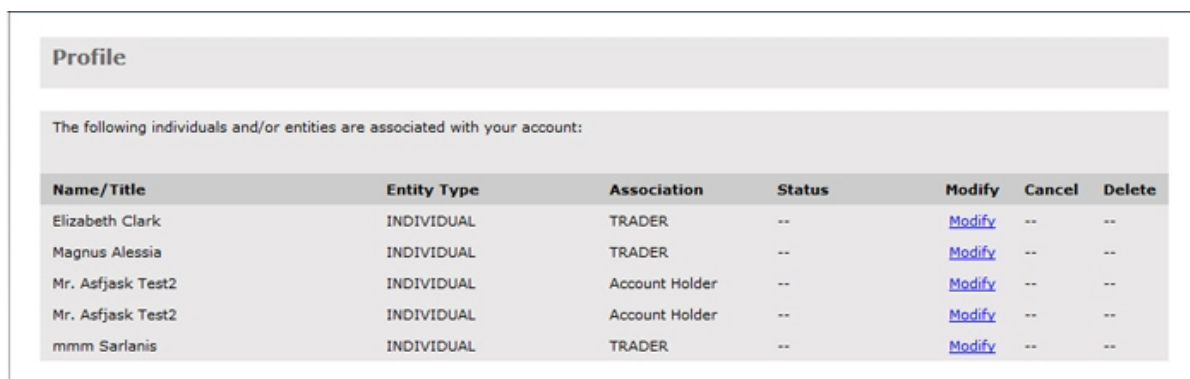
Who can access the Profile page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To update information on the Profile page

1. Click **Manage Account > Account Information > Details > Profile**.



The screenshot shows a 'Profile' page with a table of associated individuals and entities. The table has columns for Name/Title, Entity Type, Association, Status, Modify, Cancel, and Delete. The data rows are as follows:

Name/Title	Entity Type	Association	Status	Modify	Cancel	Delete
Elizabeth Clark	INDIVIDUAL	TRADER	--	Modify	--	--
Magnus Alessia	INDIVIDUAL	TRADER	--	Modify	--	--
Mr. Asfjask Test2	INDIVIDUAL	Account Holder	--	Modify	--	--
Mr. Asfjask Test2	INDIVIDUAL	Account Holder	--	Modify	--	--
mmm Sarlanis	INDIVIDUAL	TRADER	--	Modify	--	--

Depending on the type of account you have, you can:

- Modify your own account information.
- Modify the account information for an existing individual or entity associated with your account.
- If you are a Trust account (Individual or Advisor Client), or a Partnership account, you can update the beneficiary ownership percentage. Trust accounts can add Entity Trustees, including Employee information.

2. Do one of the following:

- To modify the account information for an existing individual or entity associated with your account, click the appropriate *Modify* link, then modify the information on each page as required, clicking **Continue** when you are finished with each page.
- Add individual or entity account users by clicking the **Add Individual** or **Add Entity** button, respectively. If you add an entity trustee, you also can add information about an employee of that entity on an additional page.

Profile

The following individuals and/or entities are associated with your account:

Name/Title	Entity Type	Association	Association	Modify	Cancel	Delete
Chrsi H Tester	INDIVIDUAL	IRA_BENEFICIARY	--	Modify	--	Delete
Mrs. [REDACTED]	INDIVIDUAL	Account Holder	--	Modify	--	--
Estate of Mrs. [REDACTED]	LEGAENTITY	IRA_BENEFICIARY	--	Modify		Delete
dfgfd fgd		Employee	Pending Approval		Cancel	
gfgdg		CONTINGENT	Pending Approval		Cancel	

[Add Individual](#) [Add Entity](#)

- To update the regulatory information for an existing individual or entity associated with your account, click the appropriate *Modify* link, then click **Continue** until the Regulatory Information page opens. Click **Continue** when you are finished updating the information.

Account Details

If you are requesting a change in name, a **Proof of Name Change** document may be required.

Name and Address

Type your name exactly as it appears on your bank statement. If the name you enter below does not match the name on your bank statement, we may have problems accepting incoming wire transfers and your bank may have problems accepting outgoing wire transfers from us.

Salutation: Mrs. (dropdown)

First Name: Joan (text input)

Middle Initial (Optional): (text input)

Last Name: (text input)

Suffix (optional): (text input) (e.g.: Jr or III)

Name Change Reason: Added salutation (text input)

Association: Account Holder

Residential Address

(Regulatory restrictions prevent IB from accepting a P.O. Box or an "In care of" address)

Country: Japan (dropdown)

Zip/Postal Code: (text input)

Street #1: (text input)

Street #2 (optional, e.g.: Apt, Suite, Floor, etc.): 48th Floor (text input)

City: (text input)

State: Ehime (dropdown)

Is your mailing address different from the address provided above? Yes No

Phone Number(s)

Number Type: Home (dropdown)	Country: Japan (dropdown)	Number: (text input)	Use for Messaging: <input type="checkbox"/>	Time: (button)
------------------------------	---------------------------	----------------------	---	----------------

[+ Add Additional Number](#)

[← Back](#)
[Continue →](#)

- To add or edit phone numbers, and to designate a phone number as the one you want to use to receive messages from us, click **Edit Phone Numbers**.

Edit Phone Numbers

Number Type	Country	Number	Use for Messaging
Home	United States		<input type="checkbox"/>

+ Add Number Save

- On the Edit Phone Numbers page, select the type of phone number (Home, Work, Mobile, etc.), your country and the number.
 - Click **Add Number** to add a new number to your account. For example, if you want to add a new mobile phone number.
 - Click the Use for Messaging check box to designate a mobile phone as the one you want to use to receive text messages from us.
 - Click **Time** to indicate a specific period of time during which you want to use a specific phone number, and a time zone.
4. Click **Continue** to make more changes on the next page, which includes date of birth, country of citizenship, Tax ID numbers and other similar identifying information.

Account Details

Personal Information

Date of Birth	09/25/1967
Marital Status	Single
Number of Dependents	0
Country Of Citizenship	Canada
First Tax ID Country*	Choose One
First Tax ID Number*	Tax ID or tick checkbox if not av <input type="checkbox"/> I don't have a tax identification number.
Second Tax ID Country	Choose One
Second Tax ID Number	Tax ID or tick checkbox if not av <input type="checkbox"/> I don't have a tax identification number.

Legal Identification Document

If you are a U.S. citizen, a U.S. resident or have a U.S. Social Security Number,

U.S. Social Security Number	
Identification number	National Identity Card
Country of Issuance	United States
Identification number	000000000

Employment Information

Employment Type	Employed by Another
Occupation	--
Employer	--
Nature of Business	--
Employer Street #1	--
Employer Street #2(optional)	--
Employer City	--
Employer State/Province	CT
Employer Zip/Postal Code	11111
Employer Country	United States
Employer Telephone #	123456789 <small>(include area code and country code)</small>

← Back

Continue →

5. Click **Continue** when you have finished making changes.
6. Verify your information on the next page, and then click **Continue**.

If you need to make further changes, click **Back**, then make corrections before submitting.

7. Enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirmation Number** to request that a new confirmation number be sent to your email address on record.

Financial Information

The Financial Information page lets you change the following financial information for your account, which you originally entered into your account application:

- Investment objectives
- Investment experience
- Net worth and annual income

Who can access the Financial Information page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To change your financial information

1. Click **Manage Account > Account Information > Details > Financial Information**.

Financial Information

Use this page to update your investment objectives, investment experience and financial information.

Investment Objectives and Intended Purpose of Trading

Preservation of Capital Income
 Growth Trading Profits
 Speculation Hedging

Investment Experience

	Years Trading	Trades Per Year	Knowledge Level
Stocks	10	10	Extensive
Bonds	> 10	> 100	Extensive
Options	10	10	Extensive
Futures	10	10	Extensive
Forex	> 10	> 100	Extensive

Financial Information

Enter only numbers and no commas, dollar signs, decimals, or cents.

Net Worth (exclusive of residence) > 5,000,000 USD

Liquid Net Worth > 5,000,000 USD

- Update your investment objectives, investment experience and financial information as required, then click **Continue**.

Single and Joint account customers also access a section called Additional Sources of Income. Select one or more additional sources of income from the list of possible sources, then enter the annual percent of income and description for each selected income source.

- Verify your changes, then click **Continue**.
- If you need to make further changes, click **Back**, then make corrections before submitting.
- Enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirmation Number** to have a confirmation number sent to your email address on record.

Regulatory Information

The Regulatory Information page lets you update the regulatory information for your account.

Who can access the Regulatory Information page?

You can access this page if you are a(n):

- Individual, Joint or Trust Account User

To update your regulatory information

1. Click **Manage Account > Account Information > Details > Regulatory Information**.

Regulatory Information

Update the regulatory information associated with your account by answering the following questions.

	Yes	No
Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm, employee of a bank, hedge fund, or other financial services company?	<input type="radio"/>	<input type="radio"/>
Is the account holder a member, employee, associated or affiliated person of a regulatory or a self-regulatory organization or exchange?	<input type="radio"/>	<input type="radio"/>
Has the account holder ever been the subject of, or initiated litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer? *	<input type="radio"/>	<input type="radio"/>
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority? *	<input type="radio"/>	<input type="radio"/>
Is the account holder a director, a 10% shareholder or a policy-making officer of any publicly traded company? *	<input type="radio"/>	<input type="radio"/>

Continue →

2. Update your regulatory information as required, then click Continue. For each question on the page, answer Yes or No using the radio buttons.
3. Verify your changes, then click **Continue**.
If you need to make further changes, click Back, then make corrections before submitting.
4. Enter the confirmation number sent to you via email, then click **Continue**.
If you have not received a confirmation number, click **Request Confirm #** to have a confirmation number sent to your email address on record.

Dividend Reinvestment

Dividend reinvestment is an option that lets you automatically invest cash dividends from common and preferred stocks in the underlying stock. You can turn automatic dividend reinvestment on or off at the account level only; that is, you cannot choose which dividends to reinvest. Dividend reinvestment is disabled by default.

Rules

- Dividend Reinvestment is available to IB LLC clients only.
- On the morning of the trading day following confirmation of the our receipt of a dividend payment on a stock, we will use the dividend payment (or cash-in-lieu of dividend payment if you have a margin account and your shares are on loan at the time of the dividend payment) to purchase additional shares of that stock.
- We will charge our customary commission for the purchase.
- Purchased shares will be allocated to clients on a pro rata basis (based on the dividend amount to which each participating client is entitled). In the event that the purchase executes in multiple smaller trades, you will receive the weighted-average price of such shares.

- If your account is in a margin deficit and can't initiate new positions, dividends will not be reinvested, even if you have dividend reinvestment enabled.

To enable and disable automatic dividend reinvestment

1. Depending on your account, access the dividend reinvestment option from the following pages in Account Management:
 - Individual, Joint, Trust, IRA, Small Business Accounts - **Manage Account > Account Information > Details > Account Details**. Enable dividend reinvestment by clicking the *Edit* link in the Account Configuration section.
 - Proprietary Trading Group STL Master User - **Manage Traders > Traders > View**. Enable automatic reinvestment for an individual trading sub account by clicking the blue pen icon in the Dividend Reinvestment column.
 - Advisor and Broker Master Users - **Manage Clients > Dashboard**. On the Dashboard, click the account row for the desired client account to open the Client Account Details page. Enable dividend reinvestment by clicking the *Edit* link in the Account Configuration section.
2. In the popup window that opens, read the important information, type your signature in the field provided, and then click **Continue**. Click the **X** in the upper right corner to close the popup window.

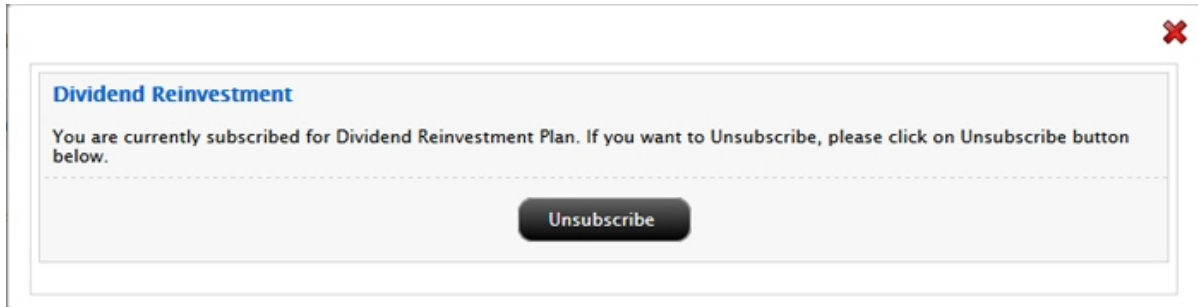
Automatic dividend reinvestment is effective the next day.

Dividend Reinvestment

Enabling automatic dividend reinvestment for your account authorizes the Firm, on the morning of the trading day following confirmation of the Firm's receipt of a dividend payment on a stock, to use the dividend payment (or cash-in-lieu of dividend payment if you have a margin account and your shares are on loan at the time of the dividend payment) to purchase additional shares of that stock. If fractional shares are enabled for your account, the Firm will purchase a number of shares (including fractional shares) equal to the amount of the dividend payment less commissions; if not, the Firm will purchase a whole number of shares (or zero shares, if the dividend payment is less than the share price) and will deposit the remaining amount of the dividend payment into your account as cash, less commissions. The Firm will charge its customary commissions for the purchase. The Firm will aggregate your dividend payment with the dividend payments received by all other clients who have received this dividend payment and have enabled automatic dividend reinvestment, and will use these combined funds to purchase shares on behalf of you and the other clients. Purchases will generally take place on the open market, at or near the opening of trading (depending on the total number of shares to be purchased and the market conditions at the time), unless the Firm has a relationship with the issuer allowing dividends to be reinvested at a discount to the prevailing open - market price. Purchased shares will be allocated to clients on a pro-rata basis (based on the dividend amount each participating client is entitled to); in the event that the purchase executes in multiple smaller trades, you will receive the weighted-average price of all such trades.

Signature* **Continue** →

3. To disable automatic dividend reinvestment, click the same link you used to enable the option.
4. In the popup window that opens, click **Unsubscribe**. Click the **X** in the upper right corner to close the popup window.



Trading Sub Accounts

The Trading Sub Accounts page lets you view sub accounts for authorized traders to access Trader Workstation and manage market data subscriptions in Account Management.

Who can access the Trading Sub Accounts page?

You can access this page only if you are a Proprietary Trading Group Master User.

To view trading sub accounts

1. Click **Manage Account > Account Information > Trading Sub Accounts**.

The Trading Sub Accounts page opens, displaying all sub accounts for authorized traders, including the account name, account number, username and current status.

Trading Sub Accounts

Authorized traders have access to Trader Workstations and can manage market data subscriptions from Account Management. It is your responsibility to make sure that any privilege granted through this page is used by the appropriate trader only. You may not allow a trader to trade through your account until we have received, and approved a valid request. You are responsible for all orders placed and all trades executed, regardless of whether or not the new trader has been officially approved.

Accounts								
Account Name	Dividend Reinvestment	Account Number	Username	Status				
1234567890	Enabled	U12345678	12345678	Active				
1234567890	Disabled	U12345678	12345678	Active				
1234567890	Disabled	U12345678	12345678	Active				
1234567890	NA	U12345678	12345678	Application completed, waiting approval				
1234567890	NA	U12345678	12345678	Application completed, waiting approval				
1234567890	NA	U12345678	12345678	Application completed, waiting approval				
Application in progress								
<table border="1"> <thead> <tr> <th>Task</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>Trader Authorization Form</td> <td>To be Completed</td> </tr> </tbody> </table>					Task	Status	Trader Authorization Form	To be Completed
Task	Status							
Trader Authorization Form	To be Completed							

[+ Add Trading Sub Account](#)

- If the current status of a sub account is “Application in progress,” a link may appear in the Status column that lets you complete the next step in the application process.
- To create a new sub account, click the Add Trading Sub Account link, then follow the instructions on the screen to fill out the Authorized Trader Information form.

Broker Declaration

The Broker Declaration page lets Broker Master Users update their broker registration information.

Who can access the Broker Declaration page?

You can access this page if you are a Broker Master User.

To update your broker registration information

- Click **Manage Account**, **Account Information**, then click **Broker Declaration**.

Broker Declaration

Registration/Licensing

Is your firm licensed/registered to provide brokerage services? Yes No

Country of licensing/registration

Is your firm licensed/registered to provide brokerage services in securities or commodities or both?

Securities Trading

Registration/License Number

National Securities Regulator Name

Location of Regulator

Website Address of this Regulator (enter N/A if not available)

Securities Regulator Contact Name

Securities Regulator Email Address

What percentage of the total number of orders that you will introduce to us will be orders for the following products (Provide percentage number)

Exchange-listed Stocks (e.g. NYSE)

Over-the-counter Stocks (e.g. Nasdaq)

Equity and Equity Index Options

Commodities/Futures Trading

Forex Trading

Registration/License Number

2. Modify the information in the form as required, then click **Continue**.
3. Verify that the information is correct, then click **Continue**.
If you need to make further changes, click **Back**, then make corrections before submitting.
4. Enter the confirmation number that was sent to you via email, then click **Continue** to submit your changes.

Registered Representatives

Broker Master Users use the Registered Representatives page to add and remove Registered Representatives and edit Registered Representative information.

A Registered Representative is a person who manages the relationship between a broker and his or her client(s). Fully disclosed brokers have the option of assigning a Registered Representative to a client prior to sending the client an account invitation.

Who can access the Registered Representatives page?

You can access this page if you are a Broker Master User with Fully Disclosed Clients.

To add a Registered Representative

1. Click **Manage Account > Account Information > Registered Representatives**.

The Registered Representatives page opens, displaying a list of all current Registered Representatives.

Registered Representatives

Use this page to add Registered Representatives to your account.

Salutation	First Name	Middle Initial	Last Name	Phone	Edit	Remove
Mr.	dd		dd	2222222222		
Mr.	rr		sdsdsd	2222222222		
Mr.	tt		tt	(999) 999-9999		

[Add Registered Representative](#)

2. Click **Add Registered Representative**.

Add Registered Representative Close

Salutation* First Name* M.I. Last Name*

Phone*

[Submit](#)

3. Enter the salutation, name and phone number of the Registered Representative, then click **Submit**.
4. Once the Registered Representative has been added to your account, you can:
 - Edit the Registered Representative's information, such as phone number. Click the **Edit** icon for a specific Registered Representative, modify information as required, then click **Submit**.
 - Select the Registered Representative on the Broker Client Invitation page when you invite a fully disclosed client to complete an account application.
 - Go to the Client Accounts page to change or assign Registered Representatives to open and pending client accounts.

For more information

- [Editing Registered Representatives](#)

Advisor Qualifications

The Professional Advisor Qualifications page lets you modify your advisor registration information. In order to be a Professional Advisor, you must qualify to trade Securities or Commodities Products. You do not need to qualify for both.

Who can access the Advisor Qualifications page?

You can access this page if you are an Advisor Master User Individual or Organization.

To modify your advisor registration information

1. Click **Manage Account > Account Information > Advisor Qualifications**.

Professional Advisor Qualification

To be a Professional Advisor, you must qualify to trade Securities Products, Commodity Products, and/or Forex Contracts. Select a qualification from Securities, Commodities and/or Forex below. You do not need to qualify for all. You must qualify for at least one set of products.

Securities Qualification

US Registered (IARD, CRD, or RIA)

Number:

Securities and Exchange Commission Registered

State Securities Agency

State:

Non-US Registered

US Exempt

Non-US Exempt

Commodity (Futures) Qualification

US Registered (NFA)

NFA Registration Number:

Non-US Registered

US Exempt

Non-US Exempt

Forex Qualification

Are you designated as a "Forex Firm" with the National Futures Association? Yes No

Enter Website Address (optional)

2. Make changes as required, then click **Continue**.
3. Verify your information, then click **Continue** to submit your changes.
If you need to make further changes, click **Back**, then make corrections before submitting.

For more information

- [Professional Advisor Registration Requirements](#)

Transfer on Death

Use the Transfer on Death page to register one or more beneficiaries (called “TOD Beneficiaries”) to whom you want to directly pass your account assets upon your death without having to go through probate. When you register a Transfer on Death beneficiary, the executor or administrator of your estate will only have to submit a Transfer on Death Beneficiary Distribution Form with a certified copy of the death certificate to ensure that your assets transfer to the beneficiary or beneficiaries that you have designated.

The following rules apply to Transfer on Death registration:

- Only United States-based Single accounts are eligible for Transfer on Death registration. IRA accounts are NOT eligible.
- Your beneficiary (or beneficiaries) can be a natural person or other entity, such as a trust, corporation or guardianship. Minors can be beneficiaries only if a custodian, trustee, or guardian is named for the minor.
- You must designate at least one and up to six Primary beneficiaries, and can designate one or more optional contingent or Secondary beneficiaries. When you register a beneficiary, you select the percent ownership of your assets to that beneficiary. The percent ownership among all Primary beneficiaries must equal 100%. The percent ownership of all Secondary beneficiaries, if you choose to include them in your Transfer of Death registration, must also equal 100%.
- If you are married and reside in a community property state, you must obtain your spouse’s consent if you are not naming your spouse as the sole primary beneficiary. You and your spouse should consult a legal and tax professional.
- When you complete the Transfer on Death registration, the title of your account will be amended to include your Transfer on Death Beneficiary (for example, “John Doe, TOD Mary Smith”).
- At the completion of the online registration process, you will be prompted to complete a Transfer On Death Agreement and send it to us. Be sure to send us a new signed Agreement anytime you change or remove TOD beneficiaries.

Note: Some US states do not allow Transfer on Death registration or may have specific restrictions. You and your spouse should consult a legal and tax professional.

Who can access the Transfer on Death page?

You can access this page if you are a(n):

- US-based Individual Account User with a single account or multiple linked accounts. Joint, Trust and IRA Accounts cannot access this page.

To register a Transfer on Death beneficiary

1. Click **Manage Account > Account Information > Transfer On Death**.

Transfer on Death

Transfer on death is a form of account registration which allows you to pass the assets in your account directly to another person or entity (your "TOD beneficiary") upon your death without having to go through probate. By setting up your account in this manner, the executor or administrator of your estate will simply need to submit a Transfer on Death Beneficiary Distribution Form along with a certified copy of the death certificate in order to ensure that your assets transfer to whomever you have designated. Click [here](#) for more details

Note: In order to submit the information, you have to click *Continue* at the bottom of this page.

Enter one to six primary and/or contingent beneficiaries by clicking *Add Individual Beneficiary* or *Add Entity Beneficiary* button. Your percentage (%) share which must add to 100% for all beneficiaries.

Your account has the following TOD Beneficiaries registered:
None

Add Individual Beneficiary → **Add Entity Beneficiary** →

Are you married? Yes No

If any primary beneficiary predeceases the account owner, his or her share shall (please select one):

Pass to the remaining primary beneficiary(s) pro rata (proportionate to the designated percentages)
 Pass to the contingent beneficiaries as listed above
 Pass to account holder's estate

← Back Continue →

2. Select a beneficiary type to begin the registration process:
 - Click **Add Individual Beneficiary** to register an individual person as a beneficiary.
 - Click **Add Entity Beneficiary** to register an entity such as a trust, corporation or guardianship as a beneficiary.
3. Enter information about the beneficiary in the fields on the next page:
 - For an individual beneficiary, the Add Beneficiary page displays.

Note: To update your marital status, click **Manage Account > Account Information > Details**.

Add Beneficiary

First Name:

Middle Initial (optional):

Last Name:

Percentage of Ownership:

Beneficiary Type:

Relationship:

- For an entity beneficiary, the Add Entity Beneficiary page displays.

Add Entity Beneficiary

Entity's Name: Doe Family Trust

Percentage of Ownership: 100

Beneficiary Type: Primary

Principal Place of Business:

Street #1:

Street #2 (optional):

City:

- If you are registering only one beneficiary, enter **100** in the Percent of Ownership field to assign all of your assets to that person or entity. If you plan on registering additional beneficiaries, enter the appropriate percent amount of ownership for this beneficiary. The percent of ownership for all beneficiaries must equal 100.
- You must designate at least one and up to six Primary beneficiaries, and can designate one or more optional contingent or Secondary beneficiaries.

In the Beneficiary Type field, select **Primary** to make this person or entity the primary beneficiary, or **Secondary** to make this person or entity a contingent beneficiary.

Note: If you are a non-U.S resident, you will be required to provide a copy of the national identification document that shows the identification number that you have provided. The document must include person's photograph and date of birth.

4. Click **Continue**.

The beneficiary whose information you just entered is displayed on the TOD Beneficiaries page.

Your account has the following TOD Beneficiaries registered:

First Name OR Entity Name	Middle Initial	Last Name	Ownership %	Type			
John		Doe	100%	INDIVIDUAL	PRIMARY	Remove	Modify

5. Specify what to do if any primary beneficiary predeceases the account owner by selecting one of the radio buttons on the TOD Beneficiaries page:
- Pass the shares to the remaining primary beneficiary(s) pro rata (proportionate to the designated percentages).
 - Pass the shares to the secondary beneficiaries.
6. Click **Continue**.
7. You will receive an email containing a confirmation number that must be entered to confirm your TOD beneficiary registration. Once you have entered the confirmation number, click **Continue**.
8. Click the *Transfer on Death Agreement* link. A prepopulated form displays. Read the agreement carefully, then print the form, sign it and send it to us.

When we approve your request, your Transfer on Death beneficiary registration will be complete.

Note: You are also required to send us a new signed Transfer on Death Agreement anytime you modify or remove TOD beneficiaries. To do this, see [Removing or Modifying a TOD Beneficiary](#).

Removing or Modifying a TOD Beneficiary

To remove or modify a TOD beneficiary

1. Click **Manage Account > Account Information > Transfer On Death**.

Transfer on Death

Transfer on death is a form of account registration which allows you to pass the assets in your account directly to another person or entity (your "TOD beneficiary") upon your death without having to go through probate. By setting up your account in this manner, the executor or administrator of your estate will simply need to submit a Transfer on Death Beneficiary Distribution Form along with a certified copy of the death certificate in order to ensure that your assets transfer to whomever you have designated. [Click here](#) for more details

Note: In order to submit the information, you have to click *Continue* at the bottom of this page.

Enter one to six primary and/or contingent beneficiaries by clicking *Add Individual Beneficiary* or *Add Entity Beneficiary* button. Your percentage (%) share which must add to 100% for all beneficiaries.

Your account has the following TOD Beneficiaries registered:
None

[Add Individual Beneficiary](#) [Add Entity Beneficiary](#)

Are you married? Yes No

If any primary beneficiary predeceases the account owner, his or her share shall (please select one):

Pass to the remaining primary beneficiary(s) pro rata (proportionate to the designated percentages)
 Pass to the contingent beneficiaries as listed above
 Pass to account holder's estate

[Back](#) [Continue](#)

2. To remove a beneficiary, on the TOD Beneficiaries page, click the *Remove* link on the row listing the beneficiary.

Your account has the following TOD Beneficiaries registered:

First Name OR Entity Name	Middle Initial	Last Name	Ownership %	Type		
John		Doe	100%	INDIVIDUAL	PRIMARY	Remove Modify

3. To modify a beneficiary, on the TOD Beneficiaries page, click the *Modify* link on the row listing the beneficiary, then modify the information as required and click **Continue**.

If prompted, enter the confirmation number sent to your email address and click **Continue**.

Investor Category

The Investor Category page lets you answer a series of questions to determine if you qualify to trade a wider range of trading products than would be available to a standard investor. You see will this as a Pending Item on the Account Management home page until you complete the page.

The Investor Category page presents four different investment categories:

- Accredited Investor
- Qualified Purchaser
- Qualified Institutional Buyer
- Eligible Contract Participant

Each section contains questions that helps us determine whether you qualify to trade additional products. If you answer “Yes” in any section, the section expands with additional questions, which you must also answer.

Who can access the Investor Category page?

ALL account structures can access this page EXCEPT:

IB Canada customers, IB India customers, IBSJ customers, and all Non-Disclosed and Omnibus Broker Client accounts.

To use the Investor Category page

1. Click **Manage Account > Account Information > Investor Category**.

Investor Category

Interactive Brokers has requested this information so that it can determine whether you qualify under applicable securities laws for a wider range of investment choices and financial options than would be available to a standard investor. If you qualify, you may be eligible to receive information and invest in classes of assets – such as hedge funds, over the counter products, non-US equity options, and complex stock transactions – that only certain classes of investors can access.

Accredited Investor

The answers you provided in your account application indicate that you are qualified as an Accredited Investor (as defined in Rule 501(a) of Regulation D of the Securities Act of 1933).

Qualified Purchaser

You may be qualified as a Qualified Purchaser (as defined in Section 2(a)(51) of the Investment Company Act of 1940), which would allow you to participate in certain special programs. Would you like to answer a few questions so Interactive Brokers can determine if you are eligible to participate in these programs?

Yes No

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: *lpauls13*
 Account Title: *Applicant 68940*
 Dated: Thursday, 17 April 2014

Signature* **Asfjask Test2**

Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

Continue →

- In each section, answer the question by clicking the Yes or No radio button.

If you answer yes, the section expands displays additional questions which vary based on your account structure and financial information.

- Answer all questions in all sections by clicking the appropriate radio button.
- Type your signature in the Signature field, then click **Continue**.

Large Trader Identification

A "Large Trader" is any U.S. or non-U.S. person or entity that trades or controls trading (in one or more accounts) in U.S. exchange-listed stock AND option trans actions equaling or exceeding:

- 2 million shares or \$20 million during any calendar day;
- 20 million shares or \$200 million during any calendar month.

Use this page to:

- [Add](#) one or more SEC Large Trader ID Numbers to your account .
- [Add a Large Trader ID "Suffix"](#) to a Large Trader ID Number (usually used to distinguish separate entities in a corporate structure).
- [Deactivate, reactivate or terminate](#) an existing Large Trader ID Number.

Note: For security purposes , you cannot change a Large Trader ID Number or Suffix online once you have provided it to us. If a Large Trader ID Number or Suffix listed above for your account is incorrect contact Customer Service.

Who can access the Large Trader Identification page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User
- Proprietary Trading Group Master User (STL accounts)
- Broker Master User (Fully Disclosed and Non-Disclosed)
- Broker Fully Disclosed Client User
- Investment Manager Master User (Multiple Fund Account)

To add a Large Trader ID Number to your account

1. Click **Manage Account > Account Information > Large Trader Identification**.

If you have not yet added a Large Trader ID to your account, a page with general information about Large Trader IDs appears.

Large Trader Identification

In 2011, the U.S. Securities and Exchange Commission enacted a "Large Trader Reporting" rule, which requires "Large Traders" to register with the SEC by filing SEC Form 13H and then receiving a Large Trader ID Number from the SEC. The Large Trader is then required to provide its SEC Large Trader ID Number to all brokerage firms used by the Large Trader.

» A "Large Trader" is any U.S. or non-U.S. person or entity that trades or controls trading (in one or more accounts) in U.S. exchange-listed stock **AND** option transactions equaling or exceeding:

- » 2 million shares or \$20 million during any calendar day; or
- » 20 million shares or \$200 million during any calendar month.

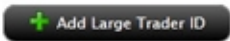
Use the below menu if you need to add one or more SEC Large Trader ID Numbers to your account, to add a Large Trader ID "Suffix" to a Large Trader ID Number (usually used to distinguish separate entities in a corporate structure) or if you need to inactivate, reactivate or terminate an existing Large Trader ID Number.

For more information on the SEC Large Trader Reporting Rule or to obtain Form 13H and a Large Trader ID Number, visit the SEC website at www.sec.gov.



Note: For security purposes, you cannot *change* a Large Trader ID Number or Suffix online once you have provided it to Interactive Brokers. If a Large Trader ID Number or Suffix listed above for your account is incorrect contact IB Customer Service.

If you have already added Large Trader ID's to your account, a page appears with all of your Large Trader IDs displayed.



Large Trader IDs			
	Identification Number	Suffix	Status
Primary Large Trader ID	00000001	+ Add Suffix	ACTIVE
Large Trader ID 2	00100002	+ Add Suffix	ACTIVE
Large Trader ID 3	00000003	0000	ACTIVE
Large Trader ID 4	00100004	0000	ACTIVE
Large Trader ID 5	00100005	0000	ACTIVE
Large Trader ID 6	00100006	+ Add Suffix	ACTIVE

2. Click the **Add Large Trader ID** button.
3. In the Add Large Trader ID dialog, enter the Large Trader ID that you received from the SEC.

Add Large Trader ID

Large Trader ID:

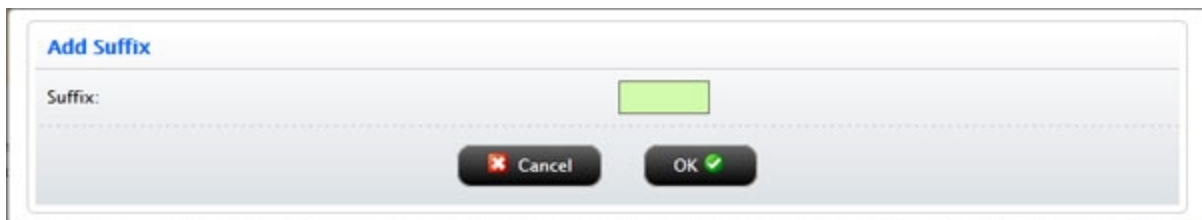
Suffix (optional):

- Optionally, add a suffix to your Large Trader ID Number. For example, you might want to add suffixes to Large Trader ID's to distinguish separate entities in a corporate structure.
- Click **OK**. The newly-added Large Trader ID (and optional suffix) is added to the list of IDs on the main page.

To add a suffix to Large Trader ID Number

You can add suffixes to Large Trader IDs only if you have not already done so.

- Click **Manage Account > Account Information > Large Trader Identification**.
- Click the **Add Suffix** button for each Large Trader ID to which you want to add a suffix.
- In the Add Suffix dialog, type the suffix then click **OK**.

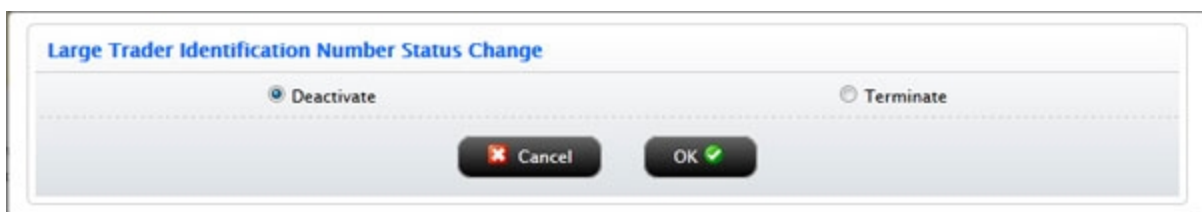


The suffix is added to the Large Trader ID and appears on the main page.

To deactivate, reactivate or terminate a Large Trader ID Number

- Click **Manage Account > Account Information > Large Trader Identification**.
- Click the blue pen icon in the Status column for the Large Trader ID that you want to deactivate, reactivate or terminate.
- Click the appropriate radio button, then click **OK**.

Active IDs give you the choice of Deactivate or Terminate. Inactive IDs give you the choice of Activate or Terminate.



EMIR and LEI Information

The EMIR and LEI Information page in Account Management lets customers who are subject to the EMIR regulation change their EMIR election.

About EMIR and LEI

European Markets and Infrastructure Regulations (EMIR) is a European Union regulation designed to make the derivatives markets more transparent by requiring counterparties to derivatives transactions to report trades, positions, col-

lateral and valuations to the European Securities and Markets Authority (ESMA), the European regulatory body. All counterparties with reporting obligations under EMIR must have a Legal Entity Identifier (LEI) in order to report.

All of our customers who are subject to the EMIR regulation will see or will have already seen the EMIR Election Form upon logging into Account Management. After you have completed the EMIR Election process, you will be granted access to the full Account Management, AND will be able to access the EMIR and LEI Information page to change your EMIR election, depending on your original EMIR election. Note that you will only see the EMIR Election Form once upon logging into Account Management; once you make your election, you will not see the form again upon subsequent Account Management logins.

Who is Subject to the EMIR Regulation?

All of our entities' customers established in the European Union operating non-individual accounts are required to comply with EMIR. In this context, non-individual means any account which is owned by one or two individuals as stated in the account title. Individual accounts in the name of a single person are not subject to EMIR and so will not have access to this page.

The following account structures established in the European Union ARE subject to EMIR:

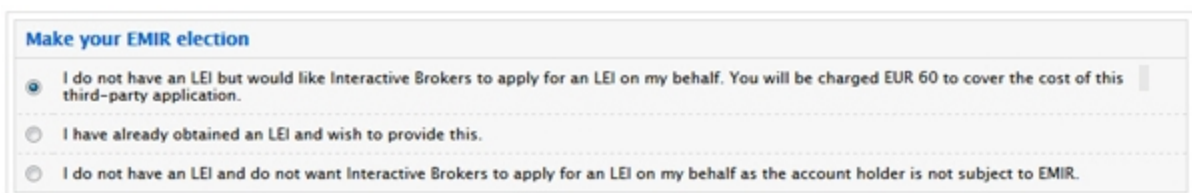
- Fully Disclosed, Non-Disclosed and Omnibus Broker master accounts
- Non-Individual Fully Disclosed and Omnibus Broker sub accounts
- Single and Multiple Hedge Fund accounts
- Financial Advisor non-individual client accounts
- Proprietary Trading Groups (all types on standalone non-individual accounts)

Original EMIR Elections

If you are subject to the EMIR regulations and have not already made your EMIR election, when you log into Account Management, you will be prompted to do so.

If you have an IBUK account; or an IBUK sub, client or linked account, you can elect to:

- Instruct us to apply for an LEI on your behalf. You will be prompted to fill out a simple form and sign an agreement.
- Provide your LEI , which you have already obtained. You will be prompted to enter your LEI.
- Do nothing (you do not have an LEI and you are not subject to the EMIR regulation).



Make your EMIR election

I do not have an LEI but would like Interactive Brokers to apply for an LEI on my behalf. You will be charged EUR 60 to cover the cost of this third-party application.

I have already obtained an LEI and wish to provide this.

I do not have an LEI and do not want Interactive Brokers to apply for an LEI on my behalf as the account holder is not subject to EMIR.

If you do not have an IBUK account; or an IBUK sub, client or linked account, but are still subject to the EMIR regulation, you can elect to:

- Instruct us to apply for an LEI on your behalf and delegate your EMIR reporting to us. You will be prompted to fill out a simple form and sign an agreement.
- Provide your LEI , which you have already obtained. You will be prompted to enter your LEI.
- Do nothing (you do not have an LEI and you are not subject to the EMIR regulation).

Make your EMIR election

I do not have an LEI but would like Interactive Brokers to apply for an LEI and to do EMIR reporting on my behalf. You will be charged EUR 60 to cover the cost of this third-party application.

I have already obtained an LEI and wish to provide this.

I do not have an LEI and do not want Interactive Brokers to apply for an LEI on my behalf as the account holder is not subject to EMIR.

The EMIR and LEI Information Page in Account Management

This page allows customers who have already made an EMIR election to change their election.

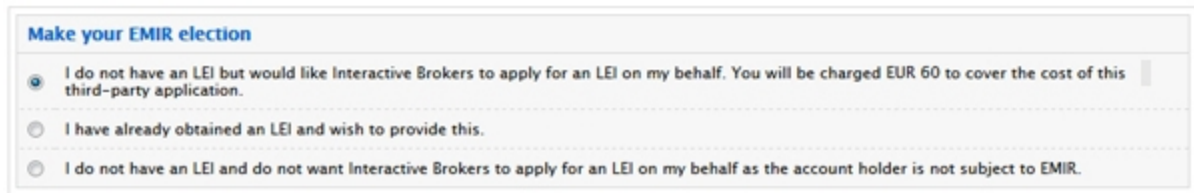
- If you have an IBUK account; or an IBUK sub, client or linked account and previously asked us to provide an LEI, you will simply see your LEI displayed on the page. There is nothing more to do.
- If you do not have an IBUK account; or an IBUK sub, client or linked account and previously asked us to provide an LEI and do your EMIR reporting for you, you will see your LEI displayed on the page and be able to [change your delegated reporting choice and/or change your Counterparty Type](#).
- If you are subject to the EMIR regulation and previously chose to do nothing, you will see the original election form in its entirety and you can [change your EMIR election](#).

Changing Your Initial EMIR Election If You Previously Chose To Do Nothing

If you are subject to the EMIR regulation and previously chose the third option on the original EMIR and LEI Information form (*I do not have an LEI and do not want Interactive Brokers to apply for an LEI on my behalf as the account holder is not subject to EMIR*), you will see the original election form in its entirety on the EMIR and LEI Information page in Account Management.

To change your initial EMIR election if you previously chose the third EMIR election option:

1. Click **Manage Account > Account Information > EMIR and LEI Information**.
2. Read the form completely and be sure that you understand all of the information contained therein.
3. Scroll all the way to the bottom of the page, and then review your EMIR election.
4. If you have an IBUK account; or an IBUK sub, client or linked account, you can elect to:
 - Instruct us to apply for an LEI on your behalf. You will be prompted to fill out a simple form and sign an agreement.
 - Provide your LEI , which you have already obtained. You will be prompted to enter your LEI.
 - Do nothing (you do not have an LEI and you are not subject to the EMIR regulation).



Make your EMIR election

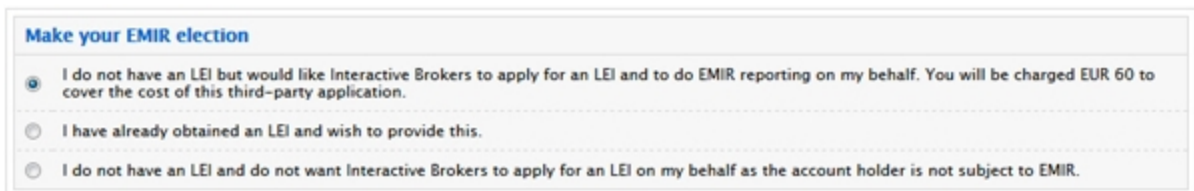
I do not have an LEI but would like Interactive Brokers to apply for an LEI on my behalf. You will be charged EUR 60 to cover the cost of this third-party application.

I have already obtained an LEI and wish to provide this.

I do not have an LEI and do not want Interactive Brokers to apply for an LEI on my behalf as the account holder is not subject to EMIR.

If you do not have an IBUK account; or an IBUK sub, client or linked account, but you are still subject to the EMIR regulation, you can elect to:

- Instruct us to apply for an LEI on your behalf and delegate your EMIR reporting to us. You will be prompted to fill out a simple form and sign an agreement.
- Provide your LEI, which you have already obtained. You will be prompted to enter your LEI.
- Do nothing (you do not have an LEI and you are not subject to the EMIR regulation).



Make your EMIR election

I do not have an LEI but would like Interactive Brokers to apply for an LEI and to do EMIR reporting on my behalf. You will be charged EUR 60 to cover the cost of this third-party application.

I have already obtained an LEI and wish to provide this.

I do not have an LEI and do not want Interactive Brokers to apply for an LEI on my behalf as the account holder is not subject to EMIR.

5. Click **Continue**.

6. Do one of the following:

- If you have an IBUK account; or an IBUK sub, client or linked account and you selected the first option (*I do not have an LEI but would like Interactive Brokers to apply for LEI on my behalf.*), fill out the form completely, and then click **Continue**.

EMIR and LEI Information

You have elected to have Interactive Brokers apply for an LEI on your behalf. In order to undertake this, we need additional details from you, which are required for the LEI application. Please note that Interactive Brokers will submit the application to a third party for processing and LEI generation.

WARNING: Please be aware that the LEI is unique to a specific organisation or entity. Therefore, if your organisation has multiple accounts with Interactive Brokers, only **one** LEI application should be submitted. Once an LEI has been created for your organisation, you can then enter this on the other accounts **held for the same organisation** from your Account Management. If you submit multiple LEI applications for the same organisation, you may be subject to multiple LEI application fees levied by the LEI issuing party. Interactive Brokers does not control or issue these fees.

Legal Name*	<input type="text"/>
Address Line 1*	<input type="text"/>
Address Line 2	<input type="text"/>
City*	<input type="text"/>
State	<input type="text"/>
Country*	Choose One <input type="button" value="v"/>
Postal Code	<input type="text"/>
Legal Form*	

INTERACTIVE BROKERS (U.K.) LIMITED

EMIR DELEGATED TRANSACTION REPORTING AGREEMENT

This EMIR Delegated Transaction Reporting Agreement ("Agreement"), effective as of the date below, is between Interactive Brokers (U.K.) Limited ("IB UK") and ("Customer").

- Customer has entered into and/or intends to enter into derivative transactions with IB UK or its affiliates. Under the European Market Infrastructure Regulation and related rules and regulations ("EMIR"), IB UK and Customer are required to report the details of certain derivative transactions ("Transactions") to a trade depository recognized under EMIR. EMIR permits one party that is subject to the transaction-reporting obligation to delegate the submission of the transaction report ("Transaction Report") to the counterparty or a third party.
- Customer hereby appoints IB UK to submit the Transaction Reports in accordance with this Agreement. Subject to Clause 3 below, IB UK's appointment under this Agreement shall be effective upon execution of this Agreement, and such appointment shall continue until terminated in

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name:
Account Title:
Dated: Monday, 3 February 2014

Signature:

Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

- If you do not have an IBUK account; or an IBUK sub, client or linked account, but you are still subject to the EMIR regulation, and you selected the first option (*I do not have an LEI but would like Interactive Brokers to apply for LEI and to do EMIR reporting on my behalf.*), fill out the form completely, type your name in the Signature field below the agreement, and then click **Continue**.



Print

Logout

EMIR and LEI Information

You have elected to have Interactive Brokers apply for an LEI and to do EMIR reporting on your behalf. In order to undertake this, we need additional details from you, which are required for the LEI application. Please note that Interactive Brokers will submit the application to a third party for processing and LEI generation. Interactive Brokers will only submit the LEI application if your account has available funds required to meet the costs of obtaining an LEI.

WARNING: Please be aware that the LEI is unique to a specific organisation or entity. Therefore, if your organisation has multiple accounts with Interactive Brokers, only **one** LEI application should be submitted. Once an LEI has been created for your organisation, you can then enter this on the other accounts **held for the same organisation** from your Account Management. If you submit multiple LEI applications for the same organisation, you may be subject to multiple LEI application fees levied by the LEI issuing party. Interactive Brokers does not control or issue these fees.

Legal Name*	<input type="text"/>
Address Line 1*	<input type="text"/>
Address Line 2	<input type="text"/>
City*	<input type="text"/>
State	<input type="text"/>
Country*	Choose One <input type="button" value="v"/>
Postal Code	<input type="text"/>
Legal Form*	
Counterparty Type*	Choose One <input type="button" value="v"/>

INTERACTIVE BROKERS (U.K.) LIMITED

EMIR DELEGATED TRANSACTION REPORTING AGREEMENT

This EMIR Delegated Transaction Reporting Agreement ("Agreement"), effective as of the date below, is between Interactive Brokers (U.K.) Limited ("IB UK") and sung Daniel ("Customer").

1. Customer has entered into and/or intends to enter into derivative transactions with IB UK or its affiliates. Under the European Market Infrastructure Regulation and related rules and regulations ("EMIR"), IB UK and Customer are required to report the details of certain derivative transactions ("Transactions") to a trade depository recognized under EMIR. EMIR permits one party that is subject to the transaction-reporting obligation to delegate the submission of the transaction report ("Transaction Report") to the counterparty or a third party.
2. Customer hereby appoints IB UK to submit the Transaction Reports in accordance with this Agreement. Subject to Clause 3 below, IB UK's appointment under this Agreement shall be effective upon execution of this Agreement, and such appointment shall continue until terminated

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: *356falcon*
Account Title: *Applicant 1849213*
Dated: Tuesday, 11 February 2014

Signature:
One of: *sung Daniel*

Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

Back

Continue

- If you have an IBUK account; or an IBUK sub, client or linked account and you selected the second option (*I have already obtained an LEI and wish to provide it.*), fill out the form completely, and then click **Continue**.



The screenshot shows a web form titled "EMIR and LEI Information". At the top left is a red logo. At the top right are two buttons: "Print" and "Logout". Below the title is the instruction: "Please enter your LEI number in the field below." The form contains two input fields: "LEI*" and "Re-Enter LEI*", each with a corresponding text box. At the bottom of the form are two buttons: "Back" and "Continue".

- If you do not have an IBUK account; or an IBUK sub, client or linked account, but you are still subject to the EMIR regulation, and you selected the second option (*I have already obtained an LEI and wish to provide it.*), fill out the form completely, and then click **Continue**. You can also elect to delegate your EMIR reporting to us by selecting the option, then signing the agreement.



EMIR and LEI Information

You have elected to have Interactive Brokers apply for an LEI and to do EMIR reporting on your behalf. In order to undertake this, we need additional details from you, which are required for the LEI application. Please note that Interactive Brokers will submit the application to a third party for processing and LEI generation. Interactive Brokers will only submit the LEI application if your account has available funds required to meet the costs of obtaining an LEI.

WARNING: Please be aware that the LEI is unique to a specific organisation or entity. Therefore, if your organisation has multiple accounts with Interactive Brokers, only **one** LEI application should be submitted. Once an LEI has been created for your organisation, you can then enter this on the other accounts **held for the same organisation** from your Account Management. If you submit multiple LEI applications for the same organisation, you may be subject to multiple LEI application fees levied by the LEI issuing party. Interactive Brokers does not control or issue these fees.

Legal Name*	<input type="text"/>
Address Line 1*	<input type="text"/>
Address Line 2	<input type="text"/>
City*	<input type="text"/>
State	<input type="text"/>
Country*	Choose One <input type="text"/>
Postal Code	<input type="text"/>
Legal Form*	
Counterparty Type*	Choose One <input type="text"/>

INTERACTIVE BROKERS (U.K.) LIMITED

EMIR DELEGATED TRANSACTION REPORTING AGREEMENT

This EMIR Delegated Transaction Reporting Agreement ("Agreement"), effective as of the date below, is between Interactive Brokers (U.K.) Limited ("IB UK") and sung Daniel ("Customer").

- Customer has entered into and/or intends to enter into derivative transactions with IB UK or its affiliates. Under the European Market Infrastructure Regulation and related rules and regulations ("EMIR"), IB UK and Customer are required to report the details of certain derivative transactions ("Transactions") to a trade depository recognized under EMIR. EMIR permits one party that is subject to the transaction-reporting obligation to delegate the submission of the transaction report ("Transaction Report") to the counterparty or a third party.
- Customer hereby appoints IB UK to submit the Transaction Reports in accordance with this Agreement. Subject to Clause 3 below, IB UK's appointment under this Agreement shall be effective upon execution of this Agreement, and such appointment shall continue until terminated

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: 356falcon
 Account Title: Applicant 1849213
 Dated: Tuesday, 11 February 2014

Signature:
 One of: sung Daniel

Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.



7. A confirmation number is immediately sent to your email address of record. Enter the confirmation number into the field provided, then click **Confirm**.

If you did not receive a confirmation number, click **Resend Confirmation Number** to receive a new one.

Confirm Your Request

The request will be placed after you confirm your identity by entering a token confirmation that has been sent to you by email, and then clicking **Continue**.

If you have not received a confirmation number, click *Resend Confirmation Number* below to receive a confirmation number by email. Allow a few minutes for your confirmation number to arrive.

Enter Confirmation Number:

✉ Resend Confirmation Number

✔ Confirm

Changing Your Delegated Reporting Choice

If you do not have an IBUK account; or an IBUK sub, client or linked account and you asked us to provide an LEI and do your EMIR reporting for you, you will see your LEI displayed on the EMIR and LEI Information page and be able to change your delegated reporting choice and/or change your Counterparty Type.

To change your delegated reporting choice and/or change your Counterparty Type

1. Click **Manage Account > Account Information > EMIR and LEI Information**.
2. Change your EMIR delegated reporting choice from **Yes** to **No** by clicking the appropriate radio button.
3. Optionally, change your Counterparty Type by selecting a different option from the drop-down list.

EMIR and LEI Information

LEI XXXXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXX

Delegate Reporting Yes No

Counterparty Type*

Financial Counterparty (FC)
Non-financial Counterparty ABOVE the clearing threshold (NFC+)
Non-financial Counterparty BELOW the clearing threshold (NFC-)

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EMIR DELEGATED TRANSACTION REPORTING AGREEMENT

4. If you choose Financial Counterparty (FC) as the Counterparty Type, you are prompted to select a Financial Counterparty type.

EMIR and LEI Information

LEI

Delegate Reporting Yes No

Counterparty Type* Financial Counterparty (FC)

Financial Counterparty Type*

- Assurance Undertaking
- Assurance Undertaking
- Credit Institution
- Investment Firm
- Insurance Undertaking
- Alternative Investment Fund
- Institution for occupational retirement provision
- Reinsurance Undertaking
- UCITS

You have requested that your categorization under EMIR is changed to Assurance Undertaking. Please note that under Article 2(8) of EMIR (648/2012), a financial counterparty (FC) is defined as a financial institution authorised in accordance with Directive 2006/48/EC, an insurance undertaking authorised in accordance with Directive 2005/68/EC, a UCITS and, where relevant, its management company or its management company authorised or registered in accordance with Directive 2011/61/EC. Please note that under Article 2(8) of EMIR (648/2012), a financial counterparty (FC) is defined as a financial institution authorised in accordance with Directive 2004/39/EC, a credit institution authorised in accordance with Directive 2006/48/EC, an insurance undertaking authorised in accordance with Directive 2005/68/EC, a UCITS and, where relevant, its management company or its management company authorised or registered in accordance with Directive 2011/61/EC.



5. Sign the agreement, then click **Continue**.
 7. A confirmation number is immediately sent to your email address of record. Enter the confirmation number into the field provided, then click **Confirm**.
- If you did not receive a confirmation number, click **Resend Confirmation Number** to receive a new one.

Confirm Your Request

The request will be placed after you confirm your identity by entering a token confirmation that has been sent to you by email, and then clicking **Continue**.

If you have not received a confirmation number, click *Resend Confirmation Number* below to receive a confirmation number by email. Allow a few minutes for your confirmation number to arrive.

Enter Confirmation Number:

Tax Information

The Tax Information menu includes the following pages:

- [Tax Form Collection](#) - Review important tax-related information and update your W-8/W-9 tax form.
- [Withholding Statement](#) - Proprietary Trading Group and Small Business accounts verify information about and modify the ownership percentages of all of the owners of their organization.

Tax Form Collection

The Tax Form Collection page lets account holders review and update important tax-related information and lets account holders who are legal residents and citizens of the US (the US is your country of organization formation and organization

registration) fill out or update an IRS Form W-9, Request for Taxpayer Identification Number and Certification or, if you are not a US legal resident and not a US citizen, IRS Form W-8.

New owners who have been recently added to an organization must log in to Account Management and complete this form.

Who can access the Tax Form Collection page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To use the Tax Form Collection page

1. Click **Manage Account > Account Information > Tax Information > Tax Forms**.

The Tax Form Collection page opens, displaying a form with tax-related information that should already be completed (unless you are a new owner who has been recently added to an organization, in which case you must fill out the form).

Tax Form Collection

██████████ opened an account with Interactive Brokers and indicated it was a transparent entity for tax purposes. Tax regulations require us to collect information about each owner of ██████████ in that case. In certain circumstances, we may be obligated to share this information with tax authorities. ██████████ has provided us with certain information about you. We have prepopulated this page with that information. Please review the information, complete any missing information, and make changes where appropriate. In the next step, you will be asked to update and sign the appropriate tax forms.

Organization Information

Name ██████████

Country of Formation United States

Street #1* ██████████

Street #2: (optional, e.g.: Apt, Suite, Floor, etc.)

City* City

State/Province* Connecticut

Zip/Postal Code* 06902

Country* United States

Is your mailing address different from the address provided above? Yes No

Phone Number(s)

Number Type	Country	Number	Use for Messaging
Business	United States	+ ██████████	<input type="checkbox"/>

[Time](#)

[+ Add Additional Number](#)

Tax Residency

US Registration Number 00000000

In what country is the organization a resident for tax purposes? * [?](#)

Taxpayer Identification Number* [?](#)

Choose One

Tax ID or tick checkbox if not av

I don't have a tax identification number.

Choose One

Tax ID or tick checkbox if not av

I don't have a tax identification number.

If the organization is a tax resident in a second jurisdiction, please select the appropriate country. Otherwise you may leave this selection blank.

[Continue](#)

Note: Advisors and brokers can check the status of client updates to this page on the [Dashboard](#) Pending Items tab.

2. Review the information and update as required. Click **Continue**.
3. IRS Form W-9 or W-8 opens.
4. To access the IRS instructions for the form, click the *Form Instructions* link in the upper right corner of the page.

The following figure shows part of the W-9 form.

[Form Instructions](#)

All U.S. persons (including resident aliens) applying for an IB account must complete this IRS Form W-9, Request for Taxpayer Identification Number and Certification. The purpose of this form is to provide your taxpayer identification information (TIN). Complete all required fields (marked with a red asterisk).

Form W-9
(Rev. January 2011)
Department of the Treasury
Internal Revenue Service

**Request for Taxpayer
Identification Number and Certification**

Give form to the requester. Do not send to the IRS.

Name (as shown on your income tax return)*

Business name/disregarded entity name, if different from above

Check appropriate box for federal tax classification:*
 Individual/Sole Proprietor
 C Corporation
 S Corporation
 Partnership
 Trust/Estate

Limited liability company. Enter the tax classification: -

Other (see instructions):

Exempt Payee

Address (number, street, and apt. or suite no.)*

Requester's name and address (optional)

Withholding Statement

For each owner, this page displays:

- Name and address
- Tax Identification Number
- Tax statuses
- Percentage of ownership

To use this page

1. Click **Manage Account > Account Information > Tax Information > Withholding Statement**.
2. Verify all of the information.
3. Enter an effective date.
4. If necessary, modify the ownership percentages. Note that the total ownership percentage for all owners must equal 100.
5. Type your signature and then click **Continue**.

If the status of any owner is INCOMPLETE, that owner has not completed the form on the [Tax Form Collection page](#), a regulatory requirement for all owners of organizations. All owners of an organization will be prompted to complete this form upon logging into Account Management. Once the Tax Form Collection page has been completed and submitted, it will remain available in Account Management for that owner.

For more information about adding owners to your organization in Account Management, see [Adding an Owner to an Organization](#).

Withholding Statement

Entity Name: [REDACTED]
 IB Account Number: [REDACTED]
 Tax Identification No.: [REDACTED]
 CFIN (if any): [REDACTED]

Name	Address	TIN	IRS Tax Form	FATCA Status	Chapter 3 Status	Treaty Benefits	Percentage of Owners	Status
[REDACTED] Limited	[REDACTED]	[REDACTED]	W-EBEN				85.0 %	INCOMPLETE
[REDACTED] LLC	[REDACTED]	[REDACTED]	W-9	US ENTITY	US ENTITY	US ENTITY	14.0 %	CONFIRMED

Effective Date:

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: [REDACTED]
 Account Title: [REDACTED]
 Dated: Thursday, 3 December 2015

Signature:

One of: [REDACTED]

Typing your name is equivalent to your handwritten signature.

Who can access the Withholding Statement page?

You can access this page if you are a:

- Proprietary Trading Group Master User
- Small Business Account User

Adding an Owner to an Organization

Proprietary Trading Group Master account users and Small Business account users can add owners to their organizations in Account Management.

To add an owner to an organization

1. Click **Manage Account > Account Information > Details > Profile**.

Profile							
The following individuals and/or entities are associated with your account:							
Name/Title	Entity Type	Association	Status	Modify	Cancel	Delete	
Elizabeth Clark	INDIVIDUAL	TRADER	--	Modify	--	--	
Magnus Alessia	INDIVIDUAL	TRADER	--	Modify	--	--	
Mr. Asfjask Test2	INDIVIDUAL	Account Holder	--	Modify	--	--	
Mr. Asfjask Test2	INDIVIDUAL	Account Holder	--	Modify	--	--	
mmm Sarlanis	INDIVIDUAL	TRADER	--	Modify	--	--	

2. Add a new owner (individual or entity) by clicking the **Add Individual** or **Add Entity** button.
3. Fill in all required fields on all pages.
 - For Association Type, select *Owner*.
 - Enter the ownership percentage of the new owner.

4. Once you have completed and submitted the new owner information, the new owner receives his or her own user-name and password.
5. The new owner logs in to Account Management, completes the one-time required Tax Form Collection page.
6. Verify that the new owner and ownership percentage has been added to your account on the Withholding Statement page by clicking **Manage Account > Account Information > Tax Information > Withholding Statement**.

Settings

The Account Settings menu includes account-level configuration functions on the following pages:

- [Configure Account](#) - Opens a submenu that lets you configure your base currency, institutional services and account type (upgrade to a margin account).
- [Fees](#) - Opens a submenu that lets you select your pricing structure and configure soft dollars.
- [Mobile](#) - Enable read-only mode in trading platforms.
- [Paper Trading Account](#) - Open a paper trading account.
- [Account Alias](#) - Create an alias for your account.
- [White Branding](#) - Configure advisor and broker white branding.
- [Close Account](#) - Close your account, view the status of your account closure, or re-open a closed account.
- [IRA](#) - Opens a submenu that lets you perform full or partial conversions to a Roth IRA account, and perform full recharacterizations from a Roth IRA account.

Configure Account

The Configure Account tab includes the following pages:

- [Base Currency](#) - Modify the base currency for your account.
- [Services](#) - Institutional customers can change their institutional services (IBClear, IBPrime or IBExecution).
- [Account Type](#) - Upgrade a cash account to a Reg T Margin account, or upgrade a Reg T Margin account to a Portfolio Margin account.
- [Excess Funds Sweep](#) - Configure the transfer of excess margin funds between your securities and commodities account segments.

Base Currency

The Base Currency page lets you modify the base currency for your account. Your base currency determines the currency of translation for your statements, the currency used for determination of margin requirement, and for a Cash Account, the currency of products you are allowed to trade. In addition, charges related to market data and research, inactivity fees, and commissions on Forex trades are also charged in your base currency.

Who can access the Base Currency page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual

- Advisor Client User Organization
- Proprietary Trading Group Master User (can modify the base currency for the master and sub accounts)
- Broker Master User (can modify the base currency for the master and non-disclosed client accounts)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To modify the base currency for an account

1. Click **Manage Account > Settings > Configure Account > Base Currency**. The Base Currency appears by default.

Base Currency

Use this page to modify the base currency of your account.

Your base currency determines the currency of translation for your statements and the currency used for determination of margin requirement.

Note:

» Base currency changes will not take effect until the next trading day.

<input checked="" type="radio"/> United States Dollar (USD)	<input type="radio"/> Canadian Dollar (CAD)
<input type="radio"/> Australian Dollar (AUD)	<input type="radio"/> British Pound (GBP)
<input type="radio"/> Euro (EUR)	<input type="radio"/> Hong Kong Dollar (HKD)
<input type="radio"/> Japanese Yen (JPY)	<input type="radio"/> Mexican Peso (MXN)
<input type="radio"/> Swedish Krona (SEK)	<input type="radio"/> New Zealand Dollar (NZD)
<input type="radio"/> Swiss Franc (CHF)	<input type="radio"/> Hungarian Forint (HUF)
<input type="radio"/> Czech Koruna (CZK)	<input type="radio"/> Danish Krone (DKK)
<input type="radio"/> Norwegian Krone (NOK)	<input type="radio"/> Singapore Dollar (SGD)
<input type="radio"/> Chinese Offshore Yuan (CNH)	

Submit →

2. Select the radio button next to your desired base currency, then click **Continue**.
3. Verify your selection, then click **Continue** to submit your currency change request.

If you need to make further changes, click **Back**, then make corrections before submitting.

Note that base currency changes do not take effect until the next trading day.

Institutional Services

We give institutional customers the flexibility to execute and/or clear trades on our platform or with numerous third-party brokers via the following services:

- **IBClear** - Customers requiring the lowest transaction costs, real-time risk management and efficient trade processing can both execute, clear, and hold custody of their trades at Interactive Brokers.
- **IBPrime** - Customers execute and clear with Interactive Brokers, and also take in trades executed with other third-party brokers.
- **IBExecution** - Trades are executed at Interactive Brokers using our superior price execution technology, and then given up to a third-party broker.

These services can be mixed and matched, and added at any time to fit with our institutional customers' changing needs. All services utilize our real-time margin system which prevents unauthorized trading by continuously enforcing limits for each account, and automatically liquidating positions if any individual account violates its limits at any time.

Who can access the Institutional Services page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Group Master or Client User (master user cannot change the Account Type of the master account)
- Advisor Master User (can only view the Account Type of client accounts and cannot change it for the master account)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (can also change the Account Type of Non-Disclosed client accounts)
- Broker Fully Disclosed Client User
- Investment Manager Master User (can only view the Account Type of client accounts and cannot change it for the master account)
- Fund

To upgrade or change your institutional service

1. Click **Manage Account > Settings > Configure Account > Institutional Services**

The Institutional Services page opens for the selected account ID.

Institutional Services

Use this page to select any of the institutional services listed below.

To add an executing broker, select **Settlement Instructions** from the Funding menu.

<input checked="" type="checkbox"/>	IBCleared	For those institutions that want to execute and clear their trades with Interactive Brokers.
<input checked="" type="checkbox"/>	IBPrime	For those institutions that want to execute trades away from Interactive Brokers and transfer these trades to Interactive Brokers for clearing and custody.
<input checked="" type="checkbox"/>	IBExecution	For those institutions that want to execute trades with Interactive Brokers and transfer these trades to another broker for clearing and custody.

Continue →

2. Select the check box next to the Institutional Service to which you want to subscribe.
3. Make any other changes on the page as required to modify your trading permissions, then click **Continue**.
4. Depending on the products that you have requested permission to trade, you are prompted to sign a risk disclosure, as required by law. Complete the online Disclosure Form(s) by typing your name in the Signature field, then click **Continue**.
5. Click the link(s) to read the complete agreements and/or disclosures, then click the **Accept** radio button to acknowledge your acceptance of the terms of the agreements and disclosures and click **Continue**.

A Final Acknowledgments/Confirmation page opens, listing your current and requested trading permissions and the current status of each. If approved, your trading permissions will be listed with a status of Approved.

Account Type

Use the Account Type page to upgrade your Cash account to a Reg T Margin account, or upgrade your Reg T Margin account to a Portfolio Margin account. Before you can upgrade to a margin account, you must meet the eligibility requirements of those accounts. For more information on margin accounts, see the Margin pages, available from the [Reference](#) menu.

Who can access the Account Type page?

You can change your account type on this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User (master user cannot change the Account Type of the master account)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (can also change the Account Type of Non-Disclosed client accounts)

- Broker Fully Disclosed Client User
- Fund

To upgrade to a margin account

1. Click **Manage Account > Settings > Configure Account > Account Type**.

Account Type

Use this page to upgrade to a margin account.

To add an executing broker, select **Settlement Instructions** from the Funding menu.

You must be approved for option trading to have a portfolio margin account and to take advantage of the reduced margin offered by a portfolio margin account.

Be aware that Portfolio Margin Upgrades are subject to review and may be declined for various reasons, including a noted margin increase upon upgrade of an account from Regulation T to Portfolio Margin. You will be notified by email when your request is approved, and this approval can take up to several business days. If the request is being declined due to an increase in margin under Portfolio Margin, you will be informed via a Customer Service Help Ticket and may respond accordingly. Thank you for your patience.

Current account type is *Reg T Margin*

Account Type:

Portfolio Margin (Pending) ▼

Continue →

2. In the Account Type drop-down, select the type of margin account to which you want to upgrade.

Note: To upgrade to a Portfolio Margin account, you must be approved to trade options.

3. Click **Continue**.

Excess Funds Sweep

Your Interactive Brokers Universal Account is authorized to trade both securities products and commodities/futures products and therefore consists of two underlying accounts or account segments: a securities account governed by rules of the U.S. Securities and Exchange Commission (SEC) and a futures account governed by rules of the U.S. Commodity Futures Trading Commission (CFTC). As part of the Universal Account service, you have authorized us to automatically transfer funds as necessary between your securities account and your futures account in order to satisfy margin requirements in either account.

Use the Excess Funds Sweep page to configure how you want us to handle the transfer of your excess funds between the two segments of your account. You can choose to sweep the funds to either the securities account or the commodities account, or choose not to sweep funds at all.

Note the following:

- All customer deposits are initially received into your securities account and will remain in that account unless you choose to sweep excess funds to your commodities account.
- If you are identified as a securities pattern day trader, then we strongly recommend that you choose to sweep excess funds into your securities account.

- Regardless of your choice, we will generally keep a small buffer of excess margin funds in each account in order to prevent excessive transfers back and forth as your margined securities and futures positions fluctuate in value.
- This feature is not available in IB-India and IB-UKL accounts.

Who can access the Excess Funds Sweep page?

All accounts can access this page EXCEPT:

- Advisor Master User
- Investment Manager Master User

To set your excess funds sweep method

1. Click **Manage Account > Settings > Configure Account > Excess Funds Sweep**.

Excess Funds Sweep

Your Universal Account is authorized to trade securities products, commodities/futures products and Foreign Exchange ("forex") transactions and therefore consists of two underlying accounts, a securities account governed by rules of the U.S. Securities and Exchange Commission (SEC) and a futures account governed by rules of the U.S. Commodity Futures Trading Commission (CFTC).

Whether you have assets in a securities or a futures account with us, your assets are protected by U.S. federal regulations governing how brokers must protect your property and funds. In the securities account, your assets are protected by SEC and SIPC rules (Note: foreign currency is protected to the extent used to purchase securities). In the futures account, your assets are protected by CFTC rules requiring segregation of customer funds. You are also protected by our strong financial position and our conservative risk management philosophy. See our [Strength & Security](#) page.

As part of our Universal Account service, you have authorized us to automatically transfer funds as necessary between your securities account and your futures account in order to satisfy margin requirements in either account.

Note:

- » All customer deposits are initially received into the securities account and will remain in that account unless you choose commodities sweep below.
- » Selecting "securities" sweep below is strongly recommended for any customer identified as a securities pattern day trader.
- » Regardless of your choice, We will generally keep a small buffer of excess margin funds in each account in order to prevent excessive transfers back and forth as your margined securities and futures positions fluctuate in value.

Account ID	Sweep Method		
	Do not sweep excess funds	Sweep excess funds into my securities account	Sweep excess funds into my commodities account
U 123456	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Continue →

2. Read the important information on the page, then select a sweep method by clicking one of the radio buttons.
 - **Do not sweep excess funds**
 - **Sweep excess funds into my securities account**
 - **Sweep excess funds into my commodities account**
3. Click **Continue**. Your setting is saved immediately.

Fees

The Fees tab includes the following pages:

- [Pricing Structure](#) - Select your pricing structure for stocks/ETFs/Warrants and for futures.
- [Soft Dollar Configuration](#) - Configure your soft dollars, if you are participating in our Soft Dollars program.

Pricing Structure

The Pricing Structure page lets you modify your pricing structure for stocks, warrants and ETFs; and futures.

Who can access the Pricing Structure page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Investment Manager Master User
- Fund

To modify the pricing structure for your account

1. Click **Manage Account > Settings > Fees > Pricing Structure**.

Pricing Structure

Use this page to select your pricing structures for Stocks/ETFs/Warrants and for Futures.

Stocks (ETFs, Warrants) Pricing Structure	
<input type="radio"/>	Fixed
<input checked="" type="radio"/>	Tiered

Futures Pricing Structure	
<input type="radio"/>	Fixed
<input checked="" type="radio"/>	Tiered

Continue →

2. Select **Fixed** or **Tiered** for all stocks, ETFs and warrants.
3. Select **Fixed** or **Tiered** for futures, then click **Continue**.
4. Verify your information, then click **Continue** to submit your changes.

If you need to make further changes, click **Back**, then make corrections before submitting.

For more information

- [Commissions](#)

Request Soft Dollars

We offer registered professional advisors and hedge and mutual funds the flexibility to offset the costs of purchasing approved research products and services using soft dollars. Soft dollars are brokerage commissions that are used to purchase research products and services from vendors. You can set up soft dollar payments in five tiers for stocks and for options.

Contact us to set up soft dollar vendors and to disburse accumulated soft dollars to vendors by sending an email to softdollarsgroup@interactivebrokers.com.

Who can access the Request Soft Dollars page?

You can access this page if you are a(n):

- Registered Professional Advisor
- Investment Manager Master User

Request Soft Dollars

The first time you access the Soft Dollars feature in Account Management, only the *Request Soft Dollars* link appears in the **Manage Account > Settings > Fees** menu.



Soft Dollars Page

The Soft Dollars page lets you set up a five-tiered schedule for soft dollars. Markups must be between 0 and 0.05 dollars per share. At the time of your trade, you specify which soft dollar tier to use; the soft dollar amount will be based on the tier you select. Currently, only US stocks and options are eligible for soft dollars.

The Soft Dollars page only appears AFTER you have signed and submitted the Soft Dollars Agreement on the Request Soft Dollars page.

Soft Dollar Configuration

The screenshot displays the 'Soft Dollar Configuration' interface. It is divided into two main sections: 'STOCKS' and 'OPTIONS'. Each section has a 'USD' dropdown menu and a 'Soft Dollar Commission' table. The 'STOCKS' table has five tiers with the following values: Tier 1 (0.0050), Tier 2 (0.01), Tier 3 (0.025), Tier 4 (0.04), and Tier 5 (0.05). The 'OPTIONS' table also has five tiers with the following values: Tier 1 (1.0), Tier 2 (2.0), Tier 3 (3.0), Tier 4 (4.0), and Tier 5 (5.0). A 'Continue' button with a green arrow is located at the bottom center of the interface.

To set up soft dollar tiers

1. In Account Management, click **Manage Account > Settings > Fees > Request Soft Dollars**. Type your signature in the field provided on the agreement, and then submit the form electronically.
2. Contact us via email at softdollarsgroup@interactivebrokers.com to request that accounts be set up for each vendor to whom you want to disburse soft dollars.
3. Once the vendor accounts are set up, log in to Account Management, then click **Manage Account > Settings > Fees > Soft Dollar Configuration**.

The Soft Dollars page shows the current and last soft dollar commission schedules for stocks and options. There are five tiers of soft dollar commissions for stocks and for options. The first time you use soft dollars in Account Management, these fields are set to 0 (zero).

4. Enter values in the Soft Dollar Commission fields for each tier. Values are in dollars per share and must be between 0 and 0.05.

The dollar amounts for the five tiers must be in ascending order, with the lowest amount in Tier 1 and the highest amount in Tier 5. If you enter soft dollar amounts in non-ascending order, the system automatically rearranges the amounts in ascending order for you.

Please note that this tier selection is used to calculate the total gross commissions, and the soft dollar disbursement amount is the remainder once all commissions have been deducted. Let's look at a simple example on a stock order using the Fixed Rate commission structure. Suppose you set a soft dollar Tier 5 for stocks to 0.05. In IB TWS, on a stock order for 1000 shares with Tier 5 selected, total client commissions would be 1000 shares x

0.05 (Tier Rate) = \$50.00. The Fixed Rate commission on this order of \$.005/share is $1000 \times .005 = \$5.00$. The soft dollar amount would be equal to \$45.00 for this order.

5. Click **Continue**.
6. Confirm your soft dollar markup schedules by clicking **Continue**. The Account Management home page opens.

Soft Payments in Activity Statements

If you have set up and are using soft dollars, your activity statements will show all of your soft dollar payments in the Soft Dollar Activity section of your statement. You can also choose to include or omit this section when you create customized activity statements and Activity Flex queries.

For more information

Trading Platforms Read-Only Access

This page lets you enable or disable read-only access to trading platforms.

Read-only access gives you access to your account in any trading platform without requiring you to log in. When your account is in read-only mode, you will be able to view real time market data, account balances and activity in our trading platform. **To trade, you will need to log in.**

When read-only access is enabled, it can be activated and deactivated from the Configuration screen. When disabled, the feature is not accessible.

Who can access the Trading Platforms Read-Only Access page?

You can access this page if you have Trader Workstation access rights.

To enable or disable Read-Only Access

1. Click **Manage Account > Settings > Mobile**.

Trading Platforms Read-Only Access

Read-only access gives you quick, read-only access to your account without requiring you to log in. When your account is in read-only mode, you will be able to view real time market data, account balances and activity. To trade you will need to log in.

When read-only access is enabled, it can be activated and deactivated from the Configuration page. When disabled, the feature is not accessible.

	Enabled	Disable
Trading Platforms Read-Only Access	<input checked="" type="radio"/>	<input type="radio"/>

Submit →

2. Do one of the following:
 - To enable read-only access, click the **Enable** radio button.
When read-only mode is enabled, "Enable" changes to "Enabled."
Read-only mode is enabled by default.
 - To disable read-only access, click the **Disable** radio button.
When read-only mode is disabled, "Disable" changes to "Disabled."

3. Click **Continue**.
4. When read-only access is enabled, when you open a trading platform, you will be asked if you want to use read-only mode. When you have in read-only access enabled, you will not have to log back into the trading platform to view market data, account balances or activity.

Paper Trading

If your regular trading account has been approved and funded, use this page in Account Management to open a Paper Trading Account, which lets you use the full range of trading facilities in a simulated environment using real market conditions. Use this test environment to learn trading features such as order types without risk, learn market dynamics in new exchanges and products, and simulate and test trading strategies. When you use a paper trading account, you have limited access to Account Management functions. Paper Trading Accounts are created within 24 hours under normal business circumstances. You will be notified by email when the account is ready for trading.

Who can access the Paper Trading page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Non-Disclosed Client User
- Broker Omnibus Client User
- Investment Manager Master User
- Fund

To open a paper trading account

1. Click **Manage Account > Settings > Paper Trading**.

Paper Trading

If your regular trading account has been approved and funded, you can open a Paper Trading Account, which lets you use the full range of trading facilities in a simulated environment using real market conditions. Your Paper Trading Account will have its own password and username, separate from your normal account. Trades entered in your Paper Trading Account will not actually execute on any exchange or settle at a clearing house. However, the price of your executions will be determined by real market prices and sizes.

Trading permissions, market data subscriptions, base currency, and customer type configurations in your Paper Trading Account will be the same as those in your normal account. You can use your Paper Trading Account activity in Trader Workstation (TWS) or Application Program Interface (API).

Click the **Continue** button to activate your Paper Trading Account.

Continue →

2. Read the text on the page, which contains important information about paper trading accounts, then click **Continue**.

Paper Trading

Please specify a Paper Trading Account Username prefix and password. Your full Username will be displayed once accepted by the system on the next page.

Enter a nine character username. Must include six lower case letters and three different numbers.

Username:

Enter a six to eight character password with at least one numeric digit and no spaces. Please note this password for future use, as it will not be shown again.

Password:

Confirm Password:

← Back

Continue →

3. Type a five-character paper trading account username in the field provided.
4. Type a paper trading account password in the field provided. The password must be from six to eight characters and must contain at least one number and no spaces.
5. Re-type the password in the field provided, then click **Continue**. The system will generate a full username for you when you click **Continue**.
6. You are prompted to click **Yes** to confirm your request for a paper trading account, or click **No** to cancel your request.

Be sure to write down your username and password; your password will not be shown on the screen again.

About Paper Trading Accounts

Paper Trading Accounts work as described below.

- It works just like your production account. You can use most order types, trade all contracts available through IB TWS, and experiment with almost every aspect of the platform.
- The PaperTrader interface clearly indicates that you are working in a simulated account. If you do not see this, you are trading in your production account and will be liable for all trades that fill.

- Trades entered into this paper trading account will not actually execute on any exchange or settle at a clearing house. However, the price of your executions will be determined by real market prices and sizes.
- Trading permissions, market data subscriptions, base currency, and other account configurations are the same as specified for your regular account.
- A paper trading account statement will be provided each day and is available by logging into Account Management with your Paper Trading Account login and accessing the Reports menu.
- All customers will start with USD 1,000,000 of paper trading Equity with Loan Value, and this equity will fluctuate as if the trades had executed in the real market.
- You may [reset](#) your cash equity at any time in Account Management for your Paper Trading Account. You can reset your paper trading cash equity to up to five times your production account value. Please note that reset requests should be entered before 16:00 ET in order to take effect for the next business day.

Paper Trading Account Limitations

Although a Paper Trading Account simulates most aspects of a production account, you may encounter some differences due to its construction as a simulator with no execution or clearing abilities. These differences include but are not limited to:

- No support for some order types including: VWAP, Auction, RFQ, and Pegged to Market.
- Fills are simulated from the top of the book; no deep book access.
- Limited combo and EFP trading.
- Stops and other complex order types are always simulated in paper trading; this may result in slightly different behavior from a production account.
- Penny trading for US Options is not supported. You will be able to submit the order but it will not receive a penny fill.
- The trade simulator will reject the remainder of any exchange-directed market order that partially executes. This may or may not match behavior of a real-world exchange. Market orders received while there is no quote on the opposite side will be held until the market data arrives (i.e. until the first partial fill).
- Mutual Fund trading is not supported in a Paper Trader Account.

Account Management for a Paper Trading Account

When you use a paper trading account, you have limited access to Account Management functions. With a paper trading account, you are limited to the following Account Management menus and functions:

- [Trade > Paper Trading Account Reset](#): *Paper Trading Account Reset* lets you reset the cash equity of your paper trading account. All paper trading accounts start with 1,000,000 USD of paper trading equity. Note that if you want to flatten the account positions, you must trade out of them before requesting a paper trading account reset.
- [Trade > WebTrader](#): *WebTrader* lets you quickly launch WebTrader, our HTML-based trading platform designed for customers who prefer a less complicated trading environment.
- [Reports > Activity > Statements](#): *Statements* lets you view and print daily statements for your paper trading account, and download trade information to Microsoft Word and Microsoft Excel. Daily statements cover the last 45 days.
- [Reports > Activity > Flex Queries](#): *Flex Queries* lets you create highly customized report templates for Activity Statements called Flex Queries. Flex Queries let you specify exactly which fields you want to view in your

Activity Statement, the time period you want the report to cover, the order in which you want the fields to display, and the format of the report.

- [Reports > Trade Confirmations > Flex Queries](#): *Trade Confirms Flex* lets you create multiple, customized report templates for trade confirmations. A trade confirmation flex query lets you specify the exact fields you want to view in your report, the time period you want the report to cover, the order in which you want the fields to appear in the report, and the format of the report.
- [Manage Account > Security > Reset Paper Trading Account Password](#): Lets you change your paper trading account password by logging into Account Management with your production account (in the event that you have forgotten your paper trading password).
- [Manage Account > Security > Individual > Password](#): *Password* lets you change your paper trading account password by logging into Account Management with your paper trading account.

Paper Trading Account Reset

All paper trading accounts start with 1,000,000 USD of paper trading equity. You may reset this equity at any time using the Paper Trading Account Reset page in Account Management.

To reset your paper trading account

1. Log into Account Management with your paper trading account username and password.
2. Click **Trade**. The Paper Trading Account Reset page opens.
3. In the Select Reset Amount list, select the amount of equity you wish, then click **Continue**. A page verifying your request appear.

Reset requests received by 1600 hours ET are processed by the next day.

WebTrader

The Trade > Webtrader menu item launches WebTrader, Our HTML-based trading platform designed for customers who prefer a less complicated trading environment. WebTrader opens in a new browser window. Login with your account username and password.

Paper Trading Activity Statements

The Paper Trading Activity Statements page lets you view and print daily statements for your paper trading account, and download trade information to Microsoft Word and Microsoft Excel. Daily statements cover the last 45 days.

To view and print paper trading activity statements

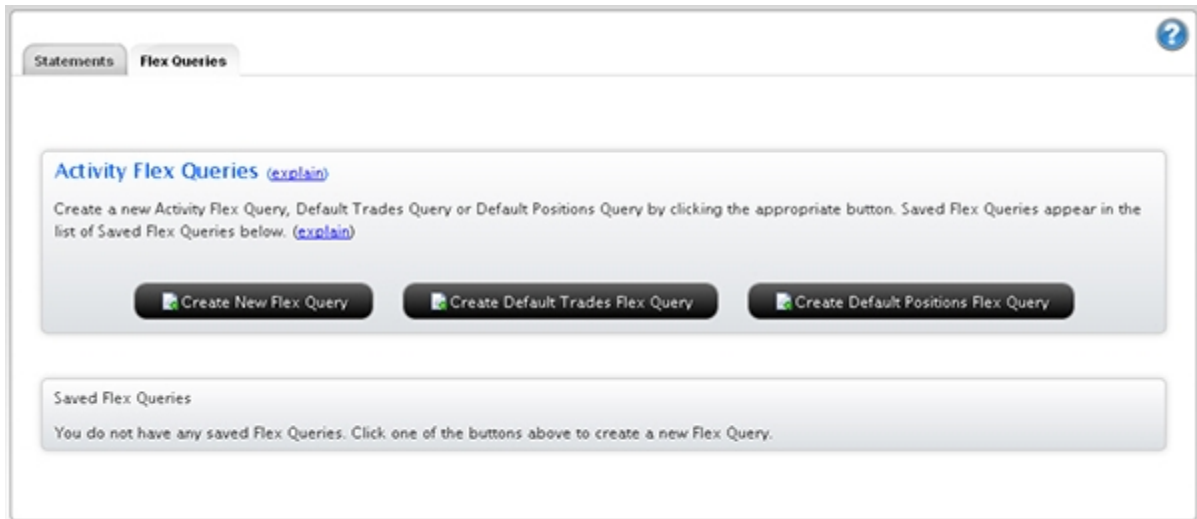
1. Log into Account Management with your paper trading account username and password.
2. Click **Reports**, then click **Activity**. The Activity Statements page opens.
3. In the Date list, select one or more dates:
 - Select one or more non-contiguous dates using the Ctrl+click keyboard/mouse combination.
 - Select a range of dates by using the Shift+click keyboard/mouse combination.
4. In the Format list, select HTML/Web to view the statement in your browser.
 - Select MS Word or MS Excel to save the statement in Microsoft Word or Microsoft Excel formats.
5. In the Language list, select your preferred language.
6. Click **View**.
 - If you selected HTML/Web as the format, your statement will appear in a new browser window.
 - If you selected PDF as the format, you will be prompted to save the PDF file to your computer.

Activity Flex Query

The Activity Flex Queries page lets you create highly customized report templates for Activity Statements. Flex Queries let you specify exactly which fields you want to view in your Activity Statement, the time period you want the report to cover, the order in which you want the fields to display, and the format, TEXT or XML, of the report.

You can create multiple templates with different fields for each statement. All of your templates are stored in Account Management, and can be easily run from the Activity Flex Queries page. An Activity Flex Query is different from an Activity Statement customized template in that you can customize a flex query at the field level, allowing you to include and exclude detailed field information. Activity Statement customized templates only let you include and exclude sections.

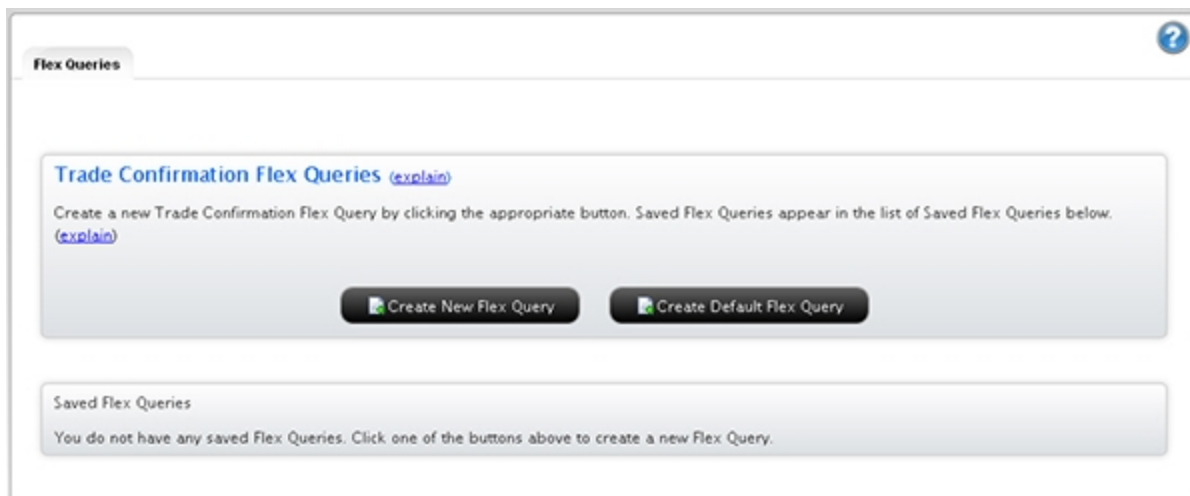
You can also add default Flex Queries for Trades and Positions, then use those queries as the basis for your own by editing them.



Trade Confirmations Flex Query

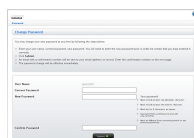
The Trade Confirmations Flex page lets you create multiple, customized report templates for trade confirmations. A trade confirmation Flex query lets you specify the exact fields you want to view in your report, the time period you want the report to cover, the order in which you want the fields to appear in the report, and the display format for the report. You can create multiple Flex Queries with different fields for each query. All of your Flex Queries are stored in Account Management.

You can also add a default Flex query, then use it as the basis for your own by editing it.



Change Password

Use the Change Password page to change your paper trading account password.



To change your paper trading account password

1. Log into Account Management with your paper trading account username and password.
2. Click **Manage Account**> **Security**. The Change Password page opens.
3. Type your current password, then type your new password. Choose a password that is from six to eight characters long and contains at least one number and no spaces.
4. Retype the new password.
5. In the Confirmation Number field, type the confirmation number from the email you received.
6. Click **Submit**. The password change is effective immediately.

Account Alias

The Account Alias page lets you define an alias for your account. For example, you might want to define an account alias that is easier to remember than your account ID. If you are a master user, you can define an alias for any client or sub accounts that you manage. If you create an account alias, it will appear on your account statements and if your an Advisor Master, the account aliases will also be reflected in our trading platform.

Who can access the Account Alias page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User

- Advisor Master User (master account only)
- Proprietary Trading Group Master User (master account only)
- Broker Master User (master account only)
- Investment Manager Master User (master account only)

To define an account alias

1. Click **Manage Account > Settings > Account Alias**.

Account Alias

Use this page to define an alias for your account. An account alias can be anything that is easier to remember than your Account ID; for example, your first name or a nickname.

Account ID	Account Alias
<input type="text"/>	<input type="text"/>

Submit →

2. Type the account alias in the Account Alias field, then click **Continue**.

The page refreshes and displays a confirmation message.

White Branding

We provide Advisors, Brokers and Fund Investment Managers with the ability to “white brand” or incorporate your own organization’s identity on to our software and documentation in specific areas, including:

- [Trader Workstation](#)
- [WebTrader](#)
- [Account Management, the Registration System, Statements and PortfolioAnalyst](#)
- [Emails](#)
- [Trader Workstation Online Users Guide](#)
- [IB Contract Database](#)

Who can access the White Branding page?

You can access this page if you are a(n):

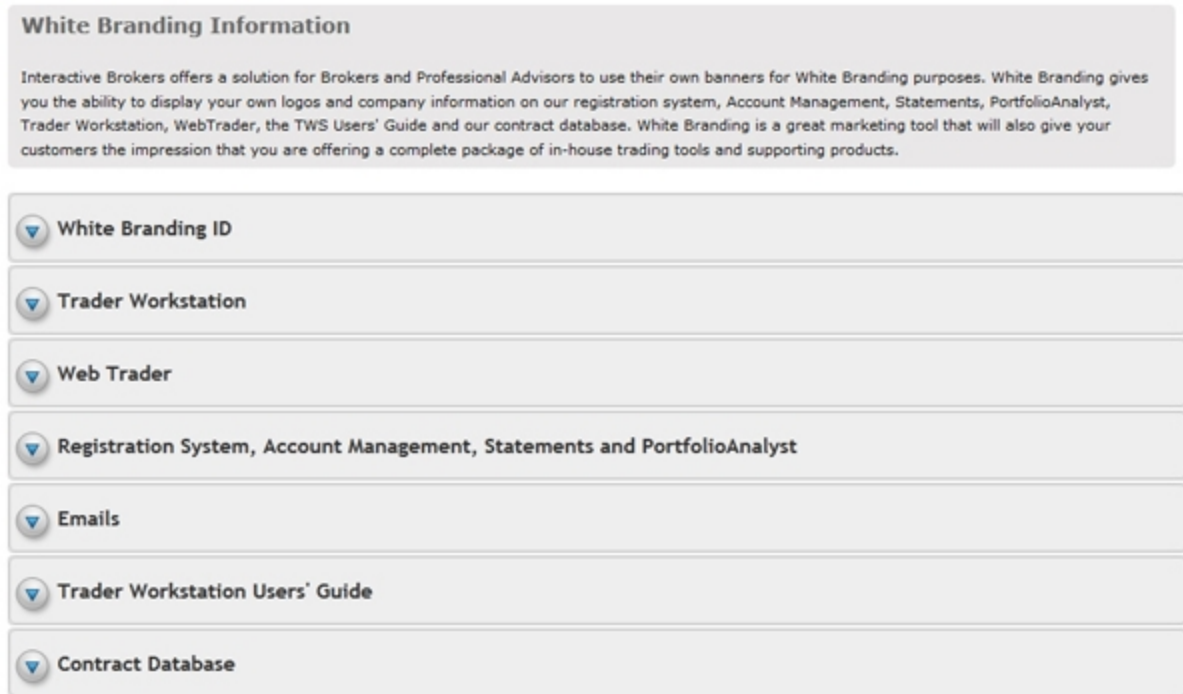
- Advisor Master User Individual (Advisors cannot white brand Trader Workstation or WebTrader)
- Advisor Master User Organization
- Broker Master User
- Investment Manager Master User (Multiple Funds Account)

Note: Do not use the Interactive Brokers banner as a template for your White Branding Banner. IB cannot endorse any Broker, and using a banner based on our corporate banner would give that impression. Please note that white branding of statements can take up to 24 hours from the time you upload your images.

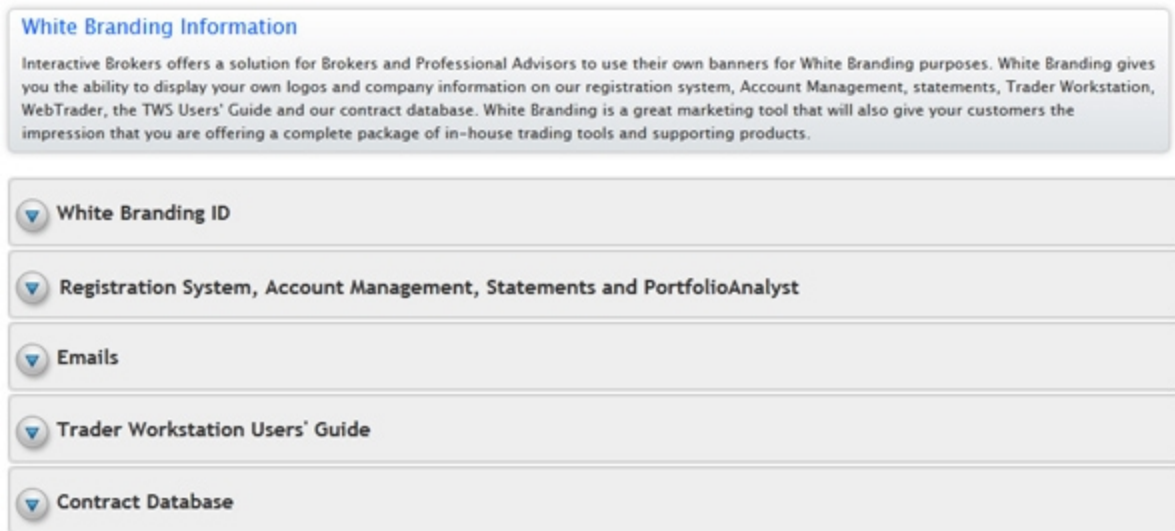
To set up white branding

1. Click **Manage Account > Settings > White Branding**. The White Branding Information page opens. Brokers and Fund Investment Managers will see more options than Advisors.

The following figure shows the White Branding page for Brokers and Fund Investment Managers.



The following figure shows the White Branding page for Advisors.



2. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters (_). You can change your White Branding ID at any time.

White Branding ID

Your White Branding ID is currently set to **asterix**. You can change it anytime by entering a new ID below. Your ID must be six to ten characters long and can include letters, numbers and underscore characters (_). Remember to update all your White Branding URLs with your new ID.

3. Click **Submit**.
4. Click each section that represents the category you want to white brand, then follow the instructions in the section to enter the required information. Click **Submit** in each section to enter the information into our system.

Changes made before 5:00 PM EST go into effect 8:00 PM EST the same day. Changes made after 5:00 PM EST will take effect the following day 8:00 PM EST.

White Branding Trader Workstation

We provide Brokers and Fund Investment Managers the ability to customize the Trader Workstation (IB TWS) platform so it displays your logo and useful company information to be presented on IB TWS, i.e. a link to your company's Homepage, Customer Service, Technical Support, and Sales Representative's contact information. Note that Advisors cannot white brand Trader Workstation.

Note: If Broker Masters and Investment Manager Masters configure Trader Workstation for white branding, then mobile devices will also be white-branded, including IB TWS for Android, IB TWS for iOS (iPhone and iPad in iPhone compatibility mode) and IB TWS for BlackBerry.

To set up white branding for Trader Workstation, you perform the following steps:


1. [Enter TWS white branding information in Account Management](#).
2. [Configure *.jnlp files](#) that you will use to start TWS sessions from your website.

To enter IB TWS white branding information in Account Management

1. Log into Account Management.
2. Click **Manage Account > Settings > White Branding**.
3. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters (_). You can change your White Branding ID at any time.

The screenshot shows a web interface for updating the White Branding ID. At the top, there is a section titled "White Branding ID" with a dropdown arrow. Below the title, a message states: "Your White Branding ID is currently set to **asterix**. You can change it anytime by entering a new ID below. Your ID must be six to ten characters long and can include letters, numbers and underscore characters (_). Remember to update all your White Branding URLs with your new ID." Below this message is a text input field and a "Submit" button with a green arrow. Below the input field, there is a list of other settings sections, each with a dropdown arrow: "Trader Workstation", "Web Trader", "Registration System, Account Management, Statements and PortfolioAnalyst", "Emails", "Trader Workstation Users' Guide", and "Contract Database".

4. Click **Submit**.
5. Click **Trader Workstation** to open that section.

 **Trader Workstation**

White Branding of TWS is a two-step process:

1. Create a .jnlp file on your webserver (see [TWS Advisor/Broker White Branding](#))
2. Complete and submit the form below to represent your identity on IB's Trader Workstation (TWS).

Your initial TWS White Branding request can take up to 48 hours to take effect. Changes made before 5:00 PM EST go into effect at 8:00 PM EST the same day. Changes made after 5:00 PM EST will take effect the following day at 8:00 PM EST.

General Information

Company name:	<input type="text"/>	(will appear in TWS)
Product name:	<input type="text"/>	(to replace Trader Workstation)
Logo Image:	<input type="text"/>	The image that will be inserted in the TWS frame. It must be a 16 x 16 pixel GIF file. Enter the image URL (e.g. http://www.yoursite.com/logo.gif)
Splash Page URL:	<input type="text"/>	(e.g. http://www.interactivebrokers.com)
Fax Number:	<input type="text" value="312-000-0000"/>	

Help Desk Contact Information

Specify (up to three) ways to contact your Help Desk. e.g:
Americas : 1-800-888-8888.
Europe: (41-41) 761-2345

Help Desk Name:	Help Desk Number:
<input type="text" value="Help Desk"/>	<input type="text" value="203-000-0000"/>
Help Desk Name:	Help Desk Number:
<input type="text"/>	<input type="text"/>
Help Desk Name:	Help Desk Number:
<input type="text"/>	<input type="text"/>

Useful Links

Use this section to create a custom set of links that will appear in the Help Menu of the TWS Menu bar. Specify one or more URLs to help assist customers with your own Tutorials, Resource Links, FAQs etc. You can also provide additional contact links here. To specify an E-mail address use a link like: *mailto:helpdesk@yourcompany.com?subject=Need Help with Trader Workstation*.

Link Name: <input type="text" value="Contact"/>	URL: <input type="text"/>
Link Name: <input type="text" value="Locations"/>	URL: <input type="text"/>
Link Name: <input type="text" value="News"/>	URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>
Link Name: <input type="text"/>	Link URL: <input type="text"/>

6. Follow the instructions to enter General Information (including entering the URL to your own 16 x 16 pixel gif Logo Image), Help Desk Contact Information and Useful Links, as required.
7. Click **Submit**.

Your initial white branding request may take up to 48 hours to take effect. Changes made before 5:00 PM EST go into effect 8:00 PM EST the same day. Changes made after 5:00 PM EST will take effect the following day 8:00 PM EST.

Configure .jnlp Files

A .jnlp file type is used to launch IB TWS. You will need to create these files and provide links to them for your customers to launch IB TWS. We have included the code for two .jnlp links:

- **Latest.jnlp for API Users:** Customer who want to run the API MUST launch the latest version. The older "TWS" version does not support the API.
- **TWS Users:** Customers who run IB TWS can choose from the stable version, labeled "TWS" or the latest version, labeled "Latest." The stable version is older and doesn't contain the latest features.

To create a *.jnlp file

1. Copy the code for either TWS Latest (the latest version of TWS, required for API users), or TWS (most stable version, does not contain all of the newest features) into a file and save as a .jnlp file on your website. For example, tws.jnlp or latest.jnlp.

The code is located here:

- [TWS Latest](#)
- [TWS](#)

2. Replace the relevant details (bolded and shown in red below) with the appropriate information pertaining to your company and web site, as shown in the below example for Super Trader.

Sample For IB TWS Latest (Required for API)

```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<jnlp codebase="http://www.interactivebrokers.com/java/classes/"
href="http://www.supertrade.com/launchers/latest.jnlp">
<information>
<title>SuperTrader</title>
<vendor>Super Trade Limited</vendor>
<homepage href="http://www.supertrade.com"/>
<icon width="64" height="64"
href="http://www.supertrade.com/icons/app64x64.jpg"/>
<description>Super Trader Platform powered by Super Trade</description>
</information>
```

Sample For IB TWS

```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<jnlp codebase="http://www.interactivebrokers.com/java/classes/"href-
f="http://www.supertrade.com/launchers/tws.jnlp">
<information>
<title>SuperTrader</title>
<vendor>Super Trade Limited</vendor>
<homepage href="http://www.supertrade.com"/>
<icon width="64" height="64"
href="http://www.supertrade.com/icons/app64x64.jpg"/>
<description>Super Trader Platform powered by Super Trade</description>
</information>
```

Sample For Clients in Asia

Customers with clients located in Asia should use a jnlp file with the "codebase" attribute pointed to our server in Hong Kong (<http://www.interactivebrokers.com.hk>) instead of the .com site to ensure that IB TWS loads faster. You would also need to replace the red lines with the information pertaining to your site as shown in this example:

Note: The example uses the latest.jnlp, but you can do the same for the stable tws.jnlp.

```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
```

```
<jnlp codebase="http://www.interactivebrokers.com.hk/java/classes/"
href="http://www.supertrade.com/launchers/latest.jnlp">
<information>
<title>SuperTrader</title>
<vendor>Super Trade Limited</vendor>
<homepage href="http://www.supertrade.com"/>
<icon width="64" height="64" href="http://www.supertrade.com/icons/app64x64.jpg"/>
<description>Super Trader Platform powered by Super Trade</description>
</information>
```

3. Create links to these files on your site for users to launch the white-branded IB TWS platform.
4. Ensure that your web server is configured to handle JNLP MIME types.

Latest TWS jnlp File

Use the code below to create a .jnlp file that will be used to launch the latest version of Trader Workstation. Note that API users must use this version. Copy the code into a file and save as a .jnlp file on your website.

```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<jnlp codebase="https://www.interactivebrokers.com/java/classes/" href="https://www.interactivebrokers.com/java/classes/tws.jnlp">
  <information>
    <title>Trader Workstation</title>
    <vendor>Interactive Brokers</vendor>
    <homepage href="http://www.interactivebrokers.com"/>
    <icon width="64" height="64" href="tws64x64.jpg"/>
    <description>Interactive Brokers Trader Workstation</description>
  </information>

  <security>
    <all-permissions/>
  </security>

  <resources arch="x86_64">
    <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=256M" version="1.6+"/>
    <property name="jnlp.selectedarch" value="x86_64"/>
    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.interactivebrokers.com/java/classes/tws.jnlp"/>
  </resources>

  <resources arch="amd64">
    <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=256M" version="1.6+"/>
    <property name="jnlp.selectedarch" value="amd64"/>
    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.interactivebrokers.com/java/classes/tws.jnlp"/>
  </resources>

  <resources arch="x86">
    <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=128M" version="1.6+"/>
    <property name="jnlp.selectedarch" value="x86"/>
  </resources>
```

```

    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
    teractivebrokers.com/java/classes/tws.jnlp"/>
</resources>

<resources arch="">
  <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=128M" version="1.6+"/>
  <property name="jnlp.selectedarch" value="default"/>
  <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
  teractivebrokers.com/java/classes/tws.jnlp"/>
</resources>

<resources>
<j2se java-vm-args="-Dsun.java2d.noddraw=true -Dswing.boldMetal=false -Dsun-
.locale.formatasdefault=true" version="1.7+"/>
<j2se java-vm-args="-Dsun.java2d.noddraw=true -Dswing.boldMetal=false" ver-
sion="1.6"/>
  <jar href="prod/twslaunch.jar"/>
  <property name="jnlp.twslaunch.jars" value-
  e="prod/jts4launch.jar;total.2015b.jar"/>
  <property name="jnlp.twslaunch.start" value="prod/twslaunch.jar"/>
  <property name="sun.java2d.noddraw" value="true"/>
  <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
  teractivebrokers.com/java/classes/tws.jnlp"/>
</resources>

<application-desc main-class="jclient.Launcher">
  <argument>c:\ibjts</argument>
  <argument>gdc1.ibllc.com:4000</argument>
</application-desc>
</jnlp>

```

TWS jnlp File

Use the code below to create a .jnlp file that will be used to launch the most recent stable version of Trader Workstation. This version is older than the latest version and does not contain the newest features. Copy the code into a file and save as a .jnlp file on your website

```

<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<jnlp codebase="https://www.interactivebrokers.com/java/classes/" href-
f="https://www.interactivebrokers.com/java/classes/latest.jnlp">
  <information>
    <title>TWS Latest (954.2)</title>
    <vendor>Interactive Brokers</vendor>
    <homepage href="http://www.interactivebrokers.com"/>
    <icon width="64" height="64" href="tws64x64.jpg"/>
    <description>Interactive Brokers Trader Workstation Latest</description>
  </information>

  <security>
    <all-permissions/>
  </security>

  <resources arch="x86_64">

```



```

    <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=256M" version="1.6+"/>
    <property name="jnlp.selectedarch" value="x86_64"/>
    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
    teractivebrokers.com/java/classes/latest.jnlp"/>
  </resources>

  <resources arch="amd64">
    <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=256M" version="1.6+"/>
    <property name="jnlp.selectedarch" value="amd64"/>
    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
    teractivebrokers.com/java/classes/latest.jnlp"/>
  </resources>

  <resources arch="x86">
    <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=128M" version="1.6+"/>
    <property name="jnlp.selectedarch" value="x86"/>
    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
    teractivebrokers.com/java/classes/latest.jnlp"/>
  </resources>

  <resources arch="">
    <j2se java-vm-args="-Xmx768M -XX:MaxPermSize=128M" version="1.6+"/>
    <property name="jnlp.selectedarch" value="default"/>
    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
    teractivebrokers.com/java/classes/latest.jnlp"/>
  </resources>

  <resources>
  <j2se java-vm-args="-Dsun.java2d.noddraw=true -Dswing.boldMetal=false -Dsun-
  .locale.formatasdefault=true" version="1.7+"/>
  <j2se java-vm-args="-Dsun.java2d.noddraw=true -Dswing.boldMetal=false" ver-
  sion="1.6"/>
    <jar href="latest/twslaunch.latest.jar"/>
    <property name="jnlp.twslaunch.jars" value-
    e="latest/jts4launch.latest.jar;total.2015b.jar"/>
    <property name="jnlp.twslaunch.start" value="latest/twslaunch.latest.jar"/>
    <property name="sun.java2d.noddraw" value="true"/>
    <property name="jnlp.gendate" value="Wed Nov 11 08:16:00 2015; https://www.in-
    teractivebrokers.com/java/classes/latest.jnlp"/>
  </resources>

  <application-desc main-class="jclient.Launcher">
    <argument>c:\ibjts</argument>
    <argument>gdc1.ibllc.com:4000</argument>
  </application-desc>
</jnlp>

```

White Branding WebTrader

We provide brokers and fund investment managers the ability to White Brand WebTrader. WebTrader is our HTML-based trading interface, which allows our customers to access market data and transmit orders from behind a firewall

where access to IB TWS may be impossible. The WebTrader may also be easier to use for customers who don't need all of the capabilities of the Trader Workstation.

Brokers and their customers may use the WebTrader if we are not the designated OATS Reporting Party under an Order Sending Organization (OSO) Agreement for that broker.

Note that advisors cannot white brand WebTrader.

To white brand WebTrader

1. Log into Account Management.
2. Click **Manage Account > Settings > White Branding**.
3. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters (_). You can change your White Branding ID at any time.
4. Click **Submit**.
5. Click **WebTrader** to open that section.

▼ **Web Trader**

To White Brand Interactive Brokers' WebTrader, provide the information below and upload banners with your logo or your firm's graphic design. The main banner is a 318x63 jpg, gif or png file. An additional banner (386x63 jpg, gif or png) can be provided to extend your main banner across the window. All images must be less than 50KB in size.

Once submitted, changes will take effect within one hour. Your White Branding link will be <https://www.clientam.com/webtrader2/servlet/login?id=asterix>.

WebTrader Product Name

Change WebTrader to a name that is more meaningful to your organization or in your language. This name will be reflected on the login page of "your" WebTrader.

Product name: (e.g. "HTML Trader", "Web Trading", "Your ORG Web Trading")

Website

URL: (e.g. http://www.your_org.com)

Customer Service

URL: (e.g. http://www.your_org.com/contact.php)

Upload Banners

Main Logo Image (top left end corner): [view banner](#) [Upload File \(318x63 jpg, gif or png\)](#)

Click **Submit** to save your Web Trader White Branding settings. Changes will take effect the next time you log into WebTrader (you might have to refresh your browser cache).

Delete Settings
Submit →

6. Follow the instructions to enter the information, including uploading your own 318 x 63 pixel jpg, gif or png file.
7. Click **Submit**.

Changes made before 5:00 PM EST go into effect 8:00 PM EST the same day. Changes made after 5:00 PM EST will take effect the following day 8:00 PM EST.

White Branding Emails

We provide the ability for Brokers, Professional Advisors and Fund Investment Managers to white brand emails that are sent to customers from the Registration System, Account Management and Customer Service.

To white brand emails

1. Log into Account Management.
2. Click **Manage Account > Settings > White Branding**.
3. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters (_). You can change your White Branding ID at any time.

4. Click **Submit**.
5. Click **Emails** to open that section.

6. Follow the instructions to enter the required information.
7. Click **Save Email Settings**.
Email white branding takes effect within 24 hours.

White Branding Account Management, the Registration System and Statements

We provide the ability for Brokers, Professional Advisors and Fund Investment Managers to upload their own banners to white brand Account Management, the Registration System (account application), the statements that they provide to their customers, and PortfolioAnalyst. The main banner requires a 650x80 jpg or png image. All images need to be less than 50KB in size.

Upgrade existing banner images to png format to apply the most recent style to statements. For more information, contact us at whitebranding@interactivebrokers.com.

To white brand Account Management, the Registration System and Statements

1. Log into Account Management.
2. Click **Manage Account > Settings > White Branding**.
3. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters (_). You can change your White Branding ID at any time.

White Branding ID

Your White Branding ID is currently set to **asterix**. You can change it anytime by entering a new ID below. Your ID must be six to ten characters long and can include letters, numbers and underscore characters (_). Remember to update all your White Branding URLs with your new ID.

Trader Workstation

Web Trader

Registration System, Account Management, Statements and PortfolioAnalyst

Emails

Trader Workstation Users' Guide

Contract Database

4. Click **Submit**.
5. Click **Registration System, Account Management, Statements and PortfolioAnalyst** to open that section.

Registration System, Account Management, Statements and PortfolioAnalyst

Brokers and Professional Advisors can upload their own banners to Interactive Brokers to White Brand the IB Registration System, Account Management, Activity Statements and PortfolioAnalyst. The banner is a 650x80 jpg or png image. The images must be less than 50KB in size.

Do not use the Interactive Brokers logo in your White Branding banner. IB cannot endorse any Advisor/Broker in any banner.

Once you have uploaded your banners and completed the form below, your White Branded link will be: <https://www.clientam.com/sso/Login?partnerID=54629>.

White Branding Name

The White Branding name is a substitute for "Interactive Brokers LLC" on client account management and registration pages.

White Branding Name:

Upload Banner

Click the Upload File links to upload your banner images.

Account Management Banner: [view banner](#) Upload File (650x80 jpg OR png)

Investor's Marketplace

Hide Investor's Marketplace.

Customer Service

You can substitute IB's customer support links at the top of the Account Management menu with a link to your own customer service page by entering the URL to that page below (e.g. <http://www.yourcompany.com/customerservice.html>).

Hide IB Customer Service Tools:

Customer Service URL:

Click **Submit** to save your Registration System and Account Management Banner White Branding settings. The Registration System and Account Management will be White Branded the next time you or your client(s) log in (browser cache might have to be refreshed). Statements will be updated within 24 hours.

- Follow the instructions to enter the required information, including uploading your own 650 x 80 pixel jpg or png file.

You can also choose to hide the Investors' Marketplace by selecting the appropriate check box.

- Click **Submit**.

Account Management and Registration System white branding takes effect the next time you or your client(s) log in (you may have to refresh the browser cache). Statements will be white branded within 24 hours.

White Branding Reference Table

The following table lists the white branding capabilities for the various elements of Account Management, the Registration System and statements.

	Advisors	Fully Disclosed Brokers	Non-Disclosed Brokers
Statements and Portfolio Analyst	Yes – Only the banner can be white branded. Advisors cannot delete, change or white brand any footnotes or legal notes.	Yes – The banner can be white branded. Fully Disclosed Brokers cannot delete, change or white brand any footnotes or legal notes.	Yes. Non disclosed Brokers can delete footnotes EXCEPT the following footnote: "Interactive Brokers LLC, member Securities Investor Protection Corporation (SIPC), provides execution, clearing and carrying services for your account pursuant to an agreement with INSERT INTRODUCING BROKER NAME"
Email notices of statement availability	Yes	Yes	Yes
Account approval and documentation	No	Yes EXCEPT: <ul style="list-style-type: none"> The Customer Agreement or any other agreement cannot be white branded. Disclosures or other documents cannot be white branded. 	
Account Management	No	Yes	Yes
Application	No	Yes	Not Applicable
Funding Notifications	No	Yes	Yes
Deficiency Emails	No	Yes	Yes
General Email	No	Yes	Yes

White Brand the IB TWS Users' Guide

We provide the ability for Brokers, Professional Advisors and Fund Investment Managers to white brand the IB TWS User's Guide. You can replace the company name and acronym, trade system name and acronym, trading tool name and logo with your own information and logo.

The main steps in the process are:

1. Create a 100 x 22 jpg or gif image with a maximum size of 50KB.
2. Create a link to the User's Guide on your website that uses the following URL:
http://www.interactivebrokers.com/php/whiteLabel/welcome.php?id=your_whitebranding_id.
3. Log into Account Management.
4. Click **Manage Account > Settings > White Branding**.
5. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters (_). You can change your White Branding ID at any time.

White Branding ID

Your White Branding ID is currently set to **asterix**. You can change it anytime by entering a new ID below. Your ID must be six to ten characters long and can include letters, numbers and underscore characters (_). Remember to update all your White Branding URLs with your new ID.

Submit →

6. Click **Submit**.
7. Click **Trader Workstation Users' Guide** to open that section.

Trader Workstation Users' Guide

To replace our TWS Users' Guide logo with your own logo:

1. Create and upload a 100x22 pixel jpg, gif or png file (50KB maximum). We suggest setting the RGB background color to 68, 134, 135.
2. Create a link to the Users' Guide on your website that uses the following URL:
<http://www.clientam.com/php/whiteLabel/welcome.php?id=xxx>, where xxx is your White Branding ID

Upload Banner

Click the Upload File link to upload your banner image.

User's Guide Banner: - [Upload File \(100x22 jpg, gif or png\)](#)

Company name

Company acronym

Trade system

Trade system acronym

Trading tool

Click **Submit** to save your Trader Workstation Users' Guide White Branding settings.

Delete Settings **Submit** →

8. Follow the instructions to enter the required information, including uploading your own 100 x 22 pixel jpg, gif or png file for the Users' Guide banner image.
9. Click **Submit**.

Changes made before 5:00 PM EST go into effect 8:00 PM EST the same day. Changes made after 5:00 PM EST will take effect the following day 8:00 PM EST.

White Branding the Contract Database

We provide the ability for Brokers, Professional Advisors and Fund Investment Managers to white brand the Contract Database on the IB website by entering information in Account Management. Any change will take effect within 12 hours.

To white brand the Contract Database

1. Log into Account Management.
2. Click **Manage Account > Settings > White Branding**.
3. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters (_). You can change your White Branding ID at any time.



The screenshot shows a web interface for setting a White Branding ID. At the top, there is a dropdown menu with a blue arrow pointing down and the text "White Branding ID". Below this, a message states: "Your White Branding ID is currently set to **asterix**. You can change it anytime by entering a new ID below. Your ID must be six to ten characters long and can include letters, numbers and underscore characters (_). Remember to update all your White Branding URLs with your new ID." Below the message is a text input field and a "Submit" button with a green arrow pointing right.

4. Click **Submit**.
5. Click **Contract Database** to open that section.

Contract Database

You can White Brand the Contract Database on the IB website by completing the form below. Any change will take effect within 12 hours. The URL to access your White Branded version of the contract database is http://www1.clientam.ch/contract_info/index.php?wld=your_whitebranding_id.

Contract Database White Branding Fields

NOTE: All "e.g.'s" in parentheses should appear below the actual entry fields.

Your Company Name:* (e.g. Interactive Brokers)

Your Company Short Name:* (e.g. IB)

Your Website Home Page:*

Contract Database Name: (e.g. Contract Information)

Your Website's Language:

Link to Leftmost Image (244x58): *

Link to Rightmost Image (371 x58):

Link to Your Customized Stylesheets:

* Mandatory fields

Click **Submit** to save your Contract Database White Branding settings. Changes take effect within 12 hours.

6. Follow the instructions to enter the required information.
7. Click **Submit**.

Your submission will take effect within 12 hours.

How to Close Your Account

Complete the following steps to close your account at IB. Note that for USD-based accounts, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, you will have the opportunity to select one. If you do not have any ACH bank instructions, we will issue a check to your U.S. mailing address on file. For all non-USD based accounts, we will issue a wire based on the banking instruction on file.

1.	<p>Liquidate or Transfer Positions</p> <p>Accounts with positions cannot be closed. You must either liquidate, or transfer all positions to another brokerage firm. Please contact your broker for transfer instructions.</p> <p>To check your positions, log in to Account Management and select Reports > Activity. View your latest statement to verify that all positions have been liquidated or transferred.</p>
-----------	---

2.	<p>Convert Foreign Currencies</p> <p>Closing withdrawals may only be made in your base currency. You must convert any foreign currency you may hold back to your account's base currency. The conversion can be processed using the Trader Workstation FXTrader. If you need assistance with the conversion process please contact our Trade Desk.</p>
3.	<p>Verify Bank Wire Instructions</p> <p>For all non-USD based accounts, we will issue a wire based on the saved bank information (instruction) on file. If you do not have any saved bank information (instruction) for a Wire Withdrawal, create one.</p>
4.	<p>Return Secure Login Device</p> <p>If you participate in the Secure Login System, you must return your secure login device. Cash balances will be reduced by the cost of the device (between USD 20 and USD 150 depending on device) until the secure login device is returned.</p> <p>For more information regarding how to return the device please contact our Technical Assistance Department or visit our web site: http://ib-kb.interactivebrokers.com/node/975</p>
5.	<p>IRA Accounts Withdrawals</p> <p>IRA account holders will need to complete an IRA Withdrawal on the Funding > Fund Transfers page in Account Management and specify the type of withdrawal for government tax reporting purposes.</p>
6.	<p>Ensure Recent Deposits Have Cleared</p> <p>All recent deposits, such as ACH, check and wire transfers, must have time to clear according to the Customer Deposit Credit and Hold Periods policy before your request to close your account can be honored.</p> <p>See the Funding Reference for details on credit and hold periods:</p>
7.	<p>Check Statements and Tax Forms</p> <p>To access activity statements and tax forms, log in to Account Management and open the Reports menu.</p> <p style="text-align: center;">Note: This information will only be available for a limited time after your account is closed. You will need to save your username and password for future access to statements.</p>

8.	<p>Close Account</p> <ol style="list-style-type: none"> 1. After you have completed all of the previous steps, log in to Account Management and select Manage Account > Settings > Close Account. <ul style="list-style-type: none"> ◦ For USD-based accounts only, we will initiate an ACH transfer if you have an existing ACH bank instruction. If you have more than one ACH bank instruction, select the ACH bank instruction you wish to use from the drop-down list on the Close Account page. ◦ For USD-based accounts only, if you do not have an existing ACH bank instruction, you can either create one in Account Management on the Fund Transfers page or we will issue a check to your U.S. mailing address on file. In the latter case, confirm that we have your correct U.S. mailing address by checking the address displayed on the Close Account page. <p style="text-align: center;">To make changes, open the Profile page in Account Management by selecting Manage Account > Account Information > Details.</p> 2. Specify the reason you are closing your account by clicking the appropriate check boxes. 3. Click the Submit button to submit your request. <p style="text-align: center;">Your account will be held open for three months after you receive your closing withdrawal to collect any possible future fees, dividends, interest, or corporate actions. After that time, your account will be closed permanently.</p> 4. Check back to see if any balance has been created on future statements. 5. You can view the status of your request to close your account by logging in to Account Management and selecting Manage Account > Settings > Close Account > Status.
-----------	---

Note: If the above criteria are not met, our system will be unable to process your account closure request. Inactivity fees will continue to be deducted from an account until the above steps are completed, including the return of any Secure Login System device. Also note that funds held to secure the return of the security device may not be withdrawn until the device has been returned, and will be applied to meet any inactivity or market data fees.

Close Account

Use the Close Account page to submit a request to close an account. If you have one or more open client accounts, your request to close your account will not be processed until all client accounts are closed.

For USD-based accounts, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, you will have the opportunity to select one. If you do not have any

ACH bank instructions, we will issue a check to your U.S. mailing address on file. For all non-USD based accounts, we will issue a wire based on the banking instruction on file.

Note: These instructions describe how to use the Close Account page in Account Management. The instructions on the Close Account page summarize the steps that you must take to close your account. For a more detailed description of the account closure process, see [How to Close Your Account](#).

Who can access the Close Account page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User (master account only)
- Broker Master User (master and non-disclosed client accounts)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To close an account from Account Management

1. Click **Manage Account > Settings > Close Account**. The Close Account Request page appears by default.

Close Account

We regret that have you decided to close your Interactive Brokers account. To close your account, complete the following steps:

We will issue a check as the final account closing withdrawal.

Step 1	Liquidate or transfer all positions. Accounts with positions cannot be closed.
Step 2	Transfer all funds into your base currency. Closing account withdrawals must be made in your base currency.
	Check your mailing address (check)*. Since your base currency is USD, we will issue a check to the U.S. mailing address on file.
Step 3	<p>* Your mailing address of record is:</p> <p style="text-align: center;">517 Sultan Road Test CA 11111 United States</p> <p>If the address listed above is incorrect, update your mailing address on the <i>Account Details</i> page, which is available from the <i>Account Information</i> menu. Additionally, verify your wire instructions on the <i>Funding Instructions</i> page.</p>
Step 4	Unsubscribe from your market data subscriptions on the <i>Market Data Subscriptions</i> page, which is available from the <i>Trading</i> menu. If you do not unsubscribe, you will continue to be charged for your market data subscriptions until the account is closed.

Note:

- » If all funds are in the base currency, then a close account withdrawal will automatically be sent. Customers in the *Secure Login System* will also need to complete a *Withdrawal Request* form using their secure device.
- » Print out all statements and tax forms. Your access to *Account Management* will only be available for a limited time after your account is closed.
- » Your account will be held open for 3 months after you receive your closing withdrawal to collect any possible future dividends, interest, or corporate actions. Any ACH deposits currently on hold will be sent back to the same bank within the hold period. After that time your account will be closed permanently. Check back to see if any balance has been created on future statements.
- » Save your username and password for future access to statements.

2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account you want to close.

Note: You must close all client accounts that you manage before you can close your own account.

3. Read the instructions on the page carefully. If your account is USD-based, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, select the one you want to use from the drop-down list.

If you do not have an ACH bank instruction on file, we will issue a check. Verify your US mailing address displayed on the screen.

4. Specify the reason you are closing your account by clicking the appropriate check boxes.
5. Click **Submit**.
6. Click **Cancel** on the next page if you change your mind and do not want to close the account.

The Close Account page will display the status of your request.

Account Closure Status

The Closure Status page lets customers who have submitted requests to close their accounts view the status of their request. Only those accounts will have access to this page.

To check the status of account closure request

1. Log into Account Management. Note that Account Management for closed accounts displays an abbreviated menu.

2. Click **Manage Account > Settings > Closure Status**.

The Closure Status page displays.

Any pending or outstanding items required to close your account are displayed on the screen.

Reopening a Closed Account

The Reopen Account page lets you re-open an account that has been closed. If you close your account, you can continue to access Account Management with your account username and password. For example, you may want to access statements, check fund status or change your password after your account has been closed. Only closed accounts have access to this page.

To submit a request to reopen your account, you must meet the following requirements:

- The date your account was originally opened must be after January 1, 2002. If your account was opened before that date, you cannot re-open it using the Reopen Account page in Account Management.
- Your account must be AML-compliant. This means that your account must meet our Anti-Money Laundering requirements. (Most closed accounts meet this requirement, but some may not.)
- If you are submitting a request to re-open a client or sub account, the Master account must be open.

Who can access the Reopen Account page?

You can access this page if your account is closed or a request to close your account has been submitted, and you meet the requirements listed above.

To submit a request to re-open your account

1. Login into Account Management. Note that Account Management for closed accounts displays an abbreviated menu.
2. Click **Manage Account > Settings > Reopen Account**.

The Reopen Account page displays.

Note: Before you can submit your request to re-open your account, you must update your trading permissions (which products you want to trade in which countries), and your market data subscriptions.

3. Click the *Update Trading Permissions* link.
4. Follow the instructions on the screen to select the products you wish to trade and the countries in which to trade them.

If the account does not meet the trading experience, knowledge or financial criteria required to trade the products you select, we provide a specific error message and a link to submit a request to update this information.

5. Click **Manage Account**, **Account Settings**, **Close Account**, then **Reopen** to display the Reopen Account page again.
6. Click the *Update Market Data Subscriptions* link.
7. Follow the instructions on the screen to select market data subscriptions.

Note: If your account has an expired W-8 form (if it was completed more than four years before the date of your re-open request), an Update W-8 link appears. Click the link and submit an updated W-8, then return to the Reopen Account page and complete your request.

8. Click **Manage Account** , **Account Settings**, **Close Account**, then **Reopen** to display the Reopen Account page again.
9. Click **Continue**.
10. You will receive a confirmation number via email. Enter this confirmation number on the screen in the field provided on the Reopen Account page.

The screen updates to inform you that your request has been submitted and is pending approval.

IRA

The IRA tab includes the following pages:

- [IRA Conversion to a Roth Account](#) - Perform a full conversion from your Traditional, Rollover or SEP IRA account to a Roth IRA account.
- [Partial IRA Conversion](#) - Perform a partial IRA conversion.
- [IRA Recharacterization](#) - Perform a recharacterization from your Roth account to an Traditional, Rollover or SEP IRA account.
- [Partial IRA Recharacterization](#) - Perform a partial IRA recharacterization.

For more information about our IRA accounts, see [IRA Reference](#).

IRA Conversion to a Roth Account

Use this page to perform a full conversion from your Traditional, Rollover or SEP IRA account to an IB Roth IRA account. In a full conversion, all assets in your Traditional or SEP IRA account are transferred to your Roth IRA account.

The following rules and procedures apply to IRA conversions:

- For IRA Conversions from another Custodian/Trustee, you must open an Roth IRA account if you do not already have one.
- For IRA Conversions from a Traditional IRA or Rollover or SEP IRA account, you must open a Roth IRA if you do not already have one.
- We only allow full conversions. For instructions on how to perform a partial conversion, see Partial IRA Conversions
- If you request a full conversion, your existing Traditional/SEP IRA account will be closed upon completion of the transfer.
- A conversion to a Roth IRA is subject to federal and possibly state income tax withholding, unless you elect not to have withholding apply. You may either elect not to withhold federal income tax or you may elect to withhold at a rate not less than 10%.
- If federal income tax is withheld, state income tax may also be withheld. Where state income tax applies, the rate will be no less than the state's minimum withholding requirement. Your state of residence (the legal address for your IRA account), will determine your state income tax withholding requirement.

Consult your tax advisor about your tax withholding requirement.

- To qualify for an IRA conversion, the total cash available in your Traditional or SEP IRA account must be greater than the federal tax amount + the state tax amount + 2% of total assets being converted. Stated as an equation, this requirement is:

Total Cash Available > Federal Tax Amount + State Tax Amount + 2% of total assets being converted

- Transfers of securities positions from a Traditional or SEP IRA to a Roth IRA will only be accepted between accounts with matching names and taxpayer identification numbers.
- Refer to IRS Publication 590, Individual Retirement Arrangements and consult your tax advisor regarding your individual tax situation when deciding to convert.

Note: If you are opening a new account for the purpose of doing an IRA conversion or recharacterization, you should select the funding option *IRA Conversion or Recharacterization* in the Funding section of the account application.

Who can access the IRA Conversion to a Roth Account page?

You can access this page if you are an IRA User with a Traditional, Rollover or SEP IRA account.

To perform an IRA conversion to an IB Roth IRA account

1. Log into Account Management for the Traditional or SEP IRA account you want to convert.
2. Click **Manage Account > Settings > IRA > IRA Conversion to Roth Account**.
3. In the Transfer Method list, select *IRA Conversion - Transfer Assets to Roth Account*.
4. Enter the username, password and account ID of the Roth IRA account to which you want to convert your Traditional, Rollover or SEP IRA account, then click **Continue**.
5. A confirmation number is sent to your email address of record. Enter the number on the next screen, then click **Confirm**.

If you did not receive a confirmation number, click **Request Confirmation Number** to receive a new confirmation number.

6. Be sure to read and understand the important rules governing IRA conversions before you make your Federal and State Income Tax withholding elections.

Enter your Federal Income Tax withholding rate or elect not to have Federal Income Tax withheld. The tax rate is a percentage of your total account equity. Click the appropriate radio button to indicate your choice.
7. On the same screen, enter your State Income Tax withholding rate or elect not to have Federal Income Tax withheld. The tax rate is a percentage of your total account equity. Click the appropriate radio button to indicate your choice.
8. Click **Continue**. The status of your request appears on the screen.

Partial IRA Conversions

While we only allows full IRA Conversions, you can follow these steps to perform a partial IRA conversion:

1. Log into Account Management for your Traditional, Rollover or SEP IRA account.
2. Click **Manage Account > Add Accounts > Add an Account**.

3. Use the Add an Account page to create a new Traditional, Rollover or SEP IRA account that is linked to your IRA account.
4. Once the new Traditional, Rollover or SEP IRA Account is open, log into Account Management for your original IRA account, then click **Funding > Position Transfers** to transfer assets into the new IRA account.
5. Once the assets have been transferred into the new IRA account, use the [IRA Conversion to a Roth Account](#) page to convert the newly-opened IRA account to a Roth account.

IRA Recharacterization

Use this page to perform a recharacterization from your IB Roth account to a Traditional, Rollover or SEP IRA account. An IRA recharacterization is a transfer of converted Roth IRA assets back to a new or existing Traditional IRA account. Roth IRA converted amounts from a SEP IRA may also be recharacterized back to a SEP IRA account.

The following rules apply to IRA recharacterizations:

- We only allows full recharacterizations. For instructions on how to perform a partial recharacterization, see [Partial IRA Recharacterizations](#).
- If you request a recharacterization, your existing Roth IRA account will be closed upon completion of the transfer.
- Transfers of securities positions from a Roth IRA to a Traditional, Rollover or SEP IRA will only be accepted between accounts with matching names and taxpayer identification numbers.
- You must elect to recharacterize by your federal tax return due date of the year following the year of the conversion, including the additional maximum six-month extension allowed by the IRS.

Note: If you are opening a new account for the purpose of doing an IRA conversion or recharacterization, you should select the funding option *IRA Conversion or Recharacterization* in the Funding section of the account application.

Who can access the IRA Recharacterization page?

You can access this page if you are an IRA User with a Roth IRA account.

To perform an IRA recharacterization

1. Log into Account Management for the Roth IRA account you want to convert.
2. Click **Manage Account > Settings > IRA > IRA Recharacterization**.
3. In the Transfer Method list, select *IRA Recharacterization - Transfer Assets to Traditional/SEP Account*.
4. Enter the username, password and account ID of the Traditional, Rollover or SEP IRA account to which you want to transfer your Roth IRA assets, then click **Continue**.
5. A confirmation number is sent to your email address of record. Enter the number on the next screen, then click **Confirm**.

If you did not receive a confirmation number, click **Request Confirmation Number** to receive a new confirmation number.

6. Click **Continue**. The status of your request appears on the screen.

Partial IRA Recharacterizations

While we only allows full IRA recharacterizations, you can following these steps to do perform a partial IRA recharacterization:

1. Log into Account Management for your Traditional, Rollover or SEP IRA account.
2. Click **Manage Account > Add Accounts > Add an Account**.
3. Use the Add Account page to create a new Roth IRA account that is linked to your IRA account.
4. Once the new Roth IRA Account is open, log into Account Management for your original IRA account, then click **Funding > Position Transfers** to transfer assets into the new IRA account.
5. Once the assets have been transferred into the new IRA account, use the [IRA Recharacterization](#) function to recharacterize the newly-opened Roth IRA account.

IRA Reference

This section includes general information on our Individual Retirement Accounts (IRAs) accounts. The following topics are included:

- [IRA Account Types](#)
- [IRA Transfer Methods](#)
- [Conversions and Recharacterizations](#)

For more information, see our [IRA FAQs](#).

IRA Account Types

This topic describes the different types of IRA accounts that are available.

IRA Margin Accounts

- US resident customers may open cash or margin Individual Retirement Accounts (IRAs). The following rules apply to IRA margin accounts:
- IRA margin accounts are afforded all the benefits of a margin account, such as the ability to day trade and the ability to trade multiple currencies and multiple currency products, but are subject to the following limitations:
- IRA accounts cannot borrow cash (i.e. have a debit balance or short stocks).
- IRA accounts may be opened in any base currency, but when trading in a non-base currency product a currency trade must be executed first as you cannot borrow currencies.
- IRA accounts can only cross-margin single stock futures, not stocks and options.
- IRA accounts cannot borrow currencies.

Note: Customers are advised to consult a tax specialist for further details on IRA rules and regulations.

IRA Account Types

When you open an IRA account with us, you must select a type of IRA account. The following IRA types are available:

- Traditional
- Traditional Rollover
- Traditional Inherited
- Roth
- Roth Inherited
- Simplified Employee Pension (SEP)
- Simplified Employee Pension (SEP) Inherited

IRA Transfer Methods

Transfer methods describe the way an IRA account is funded. All of the following transfer methods are cash transactions, and Trustee-to-Trustee transfers can also use an ACATS position transfer in Account Management.

- **Contribution** - The dollar amount of assets you are contributing to an IRA account, subject to certain limits based upon your age and the year of the contribution. Contributions are reported to the Internal Revenue Service (IRS).
- **Rollover** - A transfer of funds from an IRA account with another trustee/custodian, within 60 days following a distribution, to an IB-IRA account. Rollovers are required to be reported to the IRS. IRA account types must be the same in order to rollover assets, for example if the originating account is a Roth IRA, your account must also be a Roth IRA.
- **Direct Rollover** - A transfer of funds from a qualified plan (pension, 401(k) or other qualified retirement plan) with an employer to an IB IRA account. In a Direct Rollover, the trustee/custodian of your employer qualified plan (401(k) or pension) transfers your retirement assets directly to us. In general, no withholding tax or penalties apply to a Direct Rollover, however Direct Rollovers are reported to the IRS.
- **Trustee-to-Trustee** - A transfer of funds from an IRA account held with another trustee/custodian to an IB IRA account, where the assets are transferred directly trustee/custodian to trustee/custodian, with no distribution of assets to you. ACATs position transfers are available, however the IRA account type and Tax ID must match in order to execute the transfer. Trustee-to-trustee transfers are not required to be reported to the IRS.

Refer to the [Tax Reporting](#) page on our website for information on IRS forms you will receive when transferring retirement plan assets.

The following table lists all available IRA types and applicable transfer methods.

IRA Type	Description	Applicable Transfer Method
Traditional	<p>A retirement savings plan that allows an individual taxpayer to contribute earnings until they are withdrawn.</p> <p>Contributions are subject to annual limits depending on the age of the account owner and may or may not be deductible depending on the individual's circumstances.</p> <p>Earnings accumulate tax deferred until distributed to you at which time the earnings are subject to tax upon withdrawal. A spouse may contribute to a separate account subject to the same limits.</p> <p>Withdrawals made prior to age 59½ are subject to a 10% penalty unless certain special circumstances apply. Distributions must begin by the account owner's required beginning date (RBD), which is April 1 following the year you turn age 70½. Once you reach age 70½, you must withdraw at least a minimum amount – an annual Required Minimum Distribution (RMD) - by December 31 of each year. If an account owner fails to withdraw the full amount of the RMD annually, or fails to withdraw the RMD, there is a 50% tax penalty on the amount not withdrawn.</p>	<ul style="list-style-type: none"> • Contribution • Rollover • Direct • Rollover • Trustee-to-Trustee • IRA Conversion
Traditional Rollover	<p>A traditional IRA account that receives assets directly from an employer-sponsored plan such as a 401 (k) or pension plan within 60 days of distribution from the plan. As long as no other assets are contributed to the Traditional Rollover IRA, the monies may be rolled over into a new employer's plan. A traditional rollover IRA is commonly used if you are changing jobs or retiring.</p>	<ul style="list-style-type: none"> • Contribution • Rollover • Trustee-to-Trustee • IRA Conversion
Traditional Inherited	<p>An IRA account you may set up as the beneficiary of a Traditional IRA you inherited from a spouse or other IRA account owner who has died, to receive a transfer of beneficiary IRA assets.</p>	<ul style="list-style-type: none"> • Trustee-to-Trustee

IRA Type	Description	Applicable Transfer Method
Roth	A retirement savings plan that allows an individual taxpayer to contribute earnings, subject to certain income limits. Earnings accumulate tax-free and contributions are nondeductible. Unlike Traditional IRAs, a Roth IRA account owner may continue to contribute after age 70½ if they have earned income. Withdrawals prior to age 59½ are subject to a 10% penalty unless special circumstances apply. There are no age requirements when an account owner must begin taking distributions. Contributions are subject to annual limits depending on the age of the account owner.	<ul style="list-style-type: none"> • Contribution • Rollover • Trustee-to-Trustee • IRA Recharacterization
Roth Inherited	An IRA account you may set up as the beneficiary of a Roth IRA you inherited from a spouse or other IRA account owner who has died, to receive a transfer of beneficiary IRA assets.	<ul style="list-style-type: none"> • Trustee-to-Trustee
Simplified Employee Pension (SEP)	A tax-deferred retirement plan for small businesses and self-employed individuals where an employee can set aside a percentage of pre-tax income into the plan. Annual contributions an employer makes to an employee's SEP-IRA cannot exceed the lesser of 25% of compensation, or \$52,000 for 2013 and \$53,000 for 2014. The same limits apply to contributions made to a self-employed individual's SEP-IRA. There is 100% vesting of all plan contributions. Distributions generally follow the same rules that apply to IRAs.	<ul style="list-style-type: none"> • Contribution • Rollover • Trustee-to-Trustee • IRA Conversion
Simplified Employee Pension (SEP) Inherited	An IRA account you may set up as the beneficiary of a SEP IRA you inherited from a spouse or other IRA account owner who has died, to receive a transfer of beneficiary IRA assets.	<ul style="list-style-type: none"> • Trustee-to-Trustee

Conversions and Recharacterizations

IRA Conversion

An IRA conversion is a transfer of Traditional, Traditional Rollover or SEP IRA assets to a Roth IRA with the same custodian or as a trustee-to-trustee transfer or rollover. A conversion is subject to Form 1099-R reporting for the distribution from the non-Roth and Form 5498 for the contribution to the Roth IRA.

Eligibility Requirements

You are eligible to convert to a Roth IRA if your modified adjusted gross income (MAGI) does not exceed \$100,000 (not including the IRA conversion amount) in the year you convert. This rule applies to both single and joint tax filers.

Married individuals filing separate tax returns are not eligible to convert to a Roth IRA unless they have lived apart from their spouse for the entire tax year.

2010 Changes

If you convert in 2010, neither the MAGI limit nor the requirement that married filing separately spouses live apart for the year will apply. Generally, when you convert to a Roth IRA, you are required to pay taxes on any taxable converted amount including deductible contributions and any investment earnings. If you convert in 2010, the income taxes may be spread over 2011 and 2012, with 50% of the taxes due being paid in each of those years. Furthermore, if you convert your Traditional IRA to a Roth IRA, the taxable portion of your Traditional IRA will not be subject to a 10% penalty tax regardless of your age at the time of the conversion unless the full amount of the distribution is not converted (for example, if you elect to withhold taxes and the amount withheld is not replaced.)

The deadline to convert to a Roth IRA is December 31 of the year you choose to convert.

IRA Recharacterization

An IRA recharacterization is a transfer of converted Roth IRA assets back to a new or existing Traditional IRA account. Roth IRA converted amounts from a SEP IRA may also be recharacterized back to a SEP IRA account. IRS reporting is required for the distribution from the Roth IRA and the contribution to the non-Roth IRA.

Timing

Election to recharacterize must be made by the tax return due date, plus the maximum six-month extension period (whether or not the return is actually extended). The deadline to recharacterize a 2010 Roth conversion is October 15, 2010. An IRA recharacterization is a transfer back to a new or existing Traditional IRA of converted Roth assets. Roth IRA converted amounts from a SEP IRA may also be recharacterized back to a SEP. IRS reporting is required for the distribution from the Roth and the contribution to the non-Roth IRA. Timing Election to recharacterize must be made by the tax return due date, plus the maximum six-month extension period (whether or not the return is actually extended).

The deadline to recharacterize a 2010 Roth conversion is October 15, 2010.

Reconversion

Reconversion is defined as a second conversion (following a Recharacterization) from a non-Roth IRA to a Roth IRA. Taxpayer has already made a first conversion from a non-Roth to a Roth IRA and then recharacterized the conversion amount (including net earnings) back to a non-Roth IRA. You may not convert, recharacterize and then reconvert in the same tax year. IRS reporting is required.

A taxpayer cannot reconvert back to a Roth IRA until the later of:

January 1 of the tax year following the year of the first conversion, or

30 days after the recharacterization to a non-Roth IRA

If the taxpayer makes a reconversion within the same tax year or before the 30 day waiting period, the reconversion is disregarded and the taxpayer must use the value of the non-Roth IRA at the time of the first conversion to calculate the taxable income for the year.

Additional Information

- If you are age 70½ or older and you have not taken a Required Minimum Distribution (RMD) from your IRA, you must do so prior to converting to a Roth IRA.
- For IRA Conversions from a traditional IRA (or IRA rollover) account, you first must open an IB Roth IRA if you do not already have one.
- Your existing traditional IRA account will be closed upon completion of a full conversion transfer.
- Please note that transfers of securities positions from a Traditional IRA to a Roth IRA will only be accepted between accounts with matching names and taxpayer identification numbers.
- You cannot revoke or modify your election to Recharacterize after the election has been made.
- An election to Recharacterize must be made by the federal tax return due date, plus the maximum six-month extension period, for example, October 15, 2011.

Consult your tax advisor before you decide to convert to a Roth IRA.

Trade Configuration

The Trade Configuration menu includes the following tabbed pages:

- [Permissions](#)- Configure your trading permissions.
- [Research](#) - Subscribe to news and information services.
- [Market Data](#) - Subscribe to market data.
- [Subscriber Status](#) - Set your market data subscriber status.
- [Alerts](#) - Select the default method of receiving email alerts.
- [Trading Limits](#) - Proprietary Trading Group Master users control the size and amounts that their authorized traders (sub accounts) can trade.
- [Restrictions](#) - Master account users restrict their own accounts and their client/sub accounts from trading specific symbols.
- [IB FYI](#) - Set notifications and automatic actions in your trading account based on portfolio and order history to help you stay on top of relevant dates and events.
- [Futures Arbitration Agreement](#) - Sign and submit the Arbitration Agreement.
- [Asia Gateway Access](#) - Customers based in China select their delivery source for market data and regional services

Permissions

Trading permissions specify which products you can trade and in which locations. You use the Permissions page to view or modify existing trade permissions or subscribe to new permissions. When specifying permissions, you will be asked to sign any risk disclosures required by local regulatory authority.

Who can access the Permissions page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual/Organization (can only view)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User (can only view)
- Fund

The Permissions page is available in PDF format for advisor clients.

To set trading permissions

1. Click **Manage Account > Trade Configuration > Permissions**. The Trading Permissions page appears by default.
2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the desired account to view the pending items or requests for that account.
3. In the Trading Programs section of the page, sign up for a trading program
 - The Stock Yield Enhancement Program allows us to borrow shares from you in exchange for cash collateral, and then lend the shares to traders who want to sell them short and are willing to pay a fee to borrow them. For more information, see our [Stock Yield Enhancement Program highlights](#).
 - Portfolio Margin customers can also sign up for our Pre-Borrow Program, which lets you pre-borrow stocks for short sales in Trader Workstation instead of waiting three days until the settlement date. Note that we will charge you the indicative borrow rate for each day up to the settlement date beginning with the trade date, and you can find this rate on your daily Activity Statement.

Trading Programs

If you would like to participate in the programs listed below, check the box and we will provide you with the required disclosures and agreements.

Stock Yield Enhancement Program (example) Pre-Borrow Program

- The Trading Permissions section of the page lists all of the products you can trade and the countries in which you can trade them. Currently approved products are shown in green and products with pending approval are shown in pink.

Trading Permissions

Check the products that you wish to trade and the countries in which you want to trade them and we will provide you with the required disclosures and agreements.

Country	Check All	Stocks	Bonds	Options	Futures	Futures Options	Single Stock Futures	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	-	-	-	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Korea	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-

To modify your trading permissions, click the check box for the product you wish to trade in the country or countries in which you wish to trade them.

- Click the **Global** check box to request permission for all products in all countries.
 - Click the **Check All** check box next to a country name to request permission to trade all products in that country.
 - Click the **Check All** check box below a specific product name to request permission to trade a specific product in all countries.
- Click **Continue**.
The Financial Information page opens.
 - Review your investment objectives, investment experience and financial information, then click **Continue**.
Some products require specific investment experience, which you can also modify on this page.

7. Depending on the products that you have requested permission to trade, you are prompted to sign a risk disclosure, as required by law. Complete the online Disclosure Form(s) by typing your name in the Signature field, then click **Continue**.
8. Click the link(s) to read the complete agreements and/or disclosures, then click the **Accept** radio button to acknowledge your acceptance of the terms of the agreements and disclosures and click **Continue**.

A Final Acknowledgments/Confirmation page opens, listing your current and requested trading permissions and the current status of each. If approved, your trading permissions will be listed with a status of Approved.

Note: Trading permission upgrade requests received by 11:00 AM ET on a business day will be reviewed by the next business day under normal circumstances.

Trading UK CFDs and Metals

If you meet the eligibility requirements, you can request permission to trade United Kingdom CFDs and/or Metals. Currently, we offer Over-the-Counter Gold (OTC Gold) trading in the Metals product category. When you elect to trade one or both of these products, we create a special IB-UKL account for you. You must fund this account separately to trade these products.

This topic includes the following procedures:

- [Trading UK CFDs and/or Metals if You are an Advisor Master User](#)
- [Trading UK CFDs and/or Metals if You are an Advisor Client User, Broker Client User or Single User](#)
- [Trading UK CFDs and/or Metals if You are an Broker Master User](#)

UK CFDs Eligibility Requirements

The following customers are eligible to trade UK CFDs:

Customer	Eligible to trade UK CFDs
All US customers.	No
All Canadian customers.	No
Customers from countries other than the US and Canada.	Yes
Japanese and Indian customers who trade through IB-UK.	Yes
Japanese and Indian customers who do not trade through IB-UK.	No
Fully-disclosed Broker Clients of non-US and non-Canadian Brokers. The clients must meet the country eligibility requirements.	Yes
Non-disclosed and Omnibus Broker Clients, whose Master Account satisfies all other eligibility rules.	Yes
Fully-disclosed Broker Clients of US and Canadian Brokers	No

Metals Eligibility Requirements

The following customers are eligible to trade Metals:

Customer	Eligible to trade Metals
US-based Eligible Contract Participants (ECPs).	Yes
All US customers who are NOT Eligible Contract Participants.	No
All Canadian customers.	No
Customers from countries other than the US and Canada.	Yes
Japanese and Indian customers who trade through IB-UK.	Yes
Japanese and India customers who do not trade through IB-UK.	No
Fully-disclosed Broker Clients of non-US and non-Canadian Brokers.	Yes
Non-disclosed and Omnibus Broker Clients, but only if their Master Account satisfies all other eligibility rules.	Yes
Fully-disclosed Broker Clients of US and Canadian Brokers.	No

To trade UK CFDs and/or Metals if You are an Advisor Master User

1. Log in to Account Management.
2. Do one the following:
 - Click **Yes** then **Continue** if you want to trade UK CFDs and/or Metals. Your Advisor Clients must log in separately to elect to trade these products.
 - Click **No** then **Continue** if you do not want to trade UK CFDs and/or Metals. If you answer No, your Advisor Clients will not be able to trade these products either.
 - Click **Ask me later** if you do not want to trade UK CFDs and/or Metals now, but might in the future. This screen will reappear until you answer Yes or No.

A special IB-UKL account is created for your Advisor Master User account. The account ID is identical to your Advisor Master User account ID, with the addition of the letter F appended to the end.

3. Once the IB-UKL account is approved, you must fund it separately to trade UK CFDs and metals:
 - Log into Account Management.
 - Click **Funding > Fund Transfers**.

- To deposit funds directly into the IB-UKL account, select the account ending in “F” from the Account list, then select *Deposit Cash* from the Transaction list and select the deposit method of your choice. Complete the deposit notification to fund the account.
- To transfer funds from your existing account to the IB-UKL account, select *Transfer Funds Internally* from the Transaction list, then select *Funds Transfer* from the Method list and complete and submit the funds transfer form to transfer funds into the IB-UKL account.

To trade UK CFDs and/or Metals if You are an Advisor Client User, Broker Client User or Individual User

1. Log in to Account Management.
2. In the Trading Permissions section of the page:
 - Click the **Metals** check box for the country in which you want to trade metals.
 - Click the **CFD** check box for the country in which you want to trade UK CFDs.
4. Click **Continue**. The following page appears:
5. Click the links to read the trading disclosures, then click every check box on the page to signify agreement with all the conditions required to open your IB-UKL account.
6. Click **Continue**, and read and provide your electronic signature on the trading agreements and disclosures that appear.

On the last screen, which summarizes all of your trading permissions, look for the section entitled “Trading Permissions for your UKL account.”

A special IB-UKL account is created for your account. The account ID is identical to your regular account ID, with the addition of the letter F appended to the end.

7. Once the IB-UKL account is approved, you must fund it separately to trade UK CFDs and metals:
 - Log into Account Management.
 - Click **Funding > Fund Transfers**.
 - To deposit funds directly into the IB-UKL account, select the account ending in “F” from the Account list, then select *Deposit Cash* from the Transaction list and select the deposit method of your choice. Complete the deposit notification to fund the account.
 - To transfer funds from your existing account to the IB-UKL account, select *Transfer Funds Internally* from the Transaction list, then select *Funds Transfer* from the Method list and complete and submit the funds transfer form to transfer funds into the IB-UKL account.

To trade UK CFDs and/or Metals if You are an Broker Master User

1. Log in to Account Management. If you meet the eligibility requirements to trade these products, the following page appears:
2. Read the information on the page, then click the check box at the bottom of the page to indicate acknowledgment and click **Continue**.

A special IB-UKL account is created for your account. The account ID is identical to your regular account ID, with the addition of the letter F appended to the end.

3. Once the IB-UKL account is approved, you must fund it separately to trade UK CFDs and metals:

- Log into Account Management.
- Click **Funding > Fund Transfers**.
- To deposit funds directly into the IB-UKL account, select the account ending in “F” from the Account list, then select *Deposit Cash* from the Transaction list and select the deposit method of your choice. Complete the deposit notification to fund the account.
- To transfer funds from your existing account to the IB-UKL account, select *Transfer Funds Internally* from the Transaction list, then select *Funds Transfer* from the Method list and complete and submit the funds transfer form to transfer funds into the IB-UKL account.

Market Data

We provides real-time streaming market data for free or at the price we are charged by the exchange. The Market Data Subscriptions page lets you sign up for additional market data subscriptions such as NASDAQ TotalView and NYSE Open Book or unsubscribe from market data. You can also search for any market data subscription using the [Market Data Assistant](#).

Market data subscriptions are terminated if you have not logged into Trader Workstation for 60 days. [Click here for detailed market data termination rules](#).

Note: For important information about market data fees, see the [Market Data Fees](#) page on our website.

Who can access the Market Data page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual (advisor master account only)
- Advisor Master User Organization (advisor master account only)
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Omnibus Client User
- Investment Manager Master User
- Fund

To use the market data page

1. Click **Manage Account > Trade Configuration >Market Data**.

Your current market data subscriber status (Professional or Non-Professional) is displayed in the page title. Market data subscriptions are organized by region (North America, Europe, Asia-Pacific).

The Market Data page appears.

Professional Market Data Subscriptions

We provide real-time streaming market data for the prices described below. Please check the market data subscriptions you wish to receive. All fees listed below are per month. You will have the ability to subscribe or unsubscribe to market data subscriptions after your account has been activated. To find the exact market data subscription, please click Market Data Assistant button. [Market Data Assistant](#)

Global North America Europe Asia-Pacific Quote Booster

	Countries	Price	
IB FOREX (IDEAL PRO)	FOREX	Free	<input checked="" type="checkbox"/>
IB FX	FOREX	Free	<input checked="" type="checkbox"/>
Index CFD - Level I	Global	Free	<input type="checkbox"/>

Be sure to make desired selections on all tabs above before you click Continue.

[Continue](#)

- To sign up for additional market data subscriptions, click the tab for the region you want, click the check box for each subscription you wish to add, then click **Continue**.
- If you have additional linked, duplicate or consolidated accounts, the Billable Account section appears on the page. Use this section to change the account that is billed for market data.

Billable Account

Your subscriptions are currently being billed from U [account ID]

Select the account you want to be billed for market data [dropdown] [\(explain\)](#) [Change Billing Account](#)

Select the account you want to be billed for market data, then click **Change Billing Account**. Beginning with the next billing cycle, your market data subscriptions will be billed to the account you selected.

- To unsubscribe from market data, click the check box for the subscription to clear the check mark, then click **Continue**. Read and complete any Subscriber Agreement that appears, then click **Continue**.

The Market Data page opens again, with your new selections updated and any pending subscriptions identified as such. Market Data subscription updates take effect immediately under normal circumstances.

Market Data and Research Subscription Termination Rules

If you do not log into Trader Workstation (IB TWS) for 60 days, your active market data subscriptions will be terminated according to the following rules:

- If you do not log into Trader Workstation (IB TWS) for 60 days (counting from the last day on which you logged into IB TWS), your active market data and research subscriptions will be added to the market data termination list. You will be notified via email and on the Market Data Subscriptions and Research pages the next time you

log into Account Management.

- You can keep your market data and research subscriptions active by clicking the **Continue Subscriptions** button on the Market Data Subscriptions and Research pages within 30 days of being notified of the pending termination (or 90 days since your last IB TWS login).
- If you do not click **Continue Subscriptions**, the subscription will expire on the last day of the current month.
- If you log into IB TWS at any time before the subscription expires due to the termination rules listed above, the subscription will be removed from the termination list and will remain active.

Research

The Research page lets you sign up for IBIS - Interactive Brokers Information System and other news and information services such as Reuters Worldwide Fundamentals.

Research subscriptions are terminated if you have not logged into Trader Workstation for 60 days. [Click here for more information.](#)

Who can access the Research page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual (Master account only)
- Advisor Master User Organization (Master account only)
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Omnibus Client User
- Investment Manager Master User
- Fund

To subscribe to news and information services

1. Click **Manage Account > Trade Configuration > Research.**

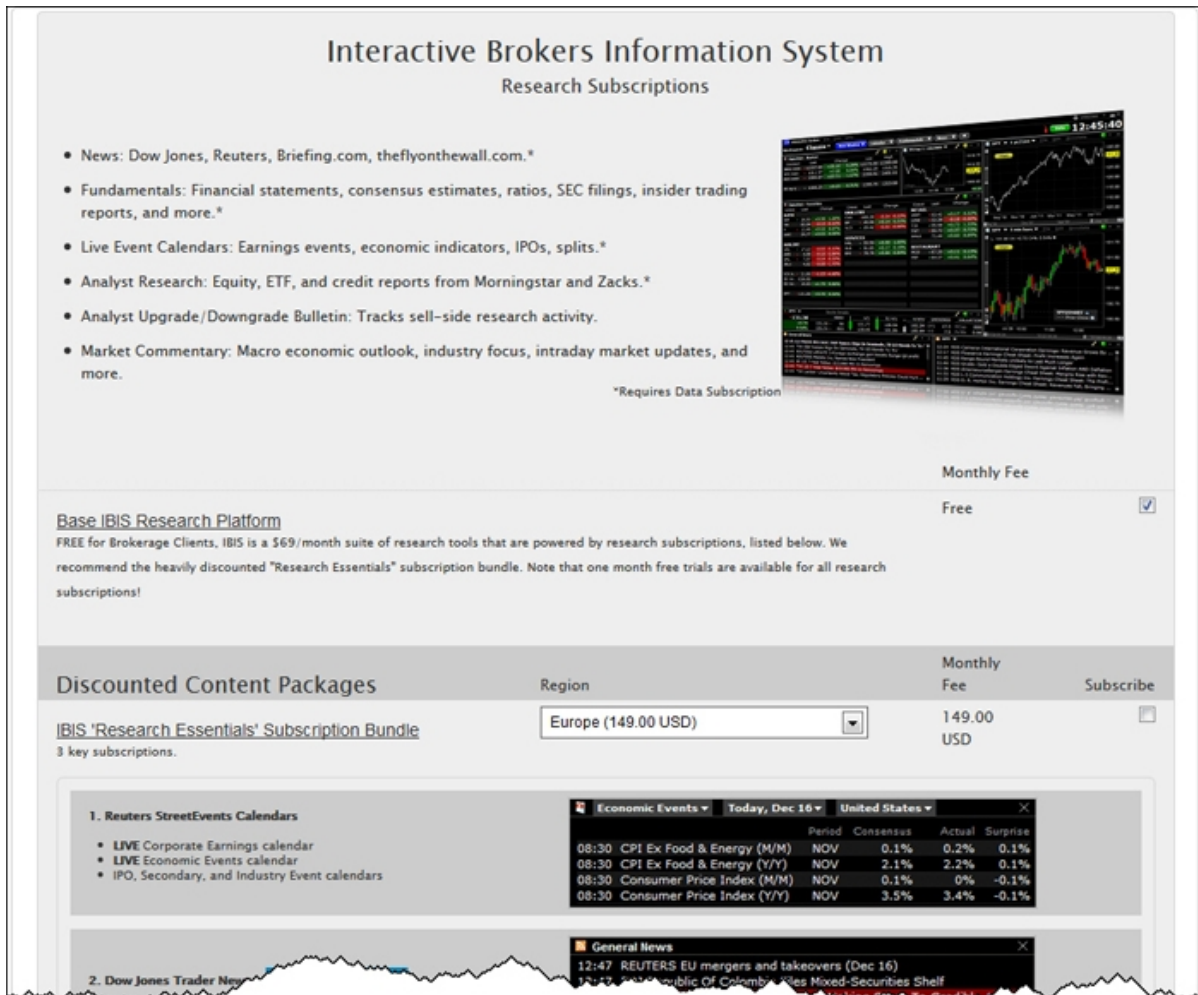
The Research page displays all available news and information services and their monthly prices, including those to which you are currently subscribed.

Interactive Brokers Information System

Research Subscriptions

- News: Dow Jones, Reuters, Briefing.com, theflyonthewall.com.*
- Fundamentals: Financial statements, consensus estimates, ratios, SEC filings, insider trading reports, and more.*
- Live Event Calendars: Earnings events, economic indicators, IPOs, splits.*
- Analyst Research: Equity, ETF, and credit reports from Morningstar and Zacks.*
- Analyst Upgrade/Downgrade Bulletin: Tracks sell-side research activity.
- Market Commentary: Macro economic outlook, industry focus, intraday market updates, and more.

*Requires Data Subscription



	Region	Monthly Fee	Subscribe
Base IBIS Research Platform		Free	<input checked="" type="checkbox"/>
IBIS 'Research Essentials' Subscription Bundle 3 key subscriptions.	Europe (149.00 USD)	149.00 USD	<input type="checkbox"/>

- To sign up for additional news and information services, click the check box for each service you wish to add, then click **Continue**.
- To unsubscribe from news and information services, click the check box for the subscription to clear the check mark, then click **Continue**.

Subscriber Status

Many exchanges classify customers as non-professional or professional. Exchange rules require that trusts and organizations (e.g. corporations, partnerships, LLCs and unincorporated businesses) must be classified as professional. NYSE, Amex, and TSE Professional Market Data require prior approval from the exchange.

The Market Data Subscriber Status page in Account Management lets you change your market data subscriber professional status from Non-Professional to Professional or from Professional to Non-Professional. Your market data subscriber status is displayed on the [Market Data](#) page.

Who can access the Subscriber Status page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual (Friends and Family Group advisor master account only)
- Broker Fully Disclosed Client User
- Broker Non-Disclosed Client User
- Broker Omnibus Client User

To change your market data subscriber professional status

1. Click **Manage Account > Trade Configuration > Subscriber Status**. The Market Data Subscriber Status page appears by default.

Market Data Subscriber Status

Use this page to change your market data subscriber status. Click the **Help Icon** for more information.

Status

Your current market data subscriber status is:

Non-Professional
 Professional

Permitted Use

If Subscriber is a Non-Professional Subscriber, he or she shall receive Market Data solely for his or her personal, non-business use.

I agree
 I decline

Change in Non-Professional Status

Subscriber shall notify Vendor promptly of any change in his or her circumstances that may cause him or her to cease to qualify as a Non-Professional Subscriber by modifying this through Account Management on our website.

I agree
 I decline

Save and Continue

- To change your status from Non-Professional to Professional, click the **Professional** radio button, then read the Permitted Use and Change in Non-Professional Status statements and click the **I agree** radio button in each section.
- To downgrade your status from Professional to Non-Professional, you must submit a ticket in the Customer Service Message Center to request the status change:

Click **Support > Message Center** to display the Customer Service Message Center, then click **Create** in the Message Center, and select *Account Services* and *Account Configuration/Permissions* as the categories. You must include the reason for the change.

2. Click **Continue**.

Market Data Assistant

Use the Market Data Assistant to search for market data subscriptions.

To search for market data subscriptions

1. On the Market Data Subscriptions page, click **Market Data Assistant**.
2. Enter the desired stock symbol and exchange (or use an ISIN or CUSIP).

The search results will show which market data subscription(s) provide the real-time market data for all combinations of professional/non-professional, top-of-book, and deep-book data.

Search Result	Description	Monthly Fees
ABC @ TSE (Currency: CAD) Asia Bio-Chem Group Corp		
Canadian Eqtrs (NP,L1)	NonPro Provides real time top of book data for Canadian listed securities. Available for Non Canadian residents only.	13.5 CAD
Toronto Mkt (PL2)	Pro Market depth by price is an end-user service displaying TSX Venture Exchange's order book with committed, tradeable volume at each bid and ask level. Monthly fee increasing to 30 CAD on Jan. 1, 2011.	30 CAD
Toronto Stk Exch (NP,L1)	NonPro	6 CAD
Alpha (NP,L1)	NonPro	0 CAD
Alpha (PL1)	Pro	15 CAD
Toronto Stk Exch (PL1)	Pro Provides real-time data for listed senior equities, corporate actions and index information.	67 CAD
Venture (NP,L1)	NonPro	25 CAD
Toronto Mkt (NP,L2)	NonPro Market Depth by Price is an end-user service displaying the TSX Venture Exchange order book with committed, tradeable volume at each bid and ask level. It is a valuable tool for active traders and investors who need to see the prices of larger trades and the size behind the spreads.	14 CAD
ABC @ NYSE (Currency: USD) AmerisourceBergen Corp		
NYSE OpenBook (PL2)	Pro Provides a real-time market data depth view of the Exchange's limit-order book for all NYSE-traded securities, provides 20 levels of price data.	60 USD
100 Canda Gls Eq (NP) (Echwerl)	NonPro	6 USD

Trading Limits

The Trading Limits page lets Proprietary Trading Group Master users control the size and amounts that their authorized traders (sub accounts) can trade.

Who can access the Trading Limits page?

You can access this page only if you are a Proprietary Trading Group Master User.

To view and set trading limits

1. Click **Manage Account > Trade Configuration > Trading Limits**.

Trading Limits

Use this page to view or edit trading limits for an existing sub account. Select the sub account below to view or edit trading limits.

Client Account ID:

- From the Client Account ID drop-down, select the sub account for which you want to set trading limits. The page updates to display three expandable trading limit sections:

Trading Limits

Use this page to view or edit trading limits for an existing sub account.

-
-
-

New trading limits and changes to existing trading limits go into effect on the next business day.

- To set order value limits, click to expand that section, enter values and click **Continue**.
 - Dollar Value Per Order - The total value of any one order, in millions of dollars. For example, a value of .5 = a limit of 500,000 USD.
 - Net Dollar Value Per Day - The net value of buys and sells for an entire trading day, in millions of dollars. For example, if you bought 50 million and sold 15 million in a day, the net dollar value for that day would be 35 million.
 - Gross Dollar Value Per Day - The aggregate value of buys and sells for an entire trading day. For example, if you bought 50 million and sold 15 million in a day, the gross dollar value for that day would be 65 million.

Dollar Value Per Order	<input type="text"/>
Net Dollar Value Per Day	<input type="text"/>
Gross Dollar Value Per Day	<input type="text"/>

4. To set order quantity limits, click to expand that section, then enter order quantity limits for: cash, stock (STK), futures (FUT), options (OPT), futures options (FOP), warrants (WAR), bonds, contracts for differences (CFD), or Dutch warrants (IOPT). Click **Continue** when you are done entering values.

Order Quantity Limits

Cash	<input type="text"/>
Stocks	<input type="text"/>
Futures	<input type="text"/>
Options	<input type="text"/>
FOP	<input type="text"/>
Warrants	<input type="text"/>
Bonds	<input type="text"/>
CFD	<input type="text"/>
IOPT	<input type="text"/>

Continue

5. To set Exchange for Physical Limits, click to expand that section, then enter values for any of the following and click **Continue**.
- Maximum Nominal Exchange for Physical Per Order - The total value of any one Exchange for Physical (EFP) order, in millions of dollars.
 - Maximum Net Exchange for Physical Per Trades - The net value of EFP buys and sells for an entire trading day, in millions of dollars.
 - Maximum Gross Exchange for Physical Trades - The aggregate value of EFP buys and sells for an entire trading day. For example, if you bought 50 million and sold 15 million in a day, the gross dollar value for that day would be 65 million.

Exchange for Physical Limits

Maximum Nominal Exchange for Physical Per Order	<input type="text"/>
Maximum Net Exchange for Physical Per Trades	<input type="text"/>
Maximum Gross Exchange for Physical Trades	<input type="text"/>

Continue

6. Verify your changes on the Verify Trading Limits, then click **Continue**. Click **Back** if you need to make further changes.
7. A confirmation number is sent to your email address of record. Enter this number on the Confirmation page that appears, then click **Continue**.

New trading limits and changes to existing trading limits go into effect on the next business day.

Restrictions

The Restrictions page lets master account users restrict their own accounts and their client/sub accounts from trading specific symbols. When you add a trading restrictions for a stock symbol, all derivatives of that stock will also be restricted, including options, futures, and so on. The Restrictions page also displays all current symbols that the master account and client/sub accounts are restricted from trading.

Rules for Setting Trading restrictions

The following rules apply to trading restrictions:

- Trading restrictions can be applied by a master account user to an entire account family (master account and all client/sub accounts), to the master account only or to specific client or sub accounts.
- Client and sub account users cannot set trading restrictions.
- When restrictions are applied to an entire account family, client and sub accounts inherit the restrictions.
- When restrictions are applied to an entire account family, any existing restrictions on specific client or sub accounts are overridden.
- Trading restrictions can be applied to specific client or sub accounts to override restrictions inherited from account family restrictions.
- Inherited restrictions cannot be deleted at the client/sub account level but can be overridden by the master account user.
- Overridden restrictions can be deleted but will be replaced by restrictions inherited from account family restrictions.
- Master account users can delete restrictions at the master account level.
- Restrictions set by our operators can only be modified or deleted by the operator.

Who can access the Restrictions page?

You can access this page if you are a(n):

- Advisor Master User
- Proprietary Trading Group Master User
- Broker Master User
- Investment Manager Master User

To add trading restrictions

1. Click **Manage Account > Trade Configuration > Restrictions**.

The Restrictions page opens.

Trading Restrictions

Use this page to restrict your own master account and your client/sub accounts from trading specific symbols.

Override Inherited Restrictions

To add a new trading restriction or update an existing one, start by entering a symbol and clicking the **Submit Query** button. Note, all changes to restrictions take effect on the next trading day.

Symbol:

Submit Query

Note:

- » All derivatives of the restricted stock or index are also restricted (options, futures, etc.)
- » Restrictions with GTD that have expired will be highlighted in red.
- » Click on any symbol to expand the Issuer details.
- » Inherited restrictions cannot be deleted, but can be overridden.

Current Restrictions – Inherited				
Symbol	Issuer/Underlying	TIF	Begin Date	End Date
AAPL		GTC	--	--
IBKR		GTD	Fri, Jun 22, 2012	Sat, Jun 30, 2012
IBM		GTC	--	--

2. To set trading restrictions at the master account level (apply restrictions to the entire account family), in the Client/Sub Account Selection section, select the master Account ID, then click **Change Account**.

To set trading restrictions at the client or sub account level, in the Client/Sub Account Selection section, select the client/sub Account ID, then click **Change Account**.

3. Enter the symbol you want to restrict in the *Symbol* field, then click **Submit**. The Add or Edit Restrictions page appears, and displays available stocks and bonds for the symbol you entered.

The following figure shows an example of the Add or Edit Restrictions page. In this example, a master account user entered the symbol *IBM* on the `Restrictions page.

Add or Edit Restrictions

Available assets for IBM are listed below. Select the asset you want to restrict, then select a Time in Force to be applied to those assets.

Note:

- » For stock or index selection, all derivatives of that stock or index will also be restricted (options, futures, etc.)
- » The ISIN listed for a bond is just 1 of potentially many matches

Select Assets			
	Asset Type	Description	ISIN
<input type="checkbox"/>	Stock and Derivatives	INTL BUSINESS MACHINES CORP	US4592001014
<input type="checkbox"/>	Bond	IBM International Group Capital LLC	US44924EAZ34
<input type="checkbox"/>	Bond	International Business Machines Corp	US45999AET88, US459200HT14

Select a Time in Force	
Select a Time in Force to be applied to all selected assets. For GTD, the Begin and End dates are required. Click the Submit button to save your restrictions.	
TIF:	<input type="text" value="GTD (Good-Til- Date)"/>
Begin Date:	<input type="text" value="04/17/2014"/> (MM/DD/YYYY)
End Date:	<input type="text"/> (MM/DD/YYYY)

Submit →

4. Select the check box next to each asset type you want to restrict. If you select the stock, all derivatives of that stock will also be restricted, including options and futures.
5. In the TIF list, select the Time in Force for the restriction. Select *GTC (Good-Til-Canceled)* or *GTD (Good-Til-Date)*.
 - If you select *GTD (Good-Til-Date)*, you must also enter the beginning and ending dates for the restriction. Employees will be restricted from trading the selected symbol and assets for the dates you enter.
6. Click **Submit** to activate the trading restriction, which will be added to the list of existing restrictions displayed on the Trading Restrictions page.

On the Trading Restrictions page, click a symbol in the list of existing restrictions to display all issuer names associated with that symbol.

Trading Restrictions

Use this page to restrict your own master account and your client/sub accounts from trading specific symbols.

Select Account: Filter By: ID Title Alias

U-1234567	U-1234567		
-----------	-----------	--	--

Add or Edit Restriction

To add a new trading restriction or update an existing one, start by entering a stock symbol and clicking the **Submit Query** button. Note, all changes to restrictions take effect on the next trading day.

Symbol: **Submit Query** →

Note:

- » All derivatives of the restricted stock(s) are also restricted (options, futures, etc.)
- » Restrictions with GTD that have expired will be highlighted in *red*.
- » Click on any symbol to expand the Issuer details.
- » To remove any restricted symbol(s), select the appropriate checkboxes and click the **Delete** button.
- » Restrictions can be applied throughout the account family. To enable, select the appropriate checkbox below and click the **Submit** button.

Current Restrictions

Apply to entire account family **Submit Query** →

Symbol	Issuer(s)	TIF	Begin Date	End Date	Delete
IBKR		GTC	--	--	<input type="checkbox"/>
IBM		GTC	--	--	<input type="checkbox"/>

Delete

Editing a Trading Restriction

To edit an existing trading restriction, enter the symbol in the *Symbol* field on the Trading Restrictions page and click **Submit** just as you would if adding a new restriction. Modify any of the restriction information on the Add or Edit Restrictions page, then click **Submit**. The modified restriction will appear on the list of existing restrictions displayed on the Restrictions page.

Deleting a Trading Restriction

To remove existing restriction, you must delete it from the Restrictions page. In the Existing Restrictions list, select the check box for the restriction you want to remove, then click **Delete**.

Remember the following rules:

- Inherited restrictions cannot be deleted at the client/sub account level but can be overridden by the master account user.
- Overridden restrictions can be deleted but will be replaced by inherited restrictions.

- Master account users can delete restrictions at the master account level.
- Restrictions set by our operators can only be modified or deleted by the operator.

IB FYI

FYIs are notifications and automatic actions in your trading account based on your portfolio, order history and trading activity that are designed to help you stay on top of relevant dates and events. FYIs are intended as a convenience; do not rely on them as a comprehensive or primary source of information.

The IB FYI page includes the following notifications and automatic actions:

Notifications

- **Borrow Availability** - Notifies you when a borrow becomes available in shares that you were unable to short last week.
- **US Option Expiration Notification** - Notifies you three days before US options expire.
- **Takeovers** - Notifies you that a company in which you hold positions is the target of a takeover. This notification is turned on by default.
- **Earnings** - Notifies you of upcoming earnings announcements from any of your holdings.
- **Mutual Fund Advisory** - Notifies you if there is an ETF comparable to your mutual fund holding.
- **Dividends** - Notifies you if a US option position is projected to be economically beneficial for early exercise or assignment.

Automatic Actions

- **Dividends** - Automatically exercise US dividend-related stock and ETF options. If you select this Automatic Action, IB's system will determine whether is likely to be beneficial to you to exercise call options early, using predefined mathematical criteria and based on well-established theories of option pricing and efficient markets. The system will then send you a notification two days before the stock trades ex-dividend and, if the determination remains favorable, automatically exercise the option early with no action required from you.

All customers who can trade US dividend-related options are eligible for this automatic action EXCEPT:

- Japan accounts
- India accounts
- UK passport country residents
- UKL standalone accounts
- Hong Kong residents
- Australian residents
- **Economic Event Order Suspension** - Twenty seconds before a major economic event, pauses all of your active orders for 40 seconds. Once you enable this automatic action in Account Management, you will receive bulletins inside the trading platform which report the times and descriptions of the economic events. Economic events include GDP, non-farm payrolls, PPI, CPI and so on.

Who can access the IB FYI page?

All accounts except Advisor Clients.

To set FYI options

1. Click **Manage Accounts > Trade Configuration > IB FYI**.

IB FYI

FYIs are notifications and automatic actions based on your portfolio that are designed to help you stay on top of relevant dates and events. FYIs are intended as a convenience, and should not be relied upon as a comprehensive or primary source of information.

	Notifications	Automatic Actions
Borrow Availability	<input checked="" type="checkbox"/> Notify me when shares have been located on stocks that had previously been rejected for short sale orders within the last 3 trading days.	
US Option Expiration	<input checked="" type="checkbox"/> Notify me three days before my US options expire.	
Takeovers	<input checked="" type="checkbox"/> Notify me that a company in which I hold positions is the target of a merger or takeover.	
Earnings	<input checked="" type="checkbox"/> Notify me of upcoming earnings announcements from any of my holdings.	
Mutual Fund Advisory	<input checked="" type="checkbox"/> Notify me if there is an ETF comparable to my Mutual fund holdings.	
Dividends	<input checked="" type="checkbox"/> Notify me if a US option position is projected to be economically beneficial for early exercise or assignment.	<input type="checkbox"/> Automatically exercise my options early.
Economic Event Order Suspension		<input type="checkbox"/> 20 seconds before major economic calendar events*, suspend my active orders for 40 seconds.

*GDP, Nonfarm payrolls, PPI, CPI, etc.

Submit →

2. Click the check box next to the notification and/or automatic action you want to enable. Deselect a check box to disable a notification and/or automatic action.
3. Click **Submit**.

Alerts

The Alerts page lets you select your default method of receiving email alerts. You can select your default email address, or set an SMS (Short Message Service) address to receive SMS text message alerts on your mobile telephone device.

Who can access the Alerts page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User (master account only)
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To set your alert preferences

1. Click **Manage Account > Trade Configuration > Alerts**.

Alert Notification

Use this page to select your default method of receiving email alerts. If you select SMS Address to receive alerts on your mobile telephone device, you must provide an SMS address.

2. To change your alert preference, select the radio button next to your preferred alert destination (*Email* or *SMS Address*).
3. If you have not yet created an SMS address for your account, perform these steps:
 - Click the **Create SMS Address** button. The SMS Address page opens.
 - Enter the SMS address in the format 1231234567@mail.net.
For non-US residents, the address must begin with your country code.
 - Click **Submit**.
 - A verification code is immediately sent to the specified address. Type the code in the field provided, then click **Confirm**.

Click **Request Confirmation Number** to request a new verification code to be sent to your SMS address.

Click **Cancel** to cancel the creation of the SMS address with your account.

4. To modify an existing SMS address, click the **Modify SMS Address** button, then enter the new SMS address where indicated on the page that appears.
5. Click **Save** to save your changes.

Futures Arbitration Agreement

The Arbitration Agreement page lets you sign and submit our Arbitration Agreement. You do not have to sign this agreement to maintain an account with us. However, declining this agreement may result in reduced trading limits.

Who can access the Futures Arbitration Agreement page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Client User Individual (available in PDF format)
- Advisor Client User Organization (available in PDF format)
- Proprietary Trading Group Master User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Fund

To sign and submit the Arbitration Agreement

1. Click **Manage Account > Trade Configuration > Futures Arb.**
2. Read the agreement carefully, then accept the agreement by clicking the appropriate radio button.
3. Sign the agreement by typing your name in the field provided, then click **Signature**.

Asia Gateway Access

This page lets customers based in China select their delivery source for market data and regional services.

Who can access the Asia Gateway Access page?

You can access this page if your address is located in China (including Hong Kong).

To select your delivery source for market data and regional services in China

1. Click **Manage Account > Trade Configuration > Asia Gateway Access**.

The Account Configuration/Asia Gateway Access page appears. It displays your current delivery source for market data and regional services.

2. Select one of the following options:

- (a) Market data and other regional services are delivered from the site closest to the exchange.

Select this option if you have a fast Internet connection to our US, Europe and Asia sites.

- (b) Market data and other regional services are delivered via the Asia gateway.

Select this option if you have a slow Internet connection.

3. Click **Continue**.

Security

The Security menu includes the following pages:

- [IP Restrictions](#) - Restrict user access to IB TWS by IP address.
- [Change Password](#) - Change your account password.
- [Reset Paper Trading Account Password](#) - Change your paper trading account password.
- [Change Email Address](#) - Change your email address or the email address of any user associated with your account.
- [Security Login System](#) - Enroll in IB's Secure Login Program, and share your security device with a second, matching user.
- [Voting Subscription](#) - Sign up to vote in our online voting forums.
- [Client Security](#) - Activate a security device for a client account.
- [Audit Trail](#) - View requests generated in Account Management for your own account.

IP Restrictions

This page lets you restrict user access to IB TWS by IP address. Limiting user access from a specific list of IP addresses adds a layer of security to your account. If no restrictions are specified for a trader, he or she may log into IB TWS from any IP address.

Who can access the IP Restrictions page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Proprietary Trading Group Master User
- Broker Master User
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To add IP restrictions

1. Click **Manage Account > Security > Individual > IP Restrictions**.

Manage IP Address Restrictions

In order to provide an added layer of security, you may restrict user access to TWS from only a specific list of IP addresses.

Click the **Add IP Restriction** button below to add as many IP addresses as you like. If no restrictions are specified for a trader, the trader is allowed to login from any IP Address.

Current list of Traders and their IP Restrictions			
Full Name	Username – Account ID	Restrictions	Pending Requests
Applicant 1614627	#####	No restrictions	-
Mr. lhlkjl Leschinsky	#####	No restrictions	-
Katelynne Flinstone	#####	No restrictions	-



This page displays a list of all your account users and their current IP restrictions, including full name, username, account ID, the IP address(es) to which the user is restricted, and the IP address(es) in any pending request. For users with no IP restrictions, the Restrictions column displays “No restrictions.”

- On the Manage IP Address Restrictions page, click the *Add IP Address Restriction* link.
- In the Trader drop-down, select a trader.
- In the IP Address field, enter an IP address. This will be the IP address from which the selected trader will be able to access IB TWS. Click **Submit**.
- You will receive an email containing a confirmation number that must be entered to confirm your IP Restriction request. Once you have entered the confirmation number, the trader will only be allowed to trade from the specified IP address.

To delete IP restrictions

You can delete an IP restriction by clicking the Delete link. You can cancel or confirm a pending IP restriction request by clicking the *Cancel* or *Confirm* link.

- Click **Manage Account > Security > IP Restrictions**.

Each IP address listed has a *Delete* link displayed next to it.

- Click the *Delete* link for each IP address you wish to remove. Once you delete the IP address, the user will no longer be restricted to that IP address.

To confirm or cancel pending IP restriction requests

- Click **Manage Account > Security > IP Restrictions**.

For each pending IP address restriction request, the Pending Requests column displays the IP address and *Confirm* and *Cancel* links.

- To confirm a pending request, click *Confirm*.
- To cancel a pending request, click *Cancel*.

Change Password

This page lets you change your account password.

Who can access the Change Password page?

All users.

To change your account password

1. Click **Manage Account > Security > Change Password**.

Change Password

Use this page to change your password.

If your new password is greater than 8 characters, please use following versions of our software:
Trader Workstation: Versions 9511a and above
mobileTWS for iPhone: Versions 8.7 and above
mobileTWS for iPad: Versions 6.1 and above
mobileTWS for for Android Phones: Versions 8.2.743 and above
mobileTWS for for Android Tablets: Versions 8.2.195 and above

User Name:

Current Password:

New Password: Your password:
 » Must include at least one alphabetic character.
 » Must include at least one numeric character.
 » Must be 6 to 40 characters, no spaces.
 » Is case-sensitive. Your username is also case-sensitive.
 » Must be different from your current password and any previous passwords.

Confirm Password

Submit →

2. Type your current password in the field provided.
3. Type a new password in the field provided, then type it again in the Confirm Password field. The password must be six to 40 characters long, must contain at least one number and no spaces, and is case-sensitive.
4. Click **Submit**.
5. You will immediately receive a confirmation number at your email address of record. Type the confirmation number you received in the field provided, then click **Submit**.

The password change is effective immediately.

Reset Paper Trading Account Password

Use this page to change your paper trading account password from your production account. For example, if you have forgotten your paper trading password, you can log into Account Management with your production account credentials and change your paper trading account password using the procedure described below.

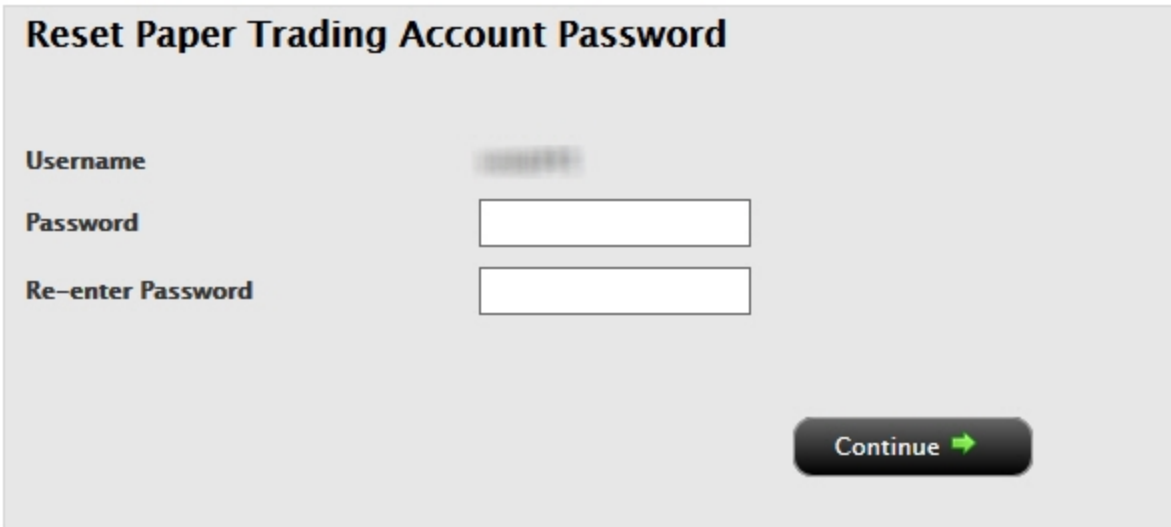
Who can access the Reset Paper Trading Account Password page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Broker Non-Disclosed Client User
- Broker Omnibus Client User
- Investment Manager Master User
- Fund

To reset your paper trading account password

1. Log into Account Management with your regular account username and password.
2. Click **Manage Account > Security > Reset Paper Trading Account Password**.



The screenshot shows a web form titled "Reset Paper Trading Account Password". The form has a light gray background. It contains three input fields: "Username" (with a blurred value), "Password", and "Re-enter Password". A "Continue" button with a green arrow is located at the bottom right of the form.

3. Type a new password, then re-type your new password in the fields provided. Choose a password that is from six to eight characters long and contains at least one number and no spaces.
4. Click **Submit**.
5. Click **OK** in the confirmation message.

Change Email Address

The Change Email Address page lets you change the email address associated with your account.

Who can access the Email Address page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Client User
- Broker Master User
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund


To change your email address

1. Click **Manage Account > Security > Change Email Address**.

Change Email Address

To change your email address, you will need the confirmation number sent to your email address of record. Do you still have access to this email address?

Yes I do



2. To change your email address, we must first send a secure confirmation number to your existing email address of record.
 - If you still have access to this email address, select *Yes I do* from the list, then click **Submit**.
 - If you no longer have access to this email address, select *No I do not* from the list, then click **Submit**.
3. If you selected *Yes I do* in the previous step, we send the confirmation number to your existing email address, then display a page with fields for you to enter a new email address.

Change Email Address

IB has sent a message containing a confirmation number to your OLD email address. Enter your username, password, new email address and the confirmation number from the email we just sent you into the fields below and click **Submit**. You will then be asked to complete one more step to confirm your email address change.

You will then be asked to complete one more step to confirm your e-mail address change.

User Name:

Password:

New e-mail address:

Confirm New e-mail:

Confirmation Number:

Submit →

If you answered *No I do not* in the previous step, you are prompted to enter your current password and your new email address.

4. Type your password and your new email address in the fields provided, then re-type your new email address and enter the confirmation number that we sent to you.
5. Click **Submit**.

Secure Login System

We provides additional protection to your account against fraudulent transactions via our Secure Login System. As soon as your account is funded, the Secure Login System sends you a security device free of charge, which is a passcode card the size of a small credit card with a list of random codes to be used in conjunction with your username and password to access secure areas. You can also use our new IB Key security app, which functions as a security device on your phone.

The Secure Login System menu includes the following items:

- [Security Device](#) - Perform all Secure Login System administrative tasks, including requesting or activate your Secure Login device, or sharing a device.
- [Security Device Sharing](#) - Share your Secure Login device with another user.
- [SLS Opt Out](#) - Opt out of the Secure Login System.

For detailed instructions on using IB Key instead of a physical security device, refer to [Knowledge Base Article 2260](#).

For more information

- [About Security Devices](#)
- [Withdrawal Limits](#)
- [When Will I Receive My Device?](#)

Security Device

If you are an existing customer and are not enrolled in the Secure Login System, or have opted out of the program in the past and now want to enroll, you can use the Secure Login System page to apply for an IB security device.

Use the Activate/Request Security Device page in Account Management as follows:

- New customers can [activate their security device](#) the first time they log into Account Management. After 14 days, the device is automatically activated.
- [Existing customers who have never had the opportunity to participate or opt out](#) of the Secure Login System can request a Security Device.
- [Share your security device](#) with multiple accounts as long as the user identification of the accounts is identical.
- [Existing customers who have opted out of the program but who now want to participate](#) can request a Security Device.

Who can access the Security Device page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To apply for a Security Device if you are an existing customer and are not enrolled in the Secure Login System

1. Click **Manage Account > Security > Secure Login System > Security Device**. The Request Security Device page appears by default.

Request Security Device

Interactive Brokers has developed a Secure Login System and offers its customers, at no charge or for a nominal fee, one of several types of small security devices. These security devices are physical cards or electronic number generators that are used to produce unique passwords required to login and trade or conduct financial transactions through IB. Because physical possession of a customer's security device is required in order to conduct transactions in an IB account, internet hackers or identity thieves that may have stolen only your user name and password online will not be able to conduct trades or remove funds from your account.

Although participation is not mandatory, IB STRONGLY URGES our customers to participate in the Secure Login System. Be aware, however, that if you choose NOT to accept a security device and NOT to participate in the Secure Login System, you must understand and acknowledge that IB will NOT compensate you or credit your account in the event it is compromised by hackers or identity thieves.

<input checked="" type="radio"/>	Yes, I want to participate in the Secure Login System
<input type="radio"/>	No, I do NOT want to participate in the Secure Login System

Continue →

2. Do one of the following:
 - To obtain your Security Device, click the **Yes** radio button, then click **Continue**. An online security code card appears that you should use until you receive your Security Device from us. Click **Print** to print the card, and then click **Confirm**.

After you receive the security device, log into Account Management, click **Manage Account > Security > Secure Login System > Security Device** and follow the instructions on the screen to activate your security device.

Secure Login System

Interactive Brokers detects that you have an Online Secure Code Card.

We have developed a Secure Login System and offer this additional security to our customers. Clients can receive one of several types of small security devices, at no charge or for a nominal fee. These security devices are physical cards or electronic number generators that are used to produce unique passwords required to login and trade or conduct financial transactions through us. Because physical possession of a customer's security device is required in order to conduct transactions in your account, internet hackers or identity thieves that may have stolen only your user name and password online will not be able to conduct trades or remove funds from your account.

Your Online Secure Code Card will expire on 2014-05-30

<input checked="" type="radio"/>	Activate my new/existing Secure Login Device
<input type="radio"/>	Share a Secure Login Device
<input type="radio"/>	Request a new Secure Login Device
<input type="radio"/>	Currently away from my Secure Login Device

Continue →

- To [opt out](#) of the Secure Login System, click the **No** radio button, then click **Continue**. You will be prompted to sign an electronic opt out form. Sign the form then click **Continue**. Follow the instructions on the screen to download a form in PDF-format. Fill out the form then send it to us as instructed on the PDF form itself.

To activate your Security Device the first time you log into Account Management

1. Click **Manage Account > Security > Secure Login System > Security Device**. The Secure Login System page appears by default.

Secure Login System

Interactive Brokers detects that you have an Online Secure Code Card.

We have developed a Secure Login System and offer this additional security to our customers. Clients can receive one of several types of small security devices, at no charge or for a nominal fee. These security devices are physical cards or electronic number generators that are used to produce unique passwords required to login and trade or conduct financial transactions through us. Because physical possession of a customer's security device is required in order to conduct transactions in your account, internet hackers or identity thieves that may have stolen only your user name and password online will not be able to conduct trades or remove funds from your account.

Your Online Secure Code Card will expire on 2014-05-30

<input checked="" type="radio"/>	Activate my new/existing Secure Login Device
<input type="radio"/>	Share a Secure Login Device
<input type="radio"/>	Request a new Secure Login Device
<input type="radio"/>	Currently away from my Secure Login Device

Continue →

2. Click the **Activate my new/existing Secure Login Device** radio button to activate your security device, and then click **Continue**.
3. Follow the instructions on the screen to complete the activation process.

Note: You have 14 days from the day we mail you your Security Device to activate the device in Account Management. After 14 days, you are required to use the device to log into Account Management and Trader Workstation. If you receive the device before 14 days, you can access Account Management and our desktop trading platform without using the device until you activate it or until 14 days have passed. Once you activate the device, you must use it to log into Account Management and our desktop trading platform.

You will be asked to follow a series of steps which require that you supply information sent to you upon subscription to confirm your identity and register your personal device. In addition, depending upon the type of device provided you may be required to create a Personal Identification Number and perform a test login to verify possession of the device.

Once your device has been activated, each login attempt to either Account Management or Trader Workstation will require the two authentication factors – your user name and password combination and the security code generated by your device.

To share your Security Device

1. Click **Manage Account > Security > Secure Login System > Security Device**. The Secure Login System page appears by default.

Secure Login System

Interactive Brokers detects that you have an Online Secure Code Card.

We have developed a Secure Login System and offer this additional security to our customers. Clients can receive one of several types of small security devices, at no charge or for a nominal fee. These security devices are physical cards or electronic number generators that are used to produce unique passwords required to login and trade or conduct financial transactions through us. Because physical possession of a customer's security device is required in order to conduct transactions in your account, internet hackers or identity thieves that may have stolen only your user name and password online will not be able to conduct trades or remove funds from your account.

Your Online Secure Code Card will expire on 2014-05-30

<input checked="" type="radio"/>	Activate my new/existing Secure Login Device
<input type="radio"/>	Share a Secure Login Device
<input type="radio"/>	Request a new Secure Login Device
<input type="radio"/>	Currently away from my Secure Login Device

Continue →

2. Click the **Share a Secure Login Device** radio button to share your security device, and then click **Continue**.
3. Enter the username and password of the user with whom you want to share the security device in the fields provided.
 - As noted on the page, the security device that you want to share must be of equal or greater security strength than the requesting user's current security device.
 - Please note that for some customers, review and approval by our staff will be required prior to processing your request.
3. Click **Continue** to submit your request.

To apply for a Security Device if you have already opted out

1. Click **Manage Account > Security > Secure Login System > Security Device**. The Secure Login System page appears by default.
2. The screen informs you that you have opted out of the program. Click **Cancel**.
The Request Security Device page opens.

Request Security Device

Interactive Brokers has developed a Secure Login System and offers its customers, at no charge or for a nominal fee, one of several types of small security devices. These security devices are physical cards or electronic number generators that are used to produce unique passwords required to login and trade or conduct financial transactions through IB. Because physical possession of a customer's security device is required in order to conduct transactions in an IB account, internet hackers or identity thieves that may have stolen only your user name and password online will not be able to conduct trades or remove funds from your account.

Although participation is not mandatory, IB STRONGLY URGES our customers to participate in the Secure Login System. Be aware, however, that if you choose NOT to accept a security device and NOT to participate in the Secure Login System, you must understand and acknowledge that IB will NOT compensate you or credit your account in the event it is compromised by hackers or identity thieves.

<input checked="" type="radio"/>	Yes, I want to participate in the Secure Login System
<input type="radio"/>	No, I do NOT want to participate in the Secure Login System

Continue →

- To obtain your Security Device, click the **Yes** radio button, then click **Continue**. An online security code card appears that you should use until you receive your Security Device from us. Click **Print** to print the card, and then click **Confirm**.

After you receive the security device, log into Account Management, click **Manage Account > Security > Secure Login System > Security Device** and follow the instructions on the screen to activate your security device.

Secure Login System

Interactive Brokers detects that you have an Online Secure Code Card.

We have developed a Secure Login System and offer this additional security to our customers. Clients can receive one of several types of small security devices, at no charge or for a nominal fee. These security devices are physical cards or electronic number generators that are used to produce unique passwords required to login and trade or conduct financial transactions through us. Because physical possession of a customer's security device is required in order to conduct transactions in your account, internet hackers or identity thieves that may have stolen only your user name and password online will not be able to conduct trades or remove funds from your account.

Your Online Secure Code Card will expire on 2014-05-30

<input checked="" type="radio"/>	Activate my new/existing Secure Login Device
<input type="radio"/>	Share a Secure Login Device
<input type="radio"/>	Request a new Secure Login Device
<input type="radio"/>	Currently away from my Secure Login Device

Continue →

Your security device will be express shipped to you on the same day if your request has been completed prior to 13:00 ET on a US business day. Otherwise, the device will be shipped on the following business day. Depending on your location and the capabilities of the shipper, a delivery tracking number will be made available after 18:00 ET on the shipping date.

- After you receive the security device, log into Account Management, click **Manage Account > Security > Secure Login System > Security Device** and follow the instructions on the screen to activate your security device..

You will be asked to follow a series of steps which require that you supply information sent to you upon subscription to confirm your identity and register your personal device. In addition, depending upon the type of device provided you may be required to create a Personal Identification Number and perform a test login to verify possession of the device.

Once your device has been activated, each login attempt to either Account Management or Trader Workstation will require the two authentication factors – your user name and password combination and the security code generated by your device.

If You Choose Not to Participate in the Secure Login System

If you choose not to participate in the Secure Login System, be aware of the following:

- We will not compensate you or credit your account in the event it is compromised by hackers or identity thieves
- You can only withdraw a maximum of 50,000 USD in any one day.
- You must wait 10 days to wire funds from your account after any change to the banking instructions for your account, and you must wait 10 days to withdraw funds by check after any change to your address information.
- Under the Customer Agreement, customers are responsible for all transactions initiated using their user name and password.

If you choose not to participate in the Secure Login System, you are required to sign a Notice and Acknowledgement agreement confirming your understanding and agreement with these terms (this is the Opt Out Form described earlier in this topic). You do this electronically in Account Management or by contacting Customer Service.

When Will I Receive My Device

The delivery schedule depends on the type of security device you will be receiving.

- Security Code Cards are shipped several times per week via regular mail.
- Alpine Devices are shipped several times per week via Express mail.
- Digital Security Cards are shipped several times per week via regular mail.
- Gold/Platinum Devices are shipped every day via Express mail for requests that have been completed prior to 13:00 ET on a US business day.

Depending upon your location and the capabilities of the shipper, a delivery tracking number will be made available after 18:00 ET on the shipping date. You can view this tracking number by clicking **Manage Account > Security > Secure Login System** in Account Management after that time or by calling technical assistance at 1-877-442-2757, Option 2, then 6.

Security Device Sharing

A common security device obtained through our Secure Login System can be used to access multiple accounts as long as the user identification of the accounts is identical. Use the Security Device Sharing page to share a security device with a linked account.

Note: This page is identical to selecting the Share a Secure Login Device option on the main Secure Login Device page.

Who can access the Security Device Sharing page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual
- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To share a security device with multiple accounts

1. Click **Manage Account > Security > Secure Login System > Security Device Sharing**.

Security Device Sharing

» Authentication token sharing will only be permitted where users are the same person as documented in the account application.

» If the various logins use different types of security devices, the shared device must be the "stronger" (more secure) type (click [here](#) for explanation of the various security devices in use).

» For some customers, review and approval by our staff will be required. Processing will take place at the end of the business day, U.S. Eastern Time.

Requesting Username	<input type="text" value="jdoe@"/>
Requesting Account Title	<input type="text" value="Mutual - 001001"/>
Username With Security Device To Share	<input type="text"/>
Password For This User	<input type="password"/>

2. Enter the username and password of the user with whom you want to share the security device in the fields provided.
 - As noted on the page, the security device that you want to share must be of equal or greater security strength than the requesting user's current security device.
 - Please note that for some customers, review and approval by our staff will be required prior to processing your request.

3. Click **Continue** to submit your request.

About Security Devices

Click one of the following links to learn more about our using your security device:

- [Security Code Cards](#) - Recommended for accounts with a balance less than 100,000 USD. This is a credit card-like device with 224 alpha-numeric codes.
- [Digital Security Card](#) - Recommended for accounts with a balance between 100,000 and 500,000 USD. A credit card like device with an LCD.
- [Digital Security Card+](#) - Recommended for accounts with a balance greater than 500,000 USD. An enhanced version of the Digital Security Card, this model adds an extra layer of security through the use of a challenge code and a higher count of possible code permutations.

Security Code Cards

It's easy to securely log into any of our applications using your Security Code Card. Simply find and enter the correct values from your card into the PassCode Authentication Box on the IB website.

To login with your Security Code Card

1. Start by logging into your application as always, using your username and password.

The PassCode Card Authentication box pops up.

2. Locate the first Index number in the authentication box.

In our image below, the first Index number is "100."

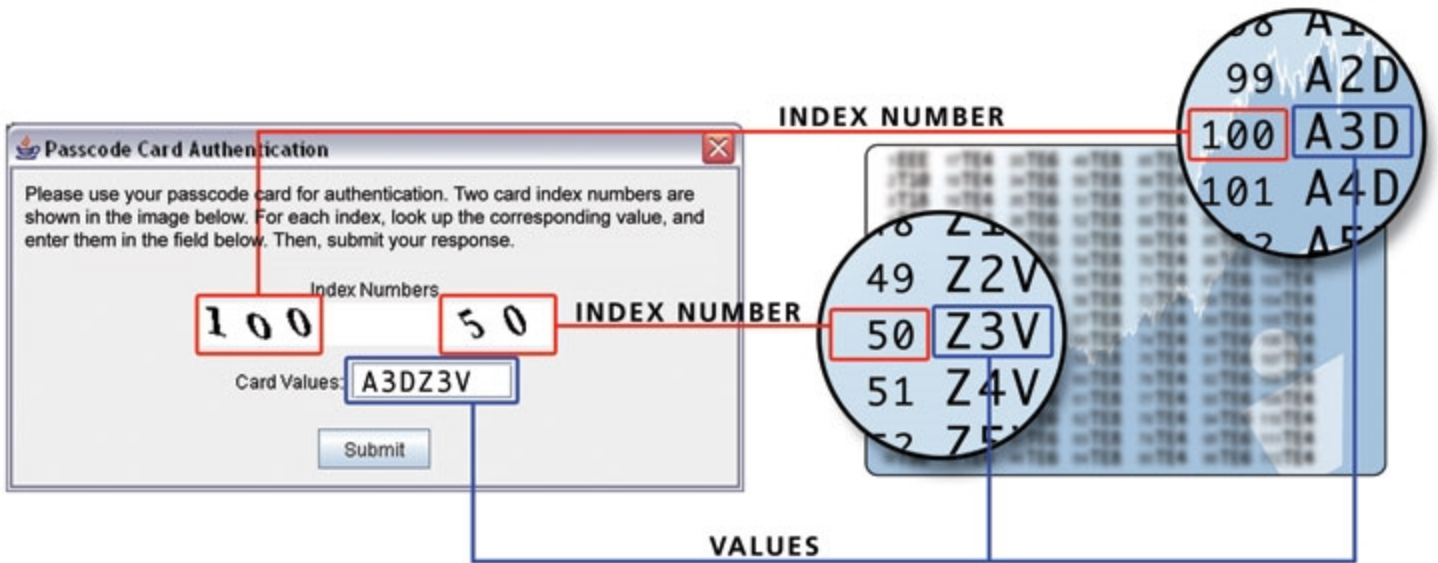
3. Using your Security Code Card, locate that Index number, and look immediately to the right to find its corresponding card value.

In the image below, the Index number "100" has a corresponding card value of **A3D**.

4. Type that value in the entry field of the PassCode Card Authentication box on the website.
5. Follow steps 2 and 3 above for the next Index number, then type that value into the entry field of the PassCode Card Authentication box on the website.

In the image below, the second Index number is "50" and its corresponding card value is **Z3V**.

6. Click the **Submit** button.



Digital Security Cards

It's easy to securely log into any of our applications using your Digital Security Card. Simply enter your pin into the device to generate a string of randomly-generated characters, and enter these characters into the Security Code field in the login box.



To login with your Digital Security Card

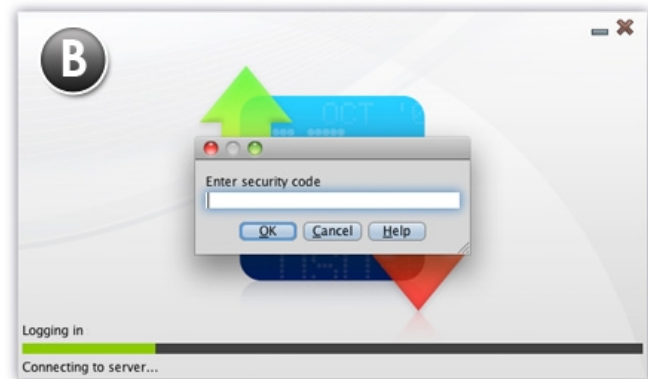
1. Start by logging into your application as always, using your username and password.
The Security Code field appears.
2. On the security device, firmly press and hold the "press" button between thumb and index finger until the [] symbol displays in the digital display (about 2 seconds).
3. Enter your four-digit PIN using the number pad and touch the **OK** button. The PIN is the number that you specified when you ordered your digital security card. The numbers and OK and C (for Clear) buttons are sensitive to light pressure held for a duration long enough to cause the digit to appear in the display.

Note: You can only see the digit you just typed, and that each previous digit is replaced with a dash so that you can never see all the four digits on the digital display. For example, the display after the first three digits (of 1-2-3-4 pin) have been entered would appear as [].

3. When you have entered your PIN, tap **OK** to display the six-digit secure token passcode in the digital display.
4. Enter this code into the Security Code field in the application.

Note: The passcode will only display for around 15 seconds, and you must enter the passcode within 30 seconds; otherwise, please repeat steps 1-3 above.

The Security Code field will look slightly different depending on the application you're logging into. "A" below shows the Account Management login. "B" shows the IB TWS login.



Digital Security Card+

It's easy to securely log into any of our applications using your Digital Security Card. Simply enter your pin into the device to generate a string of randomly-generated characters, and enter these characters into the Security Code field in the login box.

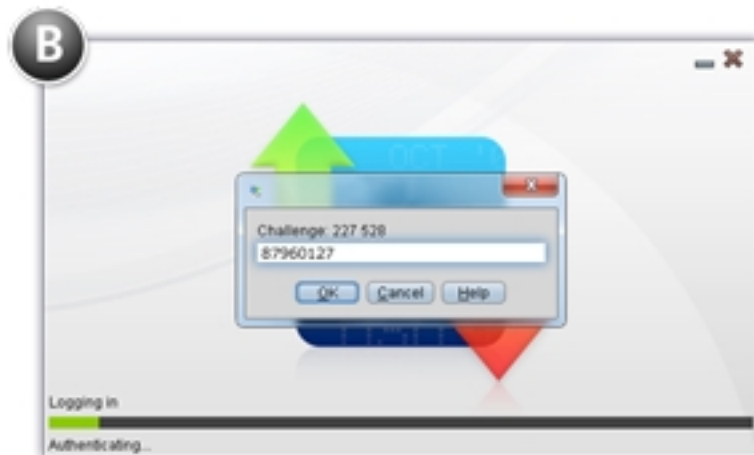


To login with your Digital Security Card

Note: Only the large "press" button requires pressure. All others, including the numbers, the back arrow and the "OK" button, require only a light tap.

1. Press the round "press" button until the **Pn** symbol appears in the digital display (about two seconds).
2. Using the numbers keyboard on the card, enter the four-digit PIN you specified, and then press **OK**.
3. When the **Ch** symbol appears in the digital display, enter the six-digit challenge code (with no spaces) shown on the login or entry screen, and then press **OK**.
4. The first five digits of the eight-digit passcode appear in the digital display. Enter these digits in the Secure Token Passcode field on the login or entry screen.
5. Press OK to see the remaining three digits, and enter these three digits in the Secure Token Passcode field to complete the eight-digit passcode.
6. The sets of five and three digits will automatically toggle every ten seconds. To manually toggle between the first five and last three digits, press the **OK** button. If the passcode expires, start over from Step 1 above.

The Security Code field will look slightly different depending on the application you're logging into. "A" below shows the Account Management login. "B" shows the IB TWS login.



Withdrawal Limits

Accounts that do not participate in the Secure Login System are limited in the amount of money that can be withdrawn or transferred in one day and in any five day period. The table below lists the withdrawal limits for each available security device and for customers with no security device.

Withdrawal Limits for IB Customers

Security Device	Maximum Withdrawal Per Day	Maximum Withdrawal in Five Business Days
None	50,000 USD	100,000 USD
Security Code Card	200,000 USD	600,000 USD
Digital Security Card	1,000,000 USD	1,500,000 USD
Alpine Device ¹	500,000 USD	1,500,000 USD
Digital Security Card+	Unlimited	Unlimited
Gold ¹	Unlimited	Unlimited
Platinum ¹	Unlimited	Unlimited

¹ Represents a legacy device no longer being issued and in the process of being replaced with a version of the Digital Security Card. See [Knowledge Base Article 975](#) for details.

SLS Opt Out

The SLS Opt Out page lets you opt out of our Secure Login System.

Note: While our Secure Login System is, in most instances, voluntary, we strongly recommend that each user on an account participate. In addition to the enhanced protection, participation offers benefits such as increased daily and weekly withdrawal limits as well as immediate and straight-through processing of your account information updates. Moreover, account owners who elect not to participate are required to execute an opt out agreement through which full responsibility for losses associated with theft or misuse of login information is assumed.

We offer two levels of opt out:

- Partial Opt Out - A Secure Login device is required to log into Account Management. Only your username and password are required to log into any of our trading platforms.
- Full Opt Out- Only your username and password will be required to log into either Account Management or any of our trading platforms.

The SLS Opt Out page displays a complete list of users associated with your account on whose behalf you have the authority to opt out of the Secure Login System, along with the type of user and the current state of their enrollment in the Secure Login System. In the case of an individual account, only the account owner has the ability to opt out of the Secure Login System. For organizational accounts that may include multiple employee users, the decision to opt out of the Secure Login System rests with the owner user and any users who the owner has designated as a security officer and granted the permission to control user access rights.

Rules for Opting Out

A user will not be allowed to opt out of the Secure Login System if any of the following conditions is true:

- The account is not open.
- The user is already enrolled in the Secure Login System.

- The user has an expired temporary security device.
- The user does not have the required access rights to opt out.

You will not be allowed to request a partial opt out if any of the following conditions is true:

- The account is not open.
- The user is not enrolled in the Secure Login System. Having an online security card is not sufficient.
- The user has an expired temporary security device.
- The user does not have required access rights to opt out.

A user will be allowed to opt into the Secure Login System only if he or she has previously opted out.

To request that an account user opt out of the Secure Login System

1. Click **Manage Account > Security > Secure Login System > SLS Opt Out**.
2. Read the important information and rules about opting out.
3. In the list of account users, do any of the following:
 - Select the radio button in the Partial column for each user who wants to partially opt out.
 - Select the radio in the Full column for a Full column for each user who want to fully opt out.
 - Select the radio button in the Opt Back In column for each user who wants to opt back in.

Radio buttons are grayed out (not available) if a user is ineligible for that option.
4. Click **Continue**.

USER	TYPE	STATE	PARTIAL	FULL	OPT BACK IN
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	Owner	User is enrolled in Secure Login System	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
XXXXXXXXXX	2nd User	User is pending enrollment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Client Security

The Client Security page lets you activate the security device for a client account. The security device is part of the Secure Login System. You can also set a temporary security code to be used by the client account. You might choose to do this, for example, if the client's security device has not been received.

Who can access the Client Security page?

You can access this page if you are a(n):

- Broker Master User (Non-disclosed clients only)

To activate a security device for a client account:

1. Click **Manage Account > Security > Client Security**.

2. In the Select Account list, select the client account.
3. To activate the security device for the selected account:
 - a. Select the Activate Security Code Card radio button.
 - b. Type the serial number of the security device in the field provided.
 - c. Type the serial number again in the second field provided, then click **Submit**.

If the client does not have a security device but requires access to Account Management or our trading platform, you can set a temporary security code for the selected client account by selecting the Set Temporary Security Code radio button, then clicking **Submit**. A confirmation appears on the page, including the account ID, user name and temporary password. Clients can use this temporary password until they receive their security device.

Voting Subscriptions

IB Voting provides several forums where you can express your opinion and vote for your favorite commercial tools, freelance tools, programming consultants, third-party tutors and new features. You subscribe to IB Voting on the Voting Subscription page in Account Management.

Who can access the Voting Subscriptions page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User
- Small Business Account User
- Friends and Family Group Master or Client User
- Advisor Master User Individual
- Advisor Master User Organization
- Advisor Client User Individual

- Advisor Client User Organization
- Proprietary Trading Group Master User
- Proprietary Trading Group Sub User
- Broker Master User (master account only)
- Broker Fully Disclosed Client User
- Broker Fully Disclosed Client User Organization
- Investment Manager Master User
- Fund

To subscribe to IB Voting

1. Click **Manage Account > Security > Voting Subscription**.

Voting Subscription

Use this page to create a user name and password for access to the voting forums on our website.

Create Subscription

Voting User name:	<input type="text"/>	(Enter 4-8 characters or numbers)
Voting Password:	<input type="password"/>	(Enter 4-8 characters or numbers)
Account Username:	<input type="text"/>	
Account Password:	<input type="password"/>	

Submit →

2. Enter a voting username and password in the fields provided.

When you vote in any of our voting forums or polls, you will be prompted to enter your voting username and password.

3. Enter your account username and password in the fields provided.
4. Click **Submit**.

Note: Your voting subscription automatically expires after one year, at which time you can re-subscribe by clicking the **Reactivate** button, which only appears when your subscription has expired.

Audit Trail

The Audit Trail page lets Master account users view Account Management requests for their own accounts.

Who can access the Audit Trail page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization (can view Audit Trail for advisor master account only)
- Proprietary Trading Group Master User (can view Audit Trail for master and sub accounts)
- Broker Master User (can view Audit Trail for master and non-disclosed client accounts)
- Investment Manager Master User

To view the audit trail

1. Click **Manage Account > Security > Audit Trail**.

Audit Trail

Use this page to view requests generated in Account Management for your own account.

Requesting Username	Type of Request	Requested	Last Updated	Status
1080178	Add Client	Apr 17 2014 02:46:41 EDT	--	Processed
1080178	Add Client	Apr 17 2014 02:45:38 EDT	--	Processed
1080178	Add Client	Apr 17 2014 02:44:40 EDT	--	Processed
1080178	Add Client	Apr 16 2014 02:46:47 EDT	--	Processed
1080178	Add Client	Apr 15 2014 02:45:44 EDT	--	Processed
1080178	Add Client	Apr 13 2014 02:41:56 EDT	--	Processed
1080178	Add Client	Apr 13 2014 02:40:51 EDT	--	Processed
1080178	Add Client	Apr 11 2014 09:20:31 EDT	--	Processed
1080178	Add Client	Apr 11 2014 02:42:01 EDT	--	Processed
1080178	Add Client	Apr 11 2014 02:40:59 EDT	--	Processed
1080178	Add Client	Apr 10 2014 02:44:36 EDT	--	Processed
1080178	Add Client	Apr 10 2014 02:43:21 EDT	--	Processed
1080178	Add Client	Apr 09 2014 02:52:50 EDT	--	Processed
1080178	Add Client	Apr 08 2014 09:29:32 EDT	--	Processed
1080178	Add Client	Apr 08 2014 02:48:13 EDT	--	Processed
1080178	Add Client	Apr 08 2014 02:46:42 EDT	--	Processed
1080178	Add Client	Apr 05 2014 02:51:45 EDT	--	Processed

2. Select the number of days back you wish the audit trail to include by selecting *All*, *Previous 90 Days* or *Previous 180 Days* from the Show requests drop-down list, then click **Submit**.

The page refreshes with the updated information.

The audit trail displays type of request, the date and time of the request, the date and time the request was updated (if applicable), and the state of the request (CONFIRMED, ACKNOWLEDGED, PROCESSED, CANCELED).

Access Rights

The Access Rights tab includes the following pages:

- [Configure](#) - Security Officers can view account-level access rights to Account Management functions and set the number of Primary and Secondary authorizers
- [Users](#) - Add users to your account, modify existing users' information or access rights to Account Management and delete users from your account
- [User Roles](#) - Create and delete user roles.

For more information

- [Access Rights Overview](#)
- [Security Officers](#)

Access Rights Overview

We give our customers the ability to create users through User Access Rights. The assignment of users and their access rights is controlled by an organization's Security Officer(s). Individual accounts can also add users and assign access rights to them, but these accounts do not have access to the full range of user access rights functionality available to Security Officers for institutional accounts.

Institutional accounts can add up to 250 users, including employees and non-employees. Access rights to the different functions in Account Management can be limited for each of those users. In addition, we also offer an authorization feature to institutional accounts wherein multiple users must approve certain Account Management requests, such as funding transactions.

User Access Rights Availability

The complete User Access Rights system, including the ability to select Security Officers and use authorizations, is available to the following account structures:

- Professional Advisors
- Brokers
- Proprietary Trading Groups
- Fund Investment Managers
- Small Business Accounts (Corporation, Partnership, LLC or unincorporate legal structure)

ALL account structures have the ability to add users to an account and assign them access rights to Account Management functions EXCEPT:

- Broker Non-Disclosed Clients
- Broker Omnibus Clients
- Proprietary Trading Group Sub Accounts

Access Rights and Access Groups

User access rights are organized into access groups that correspond to these Account Management menus:

- Trade
- Funding
- Reports
- Manage Account

Note: Individual account holders cannot grant Funding rights to new users that they add. Security Officers for institutional accounts CAN however grant Funding rights.

Each access group contains several functions, which themselves correspond to the individual functions in Account Management. When assigning access rights to a user, you can assign access rights to an entire access group and all of its individual functions, or you can assign access rights to the individual functions themselves.

All account users automatically get rights to Security-related functions in Account Management (Password, Secure Login System, Secure Login System Device Sharing, and Voting Subscriptions), and the functions in the Manage Account > Settings access group (User Information and Change Email Address).

Security Officers for account structures with multiple users and client accounts can grant limited access to a subset of user functions or accounts. For example, a Security Officer might want to give User A the ability to only trade, while giving User B only the ability to look at account statements. User C might only be able to trade client accounts 1-5, while User D can trade client accounts 6-10.

Assign user access rights to users when you add them to your account on the **Manage Account > Access Rights > Users** page in Account Management.

Security Officers

The assignment of access rights to users is controlled by an organization's Security Officer. Security Officers are designated employees who can assign access rights and authorize functions. The Security Officer can also add, modify and delete users.

Institutional account holders can add Security Officers to their account during the account application process, if they require additional Security Officers for authorization purposes. To add Security Officers after your account is open, you must send a paper form request to us.

Security Officer Approvals

As an added layer of security, you can require that any changes made by one Security Officer be approved by one or two other Security Officers. To change the number of Security Officer approvals required, you must complete and submit a request form.

Account-Level Access Rights

Security Officers can view account-level access rights on the Access Rights > Configure page in Account Management but cannot change them without a special request to us.

User Roles

A user role is a set of user access rights saved with a unique name. User roles allow Security Officers (and individual account holders) to save a set of user access rights and quickly apply them to users. This is useful if you have multiple users to add to an account. User roles work the same way as user access rights: functions are organized into access groups based on the Account Management menu structure, and you expand each access group to view and assign rights to functions located in second-level menus. You can select a user role only if you have created and saved at least one.

Create user roles on the **Manage Account > Access Rights > User Roles** page in Account Management.

Primary and Secondary Authorizers

If your organization requires additional security for Account Management functions, you can appoint authorizers to approve requests. Authorizers are users who provide additional layers of security for different Account Management functions such as funding requests.

There are two levels of authorizers: Primary and Secondary. These levels of authorization let you match your organization's approval process to our Account Management system. A Primary Authorizer is the highest level of approval while a Secondary Authorizer is the next level of approval. For example, your CEO might be the Primary Authorizer and the CIO might be the Secondary Authorizer in your organization.

You set up authorizations on the **Manage Account > Access Rights > Configuration** page in Account Management.

Primary and Secondary Authorizers authorize pending changes on the **Home > Pending Items** page.

User Access Rights Summary

Organizations can follow these steps to set up a user access rights implementation that includes Security Officers and authorizations.

1. During your account application process, designate one or more persons to be Security Officers.
 - As the account owner, you are automatically designated as a Security Officer.
 - If you forgot to do this, or you want to add more Security Officers to your account, send a request to us.
 - If you need an additional layer of security, you can require that changes submitted by one Security Officer must be approved by other Security Officers. You set the number of these Security Officer approvals during the application process.
2. After your account has been approved, your Security Officer logs into Account Management and creates and saves user roles to be able to apply reusable sets of access rights to more than one account users.
3. Your Security Officer adds users to your account, granting them access rights to the different functions in Account Management to correspond to the users and functions in your organization. At this time, the Security Officer will also apply any saved user roles to the new users.
4. Your Security Officer sets the number of Primary and Secondary Authorizers for specific functions in Account Management. On the same page in Account Management, the Security Officer can view the current account-level access rights.

About Security Officers

The assignment of users and their access rights is controlled by an organization's Security Officer(s). Security Officers are designated employees who can assign access rights and authorize functions. The Security Officer can also add, modify and delete users.

Creating Security Officers During the Account Application Process

During the account application process, the owner of the account (the account applicant; who is automatically assigned the role of Security Officer) can select additional Security Officers, then assign each Security Officer access rights to the various functions in Account Management. Only Organization customer type accounts can create security officers.

If you need an additional layer of security, you can require that any changes made by one Security Officer be approved by one or two other Security Officers. You can set the number these Security Officer approvals during the application process. Any Security Officer can function as a Security Officer approver.

Adding and Deleting Security Officers

To add Security Officers after your account is open, you can add a new user to your account and designate that user as a Security Officer, designate an existing user as a Security Officer (on the **Manage Account > Access Rights > Users** page), or send a request to us. You can access the request form on the **Support > Paper Forms** page of Account Management.

You can delete Security Officers from your account on the **Manage Account > Access Rights > Users** page of Account Management, but only if such removal does not change the number of required Security Officer approvals set in your account application. For example, if your account currently has three security Officers but requires only two, you can delete one of them from within Account Management. If your account currently has two Security Officers and requires two, you cannot delete one.

Security Officers and Account Management

Once you have designated a Security Officer for your account, that person will have access rights to the Account Management functions that were assigned during the account application process. The Security Officer is the only person who can view and access the following security-related functions in Account Management:

- **Manage Account > Access Rights > Configuration** - View account-level access rights for an account and set the number of Primary and Secondary Authorizers for Account Management, including funding. This function is available only to institutional accounts.
- **Manage Account > Access Rights > Users** - Add, delete and modify users and assign access rights to Account Management functions. Note that individual accounts (Individual, Joint, Trust, etc. customer types) also have access to this page.
- The Security and Access rights menus in Manage Account, and the Change Email Address function (these rights are preselected in the account application).

Configure Access Rights

When your account is first opened, it will have the ability to access all functions in Account Management. Security Officers for your account use the Access Rights Configuration page to:

- View account-level access rights for your account. Account-level access rights identify which functions your account can access.
- Set the number of Primary/Secondary authorizers required for Account Management functions.

Account access rights are organized into access rights groups that correspond to the Account Management menus.

Access to each function in an access rights group is displayed as either granted or denied. Denied functions will not appear in the Account Management menus. Because the account applicant is automatically a Security Officer, he or she has access to all functions in Account Management. When your account is first opened, account-level access rights to ALL Account Management functions are granted by default.

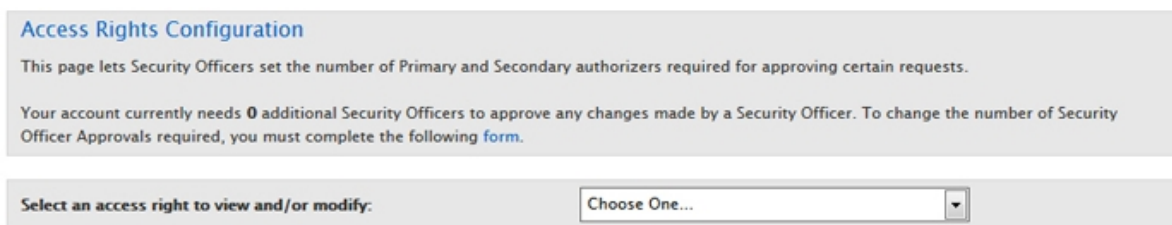
Note: To change your account access rights, including granting or denying access to Account Management functions, you must send a request to us.

Who can access the Access Rights Configuration page?

You can access this page if you are a Security Officer for any institutional customer types.

To view account access rights and set the number of primary and secondary authorizers

1. Log into Account Management.
2. Click **Manage Account > Access Rights**. The Configuration page appears by default.



Access Rights Configuration

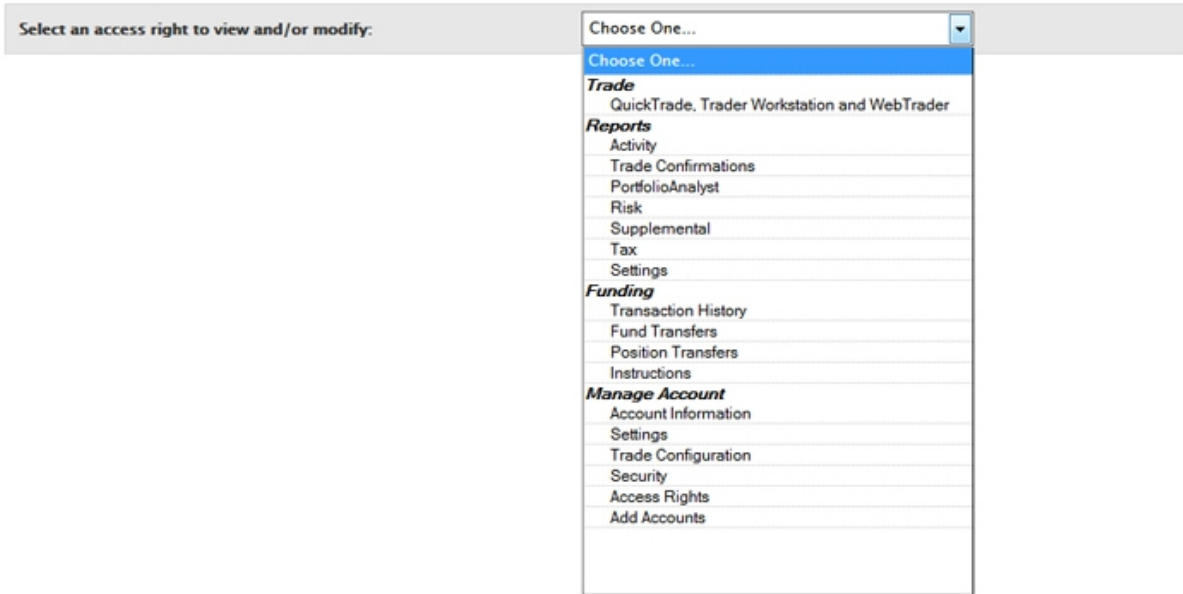
This page lets Security Officers set the number of Primary and Secondary authorizers required for approving certain requests.

Your account currently needs 0 additional Security Officers to approve any changes made by a Security Officer. To change the number of Security Officer Approvals required, you must complete the following form.

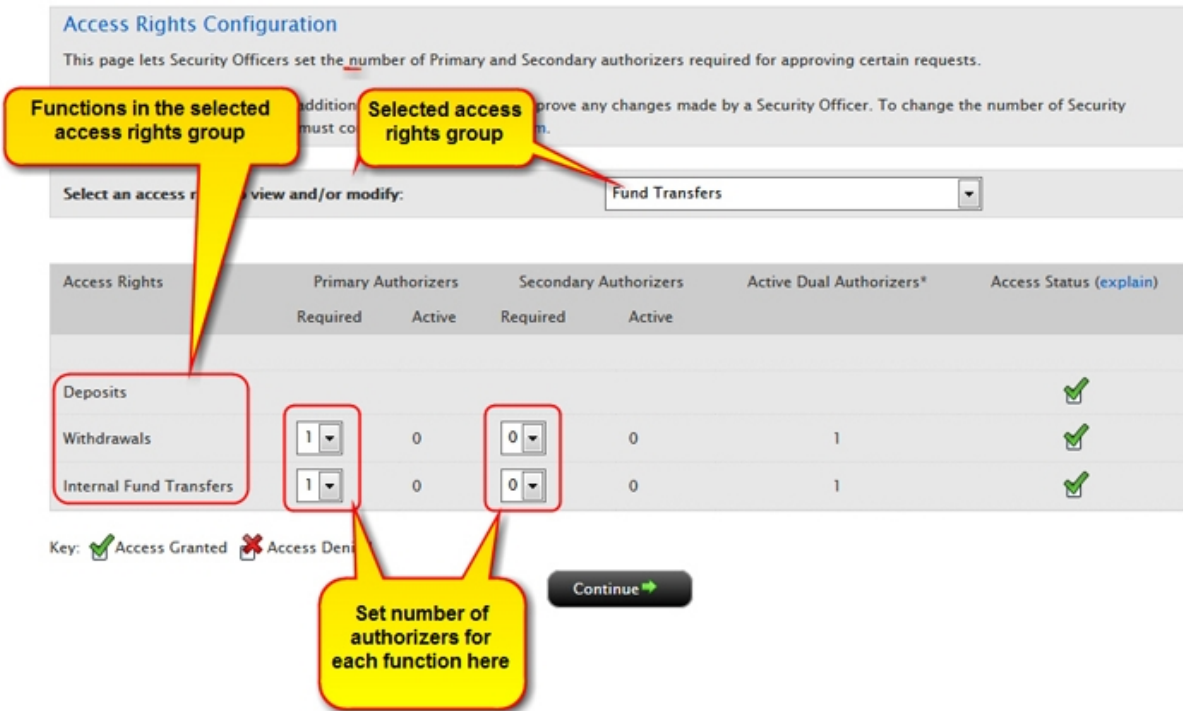
Select an access right to view and/or modify:

The page displays the number of Security Officer approvals required for your account. This number indicates the number required to approve any changes made by a Security Officer.

3. To view account-level access rights, select any item in the Access Right drop-down. Access groups correspond to Account Management menus. Note that you cannot select the top-level menu in the drop-down.



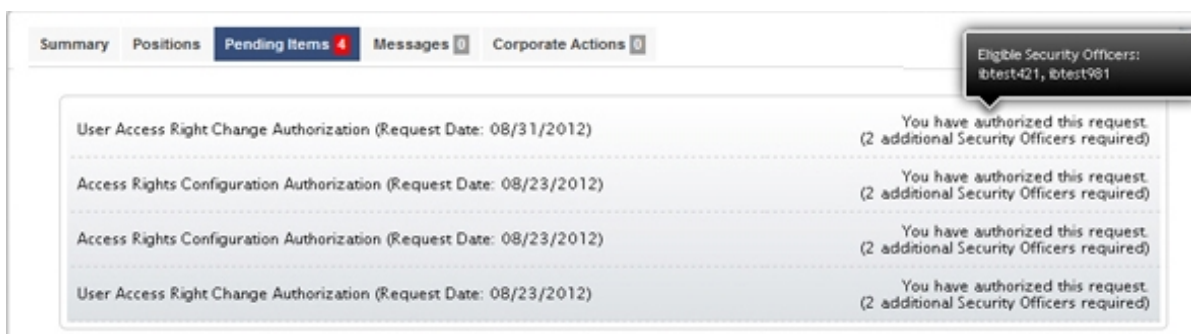
- The screen displays the total number of currently active authorizers for each function (remember, these correspond to pages in the corresponding Account Management menu). Select the number of required Primary and Secondary authorizers for each function as required.



- If necessary, set the number or authorizers for Advisor/Broker functions in the Account Information access group.:

- Select Account Information from the Select Access Group drop-down.
 - Select the number of required Primary and Secondary authorizers for Advisor Qualifications, Financial Information and Broker Declaration functions as required.
 - Click **Continue** when you are done.
6. Sub and client account holders (who function as their own Security Officers) can assign account-level access rights to their Master Users.
 7. If you are a sub or client account holder, select an access group from the drop-down, then select the check box in the Master User Access column for each function that you want your Master User to be able to access.
 8. Click **Continue** to save your changes.

You can view your pending changes to access rights configuration on the **Home > Pending Items** page. Move your mouse over those pending items to see a popup with Eligible Security Officers displayed:



Users

The Users page lets you:

- [Add users](#) to an account.
- [Modify](#) Account Management access rights for existing users.
- [Add up to two usernames for a user.](#)
- [Delete users](#) from an account.
- [Add a Security Officer](#)

Who can access the Users page?

All users and Security Officers can access this page except Broker Non-Disclosed Clients and Broker Omnibus Clients.

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

Security Officers								
First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	Delete
chris		Enderlin		CEO		--		

Users								
First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	Delete
Neil		dgfhgdghdgdg	XXXXXXXXXX	TRADER	View Rights	Open		
Nelson		child	XXXXXXXXXX	NON_EMPLOYEE	View Rights	Pending Approval		
marc		robles	XXXXXXXXXX	SECRETARY		--		
eme		Davis	XXXXXXXXXX	Employee	View Rights	Pending Approval		
Test		Test	XXXXXXXXXX	Employee	View Rights	Pending Approval		
Emmet		Tenerelli	XXXXXXXXXX	TRADER	View Rights	Open		
Joe		Brody	XXXXXXXXXX	Employee	View Rights	Pending Approval		
Jack		Bechtel	XXXXXXXXXX	TRADER	View Rights	Pending Approval		
MPP		Mikes	XXXXXXXXXX	Employee	View Rights	Pending Approval		
Sumi		Bazile	XXXXXXXXXX	TREASURER		--		

Add User

Individual Account User Rules

The following rules and limitations apply to Individual accounts:

- Up to two usernames may be created for the same person.
- Up to 5 persons may be added with a Power of Attorney, which will be provided when adding users to an individual account.
- Individual Advisors may not add any persons other than themselves (they can have two usernames for themselves).
- Joint Accounts may add two usernames for each account holder.
- Trust accounts may add up to two usernames for each trustee.

User Information Displayed on User Access Rights Page

The User Access Rights page displays information about all users registered with your account. This is a summary of the information entered when you added the user to your account, and includes the following:

Column	Description
First Name	The user's first name.
MI	The user's middle initial.
Last Name	The user's last name.
User Name	The user's user name.
Type	Depending on the type of account you have, this corresponds to the Type and Entity Relationship field on the Add New User and Access Rights page. It could be Employee or Non-employee or a specific role in your company, such as CEO or Treasurer.
Accessible Rights	Click View Rights to displays a popup summary of the user's access rights.
Status	The status of the user. For example, "Open" or "Pending Confirmation."
Modify	Displays a <i>Modify</i> link for users' whose status is "Open." Click this link to modify the users' access rights.
Delete	Displays a <i>Delete</i> link. Click this link to delete the user from your account.

Adding a User

You can add users to your account and grant them access to a subset of Account Management functions, including granting access to functions for one or more sub accounts. You cannot grant access to Funding functions to a new user.

To add a user to the account

1. Click **Manage Account > Access Rights > Users**.
2. Click **Add User**.

Add User

Complete the required information and select user functions below:

First Name:*

Middle Initial:

Last Name:*

Suffix: (e.g.: Jr)

Username:*

Password:*

Confirm Password:*

Record your password. For security reasons you will not be shown your password again.

E-mail Address:*

Re-enter E-mail Address:*

Entity Relationship:* Employee Non-Employee

3. On the Add User page, enter all required information, including name, six-character username prefix, password, and email address.
4. On the same page, assign Account Management functions to the user by clicking the appropriate check boxes in the Access Rights section. Access groups correspond to Account Management menus.
 - To designate the user as a Security Officer, click the **I'd like to have this person designated as a Security Officer.** check box.
 - If you have created any User Roles, optionally select a User Role. The access rights saved with the User Role will be applied to the new user.
 - Click an access group to expand the section, then click check boxes to grant access to individual functions.
 - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access the function in Account Management:

Access Rights

Grant the user access rights to functions within each access group. Click an access group to expand the section, then click check boxes to grant access to individual functions. To grant access to all functions within an access group, click the check box next to the access group name.

I'd like to have this person designated as a Security Officer.

Trade

QuickTrade, Trader Workstation and WebTrader

Reports

Activity

Trade Confirmations

PortfolioAnalyst

Risk

Supplemental

Tax

Settings

Funding

Transaction History

Fund Transfers

Position Transfers

Instructions

Manage Account

Account Information

Settings

Trade Configuration

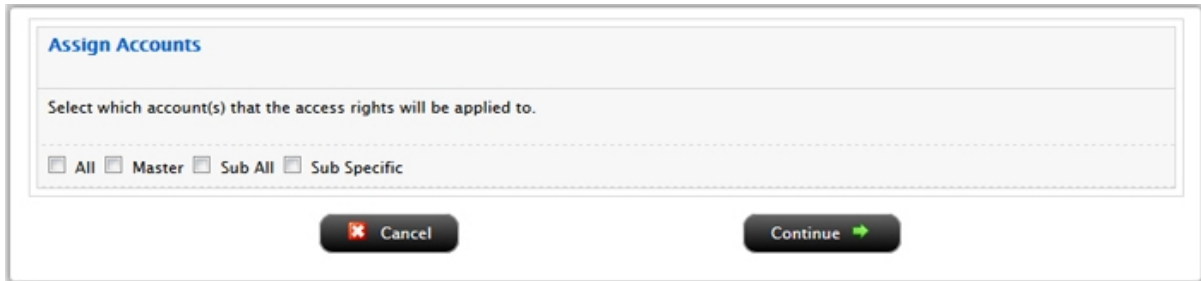
Security

Add Accounts

5. If you are adding a user to a multiple account structure, when you click a check box for an Access group or for an individual function inside an Access group, the Assign Accounts box opens.

Use the Assign Accounts box to select which accounts you want this user to be able to access for the selected function or group of functions. You can select:

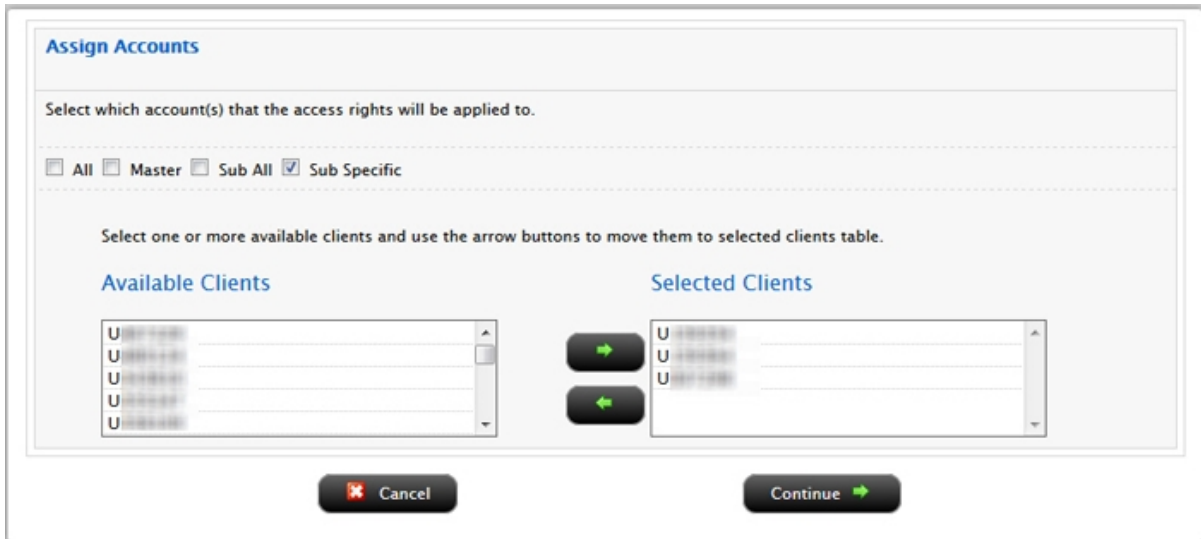
- *All* for all accounts, including the Master and all sub accounts;
- *Master* to grant access to only the Master account;
- *Sub All* to grant access to all sub accounts;
- *Sub Specific*, to grant access to individual sub accounts.



Assign Accounts

Select which account(s) that the access rights will be applied to.

All Master Sub All Sub Specific



Assign Accounts

Select which account(s) that the access rights will be applied to.

All Master Sub All Sub Specific

Select one or more available clients and use the arrow buttons to move them to selected clients table.

Available Clients

Selected Clients

Click **Continue** to save your account assignments.

Note: All account users automatically get rights to Security functions (Password, Secure Login System Secure Device Sharing, and Voting Subscriptions), which are located in the Manage Account > Security access group, and the functions in the Manage Account > Settings access group (User Information and Email Address).

The following figure shows an example of an access rights configuration. In this example, a user is being granted access to all functions in the Trade and Reports > Activity menus of Account Management.

Access Rights

Grant the user access rights to functions within each access group. Click an access group to expand the section, then click check boxes to grant access to individual functions. To grant access to all functions within an access group, click the check box next to the access group name.

I'd like to have this person designated as a Security Officer.

Trade

QuickTrade, Trader Workstation and WebTrader

Reports

Activity

Can Access?	Access Right	
<input checked="" type="checkbox"/>	Activity Statements	Modify Accounts
<input checked="" type="checkbox"/>	Activity Downloads	Modify Accounts
<input checked="" type="checkbox"/>	Activity Flex Queries	Modify Accounts

Trade Confirmations

PortfolioAnalyst

Risk

Supplemental

Tax

Settings

Funding

6. On the same page, you can select the accounts to which the access rights are assigned.
 - Highlight one or more individual sub/client accounts in the list (Ctrl+ click to select multiple non-adjacent accounts in the list; Shift+click to select multiple adjacent accounts in the list). Click the *All Sub/Client Accounts* check box to select ALL accounts.
7. Click **Continue**.
8. Verify that all the information is correct, then click **Continue**.
If you need to make further changes, click **Back**, then make corrections before submitting.
9. Enter the confirmation number sent to you via email, then click **Continue**.
If you have not received a confirmation number, click **Request Confirmation Number** to have a confirmation number sent to your email address on record.
10. Click **Cancel** to cancel your changes.

Viewing Pending User Access Rights

Click *Pending Authorization* in the Status column for any Security Officer listed to view a popup that displays the pending user access rights.

Viewing Eligible Security Officers on Pending Items

On the Users page, you can move your mouse over the Status of any Security Officer listed with a status of Pending Authorization to see a popup with Eligible Security Officers displayed:

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

Security Officers

First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Delete
dfgdf		sdfs		SIGNATORY			
Security		Officer	ibtest421	Employee	View Rights	Pending Authorization	
Security		Two	ibtest981	Employee	View Rights	Pending Authorization	

Eligible Security Officers: ibtest421, ibtest981

You can view your pending changes to user access rights on the **Home > Pending Items** page. Move your mouse over those pending items to see a popup with Eligible Security Officers displayed:

Summary Positions **Pending Items 4** Messages 0 Corporate Actions 0

Eligible Security Officers: ibtest421, ibtest981

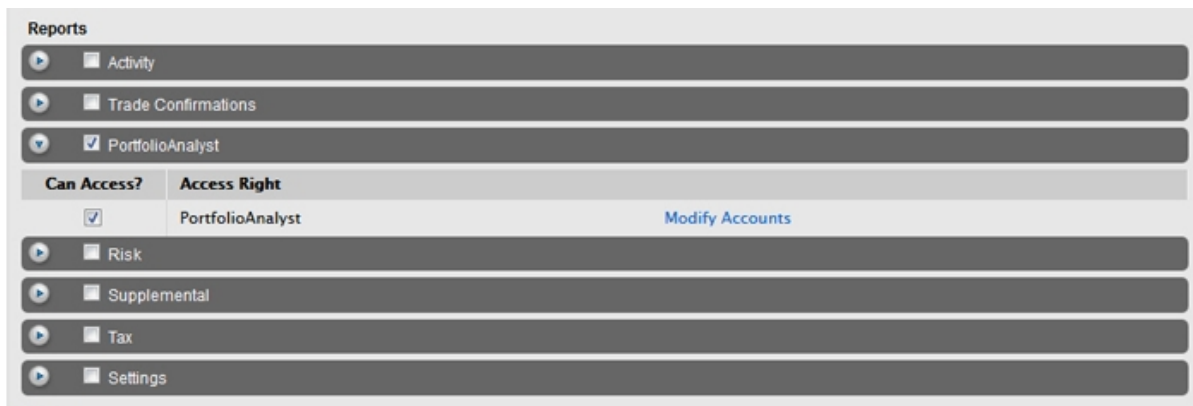
User Access Right Change Authorization (Request Date: 08/31/2012)	You have authorized this request. (2 additional Security Officers required)
Access Rights Configuration Authorization (Request Date: 08/23/2012)	You have authorized this request. (2 additional Security Officers required)
Access Rights Configuration Authorization (Request Date: 08/23/2012)	You have authorized this request. (2 additional Security Officers required)
User Access Right Change Authorization (Request Date: 08/23/2012)	You have authorized this request. (2 additional Security Officers required)

Modifying User Access Rights

You can modify Account Management access rights for an existing user on the User Access Rights page. For example, if you add a user to your account, you may want to modify the user's access rights at a later date.

To modify access rights for an existing user

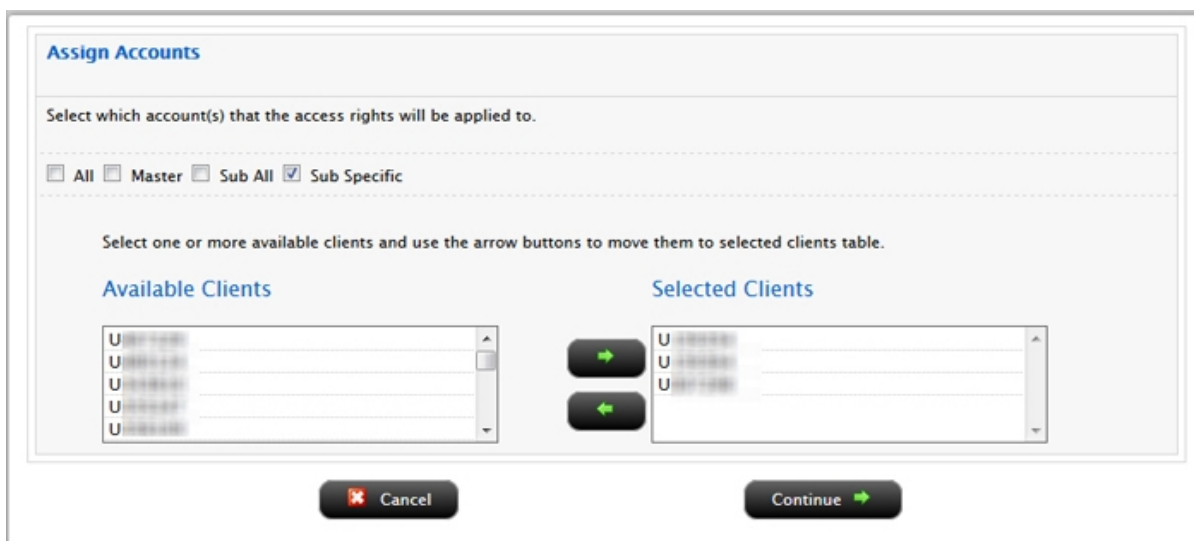
1. Click **Manage Account > Access Rights > Users**.
2. Click the *Modify* link next to the user whose access rights you want to modify.
3. On the next page, modify the access rights for the user by selecting or deselecting check boxes next to the available Account Management functions, including changing any authorization privileges you may have assigned or need to assign.
 - To designate the user as a Security Officer, click the **I'd like to have this person designated as a Security Officer.** check box.
 - Click an access group to expand the section, then click check boxes to grant access to individual functions.
 - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access the function in Account Management:



5. If you are modifying a user in a multiple account structure, click *Modify Accounts* for any individual function inside an Access group. The Assign Accounts box opens.

Use the Assign Accounts box to change which accounts you want this user to be able to access for the selected function or group of functions. You can select:

- *All* for all accounts, including the Master and all sub accounts;
- *Master* to grant access to only the Master account;
- *Sub All* to grant access to all sub accounts;
- *Sub Specific*, to grant access to individual sub accounts.



Click **Continue** to save your account assignments.

6. Verify that all the information is correct, then click **Continue**.

If you need to make further changes, click **Back**, then make corrections before submitting.

7. Enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirm** to have a confirmation number sent to your email address on record.

- Click **Cancel** to cancel your changes.

Adding Usernames to a User

Account Management lets you assign up to two usernames for each individual user. For example, an individual user might want to add a second user name in order to log in on two different machines for testing purposes.

To add a username for a user

- Click **Manage Account > Access Rights > Users**.

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	2 nd user	Delete
Rico		Schmo	XXXXXX	NON_EMPLOYEE	View Rights	Pending Approval		2nd user	
Jorie		smolka	XXXXXX	NON_EMPLOYEE	View Rights	Open		2nd user	

- Click the *2nd User* link next to the user for whom you want to add a second user name.

Add Second User

Complete the required information and select user functions below:

Name: Rico Schmo

Username:*

Password:*

Confirm Password:*

Record your password. For security reasons you will not be shown your password again.

E-mail Address:

Entity Relationship: NON_EMPLOYEE

Access Rights

Grant the user access rights to functions within each access group. Click an access group to expand the section, then click check boxes to grant access to individual functions. To grant access to all functions within an access group, click the check box next to the access group name.

Trade

- QuickTrade, Trader Workstation and WebTrader
- Post Trade Allocations

Reports

3. On the next page, enter information for the second username, then click **Continue**.
4. Verify that all the information is correct, then click **Continue**.

If you need to make further changes, click **Back**, then make corrections before submitting.

5. Enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirmation Number** to have a confirmation number sent to your email address on record.

6. Click **Cancel** to cancel your changes.

Deleting a User

To delete a user from the account

1. Click **Manage Account > Access Rights > Users**.

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	2 nd user	Delete
Rico		Schmo		NON_EMPLOYEE		--			
Jorie		smolka		NON_EMPLOYEE	View Rights	Open		2 nd user	
Rob		asoka		NON_EMPLOYEE	View Rights	Pending Approval		2 nd user	

2. Click the *Delete* link next to the user you want to delete.

Account Management access for that user is disabled instantly and Trading Access is disabled by the next calendar day.

Add a Security Officer

You can add Security Officers after your account is open by:

- [Adding a new user](#) to your account and designating that user as a Security Officer.
- [Designating an existing user as a Security Officer](#) by modifying the user's access rights.
- Sending a request to us. You can access the request form on the **Support > Paper Forms** page of Account Management.

User Roles

A user role contains a set of access rights to Account Management functions. You can quickly assign access rights to new users by selecting an existing user role when you add the new users to your account. For example, you could create a user role that has access only to funding and reporting functions, then add a user to your account and assign the funding/reporting role to that new user.

The User Roles page lets you:

- [Add a new user role](#)
- [Modify a user role](#)
- [Delete a user role](#)
- [View user role details](#)

Who can access the User Roles page?

All users and Security Officers can access this page except Broker Non-Disclosed Clients and Broker Omnibus Clients.

Adding a User Role

To add a user role to the account

1. Click **Manage Account > Access Rights > User Roles**.



2. Click **Add Role**.



3. Enter the name of the new user role in User Role Name field.
4. Assign Account Management functions to the user role by clicking the appropriate check boxes in the Access Rights section. Access groups correspond to Account Management menus.
 - Click an access group to expand the section, then click check boxes to grant access to individual functions.
 - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, any user that you add to your account with this user role will not have access to the function in Account Management.
5. Click **Continue**.
6. Verify that the access rights assignments are correct, then click **Continue**.
7. Confirm your request for the creation of the new user role by entering the confirmation number that we sent to your email address of record into the field provided.
8. Click **Continue**.

Modifying a User Role

You can modify a user role if you want

To add a user role to the account

1. Click **Manage Account > Access Rights > User Roles**.
2. Click the *Modify* link next to the user role you want to modify.
3. On the next page, modify the access rights for the user role by selecting or deselecting check boxes next to the available Account Management functions, including changing any authorization privileges you may have assigned or need to assign. Click **Continue**.
4. Verify that all the information is correct, then click **Continue**.

If you need to make further changes, click **Back**, then make corrections before submitting.

5. Enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirm** to have a confirmation number sent to your email address on record.

6. Click **Cancel** to cancel your changes.

Deleting a User Role

You can delete a user role when it is no longer needed.

To delete a user role

1. Click **Manage Account > Access Rights > User Roles**.
2. Click the *Delete* link next to the user role you want to delete.

The user role is deleted from the system.

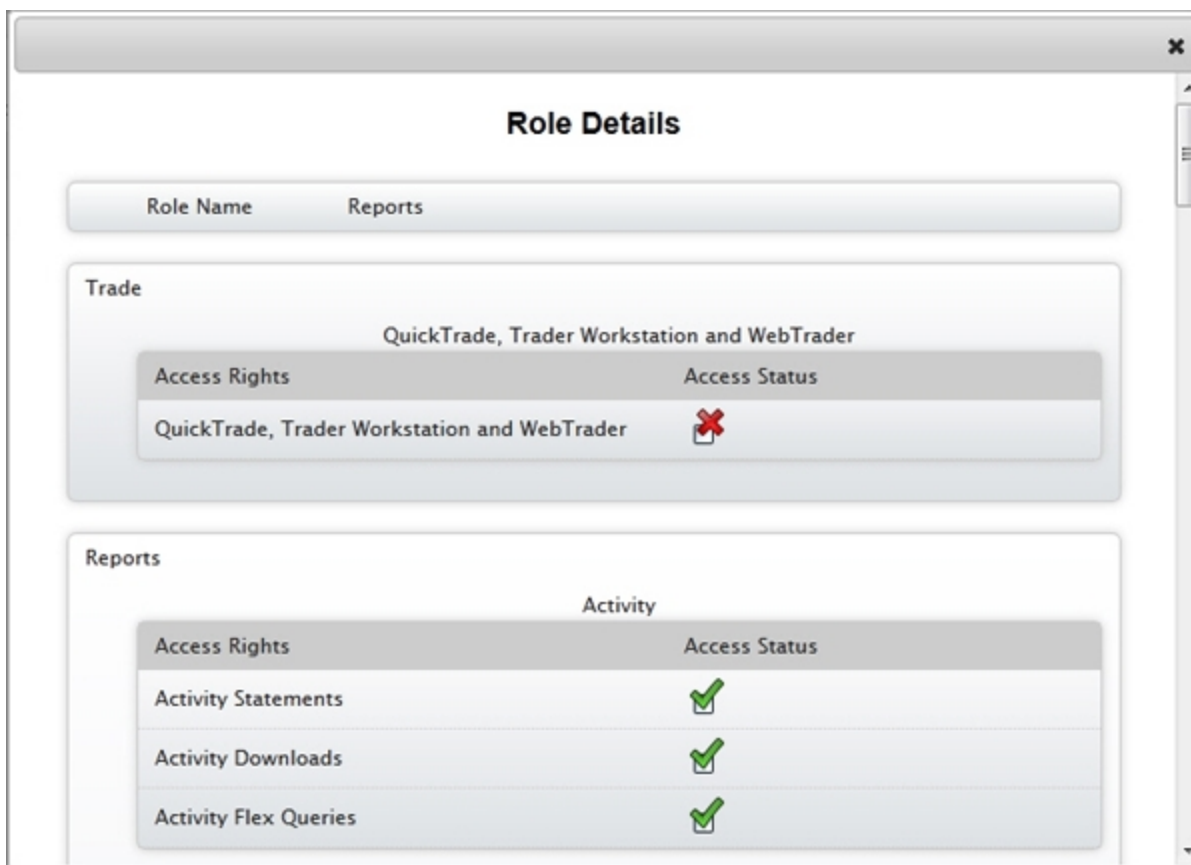
View User Role Details

To view user role details

1. Click **Manage Account > Access Rights > User Roles**.



2. Click the *View Role Info* link in the Action column for a specific role.
The Role Details popup window opens, showing the details for the role.



3. To close the popup window, click the X in the upper right corner.

Access Rights Reference

This section lists all Account Management pages and the account types that can access them. The information is organized by menu:

- [Home](#)
- [Trade](#)
- [Reports](#)
- [Funding](#)
- [Manage Account](#)
- [Manage Clients/Funds/Traders](#)
- [Investors' Marketplace](#)
- [Support](#)
- [Reference](#)

Home Menu Access Rights

All users and account structures can access the Home page and its tabbed pages.

Page	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Summary Only if user has Trading or Reports.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Pending Items	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Message Center	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Corporate Actions Only if user has Trading or Reports.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
AM	Advisor Master Individual

AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual (Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
BFC	Broker Fully Disclosed Client (Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
A	Administrator

Trade Menu Access Rights

The following table lists all access rights to the Trade menu pages by account structure.

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A	
Quick Trade	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Trader Workstation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
WebTrader	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Post-Trade Allocation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A	

¹Interactive Brokers customers who are Accredited Investors or Qualified Purchasers under SEC rules can invest in independent Hedge Funds available on the Hedge Fund Investor Site page.

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users

AM	Advisor Master Individual
AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual (Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
BFC	Broker Fully Disclosed Client (Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
A	Administrator

Reports Menu Access Rights

The following table lists all access rights to the Reports menu pages by account structure.

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Activity																	
Statements ¹	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Downloads	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Batch Reports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Flex Queries	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Quarterly Summaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trade Confirmations																	
Reports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Flex Queries	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Trade Allocations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Transaction Cost Analysis	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
PortfolioAnalyst																	
PortfolioAnalyst	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Risk																	
Margin Reports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Stress Test Report	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Value at Risk Report	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Supplemental																	
Models	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advisor Fee Cap	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Broker Exception	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client Summary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P/L Markup	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Broker Client Revenue and Expense Summary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tax																	
Tax Forms	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Tax Optimizer ²	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Position Transfer Basis ¹	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Forex Cost Basis	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Customer Activity Monitor																	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Settings																	
Delivery																	
Activity Statements/Trade Confirmations ³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMS Alert	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flex Queries ³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
PortfolioAnalyst Delivery Settings	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Broker Client Activity Statements ⁴	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flex Web Service																	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Third-Party Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Trader ID	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client OATS Settings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

¹Master users cannot set the position transfer basis for client/sub accounts.

²Master users cannot set the tax basis for client/sub accounts.

³Master users cannot enter delivery settings for client/sub accounts.

³Only Broker Master users with non-disclosed clients can enter delivery settings for client statements.

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
AM	Advisor Master Individual
AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual (Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
BFC	Broker Fully Disclosed Client (Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
A	Administrator

Funding Menu Access Rights

The following table lists all access rights to the Funding menu pages by account structure.

Pages	I	SB	FF	A-M	AM-O	AC	AC-O	BM	BF-C	BFC-O	BN-C	BO-C	FI-M	F	PTG-M	PTG-S	A
Transaction History	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund Transfers¹	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Position Transfers²	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Position Instructions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Settlement Instructions³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Soft Dollars Disbursements⁴	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	I	SB	FF	A-M	AM-O	AC	AC-O	BM	BF-C	BFC-O	BN-C	BO-C	FIM	F	PTG-M	PTG-S	A

¹*Deposits:* Advisor Master Users can create a deposit notification for a client account but must use a bank instruction created by the client. Proprietary Trading Group Master Users and Non-Disclosed and Omnibus Broker Master Users make all deposits to the master account, then transfer funds to the sub/client accounts. Broker Master Users can enter only wire and check deposit notifications for their client accounts.

Withdrawals: Advisor Master Users can make withdrawals from client accounts, but must use a bank instruction created by the client account. Proprietary Trading Group Master Users and Broker Master Users create bank instructions and make all withdrawals only from the master account.

Internal fund transfers: All master users can transfer funds to their client/sub accounts. In addition, Separate Trading Limit accounts can transfer funds between the master and sub account in either direction and between sub accounts, and Non-Disclosed Broker Master Users can transfer funds between the master and sub accounts in either direction.

²Master User access rights for position transfers are the same as deposits (see Note 1 above). In addition, Non-Disclosed Broker Master Users can transfer positions of any asset class between the master account and its sub accounts.

³Advisor, Broker and Proprietary Trading Group Master Users can enter settlement instructions only for their own account; they cannot enter settlement instructions for their client/sub accounts. Advisor Master Users can print a settlement instruction PDF which must be sent to their client for signature and mailed to us for verification.

⁴Advisors who are registered either by the SEC or the state must abide by the rules specified in Section 28(e) (safe harbor) of the Securities Exchange Act.

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
AM	Advisor Master Individual
AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual (Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
BFC	Broker Fully Disclosed Client (Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master

PTGS	Proprietary Trading Group Sub
A	Administrator

Manage Account Menu Access Rights

The following table lists all access rights to the Manage Account menu pages by account structure.

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Account Information																	
Details																	
Account Details	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Profile	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial Information	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Regulatory Information	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trading Sub Accounts																	
Trading Sub Accounts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Registered Representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Broker Declaration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advisor Qualifications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investor Category	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Transfer on Death ¹	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Large Trader Identification	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EMIR and LEI Information ⁷	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Tax Information																	
Tax Forms	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A	
Withholding State-ment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Settings																		
Configure Account																		
Base Currency²	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Institutional Ser- vices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Account Type	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Excess Funds Sweep	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Fees																		
Pricing Structure	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Soft Dollar Con- figuration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Mobile																		
Mobile	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
IRA																		
Conversion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Re-char- acterization	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Paper Trading																		
Paper Trading	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Account Alias	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
White Branding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Close Account³																		
Close Account	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Reopen Account ⁸	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Closure Status ⁸	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Trade Configuration																	
CFDs and Metals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Market Data	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Subscriber Status	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Trading Limits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Restrictions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IB FYIs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Alerts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client Trading	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures Arbitration Agreement	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asia Gateway	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Security																	
Individual																	
IP Restrictions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change Password ³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A	
Reset Paper Trading Account Password	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Change Email Address ³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Secure Login System																		
Security Device ³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Security Device Sharing ³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
SLS Opt Out	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Client Security⁴																		
Client Security ⁴	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Voting Subscriptions ³	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Access Rights																		
Configuration ⁵	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Users	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
User Roles	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Add or Link Accounts																		
Created Linked Account	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Link Existing Account ⁶	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Authorized Traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Money Manager																		
Administration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wealth Manager																		

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Administration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Trader Referral																	
Trader Referral Program	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

¹Available to Individual non-IRA account users only.

²Proprietary Trading Group Masters can change the base currency of their client/sub accounts.

³Master users cannot access this page for client/sub accounts.

⁴Non-disclosed Broker Masters can activate a client's security device but only if the Broker Master distributed the device to the client.

⁵Only Security Officers can access the Access Rights > Configuration page. Account owners are automatically designated as Security Officers.

⁶Individual accounts (except Joint and Trust), IRA accounts, Fully Disclosed Broker clients and Advisor individual clients can link their multiple accounts under a single username and password.

⁷Only non-individual accounts established in the European Union will see this page.

⁸ Reopen Account and Closure Status are available to only to closed accounts.

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
AM	Advisor Master Individual
AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual (Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
BFC	Broker Fully Disclosed Client (Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master

PTGS	Proprietary Trading Group Sub
A	Administrator

Manage Clients/Manage Funds/Manage Traders Menu Access Rights

The following table lists all access rights to the Manage Clients/Manage Funds/Manage Traders menu pages by account structure.

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Dashboard	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Create and Link Accounts																	
Create																	
New	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Duplicate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client Account Templates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Household																	
Household	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Link Client Accounts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Close Account ⁵	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Closure Status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Traders																	
New	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Authorized Trader	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Close Account ⁴	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Closure Status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fees																	

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Configure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Templates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Invoicing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Markup Summary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HFCIP Fees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Settings																	
Account Alias	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Excess Funds Sweep	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trading																	
Base Currency ¹	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Account Type	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Configuration (Client Trading)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Permissions ²	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Restrictions ³	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Limits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security																	
Audit Trail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Users																	
Users	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
CRM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹Non-disclosed Broker Masters and Proprietary Trading Group STL Account Masters can change the base currency of their client/sub accounts.

²Non-disclosed Broker Masters can modify the trading configuration of client accounts. Advisor Masters (Individual and Organization), and Fund Investment Managers can only view the trading configuration of client accounts.

³EmployeeTrack Compliance Officers and also access the Trading Restrictions page.

⁴Non-disclosed Broker Masters and Proprietary Trading Group STL Account Masters can close a client or sub account.

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
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AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
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ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
BFC	Broker Fully Disclosed Client (Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
A	Administrator

Support Menu Access Rights

All users and account structures can access the Support menu.

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
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Message Center	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Live Chat	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Knowledge Base	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Tools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
System Status	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Contacts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Service Tips	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Paper Forms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

Account Structures Key	
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
AM	Advisor Master Individual
AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual (Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
BM	Broker Master
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F	Fund
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PTGS	Proprietary Trading Group Sub
A	Administrator

Investors' Marketplace Menu Access Rights

The following table lists all access rights to the Investors' Marketplace menu pages by account structure.

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Search Services																	
Investing																	
Advisors	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Brokers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Money Manager	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research																	
Research	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Education & Coaches	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
News Feeds	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trading Publications	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technology																	
Software Vendors	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Programming Consultants	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Administration																	
Accountant Marketplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Administrator Marketplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Auditor Marketplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compliance Marketplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Services Marketplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tax Firms Marketplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manage Administrators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Development																	
Advertising	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Analysts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financing Firms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Careers ²	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Corporate Access Providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advertise Services																	
Investing																	
Advisors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Brokers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Fund Capital Introduction Program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Fund Capital Introduction (3rd Party Admins)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Research																	
Research Application	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Education & Coaches Application	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technology																	
Software Vendors Application	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Programming Consultant Application	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Administration																	
Marketplace Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Manage Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Third Party Custodian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Development																	
Advertising Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Financing Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Career Application	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Corporate Access Providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

¹Interactive Brokers customers who are Accredited Investors or Qualified Purchasers under SEC rules can invest in independent Hedge Funds available on the Hedge Fund Investor Site page.

²Only Advisors, Brokers, Proprietary Trading Group Master Users and Hedge Fund Investment Managers can view job seekers or post jobs at the Jobs Marketplace in Account Management. Job seekers are not visible at the Investors' Marketplace on our website.

Account Structures Key	
I	Individual, Joint, Trust and IRA account users

SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
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AMO	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
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ACO	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with electronic access)
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BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
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PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
A	Administrator

Reference Menu Access Rights

All users and account structures can access the Reference menu.

Add or Link Accounts

The Add Accounts menu gives you access to the following pages:

- [Create Linked Account](#) - Create a new account that is linked to your account under the same username and password.
- [Link Existing Account](#) - Link multiple IB accounts under a single username and password.
- [Authorized Trader](#) - Proprietary Trading Group Master Users (Pool account) and Single Hedge Funds can add sub accounts for authorized traders in their organization.

In addition, you can link your account to an Advisor- or Broker-managed account or divide your account into two partitions, one of which will be managed by an Advisor or a Broker on the [Advisor/Broker Account Setup](#) page. You access this page when you choose to link to an Advisor in the Advisor Marketplace or a Broker in the Broker Marketplace.

Create Linked Account

This page lets you create new accounts that are linked to your account. New linked accounts have the following characteristics:

- You can access all of the linked accounts in Account Management using a single user name.
- You can create any number of new linked accounts.
- Once you create a linked account and log into Account Management, you can perform any action, such as modify trading permissions or transfer funds, for a specific linked account.
- Linked accounts must be separately funded.
- Market data fees are charged once for linked accounts under a single username rather than charged separately for each linked account (market data subscriptions are charged per terminal/computer). However, additional users will be charged separate market data fees.
- You can access linked accounts using a single user name in Trader Workstation, WebTrader and IB TWS mobile solutions.

Who can access the Create Linked Account page?

You can access this page if you are a(n) :

- Individual, Joint, Trust and IRA Account User with a single account or multiple accounts.

To create and link to an additional account

1. Click **Manage Account > Add or Link Accounts > Create Linked Account**.

Create Additional Account

Use this page to create a new account that is linked to your account. Once you create linked accounts, you can access all of them using a single user name in Trader Workstation, WebTrader, MobileTrader, iTWS and Account Management. You can create any number of new linked accounts. Perform any action for linked accounts in Account Management, such as modify trading permissions or transfer funds, by logging in with a single user name and password, then selecting a specific linked account.

What does this do?

- » It creates a new account that is automatically linked to your existing account. You will have two linked accounts.
- » It will let you access both accounts in Trader Workstation and Account Management using a single username and password.

What does this NOT do?

- » It does not create a new, independent account application or replace your current account.
- » It does not create a paper trading account.

Additional Account Type

Create New Linked Account ➔

2. Select the type of account that want to create from the Additional Account Type drop-down: *Individual*, *IRA* or *Joint*. If you select *Joint*, you are prompted to select the type of Joint account (*Joint Tenants with Rights of Survivorship*, *Community Property* or *Tenants in Common*).
3. Click **Create New Linked Account**. An abbreviated account application opens at the Trading Qualifications page.
4. Complete the account application for the new account.

If for any reason you must log out of the new account application, you can [finish](#) it later and complete the linking process. You must either complete the new account application or delete it before you can create and link another account.

Note: To de-link a linked account, you must close the linked account. Select **Close an Account** in the **Manage Account > Account Settings** menu to close the linked account.

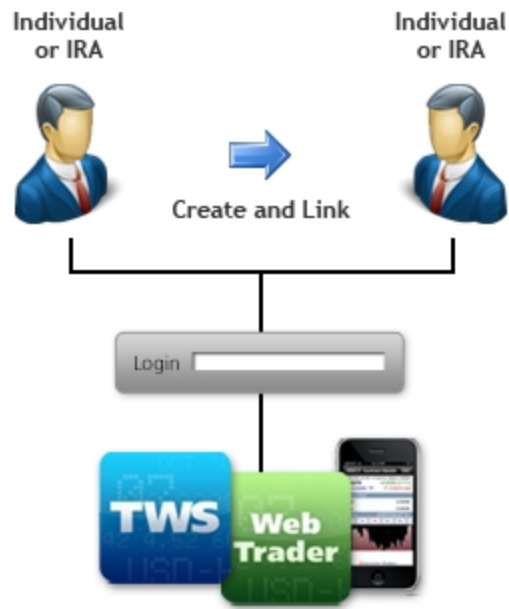
When the new account is activated and open, it will be linked to your original account. You will be able to log into Account Management and any of our trading platforms with a single username. In Account Management, you can switch between accounts using the Account ID display at the bottom left of the screen.

Create Linked Account Scenarios

You can create new linked accounts in any of the scenarios listed below.

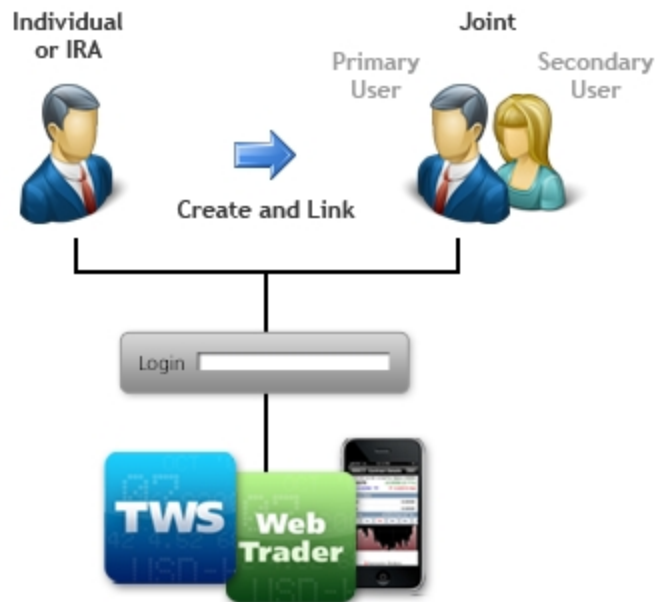
Individual or IRA Account Holder Creates New Linked Individual or IRA Account

In this scenario, an individual account holder creates a new linked Individual account for himself. For example, you might want to maintain two linked accounts for two different trading strategies.



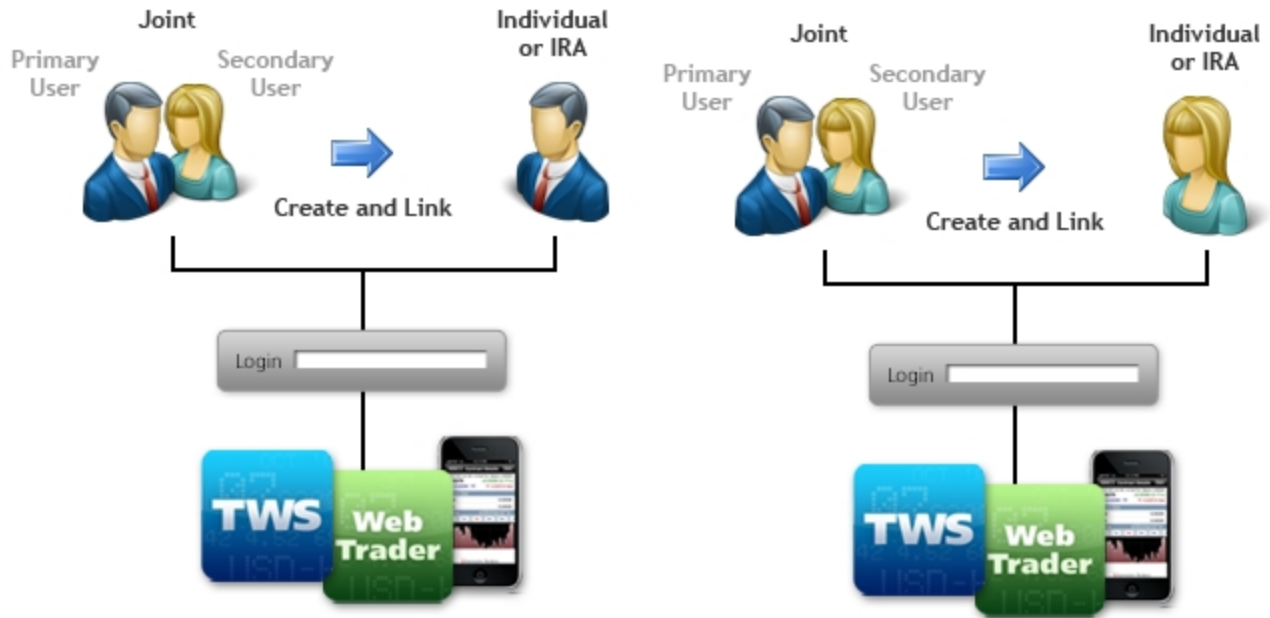
Individual or IRA Account Holder Creates New Linked Joint Account

In this scenario, the account holder of the original Individual or IRA account becomes the primary user of the new Joint account. For example, John Smith has an Individual account and creates a new linked Joint account for his wife and himself. John will be the primary user of the new Joint account.



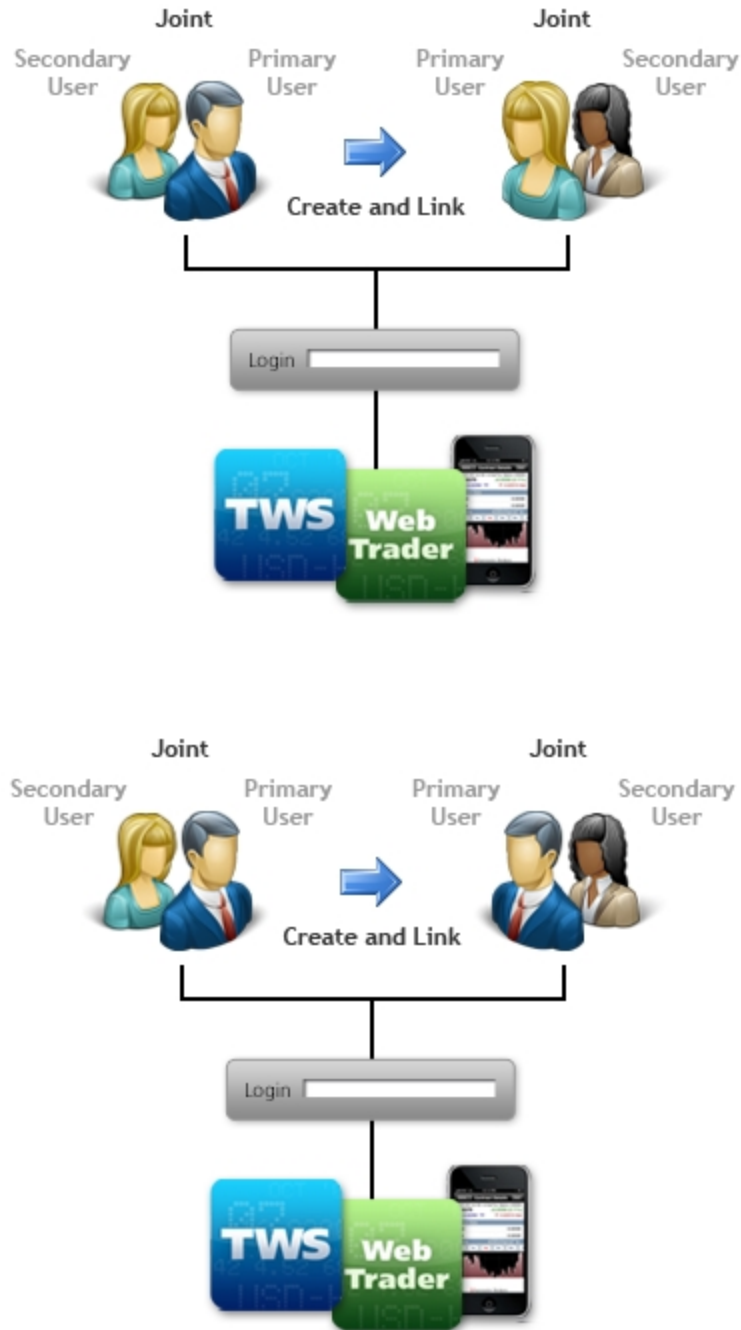
Joint Account Holder Creates New Linked Individual or IRA Account

In this scenario, either the primary or secondary user of the original Joint account becomes the account holder of the new Joint account. For example, John and Mary Smith have a Joint account. John creates a new linked Individual account for himself.



Joint Account Holder Creates New Linked Joint Account

In this scenario, the primary or secondary user of the original Joint account creates a new linked Joint account in which he or she is the primary user. The secondary user of the new Joint account is a new account applicant. For example, John and Mary Smith have a Joint account in which John is the primary user. John creates a new linked Joint account in which he will be the primary user but his brother James will be the secondary user.



If You Do Not Finish the New Account Application

You can log out of the Account Application for the new linked account and finish it later by logging into Account Management and accessing the Create Linked Account page.

To complete an unfinished account application for a new linked account

1. Click **Manage Account > Add Accounts**. The **New** page appears by default.
2. Click **Finish Application**. The in-progress Account Application opens.
3. Complete the Account Application for the new account.

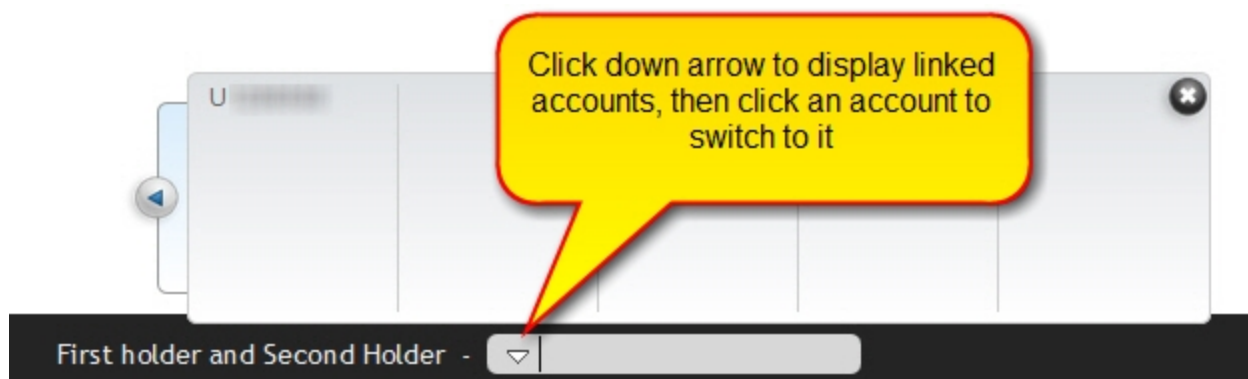
When the new account is activated and open, it will be linked to your original account.

Account Management for Linked Accounts

After you have created a linked account, you can perform any action in Account Management for that account as long as that account has a status of Open, such as modify trading permissions or transfer funds, by first selecting the linked account.

To perform an action for a linked account

1. Log into Account Management with the single user name and password.
2. Select a linked account from the Account ID displayed in the bottom left of the screen. For example, if your individual account is linked to a joint account, you can switch between those accounts.



Account Management reloads with the selected linked account as the new active account.

3. Perform any action you wish for the selected account by selecting an item from the Account Management menus.

Note: To de-link a linked account, you must close the linked account. Select **Close an Account** in the **Manage Account > Account Settings** menu to close the linked account.

Link Existing Account

This page lets you link your multiple IB accounts under the single username and password associated with your account. Once these accounts are linked, you will be able to access Trader Workstation, WebTrader, IB TWS mobile solutions and Account Management for any of the linked accounts using a single username and password. In addition, market data sub-

scriptions are charged once for linked accounts rather than charged separately for each linked account (market data subscriptions are charged per terminal/computer).

Observe these guidelines when linking accounts in this way:

- To request a link to an existing account, you must have an IB Secure Login System security device.
- You must link ALL accounts associated with you. You cannot link a subset of accounts.
- Once the accounts have been linked, the unique usernames and passwords for the accounts to be linked with this account will no longer function. The username and password associated with your account will function for all linked accounts.
- Once the accounts have been linked, the highest level security device among the linked accounts will automatically become the active security device.
- If you begin a new account application for an existing matching account, you will be asked to link the accounts.
- We will link these accounts on Fridays.

Note: [Advisors and fully disclosed brokers can link existing individual and joint client accounts on the Manage Clients > Accounts > Link Existing Accounts page.](#)

Who can access the Link Existing Account page?

You can access this page if you are a(n) :

- Individual, Joint, Trust or IRA Account User with multiple accounts
- Individual, Joint, Trust or IRA Account User with a stand-alone account AND an Advisor- or Broker-managed account.
- Friends and Family Group Client User
- Fully Disclosed Broker Client User
- Advisor Client User Individual (not Organization)

To link your account to an existing account

1. Log into Account Management with your username and password, then enter the codes from your Secure Login Device as instructed on the login screen.
2. Click **Manage Account > Add or Link Accounts > Link Existing Account**.

The page lists all of your current accounts that are eligible to link, along with their usernames and current Secure Login Device . When you link these accounts, the unique username and password associated with your other accounts will no longer function; you will access all accounts with a single username and password.

Link Existing Accounts

Use this page to share market data subscriptions and a single security device across the accounts listed below under the username and password associated with your account. Once these accounts are linked, you will be able to access Trader Workstation, WebTrader, MobileTrader, iTWS and Account Management for any of the linked accounts using a single username and password.

[Click here for guidelines](#)

	Username	Account ID	Account Title	Device Type
<input type="radio"/>	h12345678	U12345678	Applicant 12345678	Bingo Card
<input type="radio"/>	h12345678	U12345678	Applicant 12345678	Bingo Card

Link Accounts →

- Click the radio button next to the account whose username you want to use for all linked accounts. This will be the username you use to log into Account Management and our trading platforms.
- Click **Link Accounts**.
- A series of pages appears to prompt you to enter the username and password for each account to be linked, followed by additional authentication using your Secure Login device.
- After you have entered the username, password and authentication values for each account to be linked, a screen appears that compares the individual and financial information that you maintain for the accounts to be linked. If any information between the two accounts to be linked is not the same, edit that information directly on the compare screen so that the information in both accounts matches.
- Click **Continue**.

A screen appears confirming your request. If you wish to cancel your link request, click the *here* link on the page.

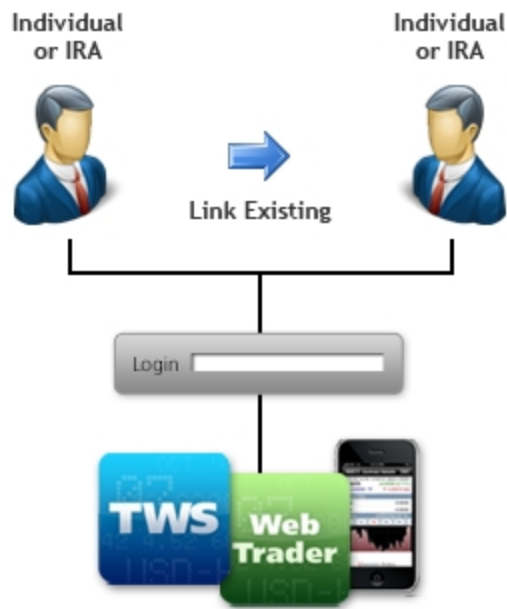
Once your accounts have been linked under your single username and password, you can perform Account Management tasks for any linked account by logging into Account Management under your username and password, then selecting one of the linked accounts.

Link Existing Account Scenarios

You can link existing accounts in any of the scenarios listed below.

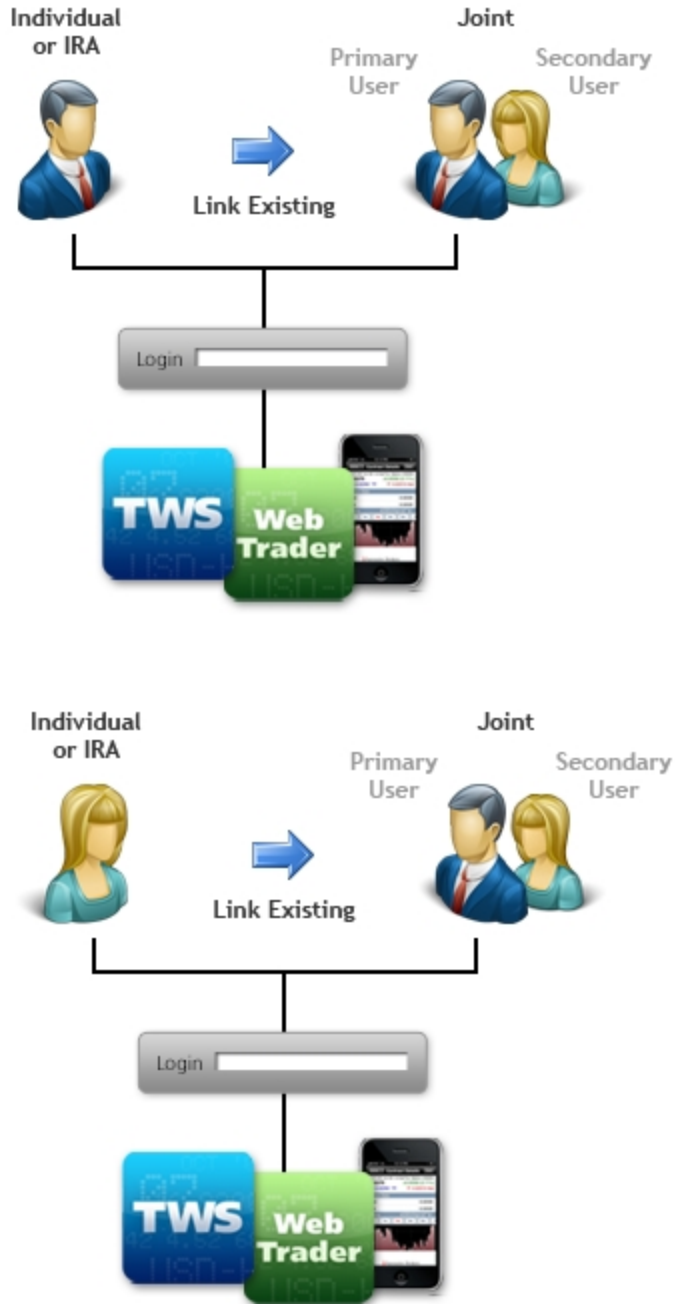
Individual or IRA Account Holder Links to Existing Individual or IRA Account

In this scenario, an individual or IRA account holder has a second individual or IRA account in his name and links the two accounts under a single username.



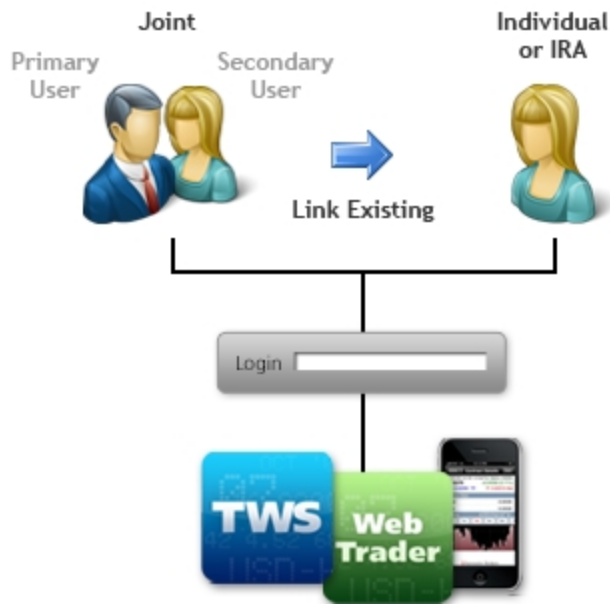
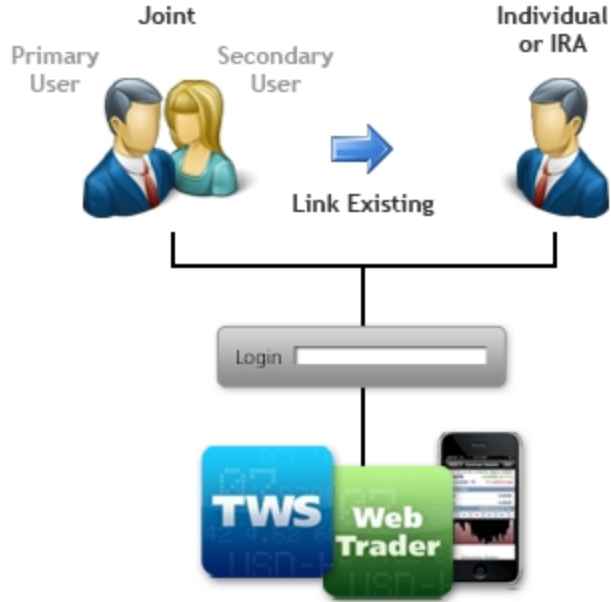
Individual or IRA Account Holder Links to Existing Joint Account

In this scenario, an individual or IRA account holder is also the primary or secondary user of a Joint account, so he or she links the accounts under a single username.



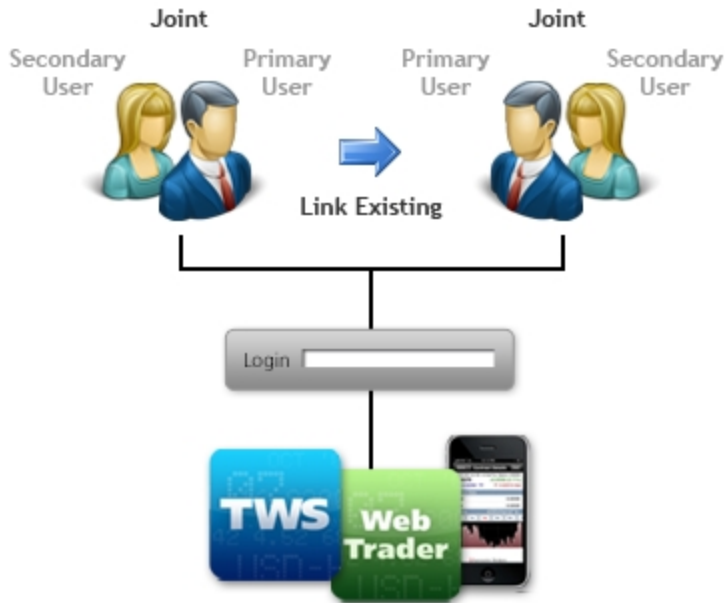
Joint Account Links to Existing Individual or IRA Account

In this scenario, the primary or secondary user of a Joint account also has an individual or IRA account, so he or she links the accounts under a single username.



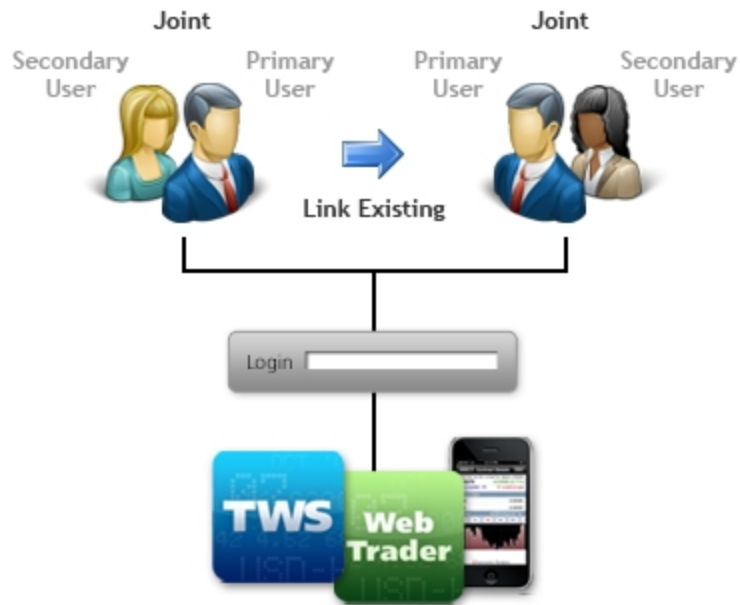
Joint Account Links to Existing Joint Account with the same Primary and Secondary Users

In this scenario, the primary and secondary user of one Joint account are also the primary and secondary user of another Joint account, so the primary user links the accounts under a single username. For example, John and Mary Smith have two Joint accounts for two different trading strategies, and they want to use a single username to access both accounts.



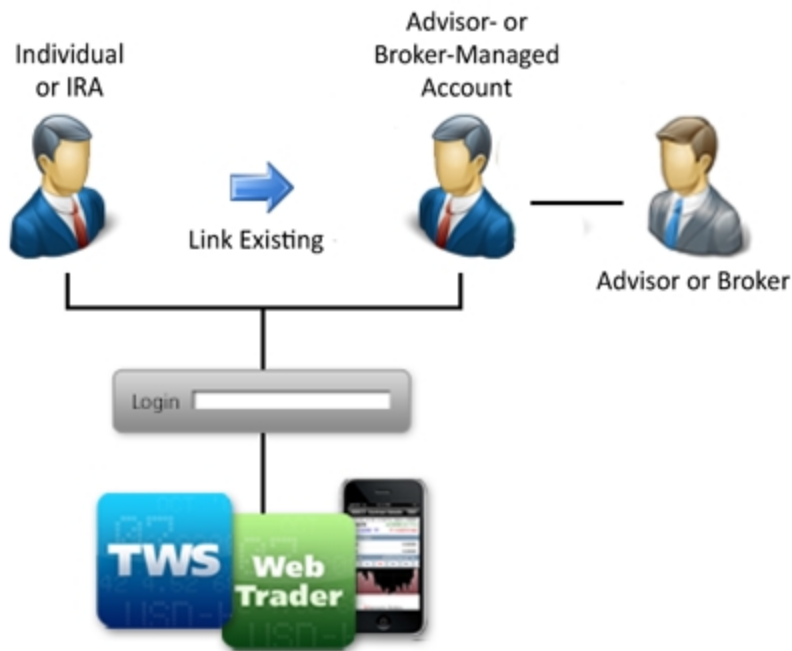
Joint Account Links to Existing Joint Account with Different Secondary User

In this scenario, the primary user of one Joint account is also the primary user of another Joint account, so he links the accounts under a single username. In this scenario, the secondary users in the two Joint accounts are different. For example, John Smith is the primary user of a Joint account he has with his wife Mary. He is also the primary user of a second Joint account with his brother James. John links to the two accounts under a single username, giving him access to both Joint accounts.



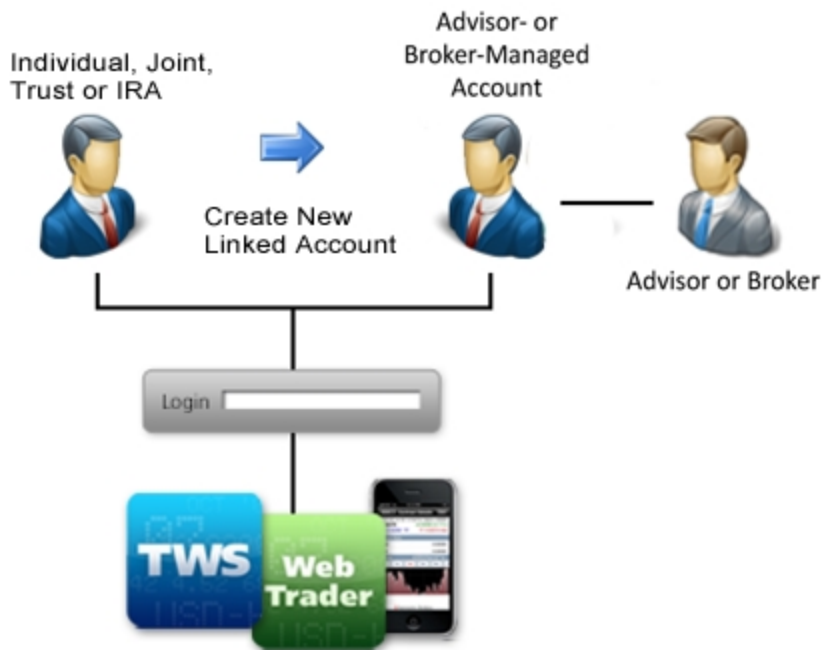
Individual, Joint, Trust or IRA Account Holder Links to Existing Advisor- or Broker-Managed Account

In this scenario, an Individual, Joint, Trust or IRA account holder has a second account in his name that is managed by an Advisor or a Broker and links the two accounts under a single username.



Individual, Joint, Trust or IRA Account Holder Creates a New Linked Account to an Existing Advisor or Broker

In this scenario, an Individual, Joint, Trust or IRA account holder links his or her existing account to a new account that will be managed by an Advisor or a Broker.



Account Management for Linked Accounts

After you have created a linked account, you can perform any action in Account Management for that account as long as that account has a status of Open, such as modify trading permissions or transfer funds, by first selecting the linked account.

To perform an action for a linked account

1. Log into Account Management with the single user name and password.
2. Select a linked account from the Account ID displayed in the bottom left of the screen. For example, if your individual account is linked to a joint account, you can switch between those accounts.



Account Management reloads with the selected linked account as the new active account.

3. Perform any action you wish for the selected account by selecting an item from the Account Management menus.

Note: To de-link a linked account, you must close the linked account. Select **Close an Account** in the **Manage Account > Account Settings** menu to close the linked account.

Advisor/Broker Account Setup

The Advisor/Broker Account Setup page lets you:

- Move your existing account, including all cash and positions, to an Advisor- or Broker- managed account, or
- Create a new account that will be managed by an Advisor or Broker and keep your existing account. The new Advisor/Broker-managed account will be linked to your existing account.
- Divide your account into two partitions: one that will be managed by you and one that will be managed by an Advisor or Broker.

This page appears when you link directly to an Advisor or Broker using the Investors' Marketplace.

Who can access the Advisor/Broker Account Setup page?

You can access this page if you are a(n) :

- Individual, Joint, Trust or IRA Account User with a single account or multiple accounts
- Small Business Account User

- Proprietary Trading Group Master User
- Single Hedge Fund
- Advisor Master User (can link to Broker only on this page)
- Multiple Hedge Fund Investment Manager (can link to Broker only on this page)
- Proprietary Trading Group STL Master User (can link to Broker only on this page)

and you are not an Advisor Client User or Broker Client User.

Important Notes about Linking and DeLinking

- You cannot link your account to an advisor who has lesser trading permissions than you.
- When you move your entire account to an Advisor, you will no longer be able to log into Trader Workstation and your current market data subscriptions will be canceled.
- When you create a new linked Advisor- or Broker-managed account and keep your existing account, the trading permissions for your existing account will also apply to the new Advisor- or Broker-managed account, but any permission to which the Advisor or Broker is not entitled will be removed. Future permissions changes for the new account must be done individually for each child account.
- Market data subscriptions are charged once for linked accounts rather than separately for each linked account (market data subscriptions are charged per terminal/computer).
- If you choose to create a new account partition under an Advisor/Broker, that partition will be created overnight.
- Complete account moves to an Advisor/Broker-managed account are completed every Friday at 2:00 PM.
- When you choose to link your existing account to an Advisor/Broker-managed account, the Advisor or Broker must confirm the link request. The new linked account will be open and ready to be funded by 6:00 PM on the same business day. If you submit your link request after 4:00 PM, the linked account will be open and ready to be funded by 6:00 PM on the next business day.

About Partitions

When you choose to create a new account partition that will be managed by an Advisor or Broker, you are essentially creating a parent-child account relationship. Your existing account becomes the "parent partition" and your new Advisor- or Broker-managed partition becomes the "child partition." The following guidelines apply to these partitions:

- The trading permissions for your existing account partition will also apply to the new Advisor- or Broker-managed partition, but any permission to which the Advisor or Broker is not entitled will be removed. Future permissions changes for child partitions should be done individually for each partition.
- Market data subscriptions are charged once for account partitions rather than charged separately for each partition (market data subscriptions are charged per terminal/computer).
- The child partition will be open and ready to be funded by 6:00 PM on the same business day. If you submit your request after 4:00 PM, the child partition will be open and ready to be funded by 6:00 PM on the next business day.
- When you create a new Advisor- or Broker-managed child partition, the Advisor or Broker cannot reject request.
- You fund the child partition by transferring cash and or positions from the parent partition to the child partition once the child partition is open. Use internal fund transfers or internal position transfers to do this.

- The Advisor or Broker will determine and configure fees for the new child partition just as they would for any of their client accounts.
- Commissions are charged separately for each partition.
- The Advisor- or Broker-managed partition can be closed just like any other advisor or broker client account.
- The parent partition (your original existing account) cannot be closed until all child partitions are closed.
- You will be unable to delink the Advisor- or Broker-managed partition. To delink the partition from the Advisor or Broker, you must first transfer all funds and assets to the parent partition (your original account), and then close the Advisor- or Broker-managed partition.
- You can create as many Advisor- or Broker-managed partitions as you want.

To access this page

1. Use the [Advisor Marketplace](#) or [Broker Marketplace](#) to search for and select an Advisor or Broker.
2. Click the **Link** button in the individual Advisor or Broker listing. The Advisor/Broker Account Setup page opens.


Advisor/Broker Account Setup

Use this page to link your existing account to an Advisor/Broker-managed account using one of the methods listed below.

- Move my entire account to an account managed by the Advisor/Broker identified below.**
 Transfer all of my cash and positions to the Advisor/Broker-managed account. I will no longer be able to log into Trader Workstation, and my current market data subscriptions will be canceled. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. Accounts are moved every Friday 2:00 PM.
- Create a new linked account that will be managed by the Advisor/Broker identified below.**
 I will have two linked accounts that I can access using a single username and password. Trading permissions for my existing account will also apply to the new Advisor- or Broker-managed account, but any permission to which the Advisor or Broker is not entitled will be removed. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. The selected Advisor or Broker must approve this link request and the new linked account will be open by 6:00 PM on the same business day. Note that if you submit a request for a new linked account after 4:00 PM, the account will be open by 6:00 PM on the next business day.
- Divide my account into two partitions, one of which will be managed by the Advisor/Broker identified below.**
 I will have a single account divided into two partitions; a parent partition managed by me and a child partition managed by the Advisor or Broker identified below. Trading permissions for the parent partition will also apply to the child partition, but any permission to which the Advisor or Broker is not entitled will be removed. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. The new partition will be open and ready to be funded by 6:00 PM on the same business day. Note that if you submit a request for a new partition after 4:00 PM, the partition will be open and ready to be funded by 6:00 PM on the next business day.

Advisor/Broker Information

Advisor/Broker-managed Account ID:	<input type="text"/>
Advisor/Broker-managed Account Title:	<input type="text"/>

Continue 

3. Click the radio button that corresponds to your choice. Read the descriptions carefully to understand the difference between the options.
4. Enter the account ID and title of the broker or advisor account to which you want to link in the fields provided. For example, account ID I123456 and account title Applicant XYZ. If you already selected the Advisor or Broker in the Investors' Marketplace, these fields will already be filled in.
5. Click **Continue**.
6. Sign each of the two required agreements and click **Continue** after signing each one.

- You will be emailed a confirmation number. Enter that number on the Confirmation Number page, then click **Continue**.

Confirmation Number

The request will be placed after you confirm your identity by entering the confirmation number that has been sent to you by email, and clicking **Continue**. If you have not received a Confirmation Number, click **Request Confirmation Number** below to have a Confirmation Number sent to your email address on record. Allow a few minutes for your Internet Service Provider to deliver your confirmation number.

Enter Confirmation Number sent to you via email:

- An email will be sent to the Advisor or Broker to inform him or her of your request. Advisors and Brokers do not have to confirm requests for new partitions.

Authorized Trader

If you are a Proprietary Trading Group Master User (Pool account), a Single Hedge Fund, or an organization sub account of a broker, use the Authorized Trader page to add sub accounts for authorized traders in your organization. If you have either of these accounts and you add an Authorized Trader, your account becomes a Proprietary Trading Group Separate Trading Limit (STL) account.

Who can access the Authorized Trader page?

You can access this page only if you are a Proprietary Trading Group Pool Account Master User, a Single Hedge Fund or an Organization Sub Account of a Broker.

To add an authorized trader

- Click **Manage Account > Add or Link Accounts > Authorized Trader**.

The Authorized Trader Information page opens.



- Enter all required information, then **Continue**.

The Trader added page opens, which confirms your request and contains a link to the Trader Authorization Form.

- Click *Trader Authorization Form*.
- Read the form carefully, then sign the form by typing your name in the field provided.
- Click **Continue**.

Money Manager

Our Money Manager program lets Professional Advisors acting as Wealth Managers shop for Money Managers at the Money Manager Marketplace and assign them to trade client accounts, and lets Money Managers sell their trading expertise to Wealth Managers.

The Money Manager menu includes the following tabbed pages:

- [Money Manager Assignment](#) - Once a Wealth Manager and a Money Manager agree to do business, the Wealth Manager uses this page to assign client accounts, set trading permissions and client fees for the Money Manager.
- [Wealth Manager Assignment](#) - Money Managers use this page to accept trading assignments from Wealth Managers.

Money Manager Marketplace

Money Managers can market their services by registering at the [Money Manager Marketplace](#). Once this is done, Wealth Managers can shop for and connect with the Money Manager at the [Money Manager Marketplace](#), located in the Investors' Marketplace > Search Services > Investing menu.

Money Manager Assignment

All Professional Financial Advisors are considered to be Wealth Managers. As a Wealth Manager, you can optionally add Money Managers to trade for your client accounts. Money Managers direct trading and investment activity in client accounts. They cannot add client accounts, fund client accounts, set client fees or set client trading permissions.

Note: Advisors who are part of a three-level broker account structure cannot link to Money Managers.

Who Can Access the Money Manager Assignment Page?

You can access this page if you are an Advisor who is a Registered Investment Advisor (RIA).

A Money Manager must first complete a separate Money Manager account application. Once a Money Manager's account is activated, you can add him or her to your account, then assign client accounts to them for trading purposes, set trading permissions and set client fees. Both Money Managers and Wealth Managers can trade for client accounts. After the Money Manager's account has been activated, you as a Wealth Manager perform the following steps:

1. Access the [Money Manager Marketplace](#) and shop for available Money Managers. Either contact a Money Manager directly or request that a Money Manager contact you.
2. Once you and the Money Manager have agreed to do business together, add the Money Manager to your account by using the Add button in the Money Manager Marketplace, or use the Money Manager Assignment page.
3. [Add a Money Manager](#)
 - Money Managers must log into Account Management with their username and password to accept assignments from Wealth Manager. See [Wealth Manager Assignment](#) for more information.
 - The first time a Wealth Manager adds a Money Manager, the Wealth Manager must enter a code up to four letters long called a Mnemonic that will be used as part of a Virtual Account Number in place of the Wealth Manager Account ID on all reports, and when setting up client fees and client trading permissions. This is a security feature to protect the WM account ID.

The Money Manager must also enter a code up to four letters long when he or she accepts the Wealth Manager Assignment. This Mnemonic will be used in place of the Money Manager Account ID in the Virtual Account Number on all reports.

4. [Set Up a Client Fee Schedule](#) - This fee schedule represents the fees that will be paid to you, the Wealth Manager, when you trade for client accounts. Typically, you will have already done this for your client accounts and this is the same procedure described in the [Client Fees](#) topic.

You set up a separate fee schedule for a Money Manager when you set up the client accounts for the Money Manager.

5. [Set Up Client Accounts](#) - This step includes assigning client accounts to a Money Manager, setting trading permissions and Money Manager client fees (fees that will be paid when the Money Manager trades for client accounts).

Money Managers can start trading the next business day (client assignments and trading permissions require one business day to take effect). But Money Manager client fees will be collected from client accounts and transferred to the Money Manager only after the client signs the Money Manager client agreement.

6. [Create a Client Fees Template](#) - Optionally, create a common client fee schedule to for Money Managers without having to set client fees separately for each Money Manager.
7. Fund Client Accounts - See [Fund Transfers](#) or [Position Transfers](#) for detailed instructions.

When you assign a client account to a Money Manager, we create a second version of the client account that is linked to the Money Manager. When you fund or transfer positions into a client account for a Money Manager, you are actually funding or moving positions into the linked client account.

In addition, Wealth Managers can perform the following optional steps:

- [Modify Client Fees for a Money Manager](#)
- [Modify Trading Permissions](#)
- [Change Money Manager Client Account Assignments](#)
- [Remove a Money Manager](#)

Add a Money Manager

To add a Money Manager

1. Log into Account Management using your Master account username and password.
2. Click **Manage Account > Money Manager > Administration**.

Money Manager Assignment

Use this page to:

- » Add Money Managers, who you assign to your client accounts for the purpose of client trading.
- » View active and pending Money Managers.
- » Remove Money Managers.
- » Set up client accounts for Money Managers (on the [Assign Client Accounts tab](#)).
- » Modify trading permissions and client fees for client accounts (on the Assign Client Accounts tab).
- » Use the link to the funding pages to transfer funds or positions to client accounts assigned to Money Managers

When you set up client accounts for Money Managers, you are not changing the trading permissions and client fees for the original client accounts.

Money Manager Assignments

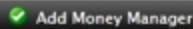
Assign Client Accounts

Active Money Managers

You have no Active Money Managers.

Pending Money Managers

You have no Pending Money Managers.

 Add Money Manager

- The Money Manager Assignment page contains two tabs: Money Manager Assignments and Assign Client Accounts. The Money Manager Assignments tab appears by default and lists all currently assigned Money Managers.

Click **Add Money Manager**.

- On the Money Manager Assignment - Add Money Manager page, enter the Account ID of the Money Manager in the field provided, then click **Submit**.
- The first time you add a Money Manager, you must enter a four-letter code that will be used in place of your Wealth Manager Account ID on all reports, and when setting up client fees and client trading permissions. This code will be part of a Virtual Account Number, which is a security feature to protect your Wealth Manager Account ID. Enter a code up to four letters long in the Wealth Manager Mnemonic field.

Money Manager Assignments - Add Money Manager

Use this page to add a Money Manager. Type the Interactive Brokers Account ID of the person you want to select as Money Manager, then click the Submit button. The person must have an active IB Money Manager account.

Add Money Manager

Enter Account Number for Money Manager

Submit

 Back

Note: Money Managers also enter a mnemonic to protect their own account ID's when they accept assignments on the Wealth Manager Assignment page. The Money Manager mnemonic is also part of the Virtual Account Number.

Virtual Account Numbers appear on client reports and consist of the client Account ID, the Wealth Manager Mnemonic and the Money Manager Mnemonic. On their reports, clients will see one of the following in place of their Account ID:

- If no Account Alias is used: *Client Account ID-WM Mnemonic-MM Mnemonic*
- If an Account Alias is used: *Client Account Alias-WM Mnemonic-MM Mnemonic*

Before you can assign client accounts or set up trading permissions and fees for client accounts assigned to a Money Manager, the Money Manager must log into Account Management and accept the assignment.

Set Up a Client Fee Schedule

As a Professional Advisor, you typically set the Client Fee schedule for all client accounts. As Wealth Manager, that Client Fee schedule represents the fees that will be paid to you as Wealth Manager when you trade for client accounts.

You define a separate fee schedule for a Money Manager when you set up the client accounts for a Money Manager. These are the fees that will be paid to the Money Manager when he or she trades for client accounts.

See the [Client Fees](#) topic for detailed instructions on how to set up a client fee schedule.

Set Up Client Accounts

After a Money Manager accepts the assignment as Money Manager, you must then set up client accounts for the Money Manager. This includes:

- Assign client accounts to the Money Manager.
- Set trading permissions for the client accounts assigned to the Money Manager.
- Set client fees for the client accounts assigned to the Money Manager. These are called Money Manager client fees and represent the amount of client fees paid to the Money Manager when he or she trades for the client accounts. This is different from Client Fees, which determine the fees paid to you when you trade for client accounts.

You also can create a Client Fees Template, which lets you save a common client fee schedule and quickly apply it to multiple client accounts assigned to a Money Manager without having to set the client fees separately for each client account.

Clients are notified via email whenever any client fees are increased or decreased, and when a Money Manager is assigned to or removed from the clients' accounts.

Money Managers can start trading the next business day (client assignments and trading permissions require one business day to take effect). But Money Manager client fees will be collected from client accounts and transferred to the Money Manager only after the client signs the Money Manager client agreement.

Note: When you set up client accounts for Money Managers, you are not changing the trading permissions and client fees for the original client accounts.

To set up client accounts for a Money Manager

1. Log into Account Management using your Master account username and password.
2. Click **Manage Account > Money Manager > Administration**.

Money Manager Assignment

Use this page to:

- » Add Money Managers, who you assign to your client accounts for the purpose of client trading.
- » View active and pending Money Managers.
- » Remove Money Managers.
- » Set up client accounts for Money Managers (on the [Assign Client Accounts tab](#)).
- » Modify trading permissions and client fees for client accounts (on the Assign Client Accounts tab).
- » Use the link to the funding pages to transfer funds or positions to client accounts assigned to Money Managers

When you set up client accounts for Money Managers, you are not changing the trading permissions and client fees for the original client accounts.

Money Manager Assignments

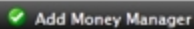
Assign Client Accounts

Active Money Managers

You have no Active Money Managers.

Pending Money Managers

You have no Pending Money Managers.

 Add Money Manager

3. Click the **Assign Client Accounts** tab.

Money Manager Assignments

Assign Client Accounts

Set Up Money Manager Client Accounts - Assign Client Accounts to Money Manager

This page lets you assign client accounts to and remove client accounts from Money Manager. First, select a Money Manager.

Select Money Manager

Choose One ▾

4. Select a Money Manager from the dropdown list.
5. The Set Up Client Accounts page appears for the selected Money Manager.

Set Up Money Manager Client Accounts

Assign Client Accounts to Money Manager,

This page lets you assign client accounts to and remove client accounts from Money Manager, . After you assign client accounts to the Money Manager:

- » Set trading permissions for the selected client accounts only.
- » Set client fees for the selected client accounts only.

+ View or Remove Assigned Clients

+ Assign New Clients

Back

You can make one of two selections on this page:

- **View and Remove Assigned Clients** - View the client accounts currently assigned to this Money Manager, and remove client accounts from the Money Manager.
- **Assign New Clients** - Add client accounts to the Money Manager. The clients you assign to the Money Manager on this page will be the clients for whom you configure trading permissions and client fees later in this procedure.

Click the plus sign next to **Assign New Clients**.

+ View or Remove Assigned Clients

- Assign New Clients

Select one or more available clients and use the arrow buttons to move them to selected clients table. Then, set trading permissions to the selected clients to complete the assignment to the Money Manager,

Available Clients		Selected Clients
<div style="border: 1px solid #ccc; padding: 2px;"> <ul style="list-style-type: none"> U U U </div>	<div style="display: flex; flex-direction: column; align-items: center; gap: 5px;"> → ← </div>	<div style="border: 1px solid #ccc; height: 40px; width: 100%;"></div>
<input type="checkbox"/> Select all		Continue →

6. There are two boxes - Available Clients (client accounts you can add to the Money Manager) on the left, and Selected Clients (client accounts that you've already added to the Money Manager on this page) on the right.

Move client accounts from Available Clients to Selected Clients by selecting the client account(s) on the left then

clicking the right arrow button. You can use the Ctrl+click or Shift+click keyboard combinations to select more than one account at a time.

Click **Select All** to select all Available Clients.

7. When you are finished adding client accounts to the list of Selected Clients for the Money Manager, click **Continue**.

Set Up Money Manager Client Accounts

Set Client Trading Permissions for Money Manager, A1111111111

Use this page to set or modify trading permissions for selected client accounts assigned to this Money Manager.

Client accounts assigned to a Money Manager can only receive trading permissions for products and countries for which they already have trading permissions as Advisor clients.
 For example, if a client account can trade stocks as an Advisor client, and you assign trading permissions same client account under Money Manager trading permissions for stocks and options, then the Money Manager will only be able to trade stocks for that client account.

Selected Client Accounts

U United Kingdom

[Edit Selection](#)

Trading Permissions

Country	Check All	Stocks	Bonds	Warrants	Options	Single Stock Futures	CFD	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	-	-	<input type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	<input type="checkbox"/>	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
India	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
Korea	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	-	-

8. The client accounts for whom you are adding trading permissions are displayed in the Selected Client Accounts box. These are the client accounts that you assigned to the Money Manager on the previous page.
 Add products and countries to those client accounts as required, then click **Save and Continue**.

To change the client account assignments, click the *Edit Selection* link, then click **OK** in the message box. You will be returned to the Assign Client Accounts page and you will lose any client assignments you already made.

Client account assigned to a Money Manager can only receive trading permissions for products and countries that they already have permission to trade as Advisor clients. For example, if a client account can trade stocks as an Advisor client, and you assign trading permissions for a Money Manager that gives the same client account trading permissions for stocks and options, then the Money Manager will only be able to trade stocks for that client account.

The Money Manager Fees page appears. This page lets you set client fees for the client accounts assigned to this Money Manager, which are displayed in the box at the top of the page.

Set Up Money Manager Client Accounts

Set Up Money Manager Client Accounts A

[Click here for important information about money manager client fees.](#)

Trading permissions have been set for the following clients for the Money Manager.

U

Money Manager Fees

Money Manager fees are client fees charged when the Money Manager trades for the selected client accounts.

Use existing Money Manager Client Fee Template

Set new client fees

Generate Client Fees Agreement **Save and Continue**

Click the **IMPORTANT INFORMATION** link to view the following rules about Money Manager client fees:

- The client must sign the Client Fees agreement and send it back to us.
- However, the Money Manager assigned is able to trade immediately in the Money Manager Client account, even if this agreement has not yet reached us.
- Once we receive this agreement, we will retroactively post any client fees between the date on which Money Manager client fees were set and the date client approves the fee schedule.
- The maximum retroactive period is 10 days.
- This retroactive posting of client fees only applies when the Money Manager fees are first set; it does not apply when the Money Manager client fees are changed.
- In the latter case, the Money Manager fees will not be retroactively posted.

- To print Client Fees Agreement for given Money Manager Client, under Money Manager Assignment page, click Edit under Client Fees for given Money Manager and then, select one client account for which you wish to print the agreement. Then, click on "Generate PDF for Current Fees" to generate the pdf.
9. Select one of the following radio buttons:
- **Use existing Money Manager Client fee template schedule** - Select this option to apply an existing Money Manager Client Fee Template to this Money Manager. If you do not have any existing Client Fee Templates, this option is unavailable. See [Create a Client Fees Template](#) for more information about Money Manager Client Fee Templates.
 - **Set new client fees** - Select this option to create a new fee schedule, which specifies the fees to be charged when this Money Manager trades for the selected client accounts.
10. Click **Save and Continue**.
11. If you selected **Set new client fees**, select a fee methodology (**No Fee**, **Automatic Billing**, or **Direct Billing**) by selecting the appropriate radio button. Client fee setup for Money Manager fees is identical as the client fee setup for Financial Advisors.

- Automatic billing is calculated and automatically billed to the client's account by us. We offer a variety of methods that can be used, including Percentage of an account's value, Percentage of P&L, or a Flat Fee. Click the check box next to each billing option that applies and enter the appropriate fee amount in the fields provided. Note that fee per trade, is not available for Money Managers.
- If you choose to use Direct Billing, we are not involved and you are responsible for billing your client(s) directly.

See [Client Fees](#) for more information.

12. Click **Generate PDF for Current Fees** to generate a PDF file that includes the current fee schedule.
13. Click **Save and Continue**. A confirmation page appears. Click **Money Manager Assignment** to return to the main Money Manager Assignment page appears.
14. To immediately fund client accounts for a Money Manager, on the Money Manager Assignment page, click the *Funds* link in the Transfer Funds column for the Money Manager.

The Fund Transfers page appears. Add funds to the client accounts as you normally would.

To immediately transfer positions or cash to client accounts for a Money Manager, on the Money Manager Assignment page, click the *Positions* link in the Transfer Funds column for the Money Manager.

The Position Transfers page appears. Transfer positions and/or cash to the client accounts as you normally would.

Note: When you assign a client account to a Money Manager, we create a second version of the client account that is linked to the Money Manager. When you fund or transfer positions into a client account for a Money Manager, you are actually funding or moving positions into the linked client account.

Create a Client Fees Template

A Client Fees Template lets you create and save a common client fee schedule, then apply it to multiple client accounts assigned to a Money Manager without having to set the client fees separately for each client account. You create a Client Fees Template from the Money Manager Assignment page.

To create a Client Fees Template

1. Log into Account Management using your Master account username and password.
2. Click **Manage Account > Money Manager > Administration**.
3. In the list of Active Money Managers, click the *Add/Edit Client Fees Template* link in the action column for a Money Manager.
4. Set client fees the way you normally would, selecting one of the options on the screen, then entering values as required.
5. Click **Continue**.

The Client Fees Template will now be available to assign to multiple client accounts when you set Money Manager fees as described in [Set Up Client Accounts](#).

6. Repeat this procedure to edit an existing Client Fees Template.

Modify Client Fees for a Money Manager

You can edit the client fees for one or more client accounts assigned to a Money Manager. Note that any changes to Money Manager fees require approval from the client.

To modify Client Fees for a Money Manager

1. Log into Account Management using your Master account username and password.
2. Click **Manage Account > Money Manager > Administration**.

Money Manager Assignment

Use this page to:

- » Add Money Managers, who you assign to your client accounts for the purpose of client trading.
- » View active and pending Money Managers.
- » Remove Money Managers.
- » Set up client accounts for Money Managers (on the [Assign Client Accounts tab](#)).
- » Modify trading permissions and client fees for client accounts (on the Assign Client Accounts tab).
- » Use the link to the funding pages to transfer funds or positions to client accounts assigned to Money Managers

When you set up client accounts for Money Managers, you are not changing the trading permissions and client fees for the original client accounts.

Money Manager Assignments

Assign Client Accounts

Active Money Managers

Account Title	Account Number	Trading Permissions	Client Fees	Transfer Funds	Action
Applicant [REDACTED]	A [REDACTED]	Edit	Edit	Funds / Positions	Remove Add/Edit Client Fees Template

Pending Money Managers

You have no Pending Money Managers.

[Add Money Manager](#)

- In the list of Active Money Managers, click the *Edit* link in the Client Fees column for a Money Manager.

Edit Client Fees For Money Manager, A [REDACTED]

To view previously assigned client fees schedule, pick only one client.

[Click here for important information about money manager client fees.](#)

Clients Assigned to Money Manager

U [REDACTED]

Select all

➔

➜

Selected Clients

U [REDACTED]

[Edit Client Fees for Selected Clients](#)

- Select one or more client accounts assigned to the Money Manager whose client fees you want to modify, then click the right arrow button to move those client accounts into the Selected Clients box.
- Click **Edit Client Fees for Selected Clients**.

Set Up Money Manager Client Accounts

Set Up Money Manager Client Accounts A

[Click here for important information about money manager client fees.](#)

Trading permissions have been set for the following clients for the Money Manager.

U

Money Manager Fees

Money Manager fees are client fees charged when the Money Manager trades for the selected client accounts.

Use existing Money Manager Client Fee Template
 Set new client fees

6. Select one of the following radio buttons:

- **Use existing Money Manager Client fee template schedule** - Select this option to apply an existing Money Manager Client Fee Template to this Money Manager. If you do not have any existing Client Fee Templates, this option is unavailable. See Create a Client Fees Template for more information about Money Manager Client Fee Templates.
- **Add new fee schedule** - Select this option to create a new fee schedule, which specifies the fees to be charged when this Money Manager trades for the selected client accounts.

If you selected Add new fee schedule, select a fee methodology (No Fee, Automatic Billing, or Direct Billing) by selecting the appropriate radio button. Client fee setup for Money Manager fees is identical as the client fee setup for Financial Advisors.

No Fee

Automatic Billing

Interactive Brokers calculates Advisor Fees and deducts these fees from your client account automatically and sends them to your advisor as specified.

Check all that apply and fill-in the required amounts:

Annualized Percentage of Net Liquidation Value applied on a daily basis (enter annual percentage)

Annualized Flat Fee applied on a daily basis (enter annual amount)

Percentage of P&L

Monthly/Quarterly Invoicing (enter monthly or quarterly amount) Your advisor calculates the Advisor Wrap Fees and removes the fees from your account up to a limit of per month OR per quarter.

Direct Billing

7. Click **Save and Continue**. A confirmation page appears.

Modify Trading Permissions

You can edit the Money Manager trading permissions for one or more client accounts assigned to a Money Manager.

To modify trading permissions for a Money Manager

1. Log into Account Management using your Master account username and password.
2. Click **Manage Account > Money Manager > Administration**.

Money Manager Assignment

Use this page to:

- » Add Money Managers, who you assign to your client accounts for the purpose of client trading.
- » View active and pending Money Managers.
- » Remove Money Managers.
- » Set up client accounts for Money Managers (on the [Assign Client Accounts tab](#)).
- » Modify trading permissions and client fees for client accounts(on the Assign Client Accounts tab).
- » Use the link to the funding pages to transfer funds or positions to client accounts assigned to Money Managers

When you set up client accounts for Money Managers, you are not changing the trading permissions and client fees for the original client accounts.

Money Manager Assignments

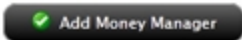
Assign Client Accounts

Active Money Managers

Account Title	Account Number	Trading Permissions	Client Fees	Transfer Funds	Action
Applicant (18/18)	A(18/18)	Edit	Edit	Funds / Positions	Remove Add/Edit Client Fees Template

Pending Money Managers

You have no Pending Money Managers.

 Add Money Manager

3. In the list of Active Money Managers, click the *Edit* link in the Trading Permissions column for a Money Manager.

Edit Money Manager Client Trading Permissions [Help](#)

Use this page to set or modify trading permissions for selected client accounts assigned to this Money Manager.

Client accounts assigned to a Money Manager can only receive trading permissions for products and countries for which they already have trading permissions as Advisor clients.
For example, if a client account can trade stocks as an Advisor client, and you assign trading permissions same client account under Money Manager trading permissions for stocks and options, then the Money Manager will only be able to trade stocks for that client account.

Select Client Accounts

Select client accounts from the list of 'Clients Assigned to Money Manager', then use the right arrow button to move them to the list of Selected Clients. Use the left arrow button to remove client accounts from the list of Selected Clients.

Clients Assigned to Money Manager

Select all

Selected Clients

→

←

Edit Trading Permissions for Selected Clients →

■ = Approved ■ = Pending

Select one or more client accounts assigned to the Money Manager whose trading permissions you want to modify, then click the right arrow button to move those client accounts into the Selected Clients box.

4. Click **Edit Trading Permissions for Selected Clients**.

Edit Money Manager Client Trading Permissions

Use this page to set or modify trading permissions for selected client accounts assigned to this Money Manager.

Client accounts assigned to a Money Manager can only receive trading permissions for products and countries for which they already have trading permissions as Advisor clients. For example, if a client account can trade stocks as an Advisor client, and you assign trading permissions same client account under Money Manager trading permissions for stocks and options, then the Money Manager will only be able to trade stocks for that client account.

Selected Client Accounts

[Edit Selection](#)

Trading Permissions

Country	Check All	Stocks	Bonds	Options	Single Stock Futures	Mutual Funds	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	-	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Korea	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-
United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-
United States (Algorithmic Execution Venue)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States example (Stock Yield Enhancement Program)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-

■ = Approved ■ = Pending

← Back
Save ✓

- The client accounts for whom you are adding trading permissions are displayed in the Selected Client Accounts box. These are the client accounts that you assigned to the Money Manager on the previous page.

Modify products and countries for those client accounts as required, then click **Save and Continue**.

To change the client account assignments, click the *Edit Selection* link, then click **OK** in the message box. You will be returned to the Assign Client Accounts page and you will lose any client assignments you already made.

Note: Client account assigned to a Money Manager can only receive trading permissions for products and countries that they already have permission to trade as Advisor clients. For example, if a client account can trade stocks as an Advisor client, and you assign trading permissions for a Money Manager that gives the same client account trading permissions for stocks and options, then the Money Manager will only be able to trade stocks for that client account.

Change Money Manager Client Account Assignments

You change Money Manager client account assignments at any time by adding or removing client accounts from the Money Manager.

To change Money Manager client assignments

- Log into Account Management using your Master account username and password.
- Click **Manage Account > Money Manager > Administration**.

Money Manager Assignment

Use this page to:

- » Add Money Managers, who you assign to your client accounts for the purpose of client trading.
- » View active and pending Money Managers.
- » Remove Money Managers.
- » Set up client accounts for Money Managers (on the [Assign Client Accounts tab](#)).
- » Modify trading permissions and client fees for client accounts (on the Assign Client Accounts tab).
- » Use the link to the funding pages to transfer funds or positions to client accounts assigned to Money Managers

When you set up client accounts for Money Managers, you are not changing the trading permissions and client fees for the original client accounts.

Money Manager Assignments

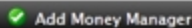
Assign Client Accounts

Active Money Managers

You have no Active Money Managers.

Pending Money Managers

You have no Pending Money Managers.

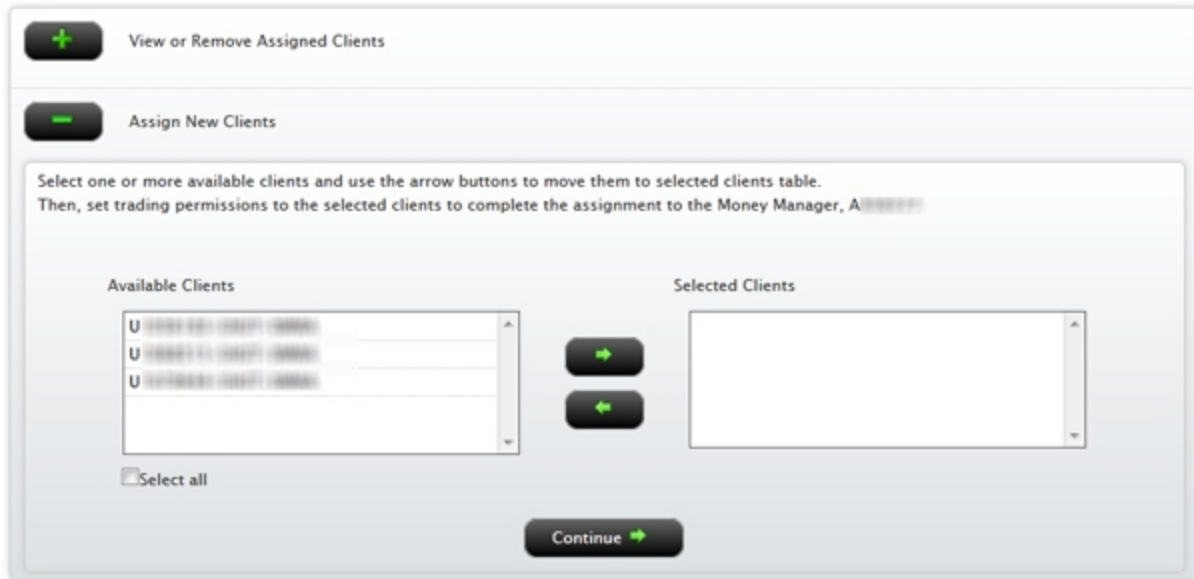
 Add Money Manager

- Click the **Assign Client Accounts** tab.

4. Select a Money Manager from the dropdown list.
5. The Set Up Client Accounts page appears for the selected Money Manager.

- To remove client accounts from the Money Manager, click the plus sign next to **View and Remove Assigned Clients**. Select the client accounts you want to remove, then click **Remove**. You can use the Ctrl+click or Shift+click keyboard combinations to select more than one account at a time.

When you assign a client account to a Money Manager, we create a second version of the client account that is linked to the Money Manager. When you fund or transfer positions into a client account for a Money Manager, you are actually funding or moving positions into the linked client account. Therefore, before you can remove a client account from a Money Manager, you must first move all cash and positions from the linked client account back to the client account.



- To add client accounts to the Money Manager, click the plus sign next to **Assign New Clients**. Move client accounts from the Available Clients list to the Selected Clients list by selecting the client account(s) on the left then clicking the right arrow button. You can use the Ctrl+click or Shift+click keyboard combinations to select more than one account at a time.

Click **Select All** to select all Available Clients.

6. Click **Save and Continue**.

If you added client accounts to the Money Manager, the Client Trading Permissions page appears.

Set Up Money Manager Client Accounts

Set Client Trading Permissions for Money Manager, A000000000

Use this page to set or modify trading permissions for selected client accounts assigned to this Money Manager.

Client accounts assigned to a Money Manager can only receive trading permissions for products and countries for which they already have trading permissions as Advisor clients.
 For example, if a client account can trade stocks as an Advisor client, and you assign trading permissions same client account under Money Manager trading permissions for stocks and options, then the Money Manager will only be able to trade stocks for that client account.

Selected Client Accounts

U

[Edit Selection](#)

Trading Permissions

Country	Check All	Stocks	Bonds	Warrants	Options	Single Stock Futures	CFD	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	-	-	<input type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	<input type="checkbox"/>	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
India	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
Korea	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	-	-

7. The client accounts for whom you are adding trading permissions are displayed in the Selected Client Accounts box. These are the client accounts that you assigned to the Money Manager on the previous page.

Add products and countries to those client accounts as required, then click **Save and Continue**.

Note: Client account assigned to a Money Manager can only receive trading permissions for products and countries that they already have permission to trade as Advisor clients. For example, if a client account can trade stocks as an Advisor client, and you assign trading permissions for a Money Manager that gives the same client account trading permissions for stocks and options, then the Money Manager will only be able to trade stocks for that client account.

The Money Manager Fees page appears. This page lets you set client fees for the client accounts assigned to this Money Manager, which are displayed in the box at the top of the page.

8. Select one of the following radio buttons:
 - **Use existing Money Manager Client fee template schedule** - Select this option to apply an existing Money Manager Client Fee Template to this Money Manager. If you do not have any existing Client Fee Templates, this option is unavailable. See Create a Client Fees Template for more information about Money Manager Client Fee Templates.
 - **Set new client fees** - Select this option to create a new fee schedule, which specifies the fees to be charged when this Money Manager trades for the selected client accounts.
9. Click **Continue**.
10. If you selected **Add new fee schedule**, select a fee methodology (No Fee, Automatic Billing, or Direct Billing) by selecting the appropriate radio button. Client fee setup for Money Manager fees is identical as the client fee setup for Financial Advisors.

- Automatic billing is calculated and automatically billed to the client’s account by us. We offer a variety of methods that can be used, including Percentage of an account's value, Percentage of P&L, or a Flat Fee. Click the check box next to each billing option that applies and enter the appropriate fee amount in the fields provided. If you select Fee per trade, set maximum fees per trade on the next page that appears after you click the Continue button.
- If you choose to use Direct Billing, we are not involved and you are responsible for billing your client(s) directly.

11. Click **Save and Continue**. The main Money Manager Assignment page appears.

Remove a Money Manager

You can easily remove a Money Manager if that person no longer trades for client accounts. When you remove a Money Manager, all client accounts assigned to that Money Manager will be closed. Remember to move all cash and positions from the Money Manager-linked client account linked back to the client account before you remove a Money Manager.

To remove a Money Manager

1. Log into Account Management using your Master account username and password.
2. Click **Manage Account > Money Manager > Administration**.

Money Manager Assignment

Use this page to:

- » Add Money Managers, who you assign to your client accounts for the purpose of client trading.
- » View active and pending Money Managers.
- » Remove Money Managers.
- » Set up client accounts for Money Managers (on the [Assign Client Accounts tab](#)).
- » Modify trading permissions and client fees for client accounts (on the Assign Client Accounts tab).
- » Use the link to the funding pages to transfer funds or positions to client accounts assigned to Money Managers

When you set up client accounts for Money Managers, you are not changing the trading permissions and client fees for the original client accounts.

Money Manager Assignments

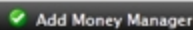
Assign Client Accounts

Active Money Managers

You have no Active Money Managers.

Pending Money Managers

You have no Pending Money Managers.

 Add Money Manager

- Click the **Assign Client Accounts** tab.

Money Manager Assignments Assign Client Accounts

Active Money Managers

Account Title	Account Number	Trading Permissions	Client Fees	Transfer Funds	Action
Applicant (123456)	(888888)	Edit	Edit	Funds / Positions	Remove Add/Edit Client Fees Template

- Click the *Remove* link in the Action column for the Money Manager you want to remove.

Wealth Manager Assignment

Money Managers direct trading and investment activity in client accounts. Financial Advisors acting as Wealth Managers add Money Managers to trade for client accounts. As a Money Manager, you cannot add client accounts, fund client accounts, set client fees or set client trading permissions. Both Money Managers and Wealth Managers can trade for client accounts. Money Managers can market their trading services to Wealth Managers by registering at the [Money Manager Marketplace](#).

To be able to trade for client accounts as a Money Manager:

- Complete a separate Money Manager account application.

Once your Money Manager account is activated, the Wealth Manager shops for Money Managers in the Money Manager Marketplace and either prepares to contact you, requests that you contact him, or adds you to his or her

account.

2. Log into Account Management and use the Money Manager Marketplace page in the Investors' Marketplace menu to review requests by Wealth Managers (move your mouse cursor over a Wealth Manager to see his or her contact information).
3. Once you and the Wealth Manager have agreed to do business together, the Wealth Manager adds you to his account.
4. Log into Account Management and use the Wealth Manager Assignment page to subscribe to the Wealth Manager who has added you.

After you subscribe to the Wealth Manager, the Wealth Manager then assigns client accounts to you for trading purposes, sets trading permissions and sets client fees. After the Wealth Manager completes these tasks, you can trade for client accounts assigned to you.

You can also deactivate Wealth Manager assignments.

Who Can Access the Wealth Manager Assignment Page?

You can access this page if you have completed the Money Manager account application and your account has been opened and activated.

To subscribe to a Wealth Manager

1. Log in to Account Management.
2. If you have pending Wealth Manager assignments, the Wealth Manager Assignment page appears.

Wealth Manager Assignments
Use this page to view all active and pending Wealth Manager assignments, and all client accounts currently assigned to you.

Assignments **Client Assignments**

Pending Wealth Managers

Account Title	Status	Action
There are no pending Wealth Managers.		

Subscribed Wealth Managers

Account Title	Status	Action
Applicant	ACTIVE	Deactivate Subscription

3. All pending Wealth Manager assignments are listed in the Pending Wealth Managers section of the page. Click *Activate Subscription* in the Action column.
4. The first time you activate a Wealth Manager assignment, you must enter a code up to four letters long that will be used in place of your Money Manger Account ID on all reports. This code will be part of a Virtual Account Number, which is a security feature to protect your Money Manager Account ID. Enter the four letter code in the Money Manager Mnemonic field.

Activate Subscription for Wealth Manager Account ID

Money Manager Mnemonic:

Note: Wealth Managers also enter a mnemonic to protect their own account ID's when they add Money Managers on the Money Manager Assignment page. The Wealth Manager mnemonic is also part of the Virtual Account Number.

Virtual Account Numbers appear on client reports and consist of the client Account ID, the Wealth Manager Mnemonic and the Money Manager Mnemonic. On their reports, clients will see one of the following Virtual Account Numbers in place of their Account ID:

- If no Account Alias is used: *Client Account ID-WM Mnemonic-MM Mnemonic*
- If an Account Alias is used: *Client Account Alias-WM Mnemonic-MM Mnemonic*

To deactivate a Wealth Manager assignment

1. In Account Management, click **Manage Account > Wealth Manager > Administration**.
2. All current Wealth Manager assignments are listed in the Subscribed Wealth Managers section of the page. Click *Deactivate Subscription*.

Deactivating a Wealth Manager subscription deletes all of your trading capabilities from all clients currently enabled for trading by this Wealth Manager.

Wealth Manager Assignments
Use this page to view all active and pending Wealth Manager assignments, and all client accounts currently assigned to you.

[Assignments](#)
[Client Assignments](#)

Pending Wealth Managers

Account Title	Status	Action
There are no pending Wealth Managers.		

Subscribed Wealth Managers

Account Title	Status	Action
Applicant <input type="text"/>	ACTIVE	Deactivate Subscription

3. Click **OK** in the warning message.

To view current client accounts assigned to you

1. Click **Manage Account > Money Manager > Administration**.
2. Clicks the **Client Assignments** tab.

All current Wealth Manager assignments are listed with their assigned client accounts. These are the client accounts for which you can trade.

Wealth Manager Assignments

Use this page to view all active and pending Wealth Manager assignments, and all client accounts currently assigned to you.

Assignments **Client Assignments**

Client Assignments

This page displays subscribed Wealth Managers and their assigned clients.

Applicant (88188)
Applicant (87188)
Applicant (88888)
Applicant (88881)

Trader Referral Program

The Trader Referral Program lets you send an invitation to somebody you know to open an account with us, and in return you receive a bonus of up to \$200. There is no limit to the number of referral bonuses you can receive.

Who can access the Trader Referral Program page?

You can access this page if you are a(n):

- Individual, Joint, Trust or IRA Account User (but not an Advisor or Broker Client)

Note: If you are a Financial Advisor who also has an individual account, you cannot participate in the Trader Referral Program.

Trader Referral Payout Rules

Payouts to referring customers in the United States are subject to the following rule:

- Each referred client must open an IB account using the invite link and maintain a balance of at least \$10,000 USD for one year.

Payouts to referring customers in non-US countries are subject to the following rules:

- For each referral, we will pay 30% of commissions up to \$200.00.
- The first payment of \$100.00 will be sent when the referred account reaches \$333.34 in commissions.
- The second payment of \$100.00 will be sent when the referred account reaches \$666.67 in commissions.
- You are eligible to receive the referral bonus up to one year from the opening of the referred account only if the commission minimums listed above are met.

Note: You cannot refer members of your own household.
We cannot pay referral fees for referred customers who live in Spain.

To participate in the Trader Referral Program

1. Click **Manage Account > Trader Referral**.

Trader Referral Program

- » Invite your friends to open an account and receive up to \$200.
- » Enter your friend's name and email address and we'll send them an invitation to join Interactive Brokers.
- » There is no limit to the number of referral bonuses you can receive.

First Name	<input type="text"/>
Last Name	<input type="text"/>
Email Address	<input type="text"/>
Select Language for the Email Content	English 

To receive the bonus for a referred account, your referred client must open an account using the invite link and maintain a balance of at least \$10,000.

US customers:

- » A payment of \$200.00 will be sent for each referred person who maintains an active IB account for one year.

Non-US customers:

Please see the payout rules as outlined below:

- » For each referral, IB will pay 30% of commissions up to \$200.00.
- » The first payment of \$100.00 will be sent when the referred account reaches \$333.34 in commissions.
- » The second payment of \$100.00 will be sent when the referred account reaches \$666.67 in commissions.
- » You are eligible to receive the referral bonus up to one year from the opening of the referred account only if the commission minimums listed above are met.

Remember that IB cannot pay referral fees for referred customers who live in Spain.

You cannot refer members of your own household.

Please note that you cannot participate in both the Trader Referral and IB Financial Advisor programs.

Submit 

2. Enter the first name, last name and email address of the person to whom you want to send an invitation to open an account with us.
3. Click **Submit**.
4. Repeat these steps for each person you want to refer.

You will receive a bonus based on the payout rules listed above.

Manage Clients/Manage Funds/Manage Traders

The functions in the Manage Clients menu allows Advisors, Brokers and Proprietary Trading Group STL Account Master Users to manage and configure client/fund/trader accounts.

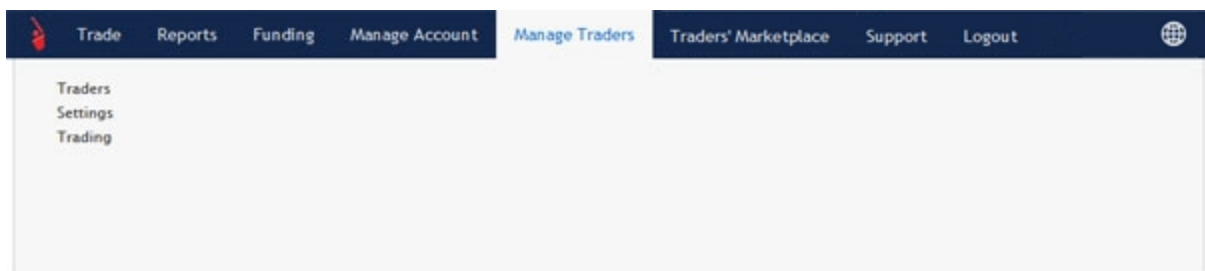
Advisors and Brokers access this as the Manage Clients menu.



Multiple Fund Investment Managers access this as the Manage Funds menu.



Proprietary Trading Group STL Account Master Users access this as the Manage Traders menu.



Who can access the Manage Clients menu?

You can access this menu if you are a(n):

- Advisor Master User
- Fully Disclosed and Non-Disclosed Broker Master User
- SIPP Administrator

Who can access the Manage Funds menu?

You can access this menu if you are a(n):

- Investment Manager Master User (Multiple Funds only)

Who can access the Manage Traders menu?

You can access this menu if you are a(n):

- Proprietary Trading Group STL Account Master User

Your account structure determines which second-level (blue menu) and third-level menu items you will see.

Some menu items are also available in the Manage Account menu if you can apply those functions to your master account only. The functions in the Manage Clients/Manage Funds/Manage Traders menus are ONLY for Master Users to manage and configure client, fund and authorized trader sub accounts.

This chapter includes the following topics:

- [Dashboard](#) - Advisors, Brokers and Multiple Fund Investment Managers can access information for all their client or fund accounts from a single point of access, as well as manage many aspects of each client account.
- [Create and Link Accounts](#) (Advisors and Brokers) - Add client accounts, request up to five duplicate accounts for an existing client account and can create templates to save and re-use application information for new client/fund accounts, link multiple individual and/or joint accounts for a client under a single username and password, and Non-Disclosed Brokers fill out or update an IRS Form W-8 or W-9 for their clients or close client accounts.
- [Create](#) (Multiple Fund Investment Managers) - Add client accounts, request up to five duplicate accounts for an existing client account and can create templates to save and re-use application information for new client/fund accounts.
- [Traders](#) (Proprietary Trading Group STL Account Masters) - View, add and close Authorized Trader accounts.
- [Fees](#) - Set advisor and broker client fees.
- [Settings](#) - Create aliases for client accounts and configure the transfer of excess margin funds between your securities and commodities account segments.
- [Trading](#) - Enable or disable client trading, set trading permissions for client accounts and restrict your master account and your client/sub accounts from trading specific symbols.
- [Security](#) - Master users can view Account Management requests from client accounts.
- [Users](#) - Add users to your account, modify existing users' information or access rights to Account Management and delete users from your account.
- [CRM](#) - Advisors can easily store and view information about their clients, prospects and contacts

Dashboard

The Dashboard lets Advisors, Brokers and Multiple Hedge Fund Investment Managers quickly and easily access information about their clients from a single point of access, as well as manage many aspects of each client account.

The following image shows the Dashboard for an Advisor.

Dashboard Registration Tasks Client Accounts

Accounts Pending Items 8 Recent Activity 0

Smart Search: Status: All

Account Title	Account Type	Account Number	Username	Account Alias	Status
Applicant	Advisor	110000	110000	--	Open
IBLLC Applicant	Individual	110001	110001	--	Closed
IBLLC Applicant	Individual	110002	110002	--	Closed
IBLLC Applicant	Individual	110003	110003	110003	Open
IBLLC Applicant	Individual	110004	110004	--	Closed
Applicant	Advisor	110005	110005	110005	Open
IBLLC Applicant	Joint	110006	110006	110006	Closed
Applicant	Individual	110007	110007	110007	Open
Applicant	Individual	110008	110008	--	Open
Applicant	Organization	110009	110009	--	Closed
Applicant	Individual	110010	110010	--	Closed
Applicant	Individual	110011	110011	--	Closed
IBLLC Applicant	Individual	110012	110012	--	Closed
IBLLC Applicant	Individual	110013	110013	--	Rejected
--	Individual	110014	110014	--	Pending
--	Individual	110015	110015	--	Pending
--	Individual	110016	110016	--	Pending
--	Organization	110017	110017	--	Pending
--	Individual	110018	110018	--	Pending
--	Individual	110019	110019	--	Pending

The following image shows the Dashboard for a Fully Disclosed Broker.

Dashboard Registration Tasks Client Accounts

Accounts Recent Activity 0

Smart Search: Status: Page of 17

Account Title	Account Type	Account Number	Username	Account Alias	Status	Approval Status
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
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IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval

Advisors, Fully Disclosed and Non-Disclosed Brokers, and Multiple Fund Investment Managers can [view information about all of their clients](#):

- View a list of all client accounts.
- View recent activity for the past five days for all client accounts.
- Search for and sort client accounts by account title, account type, account number, username or account alias.
- Filter all client accounts by account status.
- If you have multiple pages of accounts, you can quickly jump to any page.
- Advisors can view pending items for all client accounts on a separate tabbed page.
- Fully Disclosed Brokers can also view application and options trading approvals for all accounts in the Approvals column if they have enabled [Client Approvals](#).
- All brokers can view the user responsible for deleted applications in the Approvals column.
- Download a list of outstanding registration tasks for all pending client accounts to Microsoft Excel.
- Download information about all client accounts to Microsoft Excel.
- [Non-Disclosed Brokers can upload documents for pending client applications.](#)

and can view and manage individual [client account details](#):

- Drill down to account details, balances, positions and transaction history for any client.
- View pending items.
- View customer service messages and corporate actions.
- Perform account management tasks, including:
 - Edit account alias, advisor or broker fees, and other settings;
 - Running activity statements and PortfolioAnalyst reports
 - Print account details;
 - Generate a PDF version of the account application;
 - View all registration tasks.
 - Fully Disclosed Brokers can also approve or reject pending client applications and pending client options trading permissions if they have enabled [Client Approvals](#).
- Brokers can edit Registered Representatives.
- Advisors can get special authorizations from clients to modify additional account settings for that client.

Who can access the Dashboard?

You can access this page if you are a(n):

- Advisor Master User
- Fully Disclosed and Non-Disclosed Broker Master User
- Multiple Hedge Fund Investment Manager

View Information About All Clients

Advisors, Brokers and Multiple Hedge Fund Investment Managers use the Dashboard to view information about all of their clients from a single point of access:

- [View and search for client accounts.](#)
- [Filter all client accounts by account status.](#)
- [View recent activity for the past five days for all client accounts.](#)
- [Download a list of outstanding registration tasks for all pending client accounts to Microsoft Excel.](#)
- [Download information about all client accounts to Microsoft Excel.](#)

In addition, Advisors can view pending items for all accounts on the Pending Items tab.

To view and search for client accounts

When you first open the Dashboard, it displays a lists of all client or fund accounts. The number of accounts on each tab appears next to the tab name.

1. Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.

All client or fund accounts are listed by Account Title, and each account shows the account type, account number, username, account alias, account status (Open, Pending, Closed and Rejected), and approval status.

For example, here is a dashboard for a fully disclosed broker.

Dashboard Registration Tasks Client Accounts

Accounts Recent Activity 0

Smart Search: Status: Page of 17

Account Title	Account Type	Account Number	Username	Account Alias	Status	Approval Status
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
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IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval

2. On any page in the Dashboard, you can search for accounts by any column heading. Just type the first letters of the search criteria into the Smart Search field and then click **Go**. To change your search criteria, click the **X** in the Smart Search field.

For example, if you are a Fully Disclosed Broker and you want to search for all Individual account types, type **ind** in the Smart Search field, and then click **Go**. The list of accounts will update to show only Individual client accounts:

Dashboard Registration Tasks Client Accounts

Accounts Recent Activity 0

Smart Search: Status: Page of 17

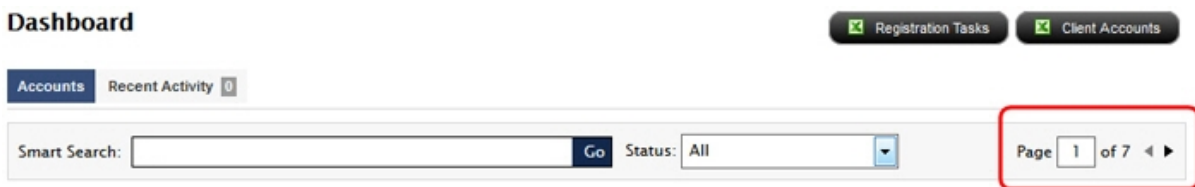
Dashboard Registration Tasks Client Accounts

Accounts Recent Activity 0

Smart Search: Status: All Page of 7

Account Title	Account Type	Account Number	Username	Account Alias	Status	Approval Status
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
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IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval

- 3. Sort lists on any page by clicking a column heading.
- 4. If you have multiple pages of accounts, you can quickly jump to any Dashboard page using the pagination feature located in the upper right. This feature displays the total number of pages of client accounts and a field where you can enter the page number you want to display.



- 5. Fully Disclosed Brokers can view application and options trading approvals in the Approvals column. Approvals are marked with a small green check mark and show the username of approver and the date of the approval. Rejected applications and option trading requests are marked with a small red X along with the username of the rejecter and the date of rejection.

<input checked="" type="checkbox"/> Application: fully179 (2015-02-18)
<input checked="" type="checkbox"/> Options: fully179 (2015-02-18)
<input checked="" type="checkbox"/> Application: fully179 (2015-02-18)
<input checked="" type="checkbox"/> Options: fully179 (2015-02-18)

To filter all client accounts by account status

By default, the Dashboard displays all of your client accounts. You can filter the list by account status using the Status drop-down.

1. Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.
2. Select an option from the Status drop-down (*All, Open Accounts, Pending Applications, Closed Accounts, Rejected Applications, Deleted Applications* or *Open Not Funded*). The number of accounts with each status appears in the drop-down. *All* is the default selection.

The screenshot shows the 'Dashboard' interface. At the top right, there are two buttons: 'Registration Tasks' and 'Client Accounts'. Below these, there are three tabs: 'Accounts' (selected), 'Pending Items' (with a red notification icon), and 'Recent Activity' (with a zero notification icon). A 'Smart Search' bar is visible with the text 'Account Title, Type, Number, Username, Alias, Household' and a 'Go' button. To the right of the search bar is a 'Status' dropdown menu, which is currently open, showing the following options: 'All', 'Open Accounts (5)', 'Pending Applications (32)', 'Closed Accounts (8)', 'Rejected Applications (1)', 'Deleted Applications (238)', and 'Opened Not Funded'. The 'Opened Not Funded' option is highlighted in blue. Below the search bar is a table with columns: 'Account Title', 'Account Type', 'Account Number', 'Account Alias', and 'Status'. The table contains several rows of data, including 'Applicant', 'IBLLC Applicant', and 'IRA'.

Account Title	Account Type	Account Number	Account Alias	Status
Applicant	Advisor	F188188		Open
IBLLC Applicant	Individual	U188188		Closed
IBLLC Applicant	Joint	U188188		Deleted
IBLLC Applicant	Individual	U188188		Closed
IBLLC Applicant	Individual	U188188		Deleted
IBLLC Applicant	Individual	U188188		Deleted
IBLLC Applicant	Individual	U188188		Deleted
IBLLC Applicant	IRA	U188188		Deleted
IBLLC Applicant	Individual	U188188		Deleted
IBLLC Applicant	Individual	U188188		Deleted
IBLLC Applicant	Individual	U188188		Deleted

To view recent activity for the past five days for all client accounts

You can view all recent funding and account application activity that occurred in the past five days for all of your client or fund accounts. If no activity occurred during the last five days, a message to that effect appears instead of a list of activity. Like the other tabs on the Dashboard, the Recent Activity tab shows the number of items currently displayed on that page.

1. Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.
2. Click the **Recent Activity** tab.

Dashboard Registration Tasks Client Accounts

Accounts Recent Activity 0

Smart Search: Status: All Page 1 of 17

Account Title	Account Type	Account Number	Username	Account Alias	Status	Approval Status
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
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IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval

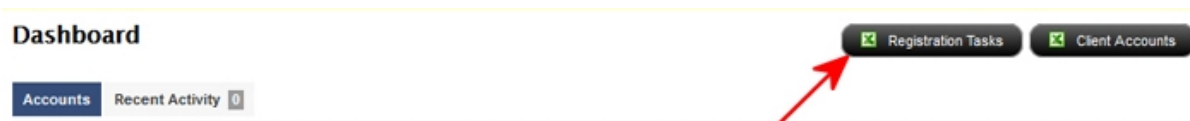
The Recent Activity page shows the date, account title, account number, username and for each activity. Activities can include funding, account opening or closing-related activities, and other types of client account activities.

- Just as on other Dashboard pages, on the Recent Activity page you can use the Smart Search field to quickly search for client accounts by any column heading, and you can sort the list by any column heading.

To download a list of outstanding registration tasks for all pending client accounts to Microsoft Excel

You can download an Excel spreadsheet (.xls file) that includes all registration tasks for your pending client or fund accounts (i.e., all tasks related to the opening of all of your pending client or fund accounts). The Excel file shows the Account ID, tasks and current status of each tasks for all pending client or fund accounts.

- From any page on the Dashboard, click the **Registration Tasks** button located at the top right of the screen.



- You will be prompted to open or save a Microsoft Excel worksheet. Save the file to your computer.

To download information about all client accounts to Microsoft Excel

You can download an Excel spreadsheet (.xls file) that includes all of the information about all of your client or fund accounts.

1. From any page on the Dashboard, click the **Client Accounts** button located at the top right of the screen.



2. You will be prompted to open or save a Microsoft Excel worksheet. Save the file to your computer.

View Client Account Details

In addition to viewing lists of all open, pending, closed and rejected client or fund accounts on the main Dashboard page, Advisors, Brokers and Multiple Hedge Fund Investment Managers can drill down to view the details of any client or fund account on the Client Account Details page, and perform certain functions for that account. Advisors, Fully Disclosed and Non-Disclosed Brokers can also view information about second account holders of joint client accounts on the Client Account Details page.

On the Client Account Details page, you can:

- [Drill down to account details for any client or fund account, including client balances, positions or transaction history.](#)
- [Advisors and Brokers can enable or disable dividend reinvestment for a client account.](#)
- [View pending items for a client or fund account.](#)
- [Edit account alias, advisor or broker fees, and other settings for a client or fund account.](#)
- [Run activity statements and PortfolioAnalyst reports for a client or fund account.](#)
- [Print client or fund account details.](#)
- [Delete an application for a pending client account.](#)
- [Generate a PDF version of the client or fund account application.](#)
- [View all registration tasks for a client or fund account.](#)
- [Jump to a client's CRM record.](#)

In addition:

- [Brokers can edit Registered Representatives.](#)
- Fully Disclosed Brokers can approve or reject pending client applications and pending client options trading permissions if they have enabled [Client Approvals](#).
- [Advisors can get special authorizations from clients to modify additional account settings for that client.](#)

- View a client's Social Security Number, Passport Number and Driver's License IF you use two-factor authentication (Secure Login Device or the IB Key app on an iPhone) to log into your account. If you do not use two-factor authentication to log into your account, you will not be able to see this information.
- Advisors can [invest in a hedge fund on behalf of an eligible client](#) via the Dashboard.

To view account details for any client or fund account

1. Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.

The Dashboard Open Accounts tab opens. All open client or fund accounts are listed by Account Title, and each account shows the account type, account number, username and account alias, if one exists.

The screenshot shows the 'Dashboard' interface with the 'Accounts' tab selected. At the top right, there are buttons for 'Registration Tasks' and 'Client Accounts'. Below the navigation bar, there is a 'Smart Search' field with a 'Go' button and a 'Status' dropdown menu set to 'All'. The page indicator shows 'Page 1 of 17'. The main content is a table with the following columns: Account Title, Account Type, Account Number, Username, Account Alias, Status, and Approval Status. The table contains 17 rows of data, all with a 'Pending' status and 'Ready for approval' approval status.

Account Title	Account Type	Account Number	Username	Account Alias	Status	Approval Status
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval

2. Use the Smart Search field to search for any client or fund account by any column heading, and then click the account row whose details you want to view.

The Client Account Details page opens for that account.

Dashboard

11111111111111111111

Registration Tasks
Client Accounts

Accounts Recent Activity 0

[Details](#)
[Balances](#)
[Positions](#)
[Transaction History](#)
[Messages](#)
[Corporate Actions](#)

Account Information		Account Configuration	
Account Number	11111111	Login Authentication	View
Account Username	11111111	Base Currency	EUR
Account Title	11111111111111111111	Excess Sweep	Do not sweep excess funds
Customer Type	Individual	Account Type	MRGN
Account Alias	-- Edit	Trading Permissions	View
Date Begun	05/14/2004	Dividend Reinvestment	Disabled Edit
Date Opened	05/17/2004	Market Data Subscriber Status	Non Professional
Date Funded	05/27/2004		
Status	Open		
Email	11111111111111111111		
Regulatory Information	View		
Tax Forms	View		
Personal Information		Registered Representative	
Date of Birth	11/21/1960 (mm/dd/yyyy)	Name	Mr. dd dd Edit
Country Of Citizenship	United States		
Number of Dependents	1	Investment Experience and Financials	
Marital Status	Married	Net Worth	\$500,000 – \$500,000
Employment Type	Retired	Liquid Net Worth	\$500,000 – \$500,000
Address	11111111111111111111 11111111111111111111 United States	Annual Net Income	\$500,000 – \$500,000
		Stocks	12 / 120 – 120 / Extensive
		Options	12 / 120 – 120 / Extensive
		Commodities	12 / 120 – 120 / Extensive
		Bonds	12 / 120 – 120 / Extensive
		FX	Not Applicable
		Objectives	Preservation Income Growth Trading Speculation Hedging
Broker Fees Edit		Activity Statements View	
Fee per Trade	No	Monthly (September 2015)	View
Monthly Invoicing	\$100	Month to Date	View
Quarterly Invoicing	Not Applicable	Daily (October 1, 2015)	View
Funding		Portfolio Analyst	
Bank Information (ACH/SEPA/EFT)	0	Month to Date Detailed	View
Bank Information (Wire Withdrawals)	0	Month to Date Snapshot	View
Bank Information (Deposits)	2	Year to Date Detailed	View
Recurring Transactions	0	Year to Date Snapshot	View
Settlement Instructions	0	12 Month Detailed	View

- Many items on the Client Account Details page have a View link that lets you view more details.

For example, you can click *View* next to Regulatory Information to view a client or fund account's regulatory information in a popup window.

Regulatory Information	
Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm?	No
Is the account holder a member of an exchange or a regulatory or a self-regulatory organization, or you an associated person, affiliated person or employee of an exchange member?	No
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	No
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	No
Is the account holder, a director, 10% shareholder or policy-making officer of any publicly traded company?	No

- Click the **Balances** tab to view account balances, current margin requirements and current available for trading for the client or fund account you are viewing.
- Click the **Positions** tab to view all of the positions currently held by the client or fund account you are viewing.
- Click the **Transaction History** tab to view the transaction history for the client or fund account you are viewing. The Transaction History tab functions in the same way as the [Funding > Transaction History page](#).
- Click the **Messages** tab to view all customer service messages for the account you are viewing.
- Click the **Corporate Actions** tab to view all corporate actions for the account you are viewing.
- To navigate back to the main Dashboard page, click the master Account ID link in the breadcrumb display in the middle of the top of the page.

Note: In the following image, like all of the images in this guide, the Account ID's have been obscured to protect the account holder's identity .



To view pending items for any client or fund account

- Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.
- Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page.
- Click the Pending Items tab to view all pending items for the account.

To edit account alias and other settings for any client or fund account

1. Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.
2. Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page.
3. Some individual items include an *Edit* link, such as Account Alias.

Details	Balances	Positions	Transaction History
Account Information			
Account Number	UXXXXXXXXXX		
Account Username	XXXXXXXXXX		
Account Title	Test/1000		
Customer Type	Individual		
Account Alias	Test Test	Edit	
Application Method	Fully Electronic		
Date Begun	03/16/2015		
Date Opened	03/16/2015		
Date Funded	--		
Status	Open		
Options Approved By	XXXXXXXXXX (2015-03-20)		
Email	XXXXXXXXXX@XXXXXXXXXX		
Regulatory Information	View		
Tax Forms	View		

Click the *Edit* link to go directly to the Account Alias page, where you can enter or modify the account alias for the client account. Click Submit to enter your changes, and then click the **Back to Details** button to return to the Client Account Details page.

Account Alias – U [REDACTED]

[← Back to Details](#)

Use this page to define an alias for your account. An account alias can be anything that is easier to remember than your Account ID; for example, your first name or a nickname.

Account ID	Account Name	Account Type	Account Alias
U [REDACTED]	[REDACTED]	Individual	<input type="text" value="Test Test"/>

[Submit →](#)

- Some sections on the Client Account Details page, such as Broker Fees or Advisor Fees, have an *Edit* link in the section heading. Click that link to go directly to the Configure Fees page, where you can enter or modify client fees.

Broker Fees		Edit
Fee per Trade	No	
Monthly Invoicing	Not Applicable	
Quarterly Invoicing	Not Applicable	

To run activity statements and PortfolioAnalyst reports for any client or fund account

- Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.
- Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page.
- In the Activity Statements section of the Client Account Details page, you can view a Monthly statement, Month to Date or Daily statement for the currently displayed client or fund account. Click the *View* link to generate the desired HTML-formatted activity statement.
- In the PortfolioAnalyst section of the Client Account Details page, you can view a variety of Snapshot or Detailed PDF reports for the currently displayed client or fund account by clicking the *View* link next to the desired report.

Activity Statements		View
Monthly (February 2015)	View	
Month to Date	View	
Daily (March 20, 2015)	View	
Portfolio Analyst		
Month to Date Detailed	View	
Month to Date Snapshot	View	
Year to Date Detailed	View	
Year to Date Detailed	View	
12 Month Detailed	View	
12 Month Snapshot	View	

To print client or fund account details

From the Client Account Details page for any client or fund account, click the **Print** button located at the bottom of the page.

To delete an application for a pending client account

You can delete any pending client or fund account application from the Client Account Details page for the pending account.

1. Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.
2. Click the **Pending Accounts** tab.
3. Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page.
4. Click the **Delete Application** button at the bottom of the page to open the application.

If you are sure you want to delete the account, click **Continue**.

If you change your mind and do not want to delete the application, click **Back**.

Generate a PDF version of the client or fund account application

From the Client Account Details page, you can also generate a PDF of the client or fund account application and view a list of all registration tasks by clicking the **Generate Client PDF** button at the bottom of the page. Once the PDF application opens, you can print it.

View all registration tasks for the account.

1. Click **Manage Clients > Dashboard**. Multiple Hedge Fund investment Managers click **Manage Funds > Dashboard**.
2. Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page.
3. At the bottom of the Client Account Details page, click the **Registration Tasks** button.

A popup showing all registration tasks for the client or fund account opens. Click the red **X** in the upper right corner to close the popup.

When viewing registration tasks, Fully Disclosed Brokers can also view supporting documents sent by a client and received by us.

✕

Online tasks to be completed

Registration Task	Status
Account Configuration	Completed On 16 Mar 2015
Customer Agreement (v2)	Completed On 16 Mar 2015
Customer Financial Info	Completed On 20 Mar 2015
E-mail Confirmation	Completed On 16 Mar 2015
Funding Notification	Completed On 16 Mar 2015
Individual Regulatory Info	Completed On 16 Mar 2015
Legal Acknowledgement	Completed On 16 Mar 2015
Sole Holder Name/Address	Completed On 16 Mar 2015
Sole Holder Personal Info	Completed On 16 Mar 2015
Trading Control and Ownership Certification	Completed On 16 Mar 2015
Username/Account ID Confirmation	Completed On 16 Mar 2015
W9	Completed On 16 Mar 2015

Tasks that do not need client input

Registration Task	Status	Details
Ofac Search for Mr. [REDACTED] (Account Holder)	To be done	Pending other steps
Equifax report for Equifax for Mr. [REDACTED] (Account Holder)	To Be Completed	Last Update on: 16 Mar 2015

To jump to a client's CRM record

You can jump directly to the Accounts tab in a client's CRM record (if one exists) by clicking the CRM button at the top right corner of the Client Account Details page.

The screenshot shows a dashboard interface for a client's account details. At the top, there is a 'Dashboard' header and a user profile 'E < U'. On the right, there are buttons for 'Registration Tasks' and 'Client Accounts'. Below the header, there are tabs for 'Accounts', 'Pending Items 0', and 'Recent Activity 0'. A 'CRM' button is located on the far right. Underneath, there are sub-tabs: 'Details', 'Balances', 'Positions', 'Transaction History', 'Messages', and 'Corporate Actions'. The main content area is divided into three sections:

Account Information		Account Configuration	
Account Number	123456	Login Authentication	View
Account Username	123456	Base Currency	USD
Account Title	1234567890	Excess Sweep	Do not sweep excess funds Edit
Customer Type	Individual	Account Type	MRGN
Account Alias	-- Edit	Trading Permissions	View
Date Begun	06/11/1999	Market Data Subscriber Status	Non Professional
Date Opened	11/01/2002	Investment Experience and Financials	
Date Funded	01/10/2002	Net Worth	\$350,000 - \$350,000
Status	Open	Liquid Net Worth	\$250,000 - \$250,000
Email	1234567890	Annual Net Income	\$100,000 - \$100,000
Regulatory Information	View	Stocks	20 / 100 - 100 / Extensive
Tax Forms	View	Options	20 / 10 - 10 / Good
Personal Information		Commodities	20 / 1000 - 1000 / Extensive

For more information, see [CRM](#).

Editing Registered Representatives

Fully Disclosed Broker Master Users can view and change the Registered Representatives for their clients from the client account details page. A Registered Representative is a person who manages the relationship between a broker and his or her client(s). A Fully Disclosed Broker can also assign a single Registered Representative to ALL open and pending client accounts.

To change the Registered Representative for an open or pending client account

1. Click **Manage Clients > Accounts > View > Summary**, then click an individual client account on any tabbed page.


or



Click **Manage Clients > Accounts > View > Open** or **Manage Clients > Accounts > View > Pending**, then use the Account Selector to select an individual account.

The client account details page opens.

Client Accounts Print

[Details](#)
[Balances](#)
[Positions](#)
[Pending Items](#) 0

Account Information		Account Configuration	
Date Begun	06/22/2006	Base Currency	USD
Date Opened	06/26/2006	Excess Sweep	Do not sweep excess funds
Date Funded	06/08/2012	Margin Type	MRGN
Date Closed		Trading Permissions	FOP FUT MULT STK
Status	Open		
Account Type	Organization		
Account Number	████████		
Account Username	████████		
Account Title	████████-██████		
Account Alias	Yankee - Doodle		
Email	████████@██████.██		
Primary Phone	████████-██████-██████		
Address	████████████████████		
City/State/Zip	██████, ████████ ████████		
Country	United States		
		Registered Representative	
		Name	Mr. testing dfgdf 
		Investment Experience and Financials	
		Net Worth	\$645,646,546 - \$645,646,546
		Liquid Net Worth	\$6,546,465 - \$6,546,465
		Stocks	3 / 43432 - 43432 / Extensive
		Options	2 / 0 - 0 / Extensive
		Commodities	0 / 0 - 0 / Extensive
		Bonds	0 / 0 - 0 / Extensive
		FX	Not Applicable
		Objectives	Growth Hedging
Broker Fees			
Fee per Trade	No		
Monthly Invoicing	\$10000		
Quarterly Invoicing	Not Applicable		
Banking			
Banking Information (ACH/SEPA/EFT)	0		
Banking Information (Wire Withdrawals)	1		
Banking Information (Deposits)	1		
Recurring Transactions	0		

Generate Client PDF 
Registration Tasks 

2. In the Registered Representative section, click the blue pen icon.

The Edit Registered Representative window opens.

3. Select a Registered Representative from the drop-down.
 - If a specific Registered Representative is not listed in the drop-down, click the X to close the window, then add one on the Registered Representatives page.
4. Optionally select the check box next to the drop-down to assign the Registered Representative to ALL open and pending client accounts.
5. Click **Submit**.

Note: If there is a Registered Representative assigned to a fully disclosed broker client account, the name of that person will appear in the Account Information section for all statements for that account.

For more information

- [Registered Representatives](#)

Additional Advisor Authorizations

Advisor can get specific authorization from a client to modify additional settings in the client account. These authorizations are listed on the Client Account Details page for open and pending client accounts.

Authorization Categories and Specific Tasks

Here is a list of all of the tasks that an advisor can be authorized to perform in a client's account. The list is organized by category just as on the actual authorization form.

Authorization to Update or Change Account Information, Account Settings, Trading Permissions and Tax Forms:

- Change Account Info (Name & Address, Email, Phone Number, Legal Residence, Mailing address, Personal Info, Employment Info, Financial Information, Regulatory Information, Trading objectives,
- Change trading permissions and products
- Change account settings (Base Currency, Account Type)
- View and change account forms and tax forms.
- W8/W9 functions
- Change Investor Category (QIB, Accredited Investor, etc)
- Statement/Confirm Delivery Settings
- Trading Configuration

- Market Data
- Market Data Subscriber Status
- Alert Notification
- Paper Trading Account

Authorization to Provide or Change Banking and Transfer Instructions

- ACH deposit information
- ACH and wire withdrawal bank information
- Position instructions for ACATS and FOP inbound transfers
- Settlement instructions

Authorization to Send Third Party Payments and Wires

- Transmit payments or assets from the client account to third parties including wire transfers, ACH transfers and other transfers of funds or assets.
- Place limits on this authority by specifying a maximum amount and time period in months. For example, no more than \$5,000 per 3 month period.

Authorization to Vote Shares and Make Elections Regarding Positions (does not affect Account Management)

- Corporate Actions should be sent to the advisor not the client.
- Proxy delivery and voting will be done by the advisor not the client.

Authorization for Special Programs and Alternative Investments

- Hedge Fund Capital Introduction Program Agreement
- Enroll or un-enroll in the Stock Yield Enhancement Program

Request to Send Electronic Notices, Confirmations and Account Statements only to Advisor

- Used by our Compliance department in the event that an advisor wants to control the email address used for the client account.

To grant and view additional advisor authorizations

1. The advisor requests a Supplemental Power of Attorney and Authorization from his or sales representative or Customer Service.
2. The advisor client prints, completes and mails the Supplemental Power of Attorney and Authorization form to us to grant his or her advisor authorization to perform additional specific account configuration tasks for the client's account. Without this authorization, the advisor normally is not authorized to modify these account settings.
3. Once the authorizations are granted, the advisor can perform the additional tasks and can click **Manage Clients > Accounts > View** to drill down to the Client Account Details page for the authorizing client.

There will be a section on the page that lists all of the client account tasks that have been authorized by the client.

Additional Advisor Authorizations

You are authorized to perform the following tasks for this client:

- » Authorization to Send Third Party Payments and Wires
- » Authorization to View, Update or Change Account Information, Account Settings, Trading Permissions and Tax Forms
- » Authorization for Special Programs and Alternative Investments
- » Authorization to Provide or Change Banking and Transfer Instructions
- » Request to Send Electronic Notices, Confirmations and Account Statements only to Advisor
- » Authorization to Vote Shares and Make Elections Regarding Positions

Invest in a Hedge Fund for a Client

Registered Investment Advisors can invest in a hedge fund at the Hedge Fund Marketplace on behalf of an eligible client, and charge fees on the current value of the amount that their clients have invested at the same time. The Advisor can begin this process from the Dashboard.

To be eligible to invest in a Hedge fund at the Hedge Fund Investor Site, a client must be an Accredited Investor or Qualified Purchase under SEC rules. [Click here to see additional eligibility requirements and rules for hedge fund investing.](#)

To invest in a Hedge Fund on behalf of an eligible client

1. Click **Manage Clients > Dashboard**.
2. Use the search, sort or Account Status filter to locate the client for whom you want to invest in a hedge fund, and then click the client row.

Date Begun	01/06/2011	Investment Experience and Financials Net Worth \$111,111,111 – \$111,111,111 Liquid Net Worth \$22,222,222 – \$22,222,222 Annual Net Income \$3,333,333 – \$3,333,333 Stocks 2 / 22 – 22 / Extensive Options 2 / 44 – 44 / Extensive Commodities >10 / >100 / Extensive Bonds >10 / >100 / Extensive FX Not Applicable Objectives Not Applicable
Date Opened	03/19/2013	
Date Funded	--	
Status	Open	
Email	tims@mail	
Regulatory Information	View	
Tax Forms	View	
Personal Information		
Date of Birth	// (mm/dd/yyyy)	Special Programs Hedge Fund Marketplace
Country Of Citizenship	United Kingdom	
Number of Dependents	0	
Marital Status	Married	
Gender	Male	
Employment Type	Unemployed	
Address	4 Testuser Lane London, London, 2222	
Activity Statements		
Monthly (Mar 2015)		View

- On the Client Account Details page, look for the Special Programs section, and then click the *Hedge Fund Marketplace* link in that section.
- The Hedge Fund Marketplace opens, with the client's Account ID included in the page title.

Hedge Fund Marketplace – UXXXXXX [Back to Details](#)

Welcome to the Hedge Fund Marketplace. This site contains information regarding participating Hedge Funds (and Families of Funds), recent return statements, and investment strategy.

The following Hedge Funds are available for investment. The information shown below (including performance data) is provided solely by the Hedge Funds and has not been audited or verified by Interactive Brokers. The performance data shown represents past performance, which is not a guarantee of future results.

Families of Funds
If you would like to learn more about a specific Family of Funds, click the name of the Family.

Family of Funds
Patton Funds

Funds
If you would like to learn more about a specific Fund, click the name of the Fund.

Rates of Return									
Returns as reported by Hedge Fund and Not Interactive Brokers									
Fund	2011	2012	2013	2014	2015	AUM	Min Invest	Invest Strategy	
Patton Funds (Patton Fund - LP)	10.00%	18.25%	26.50%	—	—	100MM	0.1MM *	Long	
Patton Funds (Patton Fund - LP)	-20.00%	-9.00%	10.00%	18.00%	26.00%	100MM	0.1MM *	Long	
Patton Funds (Patton Fund - LP)	198.30%	28.98%	13.27%	—	—	87.3MM	0.25MM	Long/Short opportunistic trading	
Patton Funds (Patton Fund - LP)	1.67%	23.31%	52.60%	—	—	77.2MM	2MM	Long/Short, Buy and Hold, 125/25	

All available Funds are displayed in a table. The name of the Fund is displayed and selectable; also displayed are annual rates of return for five years, amount of assets under management, the minimum investment required and a summary of the investment strategy. Each column is sortable and you can hover your mouse cursor over a column header for more information.

Some Funds have public articles that they have uploaded; these Funds are marked with a document icon. Click the document icon to read the article.

5. Click the name of the Fund in which you are interested.
6. The next page displays a group of expanding and collapsing sections that represent the actions you can perform.

Hedge Fund Marketplace

Hedge Fund: [Hedge Fund: Limited Partners, LP](#)



The screenshot shows a vertical list of four expandable action bars, each with a right-pointing arrow icon on the left. The text in the bars is as follows:

- Review Material Currently Posted on Site Concerning Fund
- Fund Details and Contact Information
- Invest in this Fund by transferring money from my IB account
- Request a redemption transferred to your IB account from this Fund

[← Main](#)

7. Click a bar to expand a section. When you are ready to invest in the fund on behalf of the client and enter fees based on the current amount of the client's investment in the fund, click **Invest in this Fund by transferring money from my IB account**.

The section expands.

Invest in this Fund by transferring money from my IB account

If you wish to invest in this Fund and you are accepted by the Fund as an Investor, IB can facilitate your investment by transferring your investment amount from your IB account to the Fund.

Note that your request to transfer money from your IB account to a Hedge Fund will only be processed if approved by the Fund Manager and/or the Fund's Third Party Administrator. If approved, your investment will be transferred to the Fund at a time specified by the Fund (typically the end of the month). If you have questions about the approval of your investment request or the timing of your investment in a Fund, contact the Fund.

State the amount you would like Interactive Brokers to transfer from your Interactive Brokers account to the Fund as an investment in this Fund.

Currency: Amount: .

Optionally configure any fees to charge on the value of the amount that has been invested in this Hedge Fund for your client.

Annualized Percentage of Net Liquidation Value Percentage of P&L Frequency

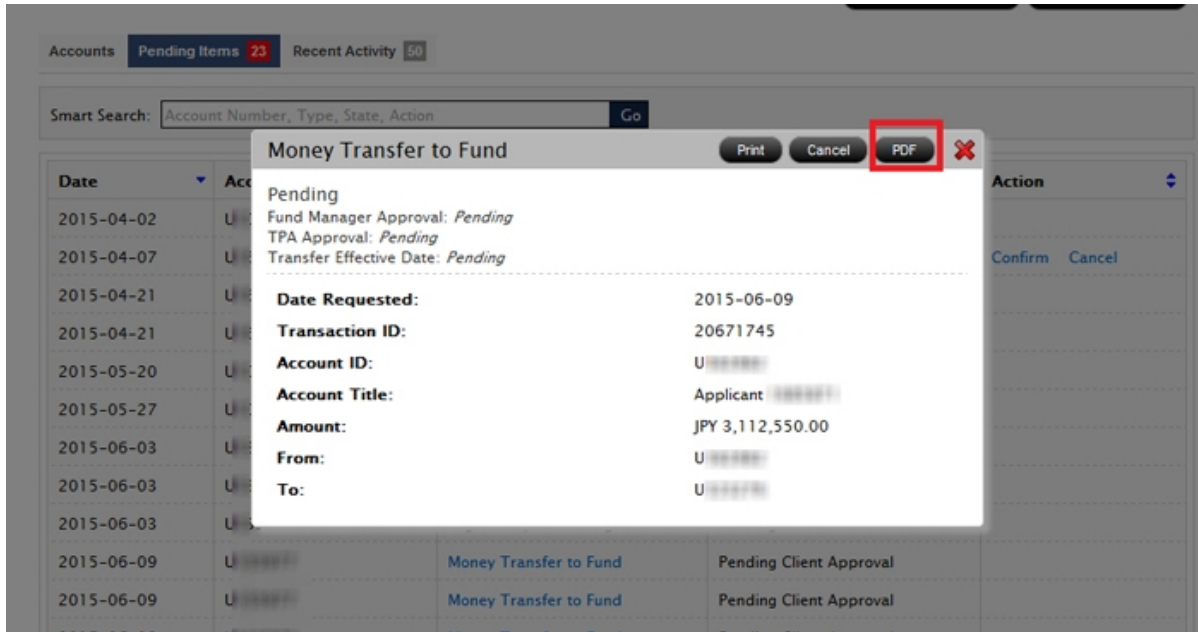
If you wish to include a message to the Fund concerning this investment request, type the message here.

Remaining: 200

8. Select the currency from the Currency dropdown, and then enter the amount of the investment in the Amount field. (minimum of \$25,000, although some Funds require larger investments).
9. Optionally, enter fees to charge on the amount of the client's investment in the fund:
 - If you have already set the fees (for example, you can set these fees on the [HFCIP Fees](#) page), the fee fields are already filled in.
 - In the Annualized Percentage of Net Liquidation Value field, enter a fee based on the Annualized Percentage of Net Liquidation Value (NLV) of the current value of the client's investment in the Fund. The percentage of equity fee must be between 0 and 1.
 - In the Percentage of P&L field, enter a fee based on the percentage of profit and loss of the client's investment in the Fund.
 - Select Monthly or Quarterly from the Frequency dropdown.
10. Click **Continue**.
11. When your request has been successfully submitted, a confirmation box opens. Click **OK** to close the box, or click Generate PDF to print a PDF of your investment/fee changes for your client's signature .
12. Clients must approve hedge fund investments that you make for them if they have never invested in this fund before. If you included fee changes with the investment, the client can approve both the investment and the fee changes at the same time on the Pending Items page, available from the Account Management Home page. Once the client confirms the investment on the Pending Items page, he or she will be asked to enter a signature on a

confirmation page.

As the advisor, you can view any pending hedge fund investments for a client by clicking the Pending Items tab from the Dashboard. You can also cancel any requests with a status of Pending Client Approval or Pending Hedge Fund Approval, as long as you are the user that created the request. You can also click the pending transaction to view the transaction details. You can print a PDF of your investment/fee changes for your client's signature from the transaction details popup box.



Upload Documents for Pending Non-Disclosed Broker Clients

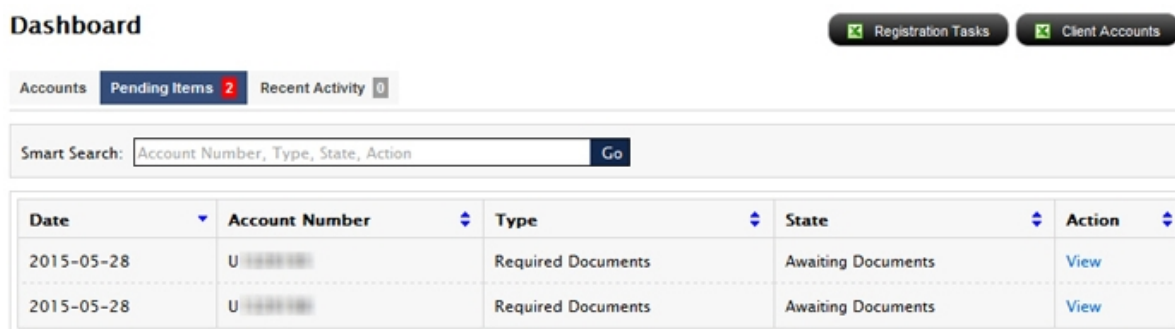
Non-Disclosed Brokers can view and upload documents for pending client accounts from the Dashboard.

To view and upload documents for pending Non-Disclosed Broker clients

1. Click **Manage Clients > Dashboard**.

The Dashboard Open Accounts tab opens. All open client accounts are listed by Account Title, and each account shows the account type, account number, username and account alias, if one exists.

2. Click the **Pending Items** tab.



- For any item, click *View* in the Action column.

Document Required for **Test Corporation** (Account ID: U-123456789)

Identification Documents

The following documents must be submitted to Interactive Brokers in order to complete your account application. As set forth in the table below certain requirements can be fulfilled by more than one type of document. **However, you are only required to send in one type of document per category.**

For this Category	Please send one of the following (only <i>one</i> is required per category)	Additional Instructions	Current Status
Proof of Existence for Test Corporation	Articles of Incorporation	The document submitted must clearly state the name of the applicant as it appears on its account application and be certified or notarized.	Not yet received Upload
	Corporate Charter	The document submitted must clearly state the name of the applicant as it appears on its account application and be certified or notarized.	
	Government-issued Business License	The document submitted must clearly state the name of the applicant as it appears on its account application.	
	Certificate of Good Standing	The document submitted must clearly state the name of the applicant and be certified or notarized.	
	Offering Document (if fund)	Offering document is a document, filed either provincially or federally by the corporation's founders, describing the purpose, place of business, and other details of the Fund.	

- All documents required for the pending client account are listed along with their status. Click the *Upload* link for any required document to upload the document.

Create and Link Accounts (for Advisors and Brokers)

The Create and Link Accounts menu includes the following menu items:

- [Create](#) - Advisor Master Users and Broker Master Users can add client and fund accounts, request up to five duplicate accounts for an existing client account and can create templates to save and re-use application information for new client/fund accounts.
- [Household](#) - Advisors and Fully Disclosed Brokers with multiple accounts for a single family or an individual can group those accounts into a household to more efficiently manage those accounts.
- [Link Client Accounts](#) - Advisors and Fully Disclosed Brokers can link multiple individual and/or joint accounts for a client under a single username and password.
- [Close](#) - Non-Disclosed Brokers can submit a request to close a non-disclosed client account .

Create

The Create menu includes the following pages:

- [New \(Add Client Account\)](#) - Advisor Master Users, Broker Master Users and Investment Manager Master Users can add client, sub and fund accounts.
- [Duplicate](#) - Advisor Master Users, Broker Master Users and Investment Manager Master Users can request up to five duplicate accounts for an existing client account.
- [Client Account Templates](#) - Advisor Master Users, Broker Master Users and Investment Manager Master Users can create templates to save and re-use application information for new client/fund accounts.

Add Client Account

The Add Client Account page lets you add a client or sub account. Depending on the type of account you have, from this page you can:

- [Methods of completing an account application](#)
- [Steps in the application process](#)
- [Send an invitation to a client to start an electronic application.](#)
- [Start a semi-electronic application.](#)
- [Download a copy of the client disclosures.](#)
- [Add a fully disclosed broker client account.](#)
- [Add Advisor, STL and Multiple Hedge Fund Accounts to a Fully Disclosed Broker Account](#)
- [Add an Advisor to an Advisor Account](#)
- [Add a non-disclosed broker client account.](#)
- [Add a fund account or a separately managed account \(SMA\) to a Multiple Hedge Fund account.](#)

Advisors and Fully Disclosed Brokers whose clients begin their application at the Advisor's or Broker's own website can add a unique client ID to the Client Invitation sent to the client. For more information, see [Using a Custom ID for Advisor and Fully Disclosed Broker Client Applications](#).

Who can access the Add an Account page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization
- Broker Master User (non-disclosed only)
- Investment Manager Master User

Methods of Completing an Account Application

When you add an account, you start and complete the account application process. There are two methods of completing an account application:

- Fully electronic
- Semi-electronic

The following table lists the methods of completing an application for all account structures.

Account Structure	Available Methods of Completing an Account Application
Singles	Fully electronic
Advisor Master Users	Fully electronic Semi-electronic
Advisor Client Users	Fully electronic Semi-electronic
Broker Master Users	Fully electronic Semi-electronic
Broker Fully Disclosed Client Users	Fully electronic
Broker Non-Disclosed Client Users	Abbreviated electronic application
Broker Omnibus Client Users	None (client accounts are not required)
Investment Manager Master User	Fully electronic Semi-electronic
Fund	Fully electronic Semi-electronic

Account Structure	Available Methods of Completing an Account Application
Separately Managed Account (SMA)	Semi-electronic
Proprietary Trading Group Master User	Fully electronic Semi-electronic
Proprietary Trading Group Sub User	Abbreviated electronic application

Steps in the Application Process

When you complete a fully electronic account application, the steps include:

1. Specify the customer type and base currency
2. Enter financial information, including date of birth, investment objectives and experience, net worth and annual net income.
3. Select the account type and trading permissions, including products you want to trade and countries in which you want to trade.
4. Confirm the account configuration you selected in the previous steps.
5. Accept our ID Procedures.
6. Enter name, address and telephone information.
7. Enter mailing address information.
8. Enter personal information.
9. Specify individual regulatory information.
10. Complete a W-8BEN form
11. Specify advisor fees.
12. Review the application for errors.

Inviting a Client to Start an Electronic Application

If you are an Advisor Master User, you can send an email invitation to your client, who then completes an account application electronically. Fully Disclosed Brokers can also send email invitations to clients. See [Adding a Fully Disclosed Broker Client Account](#) .

To send an invitation to a client to start an electronic application

1. Advisors and Brokers click **Manage Clients > Create and Link Accounts > Create > New**.
Fund Investment Managers click **Manage Funds > Create > New**.

The Add Client Account page opens.

Add Client Account

We offer three methods for completing a client application; a fully electronic, a semi-electronic, and a paper application. Under the fully electronic method, you send an email invitation to the client and the client completes an electronic application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Electronic Client Application →

2. Click **Client Invitation** for a Fully Electronic Application.

The Advisor Client Invitation page opens.

Advisor Client Invitation

Your client will be responsible for making all *Account Management* changes or upgrades electronically.

Step 1 of 2: Choose one, then click Continue

» ProTrack (Stock, Options, Futures, Forex, Bonds, Mutual Funds, and CFDs for Individual, Joint, IRA, Trust Accounts and Small Business)

If you select ProTrack, you will be asked to set client fees.

» Client Account Templates:

▼

Continue →

3. Select the type of application for your client:
 - **ProTrack** - This is a full account application for Individual, Joint, IRA, Trust and Small Business clients who want to trade stocks, options, futures, forex, bonds, mutual funds, and CFDs.
 - **Client Account Templates** - Select this option if you want to use a Client Account Template that you have created, and then select the desired template from the drop-down menu.

If you select ProTrack, you will be asked to set client fees.

- **IB FastTrack US NonPro template** - This is a short application for Individual, Joint and IRA clients who want to trade only stocks in their country of legal residence.
4. Click **Submit**.

The Client Fee Setup page opens.

Client Fee Setup

To activate any client schedule the client can sign the printed PDF fee schedule or the client can confirm the request in Account Management under Pending Requests.

- » Print the fee schedule, have it signed by your client, and return it along with a current Government issued ID (e.g. passport, driver's license, etc.) to Interactive Brokers for activation.
- » Click the **Generate PDF** button at the bottom of the page to print it, and send to your client for signature.
- » Your client can then send directly to IB for activation at the address/Fax number indicated on the form.

In addition to the advisor fees specified below, clients will be charged a [fee per trade](#) commission for execution and clearing services provided by Interactive Brokers.

No Fee

Automatic Billing

Direct Billing

← Back
Continue →

5. Select the type of fees for the client:

- **No Fee** - An advisor chooses not to charge his or clients a fee for services rendered.
- **Automatic billing** - A calculated fee is automatically billed to the client's account with blanket client authorization. Be aware that [Automatic Billing](#) is subject to certain caps and limitations.

Advisors can choose one of several methods of automatic billing:

- Annualized Percentage of Net Liquidation Value
- Annualized Flat fee
- Percent of Profit and Loss (P&L)
- Fee per trade unit
- Monthly/Quarterly Invoicing - Advisors can submit electronic invoices for client fees. Invoices can be submitted for up to ten clients at a time, but only one invoice can be submitted per client account per day. Advisors can also upload a .csv file that contains multiple client invoices.

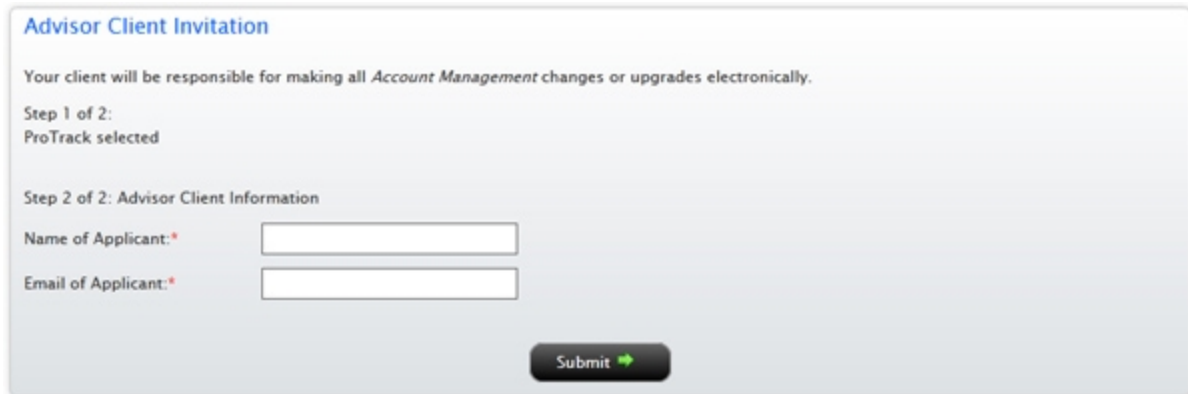
Click [here](#) for automatic billing examples.

- **Direct billing** - The Advisor bills the client directly. We will not remove funds from the client's account.

Regardless of the method chosen, advisors determine the fees at the time of the client's registration, and can modify them at any time. Advisor clients are required to acknowledge any fee increase with a signature.

Note: In addition to the advisor client fees specified, clients will be charged a fee per trade commission for execution and clearing services provided by us.

6. Click **Continue**.



Advisor Client Invitation

Your client will be responsible for making all *Account Management* changes or upgrades electronically.

Step 1 of 2:
ProTrack selected

Step 2 of 2: Advisor Client Information

Name of Applicant:*

Email of Applicant:*

Submit →

7. Enter the client's name and email address, then click **Submit**.


An email is sent to the client, inviting him or her to complete an account application electronically.

Starting a Semi-Electronic Application

If you are an Advisor Master User or a Fund Investment Manager, you can add an account using a semi-electronic application. Fund Investment Managers can add fund accounts or separately-managed accounts (SMAs). For this type of application, you complete the application electronically, print out a paper copy for the client to sign, then send the signed application to us for processing. Fully Disclosed Brokers can also add clients using a semi-electronic application. See [Adding a Fully Disclosed Broker Client Account](#) for details.

To start a semi-electronic application

1. Click **Manage Clients > Create and Link Accounts > Create > New**.



Add Client Account

We offer three methods for completing a client application; a fully electronic, a semi-electronic, and a paper application. Under the fully electronic method, you send an email invitation to the client and the client completes an electronic application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Electronic Client Application →

Fund Investment Managers click **Manage Funds > Create > New**.

Add Hedge Fund Client Account

We offer three methods for completing a Hedge Fund application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

It is strongly recommended that you use the semi-electronic application for your clients as the paper application will take longer to process and can be prone to errors.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi-Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Start Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
Download a copy of the client disclosures. Paper applications sent to the client must include this disclosure.		Print Disclosures

Add SMA Account

We offer three methods for completing a SMA application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi Electronic Application	(Electronically complete client application, including Self-Directed IRA Third Party Custodian accounts, print, and send to client for signature.)	Electronic Client Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
Download a copy of the client disclosures. All applications sent to the client must include this disclosure.		Client Disclosures →

2. Advisors click **Electronic Client Application** for a Semi Electronic Application. Fund Investment Managers click **Start Application** for either a new Hedge Fund account or a separately managed Individual account.
3. Select the type of client account you wish to open, then click **Continue**
The first page of the electronic registration system appears.

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English | 简体中文 | 繁體中文
Deutsch | Español | Français
Italiano | 日本語 | Русский

Print Logout

1 Create — 2 Details — 3 Funding — 4 Approval — 5 Configure — 6 Agreements — 7 Complete

Registration * = Required

Welcome to the IB electronic registration system.
At the end of the registration process you will have the opportunity to print a PDF application document that you can send to your client for signature.
Your progress during the registration process will always be displayed on the left of the screen. If you need to view or modify your completed steps, click on the links on the left to navigate back to the desired screen.
Once the customer has been approved, they will be sent a username and password by mail.

Username*
Must include six letters and three different numbers, all lower case

Email Address* (used for all future correspondence)

Confirm Email Address*

Country of Legal Residence/Formation*

Continue ➔

Call Us
Monday - Friday
1 (312) 542-6901
1 (877) 442-2757

Help Topics
No content found

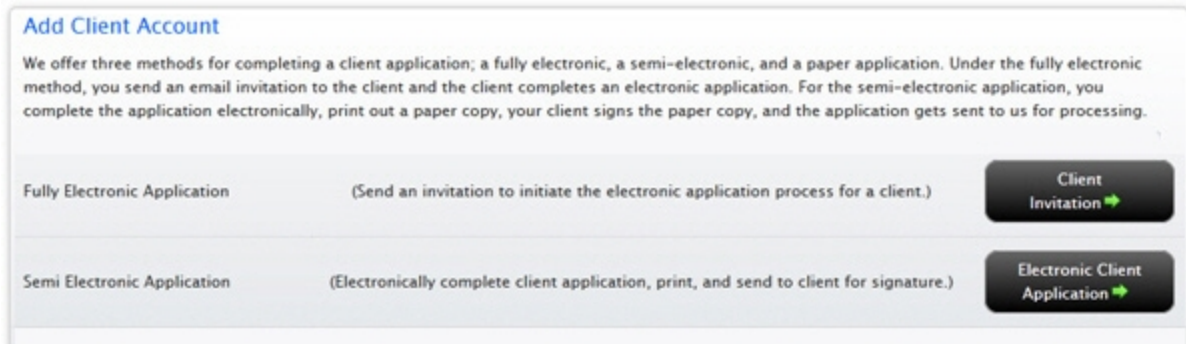
4. Follow the instructions on the screen to complete the electronic application. Your progress during the process is displayed in the left pane, showing you the steps you have completed and the steps you have yet to complete.
5. When you have completed the electronic application process, print the completed application and send it to your client for his or her signature.

Downloading Client Disclosures

You can download client disclosure forms from the Add Accounts page in Account Management.

To download client disclosures

1. Advisors and Brokers click **Manage Clients > Create and Link Accounts > New**.
Fund Investment Managers click **Manage Funds > Create > New**.



2. In the Paper Application section of the Add Accounts page, click **Client Disclosures**. The Client Disclosures page opens.
3. Download zipped or unzipped client disclosure forms by clicking the appropriate button.

If you choose Zipped, you are prompted to save a zip file to your computer. The zip file is a large group of files compressed into a smaller file that must be unzipped before you read any files. If you choose unzipped forms, the forms appear in a PDF document that you can save to your computer and print.

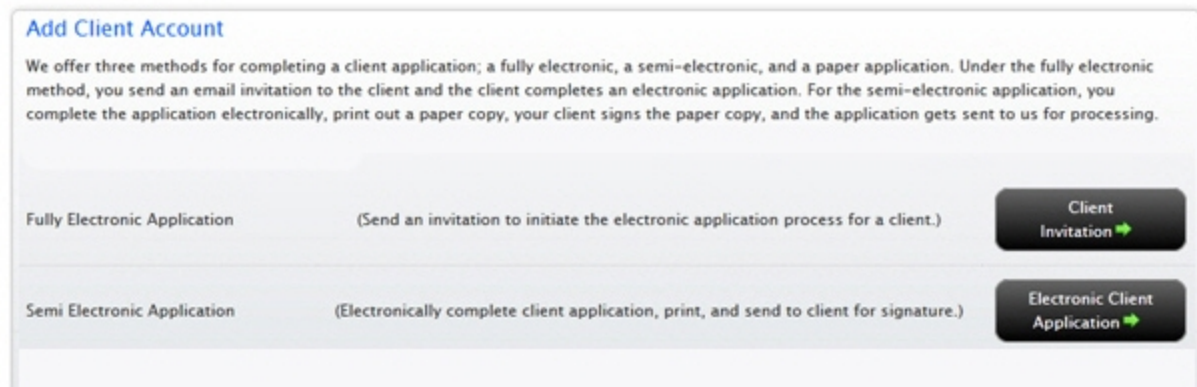
Adding a Fully Disclosed Broker Client Account

Fully Disclosed Brokers can add client accounts from their Broker master account.

To add a fully disclosed broker client account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.

The Broker Client Invitation page opens.



2. Click **Client Invitation** to send an invitation to initiate a fully electronic application process for a client. The broker client will be able to select the type of account at the very beginning of his or her application.

You can also select **Electronic Client Application** to initiate a semi-electronic application. For this type of application, you complete the application electronically, print out a paper copy for the client to sign, then send the signed application to us for processing.

3. Enter the name and email address of the applicant, then click **Continue**.

A confirmation page opens to inform you that the invitation has been sent to the applicant's email address.

4. If you have created and saved a client account template, select it from the Client Account Templates list. Client account templates include a selected fee methodology, so you don't have to specify fees if you use a client account template. This field does not appear if you do not have any saved client account templates.
5. Click **Continue**. The Pending Items page opens.

Adding Advisors, STL and Multiple Hedge Fund Accounts to a Fully Disclosed Broker Account

If you are a Fully Disclosed Broker, you can add the following types of institution accounts to your account structure from your master account:

- [Advisor](#)
- [Proprietary Trading Group Separate Trading Limit \(STL\)](#)
- [Multiple Hedge Fund](#)

These institution accounts can have their own client, sub or fund accounts, making your account structure a three-level account.

For detailed rules governing three-level Fully Disclosed Broker accounts, see [Rules for Three-Level Fully Disclosed Broker Accounts](#).

Adding an Advisor Account

To add an Advisor to your Fully Disclosed Broker account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.
2. Click **Client Invitation** to send an invitation to initiate a fully electronic application process. Currently, only fully electronic applications are available for adding an advisor to a Fully Disclosed Broker account.
3. The client begins his or her application by selecting **Financial Advisor** as the account type, and then completes an Advisor Account application. Financial and trading criteria are applied separately at the advisor and advisor client levels.

4. After the advisor application has been approved, the advisor can log into Account Management with his own username and password, and then add one or more client accounts on the **Manage Clients > Create and Link Accounts > Create > New** page. Fully Disclosed Brokers cannot add client accounts to the Advisor account; these must be added by the advisor.

Note: As a Fully Disclosed Broker, your trading qualifications (products you are qualified to trade) determine the trading qualifications that are available to the new advisor and the advisor's clients.

Adding an STL Account

To add an STL account to your Fully Disclosed Broker account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.
2. Do one of the following:
 - Click **Client Invitation** to send an invitation to initiate a fully electronic application process.
 - Click **Electronic Client Application** to start the semi-electronic application process.
 - Click **Start Application** to print a paper application.
3. If you selected the fully electronic application, the Broker Client Invitation page opens. Complete this page, including entering the name and email of the applicant, and then click **Continue**. The invitation will be sent to the email address you enter and the client completes the application.

If you selected the semi electronic application, you will be prompted to selected the account type for the new client. Select **Institution** as the account type, and then click **Continue**. The account application opens. This client will be the Proprietary Trading Group STL Master user.

If you selected the paper application, you will be prompted to selected the account type for the new client. Select **Institution** as the account type, and then click **Continue**. Complete the steps as described on the screen to print the paper application.

4. After the application has been completed and approved, the new client can log into Account Management with his own username and password, and then add sub accounts from the **Manage Traders > Traders > Create > Authorized Trader** page. Fully Disclosed Brokers cannot add sub accounts to the STL account.

Note: The STL and its sub accounts belong to the same beneficiary.

Adding a Multiple Hedge Fund Account

To add a Multiple Hedge Fund account to your Fully Disclosed Broker account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.
2. Do one of the following:
 - Click **Client Invitation** to send an invitation to initiate a fully electronic application process.
 - Click **Electronic Client Application** to start the semi-electronic application process.
 - Click **Start Application** to print a paper application.
3. If you selected the fully electronic application, the Broker Client Invitation page opens. Complete this page, including entering the name and email of the applicant, and then click **Continue**. The invitation will be sent to the email address you enter and the client completes the application.

If you selected the semi electronic application, you will be prompted to selected the account type for the new client. Select **Multiple Funds** as the account type, and then click **Continue**. The account application opens. This client will be the Multiple Hedge Fund Investment Manager user.

If you selected the paper application, you will be prompted to selected the account type for the new client. Select **Multiple Funds** as the account type, and then click **Continue**. Complete the steps as described on the screen to print the paper application.

- Financial and trading criteria are applied separately at the Fund Investment Manager and fund levels.
4. After the multiple hedge fund application has been approved, the Fund Investment Manager can log into Account Management with his own username and password, and then add one or more fund or SMA accounts on the **Manage Funds > Funds > Create > New** page. Fully Disclosed Brokers cannot add fund or SMA accounts to the Multiple Funds account; these must be added by the Fund Investment Manager.

For more information

- [Linking to an Advisor- or Broker-Managed Account](#)

Rules for Three-Level Fully Disclosed Broker Accounts

Fully Disclosed Broker accounts with Advisor, Proprietary Trading Group Separate Trading Limit (STL) and Multiple Hedge Fund accounts (three-level accounts) are subject to the following rules.

Function	Advisor Account	Proprietary Trading Group STL Account	Multiple Hedge Fund Account
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<p>Trading</p>	<p>The Fully Disclosed Broker can trade for advisor client accounts.</p> <p>The Fully Disclosed Broker cannot allocate trades advisor client accounts.</p> <p>The advisor can trade for and allocate trades to Advisor client accounts.</p> <p>The Fully Disclosed Broker can apply trading restrictions to the Advisor Master account but not to the Advisor clients accounts.</p> <p>The products that the Fully Disclosed Broker is approved to trade determine the products that the advisor can trade. In other words, the advisor cannot trade products that the broker has not been approved to trade.</p> <p>The advisor cannot link to money managers in a three-level broker account structure.</p>	<p>The Fully Disclosed Broker can trade for the STL Master account but not for any of the STL sub accounts.</p> <p>The Fully Disclosed Broker can apply trading restrictions to the STL Master account but not to the STL sub accounts.</p> <p>The products that the Fully Disclosed Broker is approved to trade determine the products that the STL Master can trade. In other words, the STL Master cannot trade products that the broker has not been approved to trade.</p>	<p>The Fully Disclosed Broker can trade for Fund accounts.</p> <p>The Fully Disclosed Broker cannot allocate trades to Fund accounts.</p> <p>The Fund Investment Manager can trade for multiple Funds in an Allocation Account and assign trades before the end of the day to specific cleared Fund Accounts.</p> <p>The Fund Investment Manager can pre-trade allocate for fund accounts.</p> <p>The Fully Disclosed Broker can apply trading restrictions to the Fund Investment Manager account but not to Fund or SMA accounts.</p> <p>The products that the Fully Disclosed Broker is approved to trade determine the products that the Investment Manager can trade. In other words, the Investment Manager cannot trade products that the broker has not been approved to trade.</p>
<p>Margin</p>	<p>Each advisor client account is individually margined.</p>	<p>The Broker Master account and client accounts are margined separately.</p>	<p>Each Fund account is individually margined.</p>

<p>Markups and Fees</p>	<p>The broker can enter a markup schedule for the advisor just as they can for their fully disclosed broker clients.</p> <p>The advisor can enter fee and markup schedules for their clients.</p> <p>The advisor client will be charged both markup schedules. If there are two markups for Non-US Advisor clients, the markups will be combined into one markup. If there is a markup and an advisor client fee configured as a Percent of Net Liquidation Value, the fees will appear separately.</p> <p>Broker markups will be placed in the Broker Master account and swept to the broker's trading account at the end of the day.</p> <p>Advisor client fees will be placed in the Advisor Master account.</p>	<p>The broker will enter a markup schedule for the STL Master account just as they can for organization client accounts. Markups for STL sub accounts are never placed in the STL Master account.</p> <p>Broker fees will be placed in the Broker Master account and swept to the broker's trading account at the end of each day.</p>	<p>The broker can enter a markup schedule for the Fund Investment Manager just as they can for their fully disclosed broker clients.</p>
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Funding	<p>Brokers can perform funding functions on behalf of an advisor but not the advisor's clients.</p> <p>Advisor clients may complete a deposit notification in Account Management if they have a username and password. If they don't, the advisor can also complete a deposit notification for his clients.</p>	<p>Brokers cannot perform any funding functions on behalf of an STL account.</p> <p>All existing standalone STL funding functions will be available to the STL under the broker.</p> <p>Deposits and withdrawals must be made from the STL Master account and transferred to/from the sub accounts.</p>	<p>Brokers can perform funding functions on behalf of a Multiple Hedge Fund Investment Manager (the Master account) but not the individual Fund accounts.</p> <p>The Fund Investment Manager can deposit funds for individual fund accounts, and individual funds can deposit funds into their own accounts.</p>
Reporting	<p>An advisor in a Fully Disclosed Broker account has access to all of the reports that are available to any Advisor Master.</p> <p>The broker can view a consolidated statement for each Advisor group.</p> <p>All tax reporting for the Advisor and his clients will be performed by us.</p>	<p>The STL account under a broker has access to the same reports available as a standalone STL account.</p> <p>The broker can see STL accounts on an individual and/or consolidated basis.</p> <p>All tax reporting for the STL account will be performed by us.</p>	<p>The Fund Investment Manager has access to all of the reports that are available to any Multiple Fund Investment Manager.</p>
White Branding	<p>White branding is supported for an advisor under a Fully Disclosed Broker account.</p>	<p>White branding is supported for an STL account under a Fully Disclosed Broker account.</p>	<p>White branding is supported for a Multiple Hedge Fund account under a Fully Disclosed Broker account.</p>
Manage Clients > Accounts > View Menu	<p>Fully Disclosed Brokers can view Summary and client account details for the Advisor Master account and its client accounts.</p>	<p>Fully Disclosed Brokers can view Summary and client account details for the STL Master account and its sub accounts.</p>	<p>Fully Disclosed Brokers can view Summary and client account details for the Fund Investment Manager account and its fund accounts.</p>

Adding a Non-Disclosed Broker Client Account

Non-disclosed Brokers can add non-disclosed client accounts from their Broker master account.

To add a non-disclosed broker client account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.

The Add Non-disclosed Account page opens.

Add Non-disclosed Account

Please complete the following information in order to create a new non-disclosed account managed by you.

Client Account Configuration

Country of legal residence or country of formation ([explain](#)) Please select a country

Base currency Please select

Customer Type Please select

Account Capabilities ([explain](#))

- Stock
- Options
- Margin
- Futures
- Futures Options
- Stock Futures
- Fixed Income

Does the customer meet IB's Anti-moneylaundering Customer Identification Procedures? Yes No

Please enter the Account ID/reference # of this customer in your system. IB will generate its own unique Account ID when the account is created.

Username and Password

Enter a nine character username. Must include six lower case letters and three different numbers.

Username:*

Password:*

Username and Password are both case-sensitive.

Confirm Password:*

Record your password. For security reasons you will not be shown your password again.

Submit

2. Complete the form, then click **Submit**. A confirmation page opens to inform you that your request to add the non-disclosed account was successful.

Duplicate Client Accounts

The Duplicate Client Accounts page lets Advisor Masters, Broker Masters and Fund Investment Managers request up to five duplicate accounts for an existing client account. The request is processed overnight, but must first be acknowledged by the client. One application of maintaining duplicate client accounts is to create different trading strategies in the two accounts.

Who can access the Duplicate Client Accounts page?

You can access this page if you are a(n):

- Advisor Master User Individual (registered only)
- Advisor Master User Organization (registered only)
- Broker Master User (Fully Disclosed only)
- Investment Manager Master User

To request a duplicate client account:

1. Click **Manage Clients > Create and Link Accounts > Create > Duplicate**. Fund Investment Managers click **Manage Funds > Create > Duplicate**.

Duplicate Client Accounts

Use this page to create up to five duplicate accounts for an existing client account. Duplicate client accounts are useful for maintaining different trading strategies in different accounts. Your request to create a duplicate client account must be acknowledged by the client before it can be processed.

[Click here to see which account settings are duplicated.](#)

Select the client account to be duplicated below, then click the **Create Duplicate** button.

Client Account ID:

2. From the Client Account ID drop-down list, select the client account that you want to duplicate. Information about the selected account appears.

Duplicate Client Accounts

Use this page to create up to five duplicate accounts for an existing client account. Duplicate client accounts are useful for maintaining different trading strategies in different accounts. Your request to create a duplicate client account must be acknowledged by the client before it can be processed.


[Click here to see which account settings are duplicated.](#)

Select the client account to be duplicated below, then click the **Create Duplicate** button.

Client Account ID:

sd fds sdfds U1056183

Account Name	Account Number	Username Second Authentication	Contact Details (Phone & Email)	Account Status	Trading Permissions
sd fds sdfds	U 1000 00 - 0000 - 00000	th f ds	11234567898 sd f ds @mail	O	Stocks - Cash

Duplicate 

3. Click **Duplicate**.
4. Click **OK** to confirm your request.

An email is sent to the client associated with the selected client account stating that the master account user has requested a duplicate account. The client must first acknowledge the request, then the request is processed overnight.

Duplicated Account Settings

When your request has been processed, the following account settings are duplicated:

For Advisor clients:

- SMA configuration
- Exchange caps
- Commission
- Client fees
- Flex Queries
- Delivery information
- DVP instructions

For Broker clients:

- Exchange caps
- Commission
- Flex queries
- Delivery information
- DVP instructions

For Single Trading Limit sub accounts:

- Exchange caps
- Commission
- Flex queries
- Delivery information

Client Account Templates

Advisors, Fully Disclosed Brokers and Fund Investment Managers can create client account templates in Account Management to save and re-use application information for new client accounts. Client account templates let you enter information such as customer type, base currency and trading permissions (including participation in our Stock Yield Enhancement Program), then quickly add that information to a client account application without having to re-enter the same information for multiple applications.

The Client Account Templates page lets Advisors, Fully Disclosed Brokers and Fund Investment Managers create, modify and delete client account templates. When you add client accounts from within Account Management, you will

have the option of selecting a saved client account template, which will prepopulate a portion of the client account application.

Advisors and Fully Disclosed Brokers whose clients begin their application at the Advisor's or Broker's own website can add a unique client ID to the Client Invitation sent to the client. For more information, see [Using a Custom ID for Advisor and Fully Disclosed Broker Client Applications](#).

Who can access the Client Account Templates page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization
- Broker Master User (Fully Disclosed only)

Click for more information:

- [Advisor Client Templates](#)
- [Broker Client Templates](#)

Advisor/Fund Investment Manager Client Templates

If you are an Advisor Master or Fund Investment Manager, you can [create](#), [modify](#) and [delete](#) re-usable client account templates.

To create a client account template for advisor clients

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**. Fund Investment Managers click **Manage Funds > Create > Client Account Templates**.
2. In the Pick template list, click **Create**.

Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template: Create... ▾

New template name:

Customer Type: Organization ▾

Base Currency: Choose One ▾

Funding Type: Any ▾

Margin: Choose One ▾

Products: ▾

3. In the new Template name field, type the name of the template.
4. In the Customer Type list, select a customer type (*Individual, Joint, IRA, Trust* or *Organization*).
5. In the Base Currency list, select the base currency for the client account.
6. In the Funding Type list, select the type of deposit that will be used to fund client accounts using this template.
7. In the Margin list, select the type of margin account (*Reg T* for a Reg T Margin account, *Cash* for a Cash account, *Portfolio* for a Portfolio Margin account or *Guaranteed Dollars and/or Cash Collateral*).

The following screen displays the available Trading Permissions for the selected Margin account type.

Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template:

New template name:

Customer Type:

Base Currency:

Funding Type:

Margin:

Products:

Country	Check All	Stocks	Bonds	Options	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-
United States (Algorithmic Execution Venue)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States example (Stock Yield Enhancement Program)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-

8. Select the trading permissions by clicking the appropriate check boxes, then click **Continue**.

Note that you use this screen the same way you use the Trading Permissions page in the *Manage Account > Trade Configuration > Permissions* menu.

- Complete the Investment Objectives and Intended Purpose of Trading, Investment Experience and Financial Information sections on the next page. You can skip any individual section on this page by clicking the Skip button, or you can omit all of this information from the client account template by clicking **Skip All** at the bottom of the page. Click **Continue** to go to the next page, **Back** to go back to the previous page or **Delete** to delete the current template.

Investment Objectives and Intended Purpose of Trading (Optional)

<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Income
<input type="checkbox"/> Growth	<input type="checkbox"/> Trading Profits
<input type="checkbox"/> Speculation	<input type="checkbox"/> Hedging

[Skip](#)

Please provide trading experience for each product below, the product listed below are based on the permissions you selected on the previous page. Click the Back button if you need to make any changes.

Investment Experience (Optional)

	Years Trading	Trades Per Year	Knowledge Level
Stocks	1 ▾	> 100 ▾	Good ▾

[Skip](#)

Financial Information (Optional)

Enter only numbers and no commas, dollar signs, decimals, or cents.

Net Worth (exclusive of residence)	< 20,000 ▾	USD
Liquid Net Worth	< 20,000 ▾	USD
Annual Net Income	< 40,000 ▾	USD
Total Assets	< 20,000 ▾	USD

[Skip](#)

[← Back](#)

 [✖ Delete](#)

 [Skip All →](#)

 [Continue →](#)

- Select the advisor fee methodology (No Fee, Automatic Billing, or Direct Billing) by clicking the appropriate radio button, then click **Continue**.

Note that this page is identical to the Client Fees page for advisors in the *Manage Clients > Fees > Configure* menu.

- Verify that all the information in the client template is correct, then click **Save**.

If any information is incorrect, click **Back**, then modify the information as required and click **Continue** until you return to the verification page.

When you begin the process of adding a new client account, you will be able to select your saved client account template.

To modify an existing client account template

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to modify.
3. Make changes as required, clicking **Continue** to advance through the pages.
4. Verify that all the information in the client template is correct, then click **Save**.

To delete an existing client account template

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to delete.
3. Click **Delete**, then click **OK**.

The template is deleted.

Broker Client Templates

If you are a Broker Master, you can [create](#), [modify](#) and [delete](#) re-usable client account templates

To create a client account template for broker clients

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click **Create**.

The screenshot shows a web interface for creating client account templates. At the top, there is a section titled "Client Account Templates" with a brief description: "Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application." Below this, there are two main sections. The first section contains a "Pick template:" dropdown menu with "Create..." selected, and a "New template name:" text input field with a red border. The second section contains several dropdown menus: "Customer Type:" with "Organization" selected, "Base Currency:" with "Choose One" selected, "Funding Type:" with "Any" selected, "Margin:" with "Choose One" selected, and "Products:" which is currently empty.

3. In the new Template name field, type the name of the template.
4. In the Customer Type list, select a customer type (*Individual, Joint, IRA, Trust* or *Organization*).
5. In the Base Currency list, select the base currency for the client account.
6. In the Funding Type list, select the type of deposit that will be used to fund client accounts using this template.
7. In the Margin list, select the type of margin account (*Reg T* for a Reg T Margin account, *Cash* for a Cash account, *Portfolio* for a Portfolio Margin account or *Guaranteed Dollars and/or Cash Collateral*).

The following screen displays an example of available Trading Permissions for a new broker client template.

Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template:

New template name:

Customer Type:

Base Currency:

Funding Type:

Margin:

Products:

Country	Check All	Stocks	Bonds	Options	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-
United States (Algorithmic Execution Venue)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States example (Stock Yield Enhancement Program)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-

8. Select the trading permissions by clicking the appropriate check boxes, then click **Continue**.

Note that you use this screen the same way you use the Trading Permissions page in the *Manage Account > Trade Configuration > Permissions* menu.

- Complete the Investment Objectives and Intended Purpose of Trading, Investment Experience and Financial Information sections on the next page. You can skip any individual section on this page by clicking the Skip button, or you can omit all of this information from the client account template by clicking **Skip All** at the bottom of the page. Click **Continue** to go to the next page, **Back** to go back to the previous page or **Delete** to delete the current template.

Investment Objectives and Intended Purpose of Trading (Optional)

<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Income
<input type="checkbox"/> Growth	<input type="checkbox"/> Trading Profits
<input type="checkbox"/> Speculation	<input type="checkbox"/> Hedging

[Skip](#)

Please provide trading experience for each product below, the product listed below are based on the permissions you selected on the previous page. Click the Back button if you need to make any changes.

Investment Experience (Optional)

	Years Trading	Trades Per Year	Knowledge Level
Stocks	1 <input type="text"/>	> 100 <input type="text"/>	Good <input type="text"/>

[Skip](#)

Financial Information (Optional)

Enter only numbers and no commas, dollar signs, decimals, or cents.

Net Worth (exclusive of residence)	< 20,000 <input type="text"/>	USD
Liquid Net Worth	< 20,000 <input type="text"/>	USD
Annual Net Income	< 40,000 <input type="text"/>	USD
Total Assets	< 20,000 <input type="text"/>	USD

[Skip](#)

[← Back](#)
[✖ Delete](#)
[Skip All →](#)
[Continue →](#)

- If you chose any Customer Type other than Organization, the next page that opens lets you select the market data subscriber status (Non-Professional or Professional). Click **I agree** in two places if you selected Non-Professional, then click **Continue**.
- Select news and market data subscriptions for the client templates by clicking the appropriate check boxes, then click **Continue**.

Note that you use this screen the same way you use the Market Data Subscriptions page in the *Manage Clients > Fees > Configure* menu.

Separate Data Services			Monthly Fee	Subscribe
- CUSIP (P)			2.00 USD	<input type="checkbox"/>
- Reuters Fundamentals (explain)			55.00 USD	<input type="checkbox"/>
- Reuters Basic Newsfeed (explain)			65.00 USD	<input type="checkbox"/>
- Wall Street Horizons (explain)			20.00 USD	<input type="checkbox"/>
- Marketwatch Research (explain)			Free	<input checked="" type="checkbox"/>

REGION/EXCHANGE	COUNTRIES	PRICE	
North America			
US Cmdty (P) (explain)	United States	Subject to Waiver (explain)	<input type="checkbox"/>
AMEX (P,L1) (explain)	United States	30.20 USD	<input type="checkbox"/>
AMEX Options (P,L2)	United States	60.00 USD	<input type="checkbox"/>
ArcaBook Eqty. (P) (explain)	United States	Free	<input type="checkbox"/>
ArcaBook Opt. (P,L2) (explain)	United States	60.00 USD	<input type="checkbox"/>

- Enter the client fees on a fee-per-trade basis and interest markups and markdowns that will be associated with this client account template, then click **Continue**.
- Verify that all the information in the client template is correct, then click **Save**.

If any information is incorrect, click **Back**, then modify the information as required and click **Continue** until you return to the verification page.

When you begin the process of adding a new client account, you will be able to select your saved client account template.

To modify an existing client account template

- Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates..**
- In the Pick template list, click the existing template you want to modify.
- Make changes as required, clicking **Continue** to advance through the pages.
- Verify that all the information in the client template is correct, then click **Save**.

To delete an existing client account template

- Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates.**
- In the Pick template list, click the existing template you want to delete.
- Click **Delete**, then click **OK**.

The template is deleted.

Set Up a Client Template with a Custom ID

Many Advisors and Fully Disclosed Brokers collect information from prospective clients on their own websites, and then send a client invitation to complete an electronic application from Account Management. You can create a Client Account Template and add the template application link to your own website and include a custom ID that allows you to match the information in the client's application to the information that you've already collected on your website.

To set up a client template using a custom ID for client applications started on your own website

1. Create a Client Account Template on the **Manage Clients > Create and Link Accounts > Create > Client Account Templates** page.
2. Send yourself a fully electronic client application invitation:
 - Click **Manage Clients > Create and Link Accounts > Create > New**, then click the **Client Invitation** button.
 - Select the **Client Account Templates** radio button and then select the client account template you created in Step 1. Click **Continue**.
 - Enter your name and email address, then click **Submit**. An email containing the link to the client application is sent to you. You can add this link to your website as is for the client to complete the application using the selected Client Account Template.
3. To use a custom ID, add the custom ID to the link to the client application by adding **&externalID=XXXXXXX** (where XXXXXXX is the custom ID) to the end of the link as shown below:

```
https://www.clientam.com/Universal/servlet/formWelcome?partnerID=abctest12&invitation_id=7380044-4&token=66104&invitedBy=cHN2ZmE0ODA%3D&externalId=1234567
```

We will store the custom ID that you provide.

4. We will return the custom ID field along with all the other client data collected in the client application to you as an XML schema via FTP delivery. The data is encrypted and you will have to provide a PGP key to access it.

Households

Advisors and Fully Disclosed Brokers with multiple accounts for a single family or an individual can group those accounts into a household to more efficiently manage those accounts. Individuals and Advisor and Broker clients can request that their accounts be grouped into a household to reduce the amount of paper mail they receive and to view consolidated reporting and account details in Account Management. The primary user of the household, called the Head of Household, is allowed to view reporting and account information of the other accounts in the household.

The Household page in Account Management lets Advisors and Fully Disclosed Brokers:

- [Create a household](#)
- [Add an account to a household](#)
- [Edit the name of a household](#)
- [Delete a household](#)

- [Change the Head of Household](#)
- [Remove an account from a household](#)

Who can access the Household?

You can access this page if you are a(n):

- Advisor Master User
- Fully Disclosed Broker Master User
- Additional account users who have been given access rights to the Household page.

Rules for Creating Households

Household groups are subject to the following rules:

- Once the Advisor or Broker creates a household, a paper form will be generated that can be submitted to the Advisor or Broker client if they choose to be included in the household. If the paper form is not submitted, the household will exist for the benefit of the Advisor or Broker only.
- Individuals who want to group their multiple accounts into a household can access Create Household PDF form by clicking a button at the bottom of the Household page. Use this form to submit a request to create a household. Advisor and Broker clients who want their accounts grouped into a household must ask their Advisor or Broker to initiate the household process.
- Accounts linked within a household remain separate, segregated customer accounts. Customers retain control over and are responsible for their individual accounts whether or not they are grouped in a household.
- Any account in a household is free to decide that he or she no longer wants to be linked to the other accounts in this household. If you remove an account from a household, the Head of the Household will no longer have any access to information about the account(s) removed.
- Accounts with the same last name with the same home address can be grouped in a household.
- The Advisor or Broker can designate a primary user as the Head of Household. This user will have the ability to access certain information about the other accounts in the household.
- Account holders in the same family but with different last name who are living at the same home address and who are in a dependent relationship can be grouped in a household.
- Organization accounts can be grouped in a household if the underlying organization is solely owned by or established for the benefit of the family members.
- Trust accounts can be grouped in a household if the current trust beneficiary's is the family.

To create a household

1. Click **Manage Clients > Create and Link Accounts > Household**.

Household

Use this page to create household groups.

Household Name	Head of Household	Status
AES		Pending

Search: Create Household Add Accounts to Household

Account Number	Account Alias	Account Title	Date Opened
<input type="checkbox"/> U1234567	Health Plan	Health Plan - 1234567 (g)	04/22/2004
<input type="checkbox"/> U1234567		Health Plan - 1234567 (g)	01/06/2011

PDF Create Household PDF Change Head of Household PDF Remove Account from Household

- If necessary, use the Search field to find the account number, account alias or account titles that you want to group together into a household. Type in the Search field; as you type, the list is reduced to display only those accounts that match your entry.

Note: Once you have created households, you can search for households on Account Management pages that includes the Smart Search field.

- Click the check box next to each account that you want to include in the new household.
- Click **Create Household**.
- In the Create Household dialog, type the name of the new household group. The accounts that you have selected to be included in the new household are displayed in the dialog. Click **Create**.

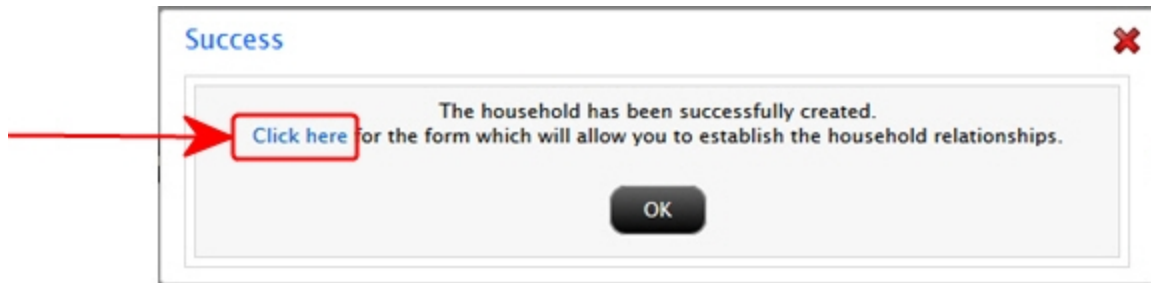
Create Household ✖

Household Name:

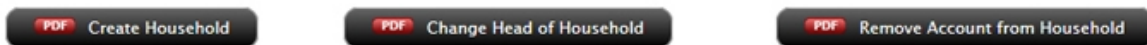
Accounts: U1234567, U1234567, U1234567

Create

- Click the *Click here* link in the Success popup to open a PDF form.



You can also access any of the required forms by clicking the appropriate button at the bottom of the page.



7. Complete the form, email it to your clients for their digital signatures and then submit the completed form to us.

Form to Establish Householding Relationship

Interactive Brokers offers a service called "householding" that allows the primary user of the household to view reporting and account information of the other accounts in the household.

You can use this form to group accounts that are not already linked into a single household. Your advisor/broker has set up a household for you. You are free to decide that you do not want to make use of this household, add additional customers to the household or remove some customers suggested by your advisor/broker to the household. Interactive Brokers will link eligible accounts designated by you and other customers as part of a household if the accounts are held by persons with the same last name and the same home address or who otherwise appear to be members of the same household.

Please note that accounts linked within a household will remain separate, segregated customer accounts. Householding simply allows the head of household read-only access to reporting and certain account information about accounts held by the rest of the household. The various members of the household retain control over and responsibility for their accounts, just as they did before they were added to the household.

Types of Account Eligible for Householding

The following types of accounts are eligible for householding if the accountholder signs this form or provides other suitable written authorization and provides an ID document if one is not already on file with IB and the accounts meet the criteria of a "household".

- Individual and Joint Accounts
- Trust Accounts
- UGMA/UTMA (Custodial Accounts)
- Traditional, Roth, Rollover, Inherited, SEP IRA Accounts

The person who will be the primary user of the household who will have the ability to access certain information concerning the other accounts in the household should provide his or her username and account number and sign and date below.

Username: **Account Holder Name:**

Signature: **Date:**

Step 1

Your advisor/broker has designated the following accounts to be in the household.

Each accountholder who wishes to be part of the household should provide his or her account number and sign and date below.

By signing below, each customer agrees that he or she is instructing Interactive Brokers to allow the above head of household to access information concerning the customer's IB account, including personal account information, account statements and other trading related reports and agrees to hold Interactive Brokers liable for any mis-use of this account information by the above head of household.

Account Number: **Account Holder Name:**

Signature: **Date:**





Account Number: **Account Holder Name:**

Signature:

- 8. Click **OK** in the Success popup to close the popup.
The new household is added to the list of households.

Household

Use this page to create household groups.

Household Name	Head of Household	Status	
▶ AES		Pending	 
▶ Jones Household		Pending	 

Search: Create Household Add Accounts to Household

Account Number	Account Alias	Account Title	Date Opened
<input type="checkbox"/> U 1234567	Health Care	Healthcare 1234 Plan	04/22/2004
<input type="checkbox"/> U 1234567		Healthcare 1234 Plan	01/06/2011

PDF Create Household PDF Change Head of Household PDF Remove Account from Household

To add accounts to a household

1. Click **Manage Clients > Accounts > Household**.
2. If necessary, use the Search field to find the account number, account alias or account titles that you want to add to a household. Type in the Search field; as you type, the list is reduced to display only those accounts that match your entry.
3. Click the check box next to each account that you want to add to a household.
4. Click **Add Accounts to Household**.
5. In the Add Accounts to Household dialog, select the household to which you want to add the selected accounts, and then click **Add**.

Add Accounts to Household ✕

Household: Jones Family

Accounts: U 1234567

Add

6. Click the *Click here* link in the popup to open a PDF form.

You can also access any of the required forms by clicking the appropriate button at the bottom of the page.

PDF Create Household PDF Change Head of Household PDF Remove Account from Household

7. Complete the form, email it to your clients for their digital signatures and then submit the completed form to us.
8. Click **OK** in the Success popup to close the popup.

To edit the name of a household

1. Click **Manage Clients > Accounts > Household**.

Household Name	Head of Household	Status	
AES		Pending	 
Jones Family		Pending	 

2. In the in the list of households, click the blue pencil icon for the household whose name you want to edit.
3. In the Edit Household dialog, type the new name of the household, then click **Edit**.

Edit Household Name ✕

Household Name:

Edit

The household name is changed immediately.

To delete a household

1. Click **Manage Clients > Accounts > Household**.
2. In the list of households, click the X icon for the household you want to delete.

Household Name	Head of Household	Status	
AES		Pending	 
Jones Family		Pending	 

3. In the Edit Household dialog, type the new name of the household, then click **Edit**.

Delete Household ✕

Are you sure you want to delete this Household?

Cancel
Delete

- In the Delete Household dialog, confirm that you want to delete the household by clicking **Delete**. Click **Cancel** if you change your mind.

The household no longer appears in the Household Name section of the page.

To change the Head of Household

- Click **Manage Clients > Accounts > Household**.
- Click the **Change Head of Household** button to display the correct PDF form.



- Complete the form, email it to your clients for their digital signatures and then submit the completed form to us.

To remove an account from a household

The advisor, broker or head of household has the authority to remove non-head of household accounts from the Household page in Account Management.

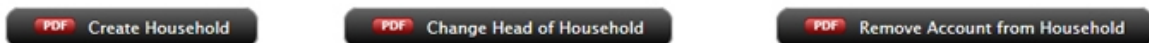
- Click **Manage Clients > Accounts > Household**.
- In the list of households, click a household to expand it and display a list of accounts in that household .

Household Name	Head of Household	Status	
▶ Jones Family		Pending	
▶ Nilbog		Pending	
▶ Team Phillips		Pending	
▼ The Smiths	sergio345	Approved	
U 1188211		Approved	
U 1188280		Approved	
U 1188210		Approved	

- Click the **X** icon for the account you want to remove from the household.
- Click **Delete** in the Remove Account from Household popup.

If you have a stand-alone account:

If you have a stand-alone account such as an Individual account and you want to remove an account from your household, you must use the form accessible via the Remove Account from Household button at the bottom of the page.



Link Client Accounts

Advisors and Fully Disclosed Brokers can link multiple individual and/or joint accounts for a client under a single username and password. Once these client accounts are linked, they will be able to access our trading platforms and Account Management for any of the linked accounts using a single username and password. For example, you might have a client who maintains more than one account.

Linking multiple client accounts under a single username and password offers these benefits:

- Single sign-on for all accounts;
- Single Secure Login device;
- Activity fee minimums based on consolidated commission;
- Consolidated reporting of accounts.

Who can access the Link Existing Client Accounts page?

You can access this page if you are a(n):

- Advisor Master User
- Fully Disclosed Broker Master User

To link existing client accounts

1. Log into Account Management with your username and password, then enter the codes from your Secure Login Device as instructed on the login screen.
2. Click **Manage Clients > Create and Link Accounts > Link Client Accounts**.

Link Client Accounts

Linking your clients' multiple accounts under a single username offers the following benefits:

- » Single sign-on for all accounts
- » Single Secure Login Device
- » Activity fee minimums are determined based on consolidated commissions
- » Consolidated reporting of accounts

Select the clients whose accounts you want to link:

Select One ... ▼

3. From the drop-down, select the client whose multiple accounts you want to link. Note that only eligible client accounts will appear in the drop-down.

A list of all accounts for this client appears.

Link Client Accounts

The following table shows all client accounts belonging to a customer available for linking. Only usernames with the highest level security device in possession of your client will be available for your client single username.

[Click here for guidelines](#)

	Username	Account ID	Account Title	Device Type
<input type="radio"/>	XXXXXXXXXX	U 123456	Applicant 123456	No security device
<input checked="" type="radio"/>	XXXXXXXXXX	U 123456	Applicant 123456	Bingo Card

← Back

Link Accounts →

- Click the radio button next to the account whose username you want to use for all linked accounts. This will be the username you use to log into Account Management and our trading platforms.
- Click **Link Accounts**.

A page opens that displays the individual and financial information for the client accounts to be linked .

- Review each of the line items below and, where differences exist, select the radio button next to the entry which is correct. Note that this information must be identical across all accounts in or the account will not be linked.

If none of the entries provided are correct, your client can correct the information on the **Manage Account > Account Information > Details > Profile** page and the **Manage Account > Account Information > Details > Financial Information** page.

- If there is saved bank information for both accounts being linked, you are prompted to select which bank information to save.
- After you have entered the username, password and authentication values for each account to be linked, a screen appears that displays the individual and financial information that you maintain for the accounts to be linked. Click **Continue**.

A screen appears confirming your request. If you wish to cancel your link request, click the *here* link on the page.

Close Account

Broker Master Users and Proprietary Trading Group STL Master Users use this Close Account page to submit a request to close a non-disclosed client account or sub account. If you have one or more open client/sub accounts, your request to close your account will not be processed until all client/sub accounts are closed.

For USD-based accounts, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, you will have the opportunity to select one. If you do not have any ACH bank instructions, we will issue a check to your U.S. mailing address on file. For all non-USD based accounts, we will issue a wire based on the banking instruction on file.

Note: These instructions describe how to use the Close Account page in Account Management. The instructions on the Close Account page summarize the steps that you must take to close your account. For a more detailed description of the account closure process, see [How to Close Your Account](#).

Who can access the Close Account page in the Manage Clients menu?

You can access this page if you are a(n):

- Broker Master User (non-disclosed client accounts)
- Proprietary Trading Group STL Master User

To close an account from Account Management

1. Click **Manage Clients > Create and Link Accounts > Close**. Proprietary Trading Group STL Master Users click **Manage Traders > Close**.

Close Account

We regret that you have decided to close your Interactive Brokers account. To close your account, complete the following steps:

We will issue a check as the final account closing withdrawal.

Step 1	Liquidate or transfer all positions. Accounts with positions cannot be closed.
Step 2	Transfer all funds into your base currency. Closing account withdrawals must be made in your base currency.
Check your mailing address (check)*. Since your base currency is USD, we will issue a check to the U.S. mailing address on file.	
Step 3	<p>* Your mailing address of record is:</p> <p style="text-align: center;">517 Sultan Road Test CA 11111 United States</p> <p>If the address listed above is incorrect, update your mailing address on the <i>Account Details</i> page, which is available from the <i>Account Information</i> menu. Additionally, verify your wire instructions on the <i>Funding Instructions</i> page.</p>
Step 4	Unsubscribe from your market data subscriptions on the <i>Market Data Subscriptions</i> page, which is available from the <i>Trading</i> menu. If you do not unsubscribe, you will continue to be charged for your market data subscriptions until the account is closed.

Note:

- » If all funds are in the base currency, then a close account withdrawal will automatically be sent. Customers in the *Secure Login System* will also need to complete a *Withdrawal Request* form using their secure device.
- » Print out all statements and tax forms. Your access to Account Management will only be available for a limited time after your account is closed.
- » Your account will be held open for 3 months after you receive your closing withdrawal to collect any possible future dividends, interest, or corporate actions. Any ACH deposits currently on hold will be sent back to the same bank within the hold period. After that time your account will be closed permanently. Check back to see if any balance has been created on future statements.
- » Save your username and password for future access to statements.

2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account you want to close.

Note: You must close all client accounts that you manage before you can close your own account.

3. Read the instructions on the page carefully. If your account is USD-based, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, select the one you want to use from the drop-down list.

If you do not have an ACH bank instruction on file, we will issue a check. Verify your US mailing address displayed on the screen.

4. Specify the reason you are closing your account by clicking the appropriate check boxes.
5. Click **Submit**.
6. Click **Cancel** on the next page if you change your mind and do not want to close the account.

The Close Account page will display the status of your request.

Close a Non-Disclosed Broker Client Account

Complete the following steps to close a non-disclosed broker client account. Note that for USD-based accounts, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, you will have the opportunity to select one. If you do not have any ACH bank instructions, we will issue a check to your U.S. mailing address on file. For all non-USD based accounts, we will issue a wire based on the banking instruction on file.

1.	<p>Liquidate or Transfer Positions Accounts with positions cannot be closed. You must either liquidate, or transfer all positions to another brokerage firm. Please contact your broker for transfer instructions.</p> <p>To check your positions, log in to Account Management and select Reports > Activity. View your latest statement to verify that all positions have been liquidated or transferred.</p>
2.	<p>Convert Foreign Currencies Closing withdrawals may only be made in your base currency. You must convert any foreign currency you may hold back to your account's base currency. The conversion can be processed using the FXTrader in our desktop trading platform. If you need assistance with the conversion process please contact our Trade Desk.</p>
3.	<p>Verify Bank Wire Instructions For all non-USD based accounts, we will issue a wire based on the saved bank information (instruction) on file. If you do not have any saved bank information (instruction) for a Wire Withdrawal, create one.</p>
4.	<p>Cancel Market Data Subscriptions You need to cancel your market data subscriptions when you close your account.</p> <p>To cancel subscriptions, log in to Account Management, then select Manage Account > Trade Configuration > Market Data. Deselect checkboxes to cancel your subscriptions, then click Continue.</p>
5.	<p>Return Secure Login Device If you participate in the Secure Login System, you must return your secure login device. Cash balances will be reduced by the cost of the device (between USD 20 and USD 150 depending on device) until the secure login device is returned.</p> <p>For more information regarding how to return the device please contact our Technical Assistance Department or visit our web site: http://ib-kb.interactivebrokers.com/node/975</p>
6.	<p>IRA Accounts Withdrawals IRA account holders will need to complete an IRA Withdrawal on the Funding > Fund Transfers page in Account Management and specify the type of withdrawal for government tax reporting purposes.</p>

7.	<p>Ensure Recent Deposits Have Cleared</p> <p>All recent deposits, such as ACH, check and wire transfers, must have time to clear according to the Customer Deposit Credit and Hold Periods policy before your request to close your account can be honored.</p>
8.	<p>Check Statements and Tax Forms</p> <p>To access activity statements and tax forms, log in to Account Management and open the Reports menu.</p> <p>Note: This information will only be available for a limited time after your account is closed. You will need to save your username and password for future access to statements.</p>
9.	<p>Close Account</p> <ol style="list-style-type: none"> 1. After you have completed all of the previous steps, log in to Account Management and select Manage Clients > Close Account. <ul style="list-style-type: none"> ◦ For USD-based accounts only, we will initiate an ACH transfer if you have an existing ACH bank instruction. If you have more than one ACH bank instruction, select the ACH bank instruction you wish to use from the drop-down list on the Close Account page. ◦ For USD-based accounts only, if you do not have an existing ACH bank instruction, you can either create one in Account Management on the Fund Transfers page, or we will issue a check to your U.S. mailing address on file. In the latter case, confirm that we have your correct U.S. mailing address by checking the address displayed on the Close Account page. <p>To make changes, open the Profile page in Account Management by selecting Manage Account > Account Information > Details.</p> 2. Specify the reason you are closing your account by clicking the appropriate check boxes. 3. Click the Submit button to submit your request. <p>Your account will be held open for three months after you receive your closing withdrawal to collect any possible future fees, dividends, interest, or corporate actions. After that time, your account will be closed permanently.</p> 4. Check back to see if any balance has been created on future statements. 5. You can view the status of your request to close your account by logging in to Account Management and selecting Manage Clients > Account Closure Status.

Note: If the above criteria are not met, our system will be unable to process your account closure request. Inactivity fees will continue to be deducted from an account until the above steps are completed, including the return of any Secure Login System device. Also note that funds held to secure the return of the security device may not be withdrawn until the device has been returned, and will be applied to meet any inactivity or market data fees.

Account Closure Status

The Closure Status page lets Non-Disclosed Brokers who have submitted requests to close a client's account view the status of their request.

To check the status of account closure request

1. Login into Account Management. Note that Account Management for closed accounts displays an abbreviated menu.
2. Click **Manage Clients > Accounts > Close Account**.

The Closure Status page displays.

Any pending or outstanding items required to close your account are displayed on the screen.

Create (for Multiple Fund Investment Managers)

The Create menu includes the following pages:

- [New \(Add Client Account\)](#) - Advisor Master Users, Broker Master Users and Investment Manager Master Users can add client, sub and fund accounts.
- [Duplicate](#) - Advisor Master Users, Broker Master Users and Investment Manager Master Users can request up to five duplicate accounts for an existing client account.
- [Client Account Templates](#) - Advisor Master Users, Broker Master Users and Investment Manager Master Users can create templates to save and re-use application information for new client/fund accounts.

Add Client Account

The Add Client Account page lets you add a client or sub account. Depending on the type of account you have, from this page you can:

- [Methods of completing an account application](#)
- [Steps in the application process](#)
- [Send an invitation to a client to start an electronic application.](#)
- [Start a semi-electronic application.](#)
- [Download a copy of the client disclosures.](#)
- [Add a fully disclosed broker client account.](#)
- [Add Advisor, STL and Multiple Hedge Fund Accounts to a Fully Disclosed Broker Account](#)
- [Add an Advisor to an Advisor Account](#)
- [Add a non-disclosed broker client account.](#)
- [Add a fund account or a separately managed account \(SMA\) to a Multiple Hedge Fund account.](#)

Advisors and Fully Disclosed Brokers whose clients begin their application at the Advisor's or Broker's own website can add a unique client ID to the Client Invitation sent to the client. For more information, see [Using a Custom ID for Advisor and Fully Disclosed Broker Client Applications](#).

Who can access the Add an Account page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization
- Broker Master User (non-disclosed only)
- Investment Manager Master User

Methods of Completing an Account Application

When you add an account, you start and complete the account application process. There are two methods of completing an account application:

- Fully electronic
- Semi-electronic

The following table lists the methods of completing an application for all account structures.

Account Structure	Available Methods of Completing an Account Application
Singles	Fully electronic
Advisor Master Users	Fully electronic Semi-electronic
Advisor Client Users	Fully electronic Semi-electronic
Broker Master Users	Fully electronic Semi-electronic
Broker Fully Disclosed Client Users	Fully electronic
Broker Non-Disclosed Client Users	Abbreviated electronic application
Broker Omnibus Client Users	None (client accounts are not required)
Investment Manager Master User	Fully electronic Semi-electronic
Fund	Fully electronic Semi-electronic
Separately Managed Account (SMA)	Semi-electronic
Proprietary Trading Group Master User	Fully electronic Semi-electronic
Proprietary Trading Group Sub User	Abbreviated electronic application

Steps in the Application Process

When you complete a fully electronic account application, the steps include:

1. Specify the customer type and base currency
2. Enter financial information, including date of birth, investment objectives and experience, net worth and annual net income.
3. Select the account type and trading permissions, including products you want to trade and countries in which you want to trade.
4. Confirm the account configuration you selected in the previous steps.
5. Accept our ID Procedures.
6. Enter name, address and telephone information.
7. Enter mailing address information.
8. Enter personal information.
9. Specify individual regulatory information.
10. Complete a W-8BEN form
11. Specify advisor fees.
12. Review the application for errors.

Inviting a Client to Start an Electronic Application

If you are an Advisor Master User, you can send an email invitation to your client, who then completes an account application electronically. Fully Disclosed Brokers can also send email invitations to clients. See [Adding a Fully Disclosed Broker Client Account](#).

To send an invitation to a client to start an electronic application

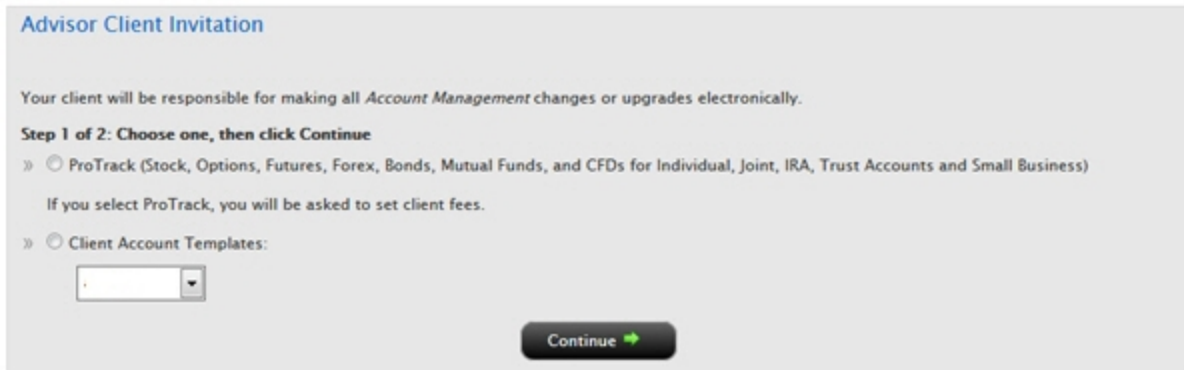
1. Advisors and Brokers click **Manage Clients > Create and Link Accounts > Create > New**.
Fund Investment Managers click **Manage Funds > Create > New**.

The Add Client Account page opens.



2. Click **Client Invitation** for a Fully Electronic Application.

The Advisor Client Invitation page opens.



Advisor Client Invitation

Your client will be responsible for making all *Account Management* changes or upgrades electronically.

Step 1 of 2: Choose one, then click Continue

- » ProTrack (Stock, Options, Futures, Forex, Bonds, Mutual Funds, and CFDs for Individual, Joint, IRA, Trust Accounts and Small Business)
If you select ProTrack, you will be asked to set client fees.
- » Client Account Templates:

Continue →

3. Select the type of application for your client:

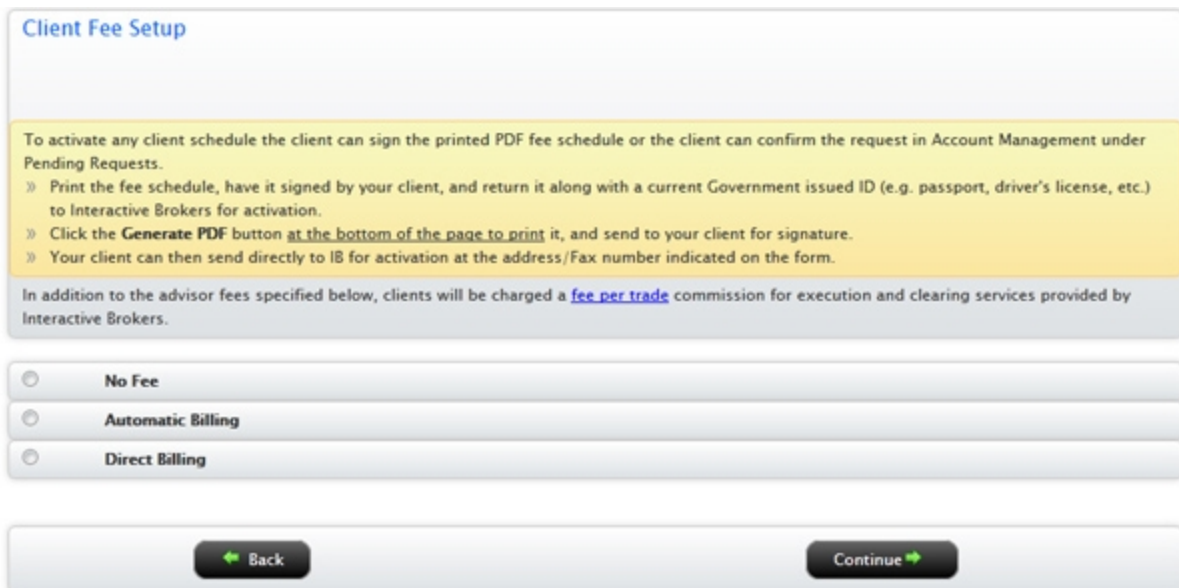
- **ProTrack** - This is a full account application for Individual, Joint, IRA, Trust and Small Business clients who want to trade stocks, options, futures, forex, bonds, mutual funds, and CFDs.
- **Client Account Templates** - Select this option if you want to use a Client Account Template that you have created, and then select the desired template from the drop-down menu.

If you select ProTrack, you will be asked to set client fees.

- **IB FastTrack US NonPro template** - This is a short application for Individual, Joint and IRA clients who want to trade only stocks in their country of legal residence.

4. Click **Submit**.

The Client Fee Setup page opens.



Client Fee Setup

To activate any client schedule the client can sign the printed PDF fee schedule or the client can confirm the request in Account Management under Pending Requests.

- » Print the fee schedule, have it signed by your client, and return it along with a current Government issued ID (e.g. passport, driver's license, etc.) to Interactive Brokers for activation.
- » Click the **Generate PDF** button at the bottom of the page to print it, and send to your client for signature.
- » Your client can then send directly to IB for activation at the address/Fax number indicated on the form.

In addition to the advisor fees specified below, clients will be charged a [fee per trade](#) commission for execution and clearing services provided by Interactive Brokers.

- No Fee**
- Automatic Billing**
- Direct Billing**

← **Back** **Continue** →

5. Select the type of fees for the client:

- **No Fee** - An advisor chooses not to charge his or clients a fee for services rendered.
- **Automatic billing** - A calculated fee is automatically billed to the client's account with blanket client authorization. Be aware that [Automatic Billing](#) is subject to certain caps and limitations.

Advisors can choose one of several methods of automatic billing:

- Annualized Percentage of Net Liquidation Value
- Annualized Flat fee
- Percent of Profit and Loss (P&L)
- Fee per trade unit
- Monthly/Quarterly Invoicing - Advisors can submit electronic invoices for client fees. Invoices can be submitted for up to ten clients at a time, but only one invoice can be submitted per client account per day. Advisors can also upload a .csv file that contains multiple client invoices.

Click here for automatic billing examples.

- **Direct billing** - The Advisor bills the client directly. We will not remove funds from the client's account.

Regardless of the method chosen, advisors determine the fees at the time of the client's registration, and can modify them at any time. Advisor clients are required to acknowledge any fee increase with a signature.

Note: In addition to the advisor client fees specified, clients will be charged a fee per trade commission for execution and clearing services provided by us.

6. Click **Continue**.

7. Enter the client's name and email address, then click **Submit**.

An email is sent to the client, inviting him or her to complete an account application electronically.

Starting a Semi-Electronic Application

If you are an Advisor Master User or a Fund Investment Manager, you can add an account using a semi-electronic application. Fund Investment Managers can add fund accounts or separately-managed accounts (SMAs). For this type of application, you complete the application electronically, print out a paper copy for the client to sign, then send the signed application to us for processing. Fully Disclosed Brokers can also add clients using a semi-electronic application. See [Adding a Fully Disclosed Broker Client Account](#) for details.

To start a semi-electronic application

1. Click **Manage Clients > Create and Link Accounts > Create > New**.

Add Client Account

We offer three methods for completing a client application; a fully electronic, a semi-electronic, and a paper application. Under the fully electronic method, you send an email invitation to the client and the client completes an electronic application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation ➔
Semi Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Electronic Client Application ➔

Fund Investment Managers click **Manage Funds > Create > New**.

Add Hedge Fund Client Account

We offer three methods for completing a Hedge Fund application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

It is strongly recommended that you use the semi-electronic application for your clients as the paper application will take longer to process and can be prone to errors.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation ➔
Semi-Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Start Application ➔
Paper Application	(Print blank application and send to client to complete.)	Start Application ➔
Download a copy of the client disclosures. Paper applications sent to the client must include this disclosure.		Print Disclosures

Add SMA Account

We offer three methods for completing a SMA application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation ➔
Semi Electronic Application	(Electronically complete client application, including Self-Directed IRA Third Party Custodian accounts, print, and send to client for signature.)	Electronic Client Application ➔
Paper Application	(Print blank application and send to client to complete.)	Start Application ➔
Download a copy of the client disclosures. All applications sent to the client must include this disclosure.		Client Disclosures ➔

2. Advisors click **Electronic Client Application** for a Semi Electronic Application. Fund Investment Managers click **Start Application** for either a new Hedge Fund account or a separately managed Individual account.
3. Select the type of client account you wish to open, then click **Continue**
The first page of the electronic registration system appears.

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English | 繁體中文 | 簡體中文
Deutsch | Español | Français
Italiano | 日本語 | Русский

Print Logout

1 Create — 2 Details — 3 Funding — 4 Approval — 5 Configure — 6 Agreements — 7 Complete

Registration * = Required

Welcome to the IB electronic registration system.
At the end of the registration process you will have the opportunity to print a PDF application document that you can send to your client for signature.
Your progress during the registration process will always be displayed on the left of the screen. If you need to view or modify your completed steps, click on the links on the left to navigate back to the desired screen.
Once the customer has been approved, they will be sent a username and password by mail.

Username*
Must include six letters and three different numbers, all lower case

Email Address* (used for all future correspondence)

Confirm Email Address*

Country of Legal Residence/Formation*

Continue →

Call Us
Monday - Friday
1 (312) 542-6901
1 (877) 442-2757

Help Topics
No content found

4. Follow the instructions on the screen to complete the electronic application. Your progress during the process is displayed in the left pane, showing you the steps you have completed and the steps you have yet to complete.
5. When you have completed the electronic application process, print the completed application and send it to your client for his or her signature.

Downloading Client Disclosures

You can download client disclosure forms from the Add Accounts page in Account Management.

To download client disclosures

1. Advisors and Brokers click **Manage Clients > Create and Link Accounts > New**.
Fund Investment Managers click **Manage Funds > Create > New**.

Add Client Account

We offer three methods for completing a client application; a fully electronic, a semi-electronic, and a paper application. Under the fully electronic method, you send an email invitation to the client and the client completes an electronic application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Electronic Client Application →

2. In the Paper Application section of the Add Accounts page, click **Client Disclosures**. The Client Disclosures page opens.
3. Download zipped or unzipped client disclosure forms by clicking the appropriate button.

If you choose Zipped, you are prompted to save a zip file to your computer. The zip file is a large group of files compressed into a smaller file that must be unzipped before you read any files. If you choose unzipped forms, the forms appear in a PDF document that you can save to your computer and print.

Adding a Fully Disclosed Broker Client Account

Fully Disclosed Brokers can add client accounts from their Broker master account.

To add a fully disclosed broker client account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.

The Broker Client Invitation page opens.

2. Click **Client Invitation** to send an invitation to initiate a fully electronic application process for a client. The broker client will be able to select the type of account at the very beginning of his or her application.

You can also select **Electronic Client Application** to initiate a semi-electronic application. For this type of application, you complete the application electronically, print out a paper copy for the client to sign, then send the signed application to us for processing.

3. Enter the name and email address of the applicant, then click **Continue**.

A confirmation page opens to inform you that the invitation has been sent to the applicant's email address.

4. If you have created and saved a client account template, select it from the Client Account Templates list. Client account templates include a selected fee methodology, so you don't have to specify fees if you use a client account template. This field does not appear if you do not have any saved client account templates.
5. Click **Continue**. The Pending Items page opens.

Adding Advisors, STL and Multiple Hedge Fund Accounts to a Fully Disclosed Broker Account

If you are a Fully Disclosed Broker, you can add the following types of institution accounts to your account structure from your master account:

- [Advisor](#)
- [Proprietary Trading Group Separate Trading Limit \(STL\)](#)
- [Multiple Hedge Fund](#)

These institution accounts can have their own client, sub or fund accounts, making your account structure a three-level account.

For detailed rules governing three-level Fully Disclosed Broker accounts, see [Rules for Three-Level Fully Disclosed Broker Accounts](#).

Adding an Advisor Account

To add an Advisor to your Fully Disclosed Broker account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.
2. Click **Client Invitation** to send an invitation to initiate a fully electronic application process. Currently, only fully electronic applications are available for adding an advisor to a Fully Disclosed Broker account.
3. The client begins his or her application by selecting **Financial Advisor** as the account type, and then completes an Advisor Account application. Financial and trading criteria are applied separately at the advisor and advisor client levels.
4. After the advisor application has been approved, the advisor can log into Account Management with his own username and password, and then add one or more client accounts on the **Manage Clients > Create and Link Accounts > Create > New** page. Fully Disclosed Brokers cannot add client accounts to the Advisor account; these must be added by the advisor.

Note: As a Fully Disclosed Broker, your trading qualifications (products you are qualified to trade) determine the trading qualifications that are available to the new advisor and the advisor's clients.

Adding an STL Account

To add an STL account to your Fully Disclosed Broker account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.
2. Do one of the following:
 - Click **Client Invitation** to send an invitation to initiate a fully electronic application process.
 - Click **Electronic Client Application** to start the semi-electronic application process.

- Click **Start Application** to print a paper application.
3. If you selected the fully electronic application, the Broker Client Invitation page opens. Complete this page, including entering the name and email of the applicant, and then click **Continue**. The invitation will be sent to the email address you enter and the client completes the application.

If you selected the semi electronic application, you will be prompted to selected the account type for the new client. Select **Institution** as the account type, and then click **Continue**. The account application opens. This client will be the Proprietary Trading Group STL Master user.

If you selected the paper application, you will be prompted to selected the account type for the new client. Select **Institution** as the account type, and then click **Continue**. Complete the steps as described on the screen to print the paper application.

4. After the application has been completed and approved, the new client can log into Account Management with his own username and password, and then add sub accounts from the **Manage Traders > Traders > Create > Authorized Trader** page. Fully Disclosed Brokers cannot add sub accounts to the STL account.

Note: The STL and its sub accounts belong to the same beneficiary.

Adding a Multiple Hedge Fund Account

To add a Multiple Hedge Fund account to your Fully Disclosed Broker account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.
2. Do one of the following:
 - Click **Client Invitation** to send an invitation to initiate a fully electronic application process.
 - Click **Electronic Client Application** to start the semi-electronic application process.
 - Click **Start Application** to print a paper application.
3. If you selected the fully electronic application, the Broker Client Invitation page opens. Complete this page, including entering the name and email of the applicant, and then click **Continue**. The invitation will be sent to the email address you enter and the client completes the application.

If you selected the semi electronic application, you will be prompted to selected the account type for the new client. Select **Multiple Funds** as the account type, and then click **Continue**. The account application opens. This client will be the Multiple Hedge Fund Investment Manager user.

If you selected the paper application, you will be prompted to selected the account type for the new client. Select **Multiple Funds** as the account type, and then click **Continue**. Complete the steps as described on the screen to print the paper application.

- Financial and trading criteria are applied separately at the Fund Investment Manager and fund levels.
4. After the multiple hedge fund application has been approved, the Fund Investment Manager can log into Account Management with his own username and password, and then add one or more fund or SMA accounts on the **Manage Funds > Funds > Create > New** page. Fully Disclosed Brokers cannot add fund or SMA accounts to the Multiple Funds account; these must be added by the Fund Investment Manager.

For more information

- [Linking to an Advisor- or Broker-Managed Account](#)

Rules for Three-Level Fully Disclosed Broker Accounts

Fully Disclosed Broker accounts with Advisor, Proprietary Trading Group Separate Trading Limit (STL) and Multiple Hedge Fund accounts (three-level accounts) are subject to the following rules.

Function	Advisor Account	Proprietary Trading Group STL Account	Multiple Hedge Fund Account
Trading	<p>The Fully Disclosed Broker can trade for advisor client accounts.</p> <p>The Fully Disclosed Broker cannot allocate trades advisor client accounts.</p> <p>The advisor can trade for and allocate trades to Advisor client accounts.</p> <p>The Fully Disclosed Broker can apply trading restrictions to the Advisor Master account but not to the Advisor clients accounts.</p> <p>The products that the Fully Disclosed Broker is approved to trade determine the products that the advisor can trade. In other words, the advisor cannot trade products that the broker has not been approved to trade.</p> <p>The advisor cannot link to money managers in a three-level broker account structure.</p>	<p>The Fully Disclosed Broker can trade for the STL Master account but not for any of the STL sub accounts.</p> <p>The Fully Disclosed Broker can apply trading restrictions to the STL Master account but not to the STL sub accounts.</p> <p>The products that the Fully Disclosed Broker is approved to trade determine the products that the STL Master can trade. In other words, the STL Master cannot trade products that the broker has not been approved to trade.</p>	<p>The Fully Disclosed Broker can trade for Fund accounts.</p> <p>The Fully Disclosed Broker cannot allocate trades to Fund accounts.</p> <p>The Fund Investment Manager can trade for multiple Funds in an Allocation Account and assign trades before the end of the day to specific cleared Fund Accounts.</p> <p>The Fund Investment Manager can pre-trade allocate for fund accounts.</p> <p>The Fully Disclosed Broker can apply trading restrictions to the Fund Investment Manager account but not to Fund or SMA accounts.</p> <p>The products that the Fully Disclosed Broker is approved to trade determine the products that the Investment Manager can trade. In other words, the Investment Manager cannot trade products that the broker has not been approved to trade.</p>

Margin	Each advisor client account is individually margined.	The Broker Master account and client accounts are margined separately.	Each Fund account is individually margined.
Markups and Fees	<p>The broker can enter a markup schedule for the advisor just as they can for their fully disclosed broker clients.</p> <p>The advisor can enter fee and markup schedules for their clients.</p> <p>The advisor client will be charged both markup schedules. If there are two markups for Non-US Advisor clients, the markups will be combined into one markup. If there is a markup and an advisor client fee configured as a Percent of Net Liquidation Value, the fees will appear separately.</p> <p>Broker markups will be placed in the Broker Master account and swept to the broker's trading account at the end of the day.</p> <p>Advisor client fees will be placed in the Advisor Master account.</p>	<p>The broker will enter a markup schedule for the STL Master account just as they can for organization client accounts. Markups for STL sub accounts are never placed in the STL Master account.</p> <p>Broker fees will be placed in the Broker Master account and swept to the broker's trading account at the end of each day.</p>	The broker can enter a markup schedule for the Fund Investment Manager just as they can for their fully disclosed broker clients.

Funding	<p>Brokers can perform funding functions on behalf of an advisor but not the advisor's clients.</p> <p>Advisor clients may complete a deposit notification in Account Management if they have a username and password. If they don't, the advisor can also complete a deposit notification for his clients.</p>	<p>Brokers cannot perform any funding functions on behalf of an STL account.</p> <p>All existing standalone STL funding functions will be available to the STL under the broker.</p> <p>Deposits and withdrawals must be made from the STL Master account and transferred to/from the sub accounts.</p>	<p>Brokers can perform funding functions on behalf of a Multiple Hedge Fund Investment Manager (the Master account) but not the individual Fund accounts.</p> <p>The Fund Investment Manager can deposit funds for individual fund accounts, and individual funds can deposit funds into their own accounts.</p>
Reporting	<p>An advisor in a Fully Disclosed Broker account has access to all of the reports that are available to any Advisor Master.</p> <p>The broker can view a consolidated statement for each Advisor group.</p> <p>All tax reporting for the Advisor and his clients will be performed by us.</p>	<p>The STL account under a broker has access to the same reports available as a standalone STL account.</p> <p>The broker can see STL accounts on an individual and/or consolidated basis.</p> <p>All tax reporting for the STL account will be performed by us.</p>	<p>The Fund Investment Manager has access to all of the reports that are available to any Multiple Fund Investment Manager.</p>
White Branding	<p>White branding is supported for an advisor under a Fully Disclosed Broker account.</p>	<p>White branding is supported for an STL account under a Fully Disclosed Broker account.</p>	<p>White branding is supported for a Multiple Hedge Fund account under a Fully Disclosed Broker account.</p>
Manage Clients > Accounts > View Menu	<p>Fully Disclosed Brokers can view Summary and client account details for the Advisor Master account and its client accounts.</p>	<p>Fully Disclosed Brokers can view Summary and client account details for the STL Master account and its sub accounts.</p>	<p>Fully Disclosed Brokers can view Summary and client account details for the Fund Investment Manager account and its fund accounts.</p>

Adding a Non-Disclosed Broker Client Account

Non-disclosed Brokers can add non-disclosed client accounts from their Broker master account.

To add a non-disclosed broker client account

1. Click **Manage Clients > Create and Link Accounts > Create > New**.

The Add Non-disclosed Account page opens.

Add Non-disclosed Account

Please complete the following information in order to create a new non-disclosed account managed by you.

Client Account Configuration

Country of legal residence or country of formation ([explain](#)) Please select a country

Base currency Please select

Customer Type Please select

Account Capabilities ([explain](#))

- Stock
- Options
- Margin
- Futures
- Futures Options
- Stock Futures
- Fixed Income

Does the customer meet IB's Anti-moneylaundering Customer Identification Procedures? Yes No

Please enter the Account ID/reference # of this customer in your system. IB will generate its own unique Account ID when the account is created.

Username and Password

Enter a nine character username. Must include six lower case letters and three different numbers.

Username:*

Password:*

Username and Password are both case-sensitive.

Confirm Password:*

Record your password. For security reasons you will not be shown your password again.

Submit

2. Complete the form, then click **Submit**. A confirmation page opens to inform you that your request to add the non-disclosed account was successful.

Add a Fund Account or an SMA Account

Fund Investment Managers with Multiple Hedge Fund accounts can [add Fund accounts](#) and can [add Separately Managed Accounts \(SMAs\)](#) to their account.

To add a Fund Account

1. Click **Manage Funds > Funds > Create > New**.

Add Hedge Fund Client Account

We offer three methods for completing a Hedge Fund application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

It is strongly recommended that you use the semi-electronic application for your clients as the paper application will take longer to process and can be prone to errors.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi-Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Start Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
Download a copy of the client disclosures. Paper applications sent to the client must include this disclosure.		Print Disclosures

Add SMA Account

We offer three methods for completing a SMA application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi Electronic Application	(Electronically complete client application, including Self-Directed IRA Third Party Custodian accounts, print, and send to client for signature.)	Electronic Client Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
Download a copy of the client disclosures. All applications sent to the client must include this disclosure.		Client Disclosures →

2. In the Add Hedge Fund Account section, click the button that corresponds to the type of application you wish to begin:
 - Fully Electronic Application - Click **Client Invitation** to initiate the electronic application process for a fund account.
 - Semi-Electronic Application - Click **Start Application** to begin the semi-electronic application process.
 - Paper Application - Click **Start Application** to print a blank paper application.
3. If you select the Paper Application, click **Print Disclosures** to download a copy of the client disclosures, which must be included with a paper application.
4. Complete the application process as required.

To add a Separately Managed Account

Before you can add a client SMA account, you must qualify to trade Securities Products, Commodities Products, and/or Forex Contracts. You must qualify for at least one set of products.

1. Click **Manage Funds > Funds > Create > New**.

Add Hedge Fund Client Account

We offer three methods for completing a Hedge Fund application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

It is strongly recommended that you use the semi-electronic application for your clients as the paper application will take longer to process and can be prone to errors.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi-Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Start Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
Download a copy of the client disclosures. Paper applications sent to the client must include this disclosure.		Print Disclosures

Add SMA Account

We offer three methods for completing a SMA application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi Electronic Application	(Electronically complete client application, including Self-Directed IRA Third Party Custodian accounts, print, and send to client for signature.)	Electronic Client Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
		Client Disclosures →
Download a copy of the client disclosures. All applications sent to the client must include this disclosure.		

2. In the Add SMA Client Account section, click the button that corresponds to the type of application you wish to begin:
 - Fully Electronic Application - Click **Client Invitation** to initiate the electronic application process for an SMA client account.
 - Semi-Electronic Application - Click **Electronic Client Application** to initiate the electronic application process.
 - Paper Application - Click **Start Application** to print a blank paper application.
3. If you select the Paper Application, click **Client Disclosures** to download a copy of the client disclosures, which must be included with a paper application.
4. The Advisor Qualifications page opens. Before you can add a client SMA account, you must qualify to trade Securities Products, Commodities Products, and/or Forex Contracts. You must qualify for at least one set of products.

Select at least one set of products to trade and complete that section of the page, then click **Continue**.

Professional Advisor Qualification

To be a Professional Advisor, you must qualify to trade Securities Products, Commodity Products, and/or Forex Contracts. Select a qualification from Securities, Commodities and/or Forex below. You do not need to qualify for all. You must qualify for at least one set of products.

Securities Qualification

US Registered (IARD, CRD, or RIA)

Number:

Securities and Exchange Commission Registered

State Securities Agency

State:

Non-US Registered

US Exempt

Non-US Exempt

Commodity (Futures) Qualification

US Registered (NFA)

NFA Registration Number:

Non-US Registered

US Exempt

Non-US Exempt

Forex Qualification

Are you designated as a "Forex Firm" with the National Futures Association? Yes No

Enter Website Address (optional)

Once your request has been processed, you can add Separately Managed Accounts.

- Once you are qualified to trade Securities Products, Commodities Products, and/or Forex Contracts, log back into Account Management and click **Manage Funds > Funds > Create > New**, then click the appropriate button to begin a fully electronic, semi-electronic or paper SMA client account application.

Add Hedge Fund Client Account

We offer three methods for completing a Hedge Fund application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

It is strongly recommended that you use the semi-electronic application for your clients as the paper application will take longer to process and can be prone to errors.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi-Electronic Application	(Electronically complete client application, print, and send to client for signature.)	Start Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
Download a copy of the client disclosures. Paper applications sent to the client must include this disclosure.		Print Disclosures

Add SMA Account

We offer three methods for completing a SMA application; a fully-electronic, a semi-electronic, and a paper application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing. Under the paper application, you print an application and the disclosures bundle, give it your client to complete, and send the completed application back to us.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	Client Invitation →
Semi Electronic Application	(Electronically complete client application, including Self-Directed IRA Third Party Custodian accounts, print, and send to client for signature.)	Electronic Client Application →
Paper Application	(Print blank application and send to client to complete.)	Start Application →
Download a copy of the client disclosures. All applications sent to the client must include this disclosure.		Client Disclosures →

Duplicate Client Accounts

The Duplicate Client Accounts page lets Advisor Masters, Broker Masters and Fund Investment Managers request up to five duplicate accounts for an existing client account. The request is processed overnight, but must first be acknowledged by the client. One application of maintaining duplicate client accounts is to create different trading strategies in the two accounts.

Who can access the Duplicate Client Accounts page?

You can access this page if you are a(n):

- Advisor Master User Individual (registered only)
- Advisor Master User Organization (registered only)
- Broker Master User (Fully Disclosed only)
- Investment Manager Master User

To request a duplicate client account:

1. Click **Manage Clients > Create and Link Accounts > Create > Duplicate**. Fund Investment Managers click **Manage Funds > Create > Duplicate**.

Duplicate Client Accounts

Use this page to create up to five duplicate accounts for an existing client account. Duplicate client accounts are useful for maintaining different trading strategies in different accounts. Your request to create a duplicate client account must be acknowledged by the client before it can be processed.

[Click here to see which account settings are duplicated.](#)

Select the client account to be duplicated below, then click the **Create Duplicate** button.

Client Account ID:

2. From the Client Account ID drop-down list, select the client account that you want to duplicate. Information about the selected account appears.

Duplicate Client Accounts

Use this page to create up to five duplicate accounts for an existing client account. Duplicate client accounts are useful for maintaining different trading strategies in different accounts. Your request to create a duplicate client account must be acknowledged by the client before it can be processed.

[Click here to see which account settings are duplicated.](#)

Select the client account to be duplicated below, then click the **Create Duplicate** button.

Client Account ID:

sdfds sdfdsds U1056183

Account Name	Account Number	Username Second Authentication	Contact Details (Phone & Email)	Account Status	Trading Permissions
sdfds sdfdsds	U 1123456789	th123456	11234567898 sdfds@mail	O	Stocks - Cash

Duplicate

3. Click **Duplicate**.
4. Click **OK** to confirm your request.

An email is sent to the client associated with the selected client account stating that the master account user has requested a duplicate account. The client must first acknowledge the request, then the request is processed overnight.

Duplicated Account Settings

When your request has been processed, the following account settings are duplicated:

For Advisor clients:

- SMA configuration
- Exchange caps
- Commission
- Client fees
- Flex Queries
- Delivery information
- DVP instructions

For Broker clients:

- Exchange caps
- Commission
- Flex queries
- Delivery information
- DVP instructions

For Single Trading Limit sub accounts:

- Exchange caps
- Commission
- Flex queries
- Delivery information

Client Account Templates

Advisors, Fully Disclosed Brokers and Fund Investment Managers can create client account templates in Account Management to save and re-use application information for new client accounts. Client account templates let you enter information such as customer type, base currency and trading permissions (including participation in our Stock Yield Enhancement Program), then quickly add that information to a client account application without having to re-enter the same information for multiple applications.

The Client Account Templates page lets Advisors, Fully Disclosed Brokers and Fund Investment Managers create, modify and delete client account templates. When you add client accounts from within Account Management, you will have the option of selecting a saved client account template, which will prepopulate a portion of the client account application.

Advisors and Fully Disclosed Brokers whose clients begin their application at the Advisor's or Broker's own website can add a unique client ID to the Client Invitation sent to the client. For more information, see [Using a Custom ID for Advisor and Fully Disclosed Broker Client Applications](#).

Who can access the Client Account Templates page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization
- Broker Master User (Fully Disclosed only)

Click for more information:

- [Advisor Client Templates](#)
- [Broker Client Templates](#)

Advisor/Fund Investment Manager Client Templates

If you are an Advisor Master or Fund Investment Manager, you can [create](#), [modify](#) and [delete](#) re-usable client account templates.

To create a client account template for advisor clients

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**. Fund Investment Managers click **Manage Funds > Create > Client Account Templates**.
2. In the Pick template list, click **Create**.

Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template:

New template name:

Customer Type:

Base Currency:

Funding Type:

Margin:

Products:

3. In the new Template name field, type the name of the template.
4. In the Customer Type list, select a customer type (*Individual, Joint, IRA, Trust* or *Organization*).
5. In the Base Currency list, select the base currency for the client account.
6. In the Funding Type list, select the type of deposit that will be used to fund client accounts using this template.
7. In the Margin list, select the type of margin account (*Reg T* for a Reg T Margin account, *Cash* for a Cash account, *Portfolio* for a Portfolio Margin account or *Guaranteed Dollars and/or Cash Collateral*).

The following screen displays the available Trading Permissions for the selected Margin account type.

Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template:

New template name:

Customer Type:

Base Currency:

Funding Type:

Margin:

Products:

Country	Check All	Stocks	Bonds	Options	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-
United States (Algorithmic Execution Venue)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States example (Stock Yield Enhancement Program)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-

8. Select the trading permissions by clicking the appropriate check boxes, then click **Continue**.

Note that you use this screen the same way you use the Trading Permissions page in the *Manage Account > Trade Configuration > Permissions* menu.

- Complete the Investment Objectives and Intended Purpose of Trading, Investment Experience and Financial Information sections on the next page. You can skip any individual section on this page by clicking the Skip button, or you can omit all of this information from the client account template by clicking **Skip All** at the bottom of the page. Click **Continue** to go to the next page, **Back** to go back to the previous page or **Delete** to delete the current template.

Investment Objectives and Intended Purpose of Trading (Optional)

<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Income
<input type="checkbox"/> Growth	<input type="checkbox"/> Trading Profits
<input type="checkbox"/> Speculation	<input type="checkbox"/> Hedging

[Skip](#)

Please provide trading experience for each product below, the product listed below are based on the permissions you selected on the previous page. Click the Back button if you need to make any changes.

Investment Experience (Optional)

	Years Trading	Trades Per Year	Knowledge Level
Stocks	1 <input type="text"/>	> 100 <input type="text"/>	Good <input type="text"/>

[Skip](#)

Financial Information (Optional)

Enter only numbers and no commas, dollar signs, decimals, or cents.

Net Worth (exclusive of residence)	< 20,000 <input type="text"/>	USD
Liquid Net Worth	< 20,000 <input type="text"/>	USD
Annual Net Income	< 40,000 <input type="text"/>	USD
Total Assets	< 20,000 <input type="text"/>	USD

[Skip](#)

[← Back](#)
[✖ Delete](#)
[Skip All →](#)
[Continue →](#)

- Select the advisor fee methodology (No Fee, Automatic Billing, or Direct Billing) by clicking the appropriate radio button, then click **Continue**.

Note that this page is identical to the Client Fees page for advisors in the *Manage Clients > Fees > Configure* menu.

- Verify that all the information in the client template is correct, then click **Save**.

If any information is incorrect, click **Back**, then modify the information as required and click **Continue** until you return to the verification page.

When you begin the process of adding a new client account, you will be able to select your saved client account template.

To modify an existing client account template

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to modify.
3. Make changes as required, clicking **Continue** to advance through the pages.
4. Verify that all the information in the client template is correct, then click **Save**.

To delete an existing client account template

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to delete.
3. Click **Delete**, then click **OK**.

The template is deleted.

Broker Client Templates

If you are a Broker Master, you can [create](#), [modify](#) and [delete](#) re-usable client account templates

To create a client account template for broker clients

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click **Create**.

Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template: Create...

New template name:

Customer Type: Organization

Base Currency: Choose One

Funding Type: Any

Margin: Choose One

Products:

3. In the new Template name field, type the name of the template.
4. In the Customer Type list, select a customer type (*Individual, Joint, IRA, Trust* or *Organization*).
5. In the Base Currency list, select the base currency for the client account.
6. In the Funding Type list, select the type of deposit that will be used to fund client accounts using this template.
7. In the Margin list, select the type of margin account (*Reg T* for a Reg T Margin account, *Cash* for a Cash account, *Portfolio* for a Portfolio Margin account or *Guaranteed Dollars and/or Cash Collateral*).

The following screen displays an example of available Trading Permissions for a new broker client template.

Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template:

New template name:

Customer Type:

Base Currency:

Funding Type:

Margin:

Products:

Country	Check All	Stocks	Bonds	Options	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-
United States (Algorithmic Execution Venue)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States example (Stock Yield Enhancement Program)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-

8. Select the trading permissions by clicking the appropriate check boxes, then click **Continue**.

Note that you use this screen the same way you use the Trading Permissions page in the *Manage Account > Trade Configuration > Permissions* menu.

- Complete the Investment Objectives and Intended Purpose of Trading, Investment Experience and Financial Information sections on the next page. You can skip any individual section on this page by clicking the Skip button, or you can omit all of this information from the client account template by clicking **Skip All** at the bottom of the page. Click **Continue** to go to the next page, **Back** to go back to the previous page or **Delete** to delete the current template.

Investment Objectives and Intended Purpose of Trading (Optional)

<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Income
<input type="checkbox"/> Growth	<input type="checkbox"/> Trading Profits
<input type="checkbox"/> Speculation	<input type="checkbox"/> Hedging

Skip

Please provide trading experience for each product below, the product listed below are based on the permissions you selected on the previous page. Click the Back button if you need to make any changes.

Investment Experience (Optional)

	Years Trading	Trades Per Year	Knowledge Level
Stocks	1 ▾	> 100 ▾	Good ▾

Skip

Financial Information (Optional)

Enter only numbers and no commas, dollar signs, decimals, or cents.

Net Worth <small>(exclusive of residence)</small>	< 20,000 ▾	USD
Liquid Net Worth	< 20,000 ▾	USD
Annual Net Income	< 40,000 ▾	USD
Total Assets	< 20,000 ▾	USD

Skip

← Back

✖ Delete

Skip All →

Continue →

- If you chose any Customer Type other than Organization, the next page that opens lets you select the market data subscriber status (Non-Professional or Professional). Click **I agree** in two places if you selected Non-Professional, then click **Continue**.
- Select news and market data subscriptions for the client templates by clicking the appropriate check boxes, then click **Continue**.

Note that you use this screen the same way you use the Market Data Subscriptions page in the *Manage Clients > Fees > Configure* menu.

Separate Data Services	Monthly Fee	Subscribe
- CUSIP (P)	2.00 USD	<input type="checkbox"/>
- Reuters Fundamentals (explain)	55.00 USD	<input type="checkbox"/>
- Reuters Basic Newsfeed (explain)	65.00 USD	<input type="checkbox"/>
- Wall Street Horizons (explain)	20.00 USD	<input type="checkbox"/>
- Marketwatch Research (explain)	Free	<input checked="" type="checkbox"/>

REGION/EXCHANGE	COUNTRIES	PRICE
North America		
US Cmdty (P) (explain)	United States	Subject to Waiver (explain)
AMEX (P,L1) (explain)	United States	30.20 USD
AMEX Options (P,L2)	United States	60.00 USD
ArcaBook Eqty. (P) (explain)	United States	Free
ArcaBook Opt. (P,L2) (explain)	United States	60.00 USD

- Enter the client fees on a fee-per-trade basis and interest markups and markdowns that will be associated with this client account template, then click **Continue**.
- Verify that all the information in the client template is correct, then click **Save**.

If any information is incorrect, click **Back**, then modify the information as required and click **Continue** until you return to the verification page.

When you begin the process of adding a new client account, you will be able to select your saved client account template.

To modify an existing client account template

- Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates..**
- In the Pick template list, click the existing template you want to modify.
- Make changes as required, clicking **Continue** to advance through the pages.
- Verify that all the information in the client template is correct, then click **Save**.

To delete an existing client account template

- Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates.**
- In the Pick template list, click the existing template you want to delete.
- Click **Delete**, then click **OK**.

The template is deleted.

Set Up a Client Template with a Custom ID

Many Advisors and Fully Disclosed Brokers collect information from prospective clients on their own websites, and then send a client invitation to complete an electronic application from Account Management. You can create a Client Account Template and add the template application link to your own website and include a custom ID that allows you to match the information in the client's application to the information that you've already collected on your website.

To set up a client template using a custom ID for client applications started on your own website

1. Create a Client Account Template on the **Manage Clients > Create and Link Accounts > Create > Client Account Templates** page.
2. Send yourself a fully electronic client application invitation:
 - Click **Manage Clients > Create and Link Accounts > Create > New**, then click the **Client Invitation** button.
 - Select the **Client Account Templates** radio button and then select the client account template you created in Step 1. Click **Continue**.
 - Enter your name and email address, then click **Submit**. An email containing the link to the client application is sent to you. You can add this link to your website as is for the client to complete the application using the selected Client Account Template.
3. To use a custom ID, add the custom ID to the link to the client application by adding **&externalID=XXXXXXX** (where XXXXXXX is the custom ID) to the end of the link as shown below:

```
https://www.clientam.com/Universal/servlet/formWelcome?partnerID=abctest12&invitation_id=7380044-4&token=66104&invitedBy=cHN2ZmE0ODA%3D&externalId=1234567
```

We will store the custom ID that you provide.

4. We will return the custom ID field along with all the other client data collected in the client application to you as an XML schema via FTP delivery. The data is encrypted and you will have to provide a PGP key to access it.

Traders

The Manage Traders > Traders menu is accessible to Proprietary Trading Group (PTG) STL Master Users and includes the following pages:

- [View](#) -View a summary of all of your trading sub accounts.
- [Create](#) - Add authorized traders.
- [Close](#) - Close sub accounts.

Traders

The Trading Sub Accounts page lets Proprietary Trading Group STL Account Master Users view all current Authorized Trading sub accounts and add Authorized Trading sub accounts, as well as enable and disable [dividend reinvestment](#).

Who can access the Trading Sub Accounts page?

You can access this page if you are a(n):

- Proprietary Trading Group STL Account Master User




To view Authorized Trading sub accounts

1. Click **Manage Traders > Traders > View**.

The Trading Sub Accounts page opens, displaying all sub accounts for authorized traders, including the account name, dividend reinvestment option, account number, username and current status of the account.

Trading Sub Accounts

Authorized traders have access to Trader Workstations and can manage market data subscriptions from Account Management. It is your responsibility to make sure that any privilege granted through this page is used by the appropriate trader only. You may not allow a trader to trade through your account until we have received, and approved a valid request. You are responsible for all orders placed and all trades executed, regardless of whether or not the new trader has been officially approved.

Accounts								
Account Name	Dividend Reinvestment	Account Number	Username	Status				
10001-10000	Enabled 	U 10001001	10001001	Active				
10002-10000	Disabled 	U 10002001	10002001	Active				
10003-10000	Disabled 	U 10003001	10003001	Active				
10004-10000	NA	U 10004001	10004001	Application completed, waiting approval				
10005-10000	NA	U 10005001	10005001	Application completed, waiting approval				
10006-10000	NA	U 10006001	10006001	Application completed, waiting approval				
Application in progress								
10007-10000	NA	U 10007001	10007001	<table border="1"> <thead> <tr> <th>Task</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>Trader Authorization Form</td> <td>To be Completed</td> </tr> </tbody> </table>	Task	Status	Trader Authorization Form	To be Completed
Task	Status							
Trader Authorization Form	To be Completed							

[+ Add Trading Sub Account](#)

- If the current status of a sub account is “Application in progress,” a link may appear in the Status column that lets you complete the next step in the application process.
- To create a new sub account, click the [Add Trading Sub Account](#) button, then follow the instructions on the screen to fill out the Authorized Trader Information form.

Authorized Trader

The Authorized Trader page lets you create sub accounts for authorized traders to access Trader Workstation and manage market data subscriptions in Account Management.

Who can access the Authorized Trader page?

You can access this page only if you are a Proprietary Trading Group STL Account Master User.

To add an authorized trader

- Click **Manage Traders > Traders > Create > Authorized Trader**.

The Authorized Trader Information page opens.



2. Enter all required information, then **Continue**.

The Trader added page opens, which confirms your request and contains a link to the Trader Authorization Form.

3. Click *Trader Authorization Form*.
4. Read the form carefully, then sign the form by typing your name in the field provided.
5. Click **Continue**.

Close Account

Broker Master Users and Proprietary Trading Group STL Master Users use this Close Account page to submit a request to close a non-disclosed client account or sub account. If you have one or more open client/sub accounts, your request to close your account will not be processed until all client/sub accounts are closed.

For USD-based accounts, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, you will have the opportunity to select one. If you do not have any ACH bank instructions, we will issue a check to your U.S. mailing address on file. For all non-USD based accounts, we will issue a wire based on the banking instruction on file.

Note: These instructions describe how to use the Close Account page in Account Management. The instructions on the Close Account page summarize the steps that you must take to close your account. For a more detailed description of the account closure process, see [How to Close Your Account](#).

Who can access the Close Account page in the Manage Clients menu?

You can access this page if you are a(n):

- Broker Master User (non-disclosed client accounts)
- Proprietary Trading Group STL Master User

To close an account from Account Management

1. Click **Manage Clients > Create and Link Accounts > Close**. Proprietary Trading Group STL Master Users click **Manage Traders > Close**.

Close Account

We regret that you have decided to close your Interactive Brokers account. To close your account, complete the following steps:

We will issue a check as the final account closing withdrawal.

Step 1	Liquidate or transfer all positions. Accounts with positions cannot be closed.
Step 2	Transfer all funds into your base currency. Closing account withdrawals must be made in your base currency.
Step 3	<p>Check your mailing address (check)*. Since your base currency is USD, we will issue a check to the U.S. mailing address on file.</p> <p>* Your mailing address of record is:</p> <p style="text-align: center;">517 Sultan Road Test CA 11111 United States</p> <p>If the address listed above is incorrect, update your mailing address on the <i>Account Details</i> page, which is available from the <i>Account Information</i> menu. Additionally, verify your wire instructions on the <i>Funding Instructions</i> page.</p>
Step 4	Unsubscribe from your market data subscriptions on the <i>Market Data Subscriptions</i> page, which is available from the <i>Trading</i> menu. If you do not unsubscribe, you will continue to be charged for your market data subscriptions until the account is closed.

Note:

- » If all funds are in the base currency, then a close account withdrawal will automatically be sent. Customers in the *Secure Login System* will also need to complete a *Withdrawal Request* form using their secure device.
- » Print out all statements and tax forms. Your access to *Account Management* will only be available for a limited time after your account is closed.
- » Your account will be held open for 3 months after you receive your closing withdrawal to collect any possible future dividends, interest, or corporate actions. Any ACH deposits currently on hold will be sent back to the same bank within the hold period. After that time your account will be closed permanently. Check back to see if any balance has been created on future statements.
- » Save your username and password for future access to statements.

2. If you have a master account, use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the client or sub account you want to close.

Note: You must close all client accounts that you manage before you can close your own account.

3. Read the instructions on the page carefully. If your account is USD-based, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, select the one you want to use from the drop-down list.

If you do not have an ACH bank instruction on file, we will issue a check. Verify your US mailing address displayed on the screen.

4. Specify the reason you are closing your account by clicking the appropriate check boxes.
5. Click **Submit**.
6. Click **Cancel** on the next page if you change your mind and do not want to close the account.

The Close Account page will display the status of your request.

Close a Non-Disclosed Broker Client Account

Complete the following steps to close a non-disclosed broker client account. Note that for USD-based accounts, we will initiate an ACH transfer based on an ACH bank instruction you have on file. If you have more than one ACH bank instruction on file, you will have the opportunity to select one. If you do not have any ACH bank instructions, we will issue a check to your U.S. mailing address on file. For all non-USD based accounts, we will issue a wire based on the banking instruction on file.

1.	<p>Liquidate or Transfer Positions Accounts with positions cannot be closed. You must either liquidate, or transfer all positions to another brokerage firm. Please contact your broker for transfer instructions.</p> <p>To check your positions, log in to Account Management and select Reports > Activity. View your latest statement to verify that all positions have been liquidated or transferred.</p>
2.	<p>Convert Foreign Currencies Closing withdrawals may only be made in your base currency. You must convert any foreign currency you may hold back to your account's base currency. The conversion can be processed using the FXTrader in our desktop trading platform. If you need assistance with the conversion process please contact our Trade Desk.</p>
3.	<p>Verify Bank Wire Instructions For all non-USD based accounts, we will issue a wire based on the saved bank information (instruction) on file. If you do not have any saved bank information (instruction) for a Wire Withdrawal, create one.</p>
4.	<p>Cancel Market Data Subscriptions You need to cancel your market data subscriptions when you close your account.</p> <p>To cancel subscriptions, log in to Account Management, then select Manage Account > Trade Configuration > Market Data. Deselect checkboxes to cancel your subscriptions, then click Continue.</p>
5.	<p>Return Secure Login Device If you participate in the Secure Login System, you must return your secure login device. Cash balances will be reduced by the cost of the device (between USD 20 and USD 150 depending on device) until the secure login device is returned.</p> <p>For more information regarding how to return the device please contact our Technical Assistance Department or visit our web site: http://ib-kb.interactivebrokers.com/node/975</p>
6.	<p>IRA Accounts Withdrawals IRA account holders will need to complete an IRA Withdrawal on the Funding > Fund Transfers page in Account Management and specify the type of withdrawal for government tax reporting purposes.</p>
7.	<p>Ensure Recent Deposits Have Cleared All recent deposits, such as ACH, check and wire transfers, must have time to clear according to the Customer Deposit Credit and Hold Periods policy before your request to close your account can be honored.</p>

8.	<p>Check Statements and Tax Forms</p> <p>To access activity statements and tax forms, log in to Account Management and open the Reports menu.</p> <p>Note: This information will only be available for a limited time after your account is closed. You will need to save your username and password for future access to statements.</p>
9.	<p>Close Account</p> <ol style="list-style-type: none"> 1. After you have completed all of the previous steps, log in to Account Management and select Manage Clients > Close Account. <ul style="list-style-type: none"> ◦ For USD-based accounts only, we will initiate an ACH transfer if you have an existing ACH bank instruction. If you have more than one ACH bank instruction, select the ACH bank instruction you wish to use from the drop-down list on the Close Account page. ◦ For USD-based accounts only, if you do not have an existing ACH bank instruction, you can either create one in Account Management on the Fund Transfers page, or we will issue a check to your U.S. mailing address on file. In the latter case, confirm that we have your correct U.S. mailing address by checking the address displayed on the Close Account page. <p>To make changes, open the Profile page in Account Management by selecting Manage Account > Account Information > Details.</p> 2. Specify the reason you are closing your account by clicking the appropriate check boxes. 3. Click the Submit button to submit your request. <p>Your account will be held open for three months after you receive your closing withdrawal to collect any possible future fees, dividends, interest, or corporate actions. After that time, your account will be closed permanently.</p> 4. Check back to see if any balance has been created on future statements. 5. You can view the status of your request to close your account by logging in to Account Management and selecting Manage Clients > Account Closure Status.

Note: If the above criteria are not met, our system will be unable to process your account closure request. Inactivity fees will continue to be deducted from an account until the above steps are completed, including the return of any Secure Login System device. Also note that funds held to secure the return of the security device may not be withdrawn until the device has been returned, and will be applied to meet any inactivity or market data fees.

Account Closure Status

The Closure Status page lets Non-Disclosed Brokers who have submitted requests to close a client's account view the status of their request.

To check the status of account closure request

1. Login into Account Management. Note that Account Management for closed accounts displays an abbreviated menu.
2. Click **Manage Clients > Accounts > Close Account**.

The Closure Status page displays.

Any pending or outstanding items required to close your account are displayed on the screen.

Client Fees

The Client Fees menu gives advisors and brokers access to client fee schedules. The following pages are included in the Client Fees menu:

- Configure Fees - [Advisors](#) and [Brokers](#) use this page to set up client fees.
- Invoicing - [Advisors](#) and [Brokers](#) use this page to submit daily fee invoices for multiple client accounts, view and update pending invoices and review invoices. Advisors can also [reimburse fees](#) to clients.
- [Templates](#) - Advisors and Brokers use this page to create and edit client fee templates.
- [Markup Summary](#) - Displays a commission markup summary for broker client accounts.
- [HFCIP Fees](#) - Advisors can charge client fees based on clients' investments in Hedge Funds available through our [Hedge Fund Marketplace](#).

Advisor Client Fees

Advisors can charge the following types of fees to their clients:

- No fee - The advisor does not charge a client fee.
- Automatic billing - An calculated advisor fee is automatically billed to the client's account with blanket client authorization using one method or a combination of several methods.
- Direct billing - The advisor bills the client directly and no funds are removed from the client's account.
- Fee per trade - For non-US advisors and commodity-registered advisors in the US and US protectorates (futures only). Note that you cannot select fee per trade for Money Managers.

Advisors can also submit electronic invoices in Account Management for client fees based on automatic billing.

Broker Client Fees

Brokers can set individual fee schedules that apply to specific client accounts or create fee schedule templates and apply them to one or more client accounts.

Brokers can charge the following types of fees to their clients:

- Minimum and maximum fee per trade
- Ticket charge per trade
- Client markups
- Absolute fees for specific products and exchanges
- Regulatory and exchange fees (pass-through fees)
- Interest markups and markdowns

Brokers can also submit electronic invoices in Account Management for client fees based on automatic billing.

Advisor Client Fees

Professional Advisors can charge fees to their clients for services rendered using one of the methods described below.

Note: The information in this topic also applies to Multiple Fund Investment Managers with Separately Managed Accounts (SMAs). These Fund Investment Managers can charge the same types of fees to SMAs in their account structure as Advisors can charge to their advisor clients.

All advisor client fees are set up on the **Manage Clients > Fees > Configure** page in Account Management.

- **No Fee** - An advisor chooses not to charge his or clients a fee for services rendered.
- **Automatic billing** - A calculated fee is automatically billed to the client's account with blanket client authorization. Be aware that Automatic Billing is subject to certain **caps and limitations**.

Advisors can choose one of several methods of automatic billing:

- Annualized Percentage of Net Liquidation Value, with posting frequencies of daily, monthly or quarterly
- Annualized Flat fee, with posting frequencies of daily, monthly or quarterly
- Percent of Profit and Loss (P&L). The maximum percent of P&L that you can you charge for either period is 35%.
- Fee per trade unit - Not available for US or US protectorate legal residents due to regulatory restrictions, with the exception of US commodity-registered advisors, who are allowed a fee-per-trade schedule for futures.

Note: For Forex fee per trade unit, the mark-up is calculated on the second currency of an FX pair, so for example, if a client trades in EUR.USD, the markup is based on the USD and not the EUR.

- Monthly/Quarterly Invoicing - Advisors can submit electronic invoices for client fees. Invoices can be submitted for up to ten clients at a time, but only one invoice can be submitted per client account per day. Advisors can also upload a .csv file that contains multiple client invoices.

[Click here for automatic billing examples.](#)

- **Direct billing** - The Advisor bills the client directly. We will not remove funds from the client's account.

Regardless of the method chosen, advisors determine the fees at the time of the client's registration, and can modify them at any time. Advisor clients are required to acknowledge any fee increase with a signature.

In addition to the advisor client fees specified, We will charge our normal commissions to the client.

Fee Reimbursement

Advisors can reimburse fees to client accounts. Twelve months of fees are eligible for reimbursement, up to a maximum (net of any prior rebate) of 50% of the trailing 12 months. The following additional rules apply to client fee reimbursements:

- A rebate of fees increases the fee caps and are reflect as such in reports.
- Fee reimbursements are processed as a simultaneous debit to the Advisor Master account and a credit to the client account.

- If the Master account does not have the sufficient funds to satisfy the fee reimbursement, the fee reimbursement request will fail.

Advisors can submit and review fee reimbursements on the [Client Invoicing](#) page.

Charge Commissions and/or Client Fees to the Advisor Master Account

Advisors can elect to charge commissions as well as minimum monthly fees, IRA account fees and market data and research fees to their own Master account instead of to their client accounts. Advisors can make these elections for individual client accounts on the [Configure Fees](#) page.

Client Fee Templates

Client fee schedules are stored as *templates*. As an advisor, you can configure fees for one or more client accounts, or set up client fee schedules in templates, then assign the templates to client accounts. The use of templates allows you to easily maintain different fee schedules for multiple client accounts.

For more information, see [Client Fee Templates](#).

Automatic Billing for Advisor Client Fees

With automatic billing of advisor client fees, a calculated fee is automatically billed to the client's account with blanket client authorization using any of the following in any combination:

Note: Fund Investment Managers with Separately Managed Accounts (SMAs) can also configure fees based on automatic billing for their SMA accounts.

Percent of Net Liquidation Value

Enter this as an annualized percentage, applied on a daily, monthly or quarterly basis.

Flat Fee

Enter this as an annualized amount, applied on a daily, monthly or quarterly basis (apportioned by 252 days).

Percent of P&L

A fixed percent is applied to the mark-to-market P&L (positive or negative) at the end of each period. Any changes made to the specified percent during a period will only be applied on a forward looking basis and will not be applied retroactively.

If you do make changes during a period, we break the period into two pieces and apply fees accordingly. If at the end of the billing period the accumulated fee calculation is negative, no fee will be charged. Two periods may be specified for this calculation:

- Quarterly as of 3/31, 6/30, 9/30, and 12/31. Fees will be posted 10 days after the close of a quarter.
- Annually as of 12/31. Fees will be posted 10 days after the close of the year.

Note: For the purpose of calculating performance fees, P&L on FX trades is included solely on the dates at which the position is either open or closed and excludes the effect of any exchange rate fluctuation.

tuations between those dates. On the open and close dates, P&L is calculated based upon the difference between the trade price and the end of day conversion rate.

Fee per trade unit (shares, contracts, %) - Specified by currency/asset class

Advisors can set a fee per trade unit as one of the following:

- An absolute markup over and above our standard commissions.
- A percentage of our standard commission.
- An absolute amount, from which our standard commissions will be subtracted.

Note: Fee per trade unit is not available for US or US protectorate legal residents due to regulatory restrictions, with the exception of US commodity-registered advisors, who are allowed a per-trade schedule for futures.

The following rules apply to advisor client fees per trade:

- Fees per trade unit or contract may not exceed 15 times our commissions.
- No fee per trade will be applied if the client calls us to close a trade.
- When entering a fee per trade, an advisor must also enter a minimum fee per trade that cannot exceed the following limits:

Currency	Minimum Fee Per Trade Limit
USD	25
EUR	20
CHF	30
CZK	475
GBP	15
CAD	30
JPY	2500
HKD	20
SEK	175
SGD	30
MXN	250
KRW	20000
AUD	30

- Futures and Futures Options Fee per Trade Unit may only be entered by currency and not product.
- A global fee schedule is not applied to all client accounts by default, but may be copied from memory to make input of new client schedules easier.

Monthly/Quarterly Invoicing

Before you can submit electronic fee invoices for client accounts, you must first configure Automatic Billing for Monthly/Quarterly Invoicing for the account(s) on the Client Fees page in Account Management. You must specify a monthly or quarterly markup limit, then calculate the markup and submit an electronic invoice for each client account at any time, up to the specified limit. The invoice amount will be automatically transferred from the client account to the advisor account. Invoices submitted prior to 5:30 (17:30) PM EST will be processed by us the same day (U.S. night) and appear on that day's statements. Invoices submitted after 5:30 (17:30) PM EST will be processed by us on the next business day. You can submit invoices for up to ten clients at a time, but only one invoice per client account per day.

For more information on electronic invoices, see [Advisor Invoicing](#).

High Water Marking

Advisors who select Percent of P&L as the basis of their client fees can apply High Water Marking to the billing period client fees to offset periods of losses in a volatile market. For more information, see [High Water Mark Setup](#)

Automatic Billing Caps and Limitations

Automatic billing and electronic invoices are subject to certain caps and limitations.

Automatic Billing Examples

Percent of Net Liquidation Value

Description:

Percentage of Net Liquidation Value entered as an annualized percentage, applied on a daily basis (252 business days are applied in this calculation method).

Assumption:

You specify 5% of Net Liquidation Value as an annualized percentage, and your client's previous day ending-equity is \$100,000.

Calculation:

Your advisor client fees for the given day will be: $5\% * \$100,000 / 252 = \19.84 .

Flat Fee

Description:

Flat fee entered as an annualized amount, applied on a daily basis (apportioned by 252 days).

Assumption:

You specify \$1,000 as an annual flat fee for your client.

Calculation:

Your advisor client fees daily payment will be: $\$1,000/252=\3.97 .

Percent of Annual P&L

Description:

Percentage of Annual Positive P+L entered as an annualized percentage, applied on an annually basis as of 12/31.

Assumption:

You specify 20% of annual positive P+L as your advisor client fees, and you made \$50,000 in P+L for your client for that year.

Calculation:

Your advisor client fees would be: $\$50,000*20%=\$10,000$.

Percent of Market-to-Market P&L

Description:

Percentage of Positive Market-to-Market P&L entered as a percentage, applied on a quarterly basis as of 3/31, 6/30, 9/30, and 12/31.

Assumption:

As an example, if you specify 2% of Market-to-Market P+L, you made \$50,000 in P+L for the last quarter.

Calculation:

Your client will be charged $\$50,000*2%=\$1,000$ for the quarter.

Configure Advisor Client Fees

Advisors configure client fee schedules on the Configure Fees page. Use the Configure Fees page to:

- View and sort all client accounts.
- Select one or more client accounts, then view (and if necessary, modify) the current fee schedule for those accounts.
- Select one or more client accounts, then configure and apply a fee schedule to those accounts.
- [Select one or more client accounts, then apply a previously saved client fee template to those accounts.](#)

Note: Fund Investment Managers with Separately Managed Accounts (SMAs) can also configure fees based on automatic billing for their SMA accounts.

To configure client fees

1. Click **Manage Clients > Fees > Configure**. Fund Investment Managers with SMA accounts click **Manage Funds > Fees > Configure**.

The Configure Fees page opens.

Configure Fees

Select account(s) below to configure fees.

Smart Search:

Account Number	Account Alias	Account Name	Date Opened	Template
<input type="checkbox"/> F 100000		Account 100000	05/18/2011	
<input type="checkbox"/> U 100000	U100	Account 100000	01/22/2004	
<input type="checkbox"/> U 100000	U1000	Account 100000	05/10/2004	
<input type="checkbox"/> U 100000		Account 100000	03/19/2013	
<input type="checkbox"/> U 100000	U100	Account 100000	02/25/2003	

View/Configure Fees

- If necessary, use the Smart Search field to find client accounts by Account ID, Account Alias or Account Title. Type in the Search field; as you type, the list is reduced to display only those accounts that match your entry..
 - If you have a large number of client accounts, you can sort the list by any column heading, including Account Number, Account Alias, Account Name, Date Opened and Template. Simply click the arrows next to a column heading to sort the list by that heading.
2. Select one or more client accounts by clicking the check box next to each one, then click **View/Configure Fees**.

The page displays the fee schedule currently assigned to the selected client accounts, or displays a blank fee schedule if you have not yet assigned one to the selected accounts.

Configure Fees

In addition to the advisor fees specified below, clients will be charged a fee per trade commission for execution and clearing services provided by Interactive Brokers.

Accounts to be Configured				
<input type="checkbox"/> U 100000				

Monthly

Client Account	No Fee	Automatic Billing							
		Annualized Percentage of Net Liquidation		Annualized Flat Fee		Percentage of P&L	Monthly/Quarterly Invoicing Removes the fees from your account up to a limit of	Charge to Advisor	
		Percentage	Applied	Amount	Applied			Commissions	Other Fees
U 100000	<input type="checkbox"/>	<input type="text"/>	Daily <input type="text"/>	<input type="text"/>	Daily <input type="text"/>	<input type="checkbox"/>	<input type="text"/> OR 750	<input type="checkbox"/>	<input type="checkbox"/>

Back

Continue

3. Enter client fees in the fields provided:
- To charge no fee at all, click the **No Fee** check box.
 - Enter Automatic Billing amounts and select Automatic Billing options in any combination as desired. For details on Automatic Billing, see [Automatic Billing for Advisor Client Fees](#).

- For Annualized Percentage of Net Liquidation or Annualized Flat Fee, select the frequency with which the percentage or flat fee is applied (Daily, Monthly or Quarterly).
- Enter maximum amounts for Monthly or Quarterly Invoicing in the fields provided.
- To charge all commissions for a client account to your Advisor account, click the **Commissions** check box. If the Advisor Master account balance is below \$1000 when the commissions need to be posted, then the commission will be charged to the client account.
- Minimum monthly fees, IRA account fees and market data and research fees are charged to client accounts by default. To charge these fees to your Advisor account for a client account, click the **Other Fees** check box.

Note: Fee per trade unit is not available for US or US protectorate legal residents due to regulatory restrictions, with the exception of US commodity-registered advisors, who are allowed a per-trade schedule for futures.

4. If you selected Percentage of P&L, a window opens that lets you select and enter values for either Percentage of Annual P&L or Percentage of Quarterly P&L. As soon as you enter a value in either of these fields, the High Water Marking option appears. Click **Continue** when you are done. For more information, see [High Water Mark Setup](#).

Note: The maximum percent of P&L that you can charge for either period is 35%.

Percentage of Annual P&L applied as of 12/31 (enter annual percentage)

High Water Mark Setup

Years:

Prorate

Previous Losses Loss 2012

You have selected the following:

2	2012	<input type="button" value="Remove"/>
3	2011	<input type="button" value="Remove"/>
1	2010	<input type="button" value="Remove"/>

Percentage of Quarterly P&L applied as of 3/31, 6/30, 9/30 and 12/31 (enter quarterly percentage)

5. If you selected Fee per trade unit, a window opens lets you configure client fees on a fee-per-trade unit for each asset class (e.g. stocks, options, etc.), exchange and currency. These sections are displayed in expanding and collapsing sections. Click the gray bar to expand or collapse each section.

Stocks											
Currency/Exchange Product Unit	Ticket Charge	Min	Max*	Absolute Markup	% Markup	Fee#1	Vol#1	Fee#2	Vol#2	Fee#3	Exchange & Regulatory Fees
CURRENCY											
USD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
AUD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
HKD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
JPY (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
MXN (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SEK (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SGD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EXCHANGE											
BM (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
FWB (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
IBIS (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
LSE (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SWB (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
+ Warrants											
+ Stock & Index Options											
+ Futures, Futures Options, SSFs											
+ Contracts for Difference											
+ Metals											
+ Mutual Funds											
+ FX											
+ Bonds											
+ Interest Rates											

Note: For Forex fee per trade unit, the mark-up is calculated on the second currency of an FX pair, so for example, if a client trades in EUR.USD, the markup is based on the USD and not the EUR.

Expand and collapse each section as needed to set fees per trade as described below:

- To set a ticket charge, enter the amount in the Ticket Charge field for each desired product/currency. Remember that you cannot enter both a minimum fee per trade AND a ticket charge for a single product/currency.
- To set a minimum fee per trade, enter the amount in the Min field for each desired product/currency. Remember that you can set the minimum fee per trade for all products and currencies.
- To set a maximum fee per trade, enter the amount in the Max field for each desired product/currency. Remember that you can set the maximum fee per trade for all products and currencies. Check the box under the Max column to configure maximum per order fee as percent of trade value.

- To set an absolute markup amount for a product, enter the amount in the Absolute Markup field for the desired product/currency. If you set this amount for a product/currency, you cannot set the Percent Markup or Absolute Amounts for the same product/currency. For example, to set a client fee of \$1.00, enter 1.00 in the Absolute Markup field for the desired product/currency. Note that this client fee is in addition to our commission.
- To set a markup percentage, enter the percentage amount without the decimal amount. (enter it as a whole number) in the % Markup field for the desired product/currency. For example, entering 100 indicates a 100% markup. If you set this amount for a product/currency, you cannot set the Absolute Markup or Absolute Amounts for the same product/currency. For example, to set a client fee of 25% of our commission, enter 25 in the % Markup field for the desired product/currency. Note that this client fee is in addition to our commission.
- To set absolute fees in a tiered schedule by volume level (also called Absolute Tiered Commissions), for each desired product/currency, enter the fee amount for each of the three tiers (Fee#1, Fee#2 and Fee#3 fields), then enter the volume level at which the fee changes in each of the three tiers (Vol#1, Vol#2 and Vol#3 fields). Note that Absolute Tiered Commissions include our commission.

Check the Unit column for the specific product/currency. You must enter absolute fees in the same units specified in the Unit column for that product/currency. For example, if the Unit column displays a percent sign (%), be sure to enter the percentage and not the absolute dollar amount.

For example, suppose you wanted to charge 0.4% for up to 500 shares, 0.3% for up to 1,000 shares, and 0.2% above 1,000 shares of GBP stocks. You would enter 0.4 in the Fee#1 field, 500 in the Vol#1 field, 0.3 in the Fee#2 field, 1000 in the Vol#2 field, and 0.2 in the Fee#3 field. In this example, you would leave the Vol#3 field blank.

Note: Very small numbers may be displayed in E notation.

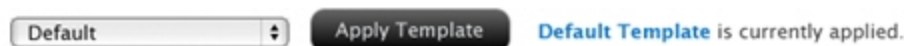
- Broker Master Users can set absolute amounts for products and specific exchanges. To do this, scroll down the list of products and enter the amount in the field next to the desired product or exchange in the applicable currency. You can also enter absolute fees in a tiered schedule as described in the previous bullet.
 - To specify that all regulatory and exchange fees be added to an Absolute Tiered Commission schedule, click the check box for the desired product/currency.
6. To specify interest markups or markdowns for a specific currency:
 - Click the Pay Client No Credit Interest check box to pay all credit and short proceeds credit interest to the broker.
 - In the Credit Markdown field, enter a percentage amount to be subtracted from the credit interest paid and given to the broker.
 - In the Debit Markup field, enter a percentage amount to be added to the debit interest. The maximum markup is 1%.
 - In the Short Credit Markdown field, enter a percentage amount to be subtracted from the short proceeds credit interest paid and given to the broker.
 - Specify credit markdowns and debit markups for interest associated with long and short CFDs and long and short index CFDs in the fields provided.
 7. Click **Continue**.
A confirmation page appears.
 8. Click the PDF icon to print the fees schedule for your records or for your client signature, then click **Continue**.

To apply a previously saved client fee template to selected accounts

1. Click **Manage Clients > Fees > Configure**.

The Configure Fees page opens.

2. Select one or more client accounts by clicking the check box next to each one, then click **View/Configure Fees**.
3. Select a template from the Template drop-down, then click the **Apply Template** button.



4. Click **Continue** at the bottom of the page.

For more information

High Water Mark

Advisors and Fund Investment Managers with SMA accounts who select Percent of P&L as the basis of their client fees can [apply High Water Marking](#) to the billing period client fees to offset periods of losses in a volatile market. Advisors cannot charge a profit-based fee as long as a cumulative loss exists. You set up High Water Marking on the Client Fees page when you select Percentage of P&L in Automatic Billing.

High Water Marking lets you:

- Specify a look-back period (in quarters or years, based on the period selection in the Percent of P&L fee schedule).

High Water Marking keeps track of cumulative losses per billing period within the specified look-back period. A loss in any period will be added to the look-back period's cumulative losses. A gain in any period will decrease the cumulative loss recorded to date. By default, the look-back period is zero, which means High Water Marking will not be in effect.

- Prorate for withdrawals. If an advisor chooses to prorate, withdrawals in the current period reduce any cumulative losses that are carried over from previous periods. The losses are reduced in proportion to the percentage of equity that was withdrawn.
- Note that current period losses are never adjusted by current period withdrawals, gains are not prorated and deposits are not used to prorate losses.
- Optionally initialize High Water Marking with previous periods' losses by entering the amount of the losses. These losses may have been incurred for the client in another account or with another broker.
- Gains are applied to the oldest losses first.

High Water Marking is effective on the day we process the approved client agreement.

High Water Mark Example

The following example shows how losses are offset after two periods.

Period	Ending Equity	Deposits	Actual P&L	Gains	Period Loss	P1 Loss	P2 Loss
0	1000	1000	0	0	0	0	0
1	900	0	-100	0	-100	0	0
2	920	0	20	0	0	-80	0
3	910	0	-10	0	-10	0	-80
4	920	0	10	0	0	0	0
5	930	0	10	10	0	0	0
6	980	0	50	50	0	0	0
7	940	0	-40	0	-40	0	0
8	990	0	50	10	0	0	0
9	1000	0	10	10	0	0	0
10	1000	150	-150	0	-150	0	0
11	1010	0	10	0	0	-140	0
12	1020	0	10	0	0	0	-130
13	1030	0	10	10	0	0	0

The following list describes the example period by period.

1. Period 1: Loss of 100 is added to the cumulative losses.
2. Period 2: The gain of 20 is applied to the 100 loss from period 1. This leaves a loss of 80 that needs to be recovered before advisor client fees are applied.
3. Period 3: Loss of 10 is added to the list of cumulative losses.
4. Period 4: The remaining loss of 80 from period 1 is dropped. The loss of 10 from period 3 is carried over. The gain of 10 is applied to the loss from period 3.
5. Period 5: There are no losses carried forward. The gain of 10 is subject to incentive fees.
6. Period 10: The loss of 150 is added to the list of cumulative losses
7. Period 11: The gain of 10 is applied to the period 10 loss, leaving a 140 loss that needs to be recovered
8. Period 12: The gain of 10 is applied to the period 10 loss, leaving 130 of the original 150 loss.
9. Period 13: The loss from period 10 is dropped. The gain of 10 is subject to incentive fees.

Setting Up High Water Marking

Advisors who select Percent of P&L as the basis of their client fees can apply High Water Marking to the billing period client fees to offset periods of losses in a volatile market. Advisors cannot charge a profit-based fee as long as a

cumulative loss exists. You set up High Water Marking on the Client Fees > Configure page when you select Percentage of P&L in Automatic Billing.

Note: Fund Investment Managers with Separately Managed Accounts (SMAs) can also apply High Water Marking to fees for their SMA accounts.

To set up High Water Marking

1. Click **Manage Clients > Fees > Configure**. Fund Investment Managers with SMA accounts click **Manage Funds > Fees > Configure**.

The Configure Fees page opens.

Configure Fees

Select account(s) below to configure fees.

Smart Search:

Account Number	Account Alias	Account Name	Date Opened	Template
<input type="checkbox"/> F100000		Account 100000	05/18/2011	
<input type="checkbox"/> U100000	U100	Account 100000	01/22/2004	
<input type="checkbox"/> U100000	U1000	Account 100000	05/10/2004	
<input type="checkbox"/> U100000		Account 100000	03/19/2013	
<input type="checkbox"/> U100000	U100	Account 100000	02/25/2003	

View/Configure Fees

If you have a large number of client accounts, you can sort the list by any column heading, including Account Number, Account Alias, Account Name, Date Opened and Template. Simply click the arrows next to a column heading to sort the list by that heading.

2. Select one or more client accounts by clicking the check box next to each one, then click **View/Configure Fees**.

The page displays the fee schedule currently assigned to the selected client accounts, or displays a blank fee schedule if you have not yet assigned one to the selected accounts.

Configure Fees

In addition to the advisor fees specified below, clients will be charged a fee per trade commission for execution and clearing services provided by Interactive Brokers.

Accounts to be Configured

U				
---	--	--	--	--

Apply Template
test123 Template is currently applied

Client Account	No Fee	Automatic Billing					
		Annualized Percentage of Net Liquidation		Annualized Flat Fee		Percentage of P&L	Monthly/Quarterly Invoicing Removes the fees from your account up to a limit of
		Amount	Applied	Amount	Applied		
U	<input type="checkbox"/>	<input type="text" value="20"/>	Monthly	<input type="text" value="30"/>	Quarterly	<input type="checkbox"/>	<input type="text"/> OR <input type="text"/>

Continue

- Select the **Percentage of P&L** check box. The Percentage of P&L options window opens.

Percentage of Annual P&L applied as of 12/31 (enter annual percentage)

Percentage of Quarterly P&L applied as of 3/31, 6/30, 9/30 and 12/31 (enter quarterly percentage)

Continue

- Select the check box for either **Annual P&L** or **Quarterly P&L**, then enter a percentage in the field provided.
You can set up High Water Marking for both annual and quarterly P&L if you are using both as the basis of your automatic billing of client fees.
The High Water Mark Setup check box appears.
- Select the **High Water Setup** check box. The High Water Mark setup fields appear.
You set up High Water Marking separately for annual- and quarterly-based P&L fees.

The following image shows the High Water Mark setup fields for both annual and quarterly-based P&L fees.

6. Enter the following information:

- Quarters/Years - Specify the number of look-back periods (in quarters or years, based on the period selection in the Percent of P&L fee schedule).
- High Water Marking keeps track of cumulative losses per billing period within the specified look-back period. A loss in any period will be added to the look-back period's cumulative losses. A gain in any period will decrease the cumulative loss recorded to date. By default, the look-back period is zero.
- Prorate - Select Yes to prorate or No if you do not want to prorate. If you choose to prorate, withdrawals in the current period reduce any cumulative losses that are carried over from previous periods. The losses are reduced in proportion to the percentage of equity that was withdrawn.

Note: Current period losses are never adjusted by current period withdrawals, gains are not prorated and deposits are not used to prorate losses.

- Previous Losses - Initialize High Water Marking with previous periods' losses by entering the amount of the losses for one period. Click the Add link to add losses from additional previous periods.

7. Click **Generate PDF for Current Fees** to create a PDF file containing your current advisor client fee schedule.

Your High Water Marking setup will be effective on the day we process the approved client agreement.

8. Click **Continue**.

Your modified client account fee schedule is displayed. Note that very small numbers may be displayed in E notation.

Advisor Fee Cap Formulas

Available Fee Cap Limit (Period X) = (R* Average Equity (Period X)) - Amount Paid (Period X)

- If Available Fee Cap Limit for any period is negative, no advisor fee will be charged.

Period X = 12 30-day cumulative periods over the last 360 days. If an account has been opened less than 360 days, all the even 30-day periods up to the time the account has been opened will be included. Or the Period X will be the exact number of days the account has been opened.

$R(\text{Period X}) = ((0.252/360) * \text{Number of Days})^{1/2}$

Available Equity = Average Equity over Period X

Amount Paid = Advisor Fees paid over Period X

For example, you have the client account open for one month* and the average equity for this account over a month is \$10,000. You charged \$50 as advisor fees for that month. Your available fee cap would be:

$$((0.252/360)*30)1/2*\$10,000-\$50=\$671.69$$

*30 days is used for this calculation.

Client Authorization

Whenever an advisor or a Multiple Fund Investment Manager with an SMA account submits a new client fee schedule or modifies an existing client fee schedule, the client must provide authorization as described below.

To obtain authorization from an existing advisor client or SMA

1. Submit a new or modified fee schedule for the existing client on the Client Fees page in Account Management.
2. Obtain the client's authorization in any of the following ways:
 - Print the fee schedule, have it signed by your client, and return it along with a current Government issued ID (passport, driver's license, etc.) to us for activation.
 - Click the **Generate PDF for Current Fees** button at the bottom of the Client Fees page to print it, then send to your client for signature. Your client can then send the signed PDF directly to us for activation at the address/Fax number indicated on the form.
3. If the client does not want to submit the PDF, he or she can log into Account Management and provide authorization online in the Pending Items section on the Account Management Home page.

To obtain authorization from a new advisor client or SMA

An advisor or or Fund Investment Manager obtains authorization from a new client/SMA account as part of the client account invitation process, which begins on the Manage Clients/Funds > Accounts > Create > New page:

- Fully Electronic: The advisor or Fund Investment Manager specifies the monthly or quarterly limit and sends the invitation to their client(s). The client reviews and accepts the invitation electronically.
- Semi-electronic: The advisor or Fund Investment Manager completes the fees section of the account application PDF by selecting the appropriate fee methodology (Monthly or Quarterly Invoicing) and specifying the limit. The advisor or Fund Investment Manager then prints the completed account application PDF and obtains client authorization (client signature) on the PDF and submits it to us at the address printed on the PDF.
- Paper: Either the advisor/ Fund Investment Manager or the client/SMA fills out the paper account application (PDF) and submits it us at the address printed on the PDF with a client signature.

Advisor Client Invoicing

The Advisor Invoicing page lets you submit advisor-calculated daily fee invoices for multiple client accounts, view and update pending invoices and review invoices processed in the past seven (7) days. Invoices submitted prior to 5:30 (17:30) PM EST will be processed by us the same day (U.S. night) and appear on today's statements. Invoices submitted after 5:30 (17:30) PM EST will be processed by us on the next business day. You can submit invoices for up to ten clients per day, but only one invoice per client account per day. You can also reimburse fees to your clients.

Who Can Access the Client Invoicing Page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization
- Multiple Fund Investment Manager with at least one Separately Managed Account (SMA)

The Client Invoicing page lets an advisor or Fund Investment Manager:

- [Submit a fee invoice](#) for client accounts.
- [View, upload or cancel](#) pending invoice requests.
- [View invoices that have been processed](#).
- [Upload invoices](#) for multiple clients in a single .csv file.

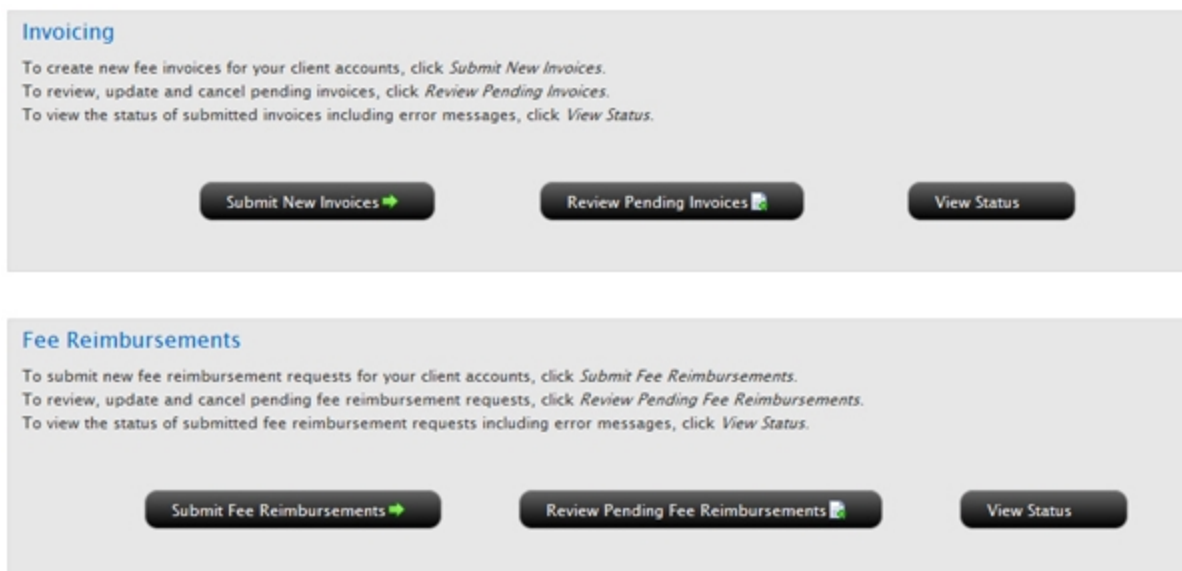
Note: Before you can submit fee invoices for client accounts, you must first configure Automatic Billing for Monthly/Quarterly Invoicing for the account(s) on the [Client Fees](#) page.

Advisors can also reimburse fees to clients on the Advisor Invoicing page. See [Advisor Fee Reimbursements](#) for detailed information.

To submit a fee invoice for client accounts

1. Click **Manage Clients > Fees > Invoicing**. Fund Investment Managers click **Manage Funds > Fees > Invoicing**.

The Client Invoicing page appears.



2. Click **Submit New Invoices**.

The page displays information about entering invoices.

Client Invoicing

Upload New Invoices

To upload a CSV file of new invoices for your client accounts, click *Upload New Invoices*.

[Upload New Invoices](#) ➔

Submit New Invoices

1. Select an account.
2. Enter the fee. Note that the new fees (alone or combined with previously Requested Fees) cannot exceed the limit.
3. Click *Add* to add the new invoice to the list. Repeat steps 1 and 2 above to add additional invoices for other accounts.
4. Click *Continue* when all invoices have been added.

» Invoices submitted prior to 5:30 (17:30) PM EST will be processed by IB the same day (U.S. night) and appear on that day's statements. Invoices submitted after 5:30 (17:30) PM EST will be processed by IB on the next business day.

» You can submit invoices for up to ten clients at a time, but only one invoice per client account per day.

» You cannot exceed the defined fee limit per period.

» The values in the Limit and Currency fields use the information defined on the Client Fees page.

Client Account	New Fees	Memo	Requested Fees	Limit	Currency	Action
Select Account ID ▾	<input type="text"/> . <input type="text"/>	<input type="text"/>	--			Add

[Continue](#) ➔
[Cancel](#) ✖

If you are using Money Managers to trade for client accounts, the page looks like this:

Client Invoicing

Upload New Invoices

To upload a CSV file of new invoices for your client accounts, click *Upload New Invoices*.

[Upload New Invoices](#) →

Submit New Invoices

Select an account.
Enter the fee. Note that the new fees (alone or combined with previously Requested Fees) cannot exceed the limit.
Click *Add* to add the new invoice to the list. Repeat steps 1 and 2 above to add additional invoices for other accounts.
Click *Continue* when all invoices have been added.

» Invoices submitted prior to 5:30 (17:30) PM EST will be processed by IB the same day (U.S. night) and appear on that day's statements.
Invoices submitted after 5:30 (17:30) PM EST will be processed by IB on the next business day.

» You can submit invoices for up to ten clients at a time, but only one invoice per client account per day.

» You cannot exceed the defined fee limit per period.

» The values in the Limit and Currency fields use the information defined on the Client Fees page.

Advisor*	Client Account	New Fees	Memo	Requested Fees	Limit	Currency	Action
F [dropdown]	Select Account ID [dropdown]	[input] . [input]	[input]	--			Add

*Advisor in this case is your own Financial Advisor Master Account(Wealth Manager) or a Money Manager Account.

[Continue](#) → [Cancel](#)

3. Enter invoices for each client account as follows:

- a. Select a client account from the Client Account list. The Limit and Currency fields are automatically filled with the information you entered on the Client Fees page.

If you are an Advisor using Money Managers, select an Advisor account from the Advisor drop-down list (Financial Advisor accounts begin with the letter F; Money Manager accounts begin with the letter A), then select a client account from the Client Account drop-down list.

- b. In the New Fees field, enter the amount of the invoice fee.
- c. Enter an optional note in the Memo field.
- d. Click the *Add* link in the Action column.

Note: The fee request (alone or combined with previously requested fees) cannot exceed the fee limit per period which you defined on the Client Fees page. The Requested Fees field shows the fees requested for the period to date.

The invoice is added to the list and a new invoice row is added to the table.

Account	New Fee Request	Memo	Requested Fees	Limit	Currency	Action
100000	1.00	test	0.21	Quarterly - 20.0	USD	Remove
100000	1.00	test	--	Monthly - 25.0	USD	Remove
Select Account ID <input type="text"/>	<input type="text"/> . <input type="text"/>	<input type="text"/>				Add

- Continue adding fee invoices as required.
- Click *Remove* in the Action column to remove any invoices from the list before you submit the request.
- When all fee requests have been added, click **Continue** to submit your advisor invoicing request.

Click **Cancel** to cancel the operation.

- A summary of your invoice requests appears. Click **Confirm** to confirm your request.

Click **Cancel** to cancel the operation.

- On the next page, click **Print** to print a copy of the invoices.

To view, update or cancel pending invoice requests

- Click **Manage Clients > Fees > Invoicing**. Fund Investment Managers click **Manage Funds > Fees > Invoicing**.

The Advisor Invoicing page appears.

Invoicing

To create new fee invoices for your client accounts, click *Submit New Invoices*.
 To review, update and cancel pending invoices, click *Review Pending Invoices*.
 To view the status of submitted invoices including error messages, click *View Status*.

Submit New Invoices

Review Pending Invoices

View Status

Fee Reimbursements

To submit new fee reimbursement requests for your client accounts, click *Submit Fee Reimbursements*.
 To review, update and cancel pending fee reimbursement requests, click *Review Pending Fee Reimbursements*.
 To view the status of submitted fee reimbursement requests including error messages, click *View Status*.

Submit Fee Reimbursements

Review Pending Fee Reimbursements

View Status

- Click **Review Pending Invoices**.
- Select the account for which you want to view pending fee invoices from the Account list. The Limit and Currency fields are automatically filled for you.

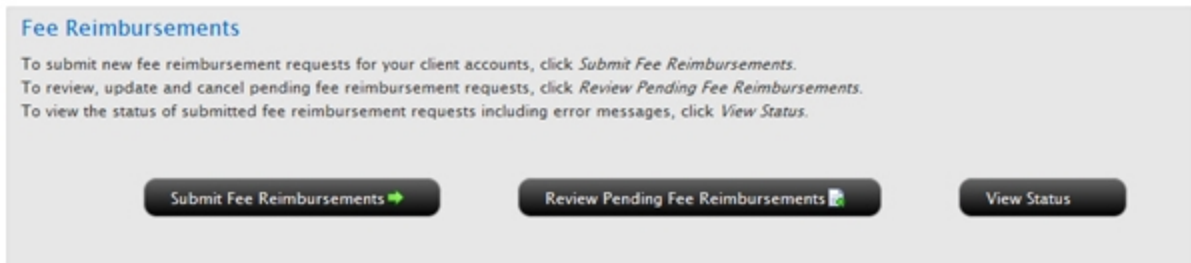
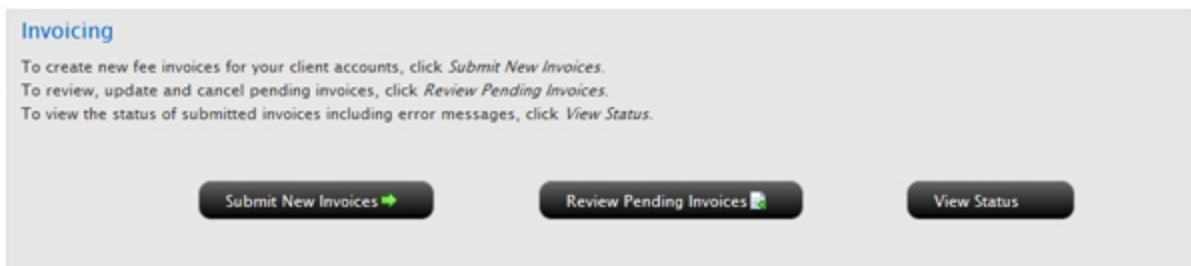
If you are an Advisor using Money Managers, select an Advisor account from the Advisor drop-down list (Financial Advisor accounts begin with the letter F; Money Manager accounts begin with the letter A), then select a client account from the Client Account drop-down list.

4. Select the month and year of the pending fee invoice from the Month-Year list.
5. You can update fee invoices that have been submitted but not yet processed. To update the fee invoice, enter the new fee in the New Fee Request field, then click **Confirm**.
6. To cancel a pending fee invoice request, enter **0** in the New Fee Request field, then click **Confirm**.

To view invoices that have been processed

1. Click **Manage Clients > Fees > Invoicing**. Fund Investment Managers click **Manage Funds > Fees > Invoicing**.

The Advisor Invoicing page appears.



2. Click **View Status**.
3. Select the account for which you want to view the status of fee invoices for the past seven days from the Account list. The Limit and Currency fields are automatically filled for you.

If you are and Advisor using Money Managers, select an Advisor account from the Advisor drop-down list (Financial Advisor accounts begin with the letter F; Money Manager accounts begin with the letter A), then select a client account from the Client Account drop-down list.

The page displays the following information for each invoice:

- Requested Amount
- Currency
- Memo, if there is one
- Post Date

- Posted Amount
- Error Reason, if there is an error

Uploading Invoices

If you have multiple client invoices, you can create a bulk invoice file and upload it on this page. You will be able to verify the invoice details before they are submitted for processing.

The file must be a CSV (comma-separated values) file that contains the following fields:

- Client Account Number
- Amount (in client account's base currency)
- Money Manager Account Number (only if the invoice is to be paid to a Money Manager)

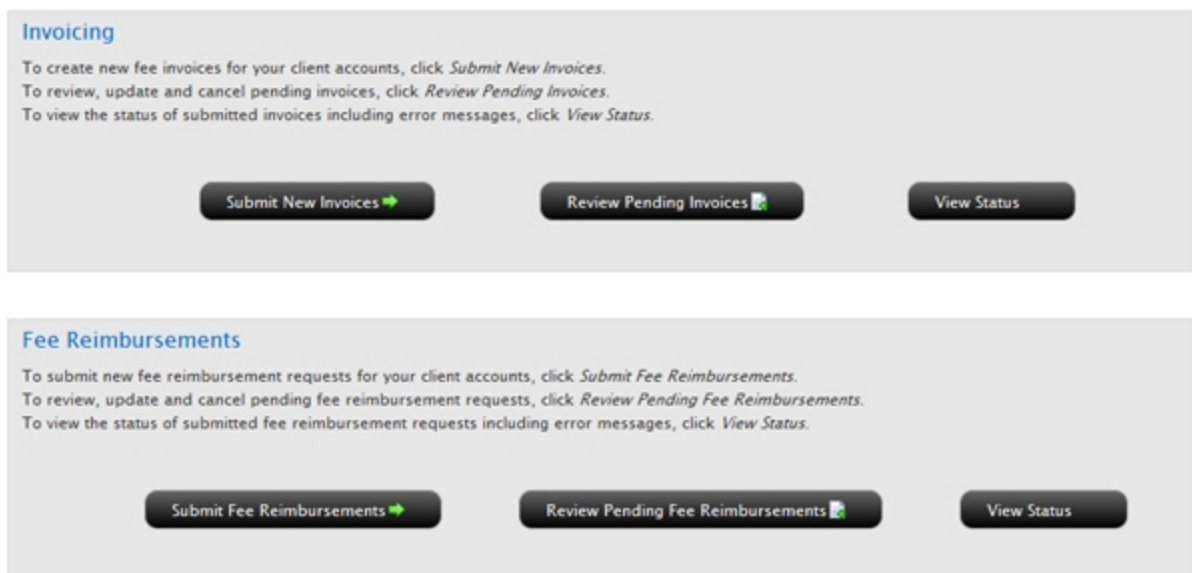
The following optional field may also be included:

- Memo.

To upload a .csv file with multiple client invoices

1. Prepare your .csv invoice file based on the rules listed above.
2. Log into Account Management, then click **Manage Clients > Fees > Invoicing**. Fund Investment Managers click **Manage Funds > Fees > Invoicing**.

The Client Invoicing page appears.



3. Click **Submit New Invoices**.

The page displays information about entering invoices.

4. Click **Upload New Invoices**.

Client Invoicing

Upload Client Invoices

The file must be a CSV (comma-separated values) file that contains the following fields:

- » Client Account Number
- » Amount (in client account's base currency)
- » Money Manager Account Number (only if the invoice is to be paid to a Money Manager)

The following optional field may also be included:

- » Memo

5. On the Upload Client Invoices page, click **Browse**, then locate and select your .csv invoice file.
6. Click **Upload**.
7. Do one of the following:
 - Click **Continue** to confirm your upload.
 - If your uploaded file is marked invalid, or if you want to add more account invoices to your .csv file, click **Reload**, then update your invoice file. Upload the updated file by clicking **Browse**, locate and select the updated file, then click **Upload**.
 - Click **Cancel** to cancel the upload completely.

Sample .csv File

The following figure shows a sample .csv file in Microsoft Excel with multiple invoices.

	A	B	C	D	E	F	G	H	I	J	K	L
1	UXXXXXXXX	500		July Invoice								
2	UXXXXXXXX	1525	AXXXXXXXX	Money Manager Invoice								
3	UXXXXXXXX	750.5		July Invoice								
4	UXXXXXXXX	1000	AXXXXXXXX	Money Manager Invoice								
5	UXXXXXXXX	100		June Invoice								
6	UXXXXXXXX	650		2Q Invoice								
7	UXXXXXXXX	499.99		July Invoice								
8	UXXXXXXXX	101	AXXXXXXXX	June Invoice								
9	UXXXXXXXX	50		May Invoice								
10	UXXXXXXXX	450.25	AXXXXXXXX	2Q Invoice								
11												
12												

Advisor Fee Reimbursements

Advisors can reimburse fees to client accounts on the Advisor Invoicing page.

Rules for Fee Reimbursements

- You can reimburse fees for a 12-month period.
- 50% of the trailing 12 months of invoices (net of any prior rebate) is the maximum amount that you can reimburse.
- Multiple reimbursements cannot exceed the original 50% maximum for the trailing 12-month period. For example, if invoices in a 12-month period were \$12,000, you can reimburse a maximum of \$6,000 in invoices. So if you reimburse \$5,000 in invoices one week, you can only reimburse a maximum of \$1,000 in invoices the following week because $\$5,000 + \$1,000 =$ the maximum reimbursement of \$6,000.
- Fee reimbursements should be accounted for in the fee cap calculations, meaning a rebate of fees will increase the fee caps.
- We process fee reimbursements by simultaneously debiting the master and crediting the client account.
- If the master does not have the funds available to satisfy the requested fee reimbursement, the request will not be processed.

On the Client Invoicing page, an advisor can:

- [Submit fee reimbursements.](#)
- [View, modify or cancel](#) pending fee reimbursements.
- [View fee reimbursements that have been processed.](#)

To submit fee reimbursements

Advisors can reimburse fees to client accounts on the Advisor Invoicing page.

1. Click **Manage Clients > Fees > Invoicing**.

The Advisor Invoicing page appears.

Invoicing

To create new fee invoices for your client accounts, click *Submit New Invoices*.
 To review, update and cancel pending invoices, click *Review Pending Invoices*.
 To view the status of submitted invoices including error messages, click *View Status*.

Submit New Invoices →
Review Pending Invoices ↻
View Status

Fee Reimbursements

To submit new fee reimbursement requests for your client accounts, click *Submit Fee Reimbursements*.
 To review, update and cancel pending fee reimbursement requests, click *Review Pending Fee Reimbursements*.
 To view the status of submitted fee reimbursement requests including error messages, click *View Status*.

Submit Fee Reimbursements →
Review Pending Fee Reimbursements ↻
View Status

2. Click **Submit Fee Reimbursements**.

Advisor Fee Reimbursement

Submit Fee Reimbursements

1. Select an account.
2. Enter the amount you wish to reimburse your client from your master account. Note that new fee reimbursements (alone or combined with previous reimbursements cannot exceed 50% of the fees charged in the last 12 months.
3. Click *Add* to add a new fee reimbursement to the list. Repeat steps 1 and 2 above to add additional reimbursements for other accounts.
4. Click *Continue* when all reimbursements have been added.

» Reimbursements submitted prior to 5:30 (17:30) PM EST will be processed by IB the same day (U.S. night) and appear on that day's statements. Reimbursements submitted after 5:30 (17:30) PM EST will be processed by IB on the next business day.
 » You can submit reimbursements for up to ten clients at a time, but only one reimbursement per client account per day.
 » The reimbursement amount will be debited to the master account.

Advisor*	Client Account	New Reimbursement Amount	Memo	Requested Reimbursement	Currency	Action
F55119 ▾	Select Account ID ▾	<input type="text"/> . <input type="text"/>	<input type="text"/>	--		Add

* Advisor in this case is your own Financial Advisor Master Account (Wealth Manager) or a Money Manager Account.

Continue →
✖ Cancel

3. Enter fee reimbursements for each client account as follows:

- a. Select an Advisor from the Advisor list. This will be either your own Master account or a Money Manager account.
- b. Select a client account from the Client Account list. The Currency field is automatically filled.
- c. In the New Reimbursement Amount field, enter the amount of the fee reimbursement.

- d. Enter an optional note in the Memo field.
- e. Click the *Add* link in the Action column.

The fee reimbursement is added to the list and a new row is added to the table.

Client Account	New Reimbursement Amount	Memo	Requested Reimbursement	Currency	Action
U12345678	5 . 0		--	USD	Remove
U12345678	2 . 0		--	USD	Remove
Select Account ID ▾	<input type="text"/> . <input type="text"/>	<input type="text"/>			Add

4. Continue adding fee reimbursements as required.
5. Click *Remove* in the Action column to remove any invoices from the list before you submit the request.
6. When all reimbursements have been added, click **Continue** to submit your request.

Click **Cancel** to cancel the operation.

7. A summary of your fee reimbursement requests appears. Click **Confirm** to confirm your request.

Click **Cancel** to cancel the operation.

Be aware of the following processing rules:

- Reimbursements submitted prior to 5:30 (17:30) PM EST will be processed by us the same day (U.S. night) and appear on that day's statements.
- Reimbursements submitted after 5:30 (17:30) PM EST will be processed by us on the next business day.
- You can submit reimbursements for up to ten clients at a time, but only one reimbursement per client account per day.

To review fee reimbursements

1. Click **Manage Clients > Fees > Invoicing**.

The Advisor Invoicing page appears.

The screenshot shows two distinct sections. The top section, titled 'Invoicing', contains three instructions: 'To create new fee invoices for your client accounts, click *Submit New Invoices*.', 'To review, update and cancel pending invoices, click *Review Pending Invoices*.', and 'To view the status of submitted invoices including error messages, click *View Status*.'. Below these instructions are three dark buttons: 'Submit New Invoices' with a green arrow icon, 'Review Pending Invoices' with a document icon, and 'View Status'. The bottom section, titled 'Fee Reimbursements', contains three instructions: 'To submit new fee reimbursement requests for your client accounts, click *Submit Fee Reimbursements*.', 'To review, update and cancel pending fee reimbursement requests, click *Review Pending Fee Reimbursements*.', and 'To view the status of submitted fee reimbursement requests including error messages, click *View Status*.'. Below these instructions are three dark buttons: 'Submit Fee Reimbursements' with a green arrow icon, 'Review Pending Fee Reimbursements' with a document icon, and 'View Status'.

2. Click **Review Pending Fee Reimbursements**.
3. Select the account for which you want to view pending fee invoices from the Account list. The Limit and Currency fields are automatically filled for you.
4. Modify or cancel the fee reimbursement request:
 - To modify the fee reimbursement request, enter a new fee reimbursement in the New Fee Reimbursement field.
 - To cancel a fee reimbursement, enter '0' in the New Fee Reimbursement field.
3. Click **Confirm**.

To view fee reimbursements that have been processed

1. Click **Manage Clients > Fees > Invoicing**.

The Advisor Invoicing page appears.

Invoicing

To create new fee invoices for your client accounts, click *Submit New Invoices*.
 To review, update and cancel pending invoices, click *Review Pending Invoices*.
 To view the status of submitted invoices including error messages, click *View Status*.

Submit New Invoices → Review Pending Invoices 📄 View Status

Fee Reimbursements

To submit new fee reimbursement requests for your client accounts, click *Submit Fee Reimbursements*.
 To review, update and cancel pending fee reimbursement requests, click *Review Pending Fee Reimbursements*.
 To view the status of submitted fee reimbursement requests including error messages, click *View Status*.

Submit Fee Reimbursements → Review Pending Fee Reimbursements 📄 View Status

2. Click **View Status** in the Fee Reimbursements section.
3. Select the account for which you want to view the status of fee invoices for the past seven days from the Account list. The Limit and Currency fields are automatically filled for you.

Client Fee Reimbursement

View Fee Reimbursement Status

Review fee reimbursements that have been processed.

Advisor:

Client:

Selected Account ID: 00000 for 00000

Requested Amount	Currency	Memo	Post Date	Posted Amount	Error Reason
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The page displays the following information for each fee reimbursement:

- Requested Amount
- Currency
- Memo, if there is one
- Post Date
- Posted Amount
- Error Reason, if there is an error

Broker Client Fees

Brokers can charge their clients for services rendered based on a fee-per-trade unit for each asset class (e.g. stocks, options, etc.), exchange and currency. The trade unit is determined by the unit we use for our commissions charges and can be on a per-share, per-contract, or percent of trade value basis.

Brokers set up client fee schedules on the **Manage Clients > Fees > Configure** page.

For descriptions of all types of broker client fees, see [Types of Broker Client Fees](#).

Note: Beginning in September 2014, new Fully Disclosed and Non-Disclosed Broker accounts will have all fees owed to the broker sent first to the broker's master account and then swept to the broker's proprietary account every night.

Rules for Broker Client Fees

The following general rules apply to broker client fee schedules:

- If a broker has not created a fee schedule for an individual account, then the default client fee template will automatically apply to that account.
- If a broker has not created any fee schedule at all, either a client fee template or fee schedules for individual accounts, then our standard commissions will be charged with no markup for the broker.
- Broker client markups are limited to 15 times our standard commissions.
- For accounts with less than USD 25,000 (or non-USD equivalent), the markups will be limited to three times our standard commissions.
- No fee per trade will be applied if the client calls us to close a trade.
- Brokers can also specify fees per trade for specific products and exchanges but only in the global fees schedule.

Note: For Forex fee per trade unit, the mark-up is calculated on the second currency of an FX pair, so for example, if a client trades in EUR.USD, the markup is based on the USD and not the EUR.

Client Fee Templates

Client fee schedules can be applied to accounts individually or can be stored in *templates*. As a broker, you can configure fees for one or more client accounts, or set up client fee schedules in templates, then assign the templates to client accounts. The use of templates allows you to easily maintain different fee schedules for multiple client accounts. If you are a new broker (i.e., you just opened your account), then there will be a blank default client fee template, which you can then configure with your own fee schedule. If you are an existing broker, your old global fee schedule is now the default client fee template.

For more information, see [Client Fee Templates](#).

Markup Summary

Brokers can view all commission markup schedules for their client accounts on the Markup Summary page, which sorts information by fee schedule and displays client accounts that use the global markup schedule together.

The [Markup Summary](#) is available in the **Manage Clients > Fees** menu.

Types of Broker Client Markups

For each asset class/currency, a broker can select one of the fee-per-trade client markup types listed below, one markup type per asset class/currency.

Minimum Amount

Brokers can specify a minimum amount to charge per trade. The minimum amount cannot exceed the following limits:

Currency	Minimum Fee Per Trade Limit
USD	25
EUR	20
CHF	30
GBP	15
CAD	30
JPY	2500
HKD	20
SEK	175
MXN	250
KRW	20000
AUD	30

Note that you cannot enter both a minimum amount per trade and a ticket charge. You can enter one or the other.

Example

For example, a broker enters 1 in the Min column for Stocks/CAD for an individual client account. The minimum broker client fee for a stock trade in CAD for that client will be 1.00. A broker would typically set the Minimum Amount in conjunction with other types of client markups for a specific asset class/currency.

Stocks			Max*	Absolute Markup	% Markup	Fee #1	Vol #1	Fee #2	Vol #2	Fee #3	Exchange & Regulatory Fees
Currency/Exchange Product Unit	Ticket Charge	Min									
CURRENCY											
AUD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	1	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	0.02	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (%)	<input type="text"/>	0	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (%)	<input type="text"/>	0	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	0.14	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (%)	<input type="text"/>	0	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

Maximum Amount

Brokers can specify a maximum amount to charge per trade. They can also configure the Maximum Amount as a percent of trade value for stocks in USD and CAD by clicking the check box below the Max entry field on the Client Fees page in Account Management.

Example

For example, a broker enters 5 in the Max column for Stocks/CAD for an individual client account. The maximum broker client fee for a stock trade in CAD for that client will be 5.00. A broker would typically set the Maximum Amount in conjunction with other types of client markups for a specific asset class/currency.

Stocks			Max*	Absolute Markup	% Markup	Fee #1	Vol #1	Fee #2	Vol #2	Fee #3	Exchange & Regulatory Fees
Currency/Exchange Product Unit	Ticket Charge	Min	Max*								
CURRENCY											
AUD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	<input type="text"/>	5	<input type="checkbox"/>	<input type="text"/>	0.02	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (%)	<input type="text"/>	0	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (%)	<input type="text"/>	0	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	0.14	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (%)	<input type="text"/>	0	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

In another example, a broker enters 1 in the Max column for Stocks/CAD for an individual client account, and selects the check box below the Max field, indicating that this Maximum Amount will be calculated as a percentage of trade value of Stocks/CAD. The maximum broker client fee for a stock trade in CAD for the client will be 1% of the stock trade value.

Ticket Charge

Brokers can specify a ticket charge per trade. A ticket charge is simply an additional flat fee. You cannot specify both a minimum amount AND a ticket charge for a single asset class/currency.

Example

For example, a broker enters 25 in the % Markup column for Stocks/CHF and then enters 1 in the Ticket Charge column for an individual client. The broker markup for a stock trade in Swiss Francs for this client will be 25% of our commission + 1CFH.

Stocks						Fee #1	Vol #1	Fee #2	Vol #2	Fee #3	Exchange & Regulatory Fees
Currency/Exchange Product Unit	Ticket Charge	Min	Max*	Absolute Markup	% Markup						
CURRENCY											
AUD (%)											
CAD (shares)						0.02					
CHF (%)	1				25						
EUR (%)		0				0.14					
GBP (%)		0				0.15					

Absolute Markup

Brokers can charge an Absolute Markup per trade. Absolute Markup is a specific amount added to our commission. Brokers enter an Absolute Markup in the currency or exchange of the asset class. On the Client Fees page in Account Management, the units listed in the Currency/Exchange/Product Unit column indicate if the absolute markup gets applied to shares, contracts, or % of notional value. Absolute Markup amounts can include up to three decimal places.

Example

For example, a broker enters 1 as the Absolute Markup for USD Stock and Index Options. Later, one Smart option contract is executed. The client will be charged \$2 (\$1 IB commission + \$1 Absolute Markup).

Tiered Absolute Amount

Brokers can charge an Absolute Amount from which our commission is subtracted. You can set up to three tiers for Absolute Amount based on volume breaks.

Brokers should monitor their customers commissions as it is possible for us to charge more than the client fee. To set an Absolute Amount, enter one to three fees (Fee#1, Fee#2, Fee#3), and enter volume breaks (Vol#1, Vol#2) on a per trade basis on the Client Fees page in Account Management. The units listed in the Currency/Exchange/Product Unit column indicate if the absolute markup gets applied to shares, contracts, or %. Absolute Amounts can include up to three decimal places.

Our standard UK fees of .1%, and stamp tax of .5% would be subtracted from the absolute fee specified above.

Customer Absolute Tiered Commissions are mutually exclusive from our Tiered Commissions. They can be combined with our Tiered Commissions, or one customer absolute rate can be used with our Tiered Commissions.

Example

For example, a broker wants to charge 0.05 USD for up to 500 shares of stock, 0.03 USD for up to 1,000 shares, and 0.002 USD above 1,000 shares, along with a ticket charge of 1 USD. The entries on the Client Fees page would look like this:

Stocks		Min	Max*	Absolute Markup	% Markup	Fee #1	Vol #1	Fee #2	Vol #2	Fee #3	Exchange & Regulatory Fees
Currency/Exchange Product Unit	Ticket Charge										
CURRENCY											
AUD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.02	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.14	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
HKD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
JPY (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
MXN (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
NOK (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SEK (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.12	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SGD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
USD (shares)	<input type="text" value="1"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.05	500	0.03	1000	0.02	<input type="checkbox"/>

% Markup

Brokers can specify a percentage of our standard commission to charge per trade. Enter % Markup as a percentage without the decimal point.

Example

For example, a broker enter 100 in the % Markup column for Stocks/EUR for an individual client, indicating that stock trades for this client will carry a broker markup of 100% of our commission. If we charge 10 EUR for a stock trade, the % Markup will be 10 EUR (100% * 10 EUR). The client will be charged a total of 20 EUR for a stock trade (10 EUR IB Commission + 10 EUR % Markup).

Stocks		Min	Max*	Absolute Markup	% Markup	Fee #1	Vol #1	Fee #2	Vol #2	Fee #3	Exchange & Regulatory Fees
Currency/Exchange Product Unit	Ticket Charge										
CURRENCY											
AUD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.02	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (%)	<input type="text" value="1"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (%)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="100"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

Exchange and Regulatory Fees

In addition to (or on top of) an absolute fee, a broker can pass any exchange or regulatory fees through to the customer by selecting the Exchange & Regulatory Fees option. These fees can only be entered when Absolute Amounts are set. Brokers can also specify a tiered commission schedule and Exchange & Regulatory Fees for specific products and specific exchanges.

Example

For example, 1,000 shares @ \$.05 per share + Exchange Fee of \$.003 per share = (1,000 * .03) + (1,000 * \$.003) = Total Fee charged of \$33.00.

Currency Exchange Product Unit	Ticket Charge	Min	Max*	Absolute Markup	% Markup	Fee #1	Vol #1	Fee #2	Vol #2	Fee #3	Exchange & Regulatory Fees
CURRENCY											
AUD (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.02	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.14	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
HKD (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
JPY (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
MXN (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
NOK (N)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SEK (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.12	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SGD (N)	<input type="text"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
USD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.05	500	0.03	1000	0.02	<input checked="" type="checkbox"/>

Interest Markups and Markdowns

Brokers can mark down credit and short proceeds credit interest, and markup debit interest. Markups and Markdowns are specified percentages along with the following options:

- Pay Client No Credit Interest - All credit and short proceeds credit interest will be paid to the broker and the client will not receive any revenue.
- Credit Markdown - A percentage amount will be subtracted from the credit interest paid and given to the broker. Clients will not be charged negative interest so if the markdown is greater than the currently available credit interest rate then no interest will be paid.
- Debit Markup - A percentage amount will be added to the debit interest. The maximum markup is 1%.
- Short Credit Markdown - A percentage amount will be subtracted from the short proceeds credit interest paid and given to the broker.

Note: Interest markups and markdowns are rounded to two decimals.

Markups on Borrow Fees

Brokers can charge markups to their clients based on our stock borrow rates, entered as a variable or fixed percentage of our borrow rate. You can enter both types of markups and our system will apply the markup rate that results in the larger total amount.

- Variable borrow fee markup - This is a variable percentage of our borrow rate. The total cost to your client is calculated as follows:

Borrow Rate (1 + Variable Markup Percentage)

The range of acceptable values that you can enter is 0 - 25%.

- Fixed borrow fee markup - This is a fixed percentage of our borrow rate. The total cost to your client is calculated as follows:

Borrow Rate + Fixed Markup Percentage)

The range of acceptable values that you can enter is 0 - 1%.

Borrow Markup Fee Example 1

Symbol ABC Borrow Rate = 35%

Variable Borrow Markup = 20%

Fixed Borrow Markup = 1%

Calculating the total cost to your client, we have:

- Variable markup
 $35\% (1 + 20\%) = 42\%$ total cost to your client.
 or
 $0.35 (1.2) = 0.42$
- Fixed markup
 $35\% + 1\% = 36\%$
 or
 $0.35 + 0.01 = 0.36$

Our system applies the larger total amount, so in this example, we would apply the Variable Borrow Markup and the total cost to your client is 42%, which includes our borrow rate plus your borrow markup.

Borrow Markup Fee Example 2

Symbol XYZ Borrow Rate = 0.25%

Variable Borrow Markup = 20%

Fixed Borrow Markup = 0.75%

Calculating the total cost to your client, we have:

- Variable markup
 $0.25\% (1 + 20\%) = 0.30\%$ total cost to your client.
 or
 $0.0025 (1.2) = 0.003$
- Fixed markup
 $0.25\% + 0.75\% = 1\%$

or

$$0.0025 + 0.0075 = 1.00$$

Our system applies the larger amount, so in this example, we would apply the Fixed Borrow Markup and the total cost to your client is 1%, which includes our borrow rate plus your borrow markup.

Configure Broker Client Fees

Brokers configure client fee schedules on the Configure Fees page. Use the Configure Fees page to:

- View and sort all client accounts.
- Select one or more client accounts, then view (and if necessary, modify) the current fee schedule for those accounts.
- Select one or more client accounts, then configure and apply a fee schedule to those accounts.
- [Select one or more client accounts, then apply a previously saved client fee template to those accounts.](#)

Client fees set by Broker Master Users are always based on fees per trade.

To configure client fees

1. Click **Manage Clients > Fees > Configure**.

The Configure Fees page opens.

Configure Fees
Select account(s) below to configure fees.

Search:

Account Number	Account Alias	Account Name	Date Opened	Template
<input type="checkbox"/> U 100000		Test Partnership	11/06/2012	Default
<input type="checkbox"/> U 100001		SunnyTester Moon	03/27/2013	Default
<input type="checkbox"/> U 100002		Account: 100002	05/17/2004	Default
<input type="checkbox"/> U 100003	Account: 100003	Account: 100003	05/17/2004	Default
<input type="checkbox"/> U 100004		Account: 100004	06/26/2006	
<input type="checkbox"/> U 100005		Account: 100005	03/23/2011	Default
<input type="checkbox"/> U 100006		Account: 100006	07/06/2011	Default
<input type="checkbox"/> U 100007	100	Account: 100007	10/25/2002	
<input type="checkbox"/> U 100008	Account: 100008	Account: 100008	02/17/2011	Default
<input type="checkbox"/> U 100009		Account: 100009	02/28/2011	Default

[View/Configure Fees](#)

If you have a large number of client accounts, you can sort the list by any column heading, including Account Number, Account Alias, Account Name, Date Opened and Template. Simply click the arrows next to a column heading to sort the list by that heading.

You can also search for client accounts by entering all or part of the client's account number, account alias or name. The list of matching client accounts updates automatically.

2. Select one or more client accounts by clicking the check box next to each one, then click **View/Configure Fees**.

The page displays the fee schedule currently assigned to the selected client accounts, or displays a blank fee schedule if you have not yet assigned one to the selected accounts.

3. Brokers can charge their clients for services rendered based on a fee-per-trade unit for each asset class (e.g. stocks, options, etc.), exchange and currency. These sections are displayed in expanding and collapsing sections. Click the gray bar to expand or collapse each section.

Configure Fees

Enter your fees below for the account(s) listed below. You can also apply a template from the dropdown. Once you are finished click the "Submit Fees" button at the bottom of the page.

Accounts to be Configured				
3333				

3333 "Default" Template is currently applied

- Stocks
- Warrants
- Stock & Index Options
- Futures, Futures Options, SSFs
- FX
- Contracts for Difference
- Bonds
- Interest Rates
- Metals
- Mutual Funds

Stocks											
Currency/Exchange Product Unit	Ticket Charge	Min	Max*	Absolute Markup	% Markup	Fee#1	Vol#1	Fee#2	Vol#2	Fee#3	Exchange & Regulatory Fees
CURRENCY											
USD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
AUD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	0.15	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
HKD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
JPY (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
MXN (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SEK (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SGD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EXCHANGE											
BM (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
FWB (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
IBIS (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
LSE (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SWB (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Warrants											
Stock & Index Options											
Futures, Futures Options, SSFs											
Contracts for Difference											
Metals											
Mutual Funds											
FX											
Bonds											
Interest Rates											

Expand and collapse each section as needed to set fees per trade as described below:

- To set a ticket charge, enter the amount in the Ticket Charge field for each desired product/currency. Remember that you cannot enter both a minimum fee per trade AND a ticket charge for a single product/currency.
- To set a minimum fee per trade, enter the amount in the Min field for each desired product/currency. Remember that you can set the minimum fee per trade for all products and currencies.
- To set a maximum fee per trade, enter the amount in the Max field for each desired product/currency. Remember that you can set the maximum fee per trade for all products and currencies. Check the box under the Max column to configure maximum per order fee as percent of trade value.
- To set an absolute markup amount for a product, enter the amount in the Absolute Markup field for the desired product/currency. If you set this amount for a product/currency, you cannot set the Percent Markup or Absolute

Amounts for the same product/currency. For example, to set a client fee of \$1.00, enter 1.00 in the Absolute Markup field for the desired product/currency. Note that this client fee is in addition to our commission.

Note: For Forex fee per trade unit, the mark-up is calculated on the second currency of an FX pair, so for example, if a client trades in EUR.USD, the markup is based on the USD and not the EUR.

- To set a markup percentage, enter the percentage amount without the decimal amount. (enter it as a whole number) in the % Markup field for the desired product/currency. For example, entering 100 indicates a 100% markup. If you set this amount for a product/currency, you cannot set the Absolute Markup or Absolute Amounts for the same product/currency. For example, to set a client fee of 25% of our commission, enter 25 in the % Markup field for the desired product/currency. Note that this client fee is in addition to our commission.
- To set absolute fees in a tiered schedule by volume level (also called Absolute Tiered Commissions), for each desired product/currency, enter the fee amount for each of the three tiers (Fee#1, Fee#2 and Fee#3 fields), then enter the volume level at which the fee changes in each of the three tiers (Vol#1, Vol#2 and Vol#3 fields). Note that Absolute Tiered Commissions include our commission.

Check the Unit column for the specific product/currency. You must enter absolute fees in the same units specified in the Unit column for that product/currency. For example, if the Unit column displays a percent sign (%), be sure to enter the percentage and not the absolute dollar amount.

For example, suppose you wanted to charge 0.4% for up to 500 shares, 0.3% for up to 1,000 shares, and 0.2% above 1,000 shares of GBP stocks. You would enter 0.4 in the Fee#1 field, 500 in the Vol#1 field, 0.3 in the Fee#2 field, 1000 in the Vol#2 field, and 0.2 in the Fee#3 field. In this example, you would leave the Vol#3 field blank.

Note: Very small numbers may be displayed in E notation.

- Broker Master Users can set absolute amounts for products and specific exchanges. To do this, scroll down the list of products and enter the amount in the field next to the desired product or exchange in the applicable currency. You can also enter absolute fees in a tiered schedule as described in the previous bullet.
 - To specify that all regulatory and exchange fees be added to an Absolute Tiered Commission schedule, click the check box for the desired product/currency.
4. To specify interest markups or markdowns for a specific currency:
- Click the Pay Client No Credit Interest check box to pay all credit and short proceeds credit interest to the broker.
 - In the Credit Markdown field, enter a percentage amount to be subtracted from the credit interest paid and given to the broker.
 - In the Debit Markup field, enter a percentage amount to be added to the debit interest. The maximum markup is 1%.
 - In the Short Credit Markdown field, enter a percentage amount to be subtracted from the short proceeds credit interest paid and given to the broker.
 - Specify credit markdowns and debit markups for interest associated with long and short CFDs and long and short index CFDs in the fields provided.
 - Specify borrow fee markup percentages in the Variable Borrow Markup and Fixed Borrow Markup fields. Acceptable values for the Variable Borrow Markup must be between 0 and 25% (you do not enter the percent sign). Acceptable values for the Fixed Borrow Markup must be between 0 and 1% (you do not enter the

percent sign).

For more information about borrow markups, see [Types of Broker Client Fees](#).

5. Click **Continue**.

A confirmation page appears.

6. Print this page for your records, then click **Continue**.

To apply a previously saved client fee template to selected accounts

1. Click **Manage Clients > Fees > Configure**.

The Configure Fees page opens.

2. Select one or more client accounts by clicking the check box next to each one, then click **View/Configure Fees**.
3. Select a template from the Template drop-down, then click the **Apply Template** button.
4. Click **Continue** at the bottom of the page.

Client Invoicing

The Client Invoicing page lets you submit broker-calculated daily fee invoices for multiple client accounts, view and update pending invoices and review invoices processed in the past seven (7) days. Invoices submitted prior to 5:30 (17:30) PM EST will be processed by us the same day (U.S. night) and appear on today's statements. Invoices submitted after 5:30 (17:30) PM EST will be processed by us on the next business day. You can submit invoices for up to ten clients per day, but only one invoice per client account per day.

Who can access the Client Invoicing page?

You can access this page if you are a(n):

- Fully Disclosed Broker Master

The Broker Invoicing page lets a Fully Disclosed Broker:

- [Configure Invoices](#)
- [Submit a fee invoice](#) for client accounts.
- [View, upload or cancel](#) pending invoice requests.
- [Upload invoices](#) for multiple clients in a single .csv file.

Note: Before you can submit fee invoices for client accounts, you must first configure Automatic Billing for Monthly/Quarterly Invoicing for the account(s).

To configure invoices for client accounts

1. Click **Manage Clients > Fees > Invoicing**.

The Client Invoicing page appears.

Invoicing

To configure invoicing for your client accounts, click *Configure Invoicing*.
 To create new fee invoices for your client accounts, click *Submit New Invoices*.
 To review, update and cancel pending invoices, click *Review Pending Invoices*.
 To view the status of submitted invoices including error messages, click *View Status*.

2. Click **Configure Invoicing**.

The Configure Invoicing page appears.

Configure Invoicing
 Select account(s) below to configure fees.

Search:

Account Number	Account Alias	Account Name	Date Opened
<input type="checkbox"/> U 1001000	Test Alias	Applicant 1001000	08/13/2013
<input type="checkbox"/> U 1000000		Applicant 1001000	05/17/2004
<input type="checkbox"/> U 1000000	Yankee - O'Done	Applicant 1001000	05/17/2004
<input type="checkbox"/> U 0011000	Yankee - Doodle	Applicant 1001000	06/26/2006

If you have a large number of client accounts, you can sort the list by any column heading, including Account Number, Account Alias, Account Name and Date Opened. Simply click the arrows next to a column heading to sort the list by that heading.

You can also search for client accounts by entering all or part of the client's account number, account alias or name. The list of matching client accounts updates automatically.

3. Select one or more client accounts by clicking the check box next to each one, then click **View/Configure Invoicing**.

Configure Invoicing
 Enter your fees below for the account(s) listed below. Once you are finished click the "Continue" button at the bottom of the page.

Accounts to be Configured			
<input type="checkbox"/> U 1000000			

Monthly/Quarterly Invoicing (enter monthly or quarterly amount) The broker calculates and removes the fees from the client account up to a limit of per month OR per quarter.

- Enter the maximum monthly or quarterly fee amount in the fields provided. This fee is calculated by you and removed from the client account on a monthly or quarterly basis, depending on your entry.
- Click **Continue**.

Note: The fee request (alone or combined with previously requested fees) cannot exceed the fee limit per period which you defined on the Client Fees page. The Requested Fees field shows the fees requested for the period to date.

- On the Confirmation of Fees page, click **Generate PDF** to print a PDF document with the new invoicing. To activate this monthly/quarterly invoicing the client can sign the printed PDF form or the client can confirm the request in Account Management under Pending Requests.

Confirmation of Fees

You have elected fees for the following account(s):

Configured Accounts				
U	1000000			

Monthly/Quarterly Invoicing

The broker calculates and removes the fees from the client account up to a limit of 1.02 per month.

Click Generate PDF to print a PDF document with the new invoicing. To activate this monthly/quarterly invoicing the client can sign the printed PDF form or the client can confirm the request in Account Management under Pending Requests.

[Generate PDF](#)

[Continue →](#)

To submit a new invoice request

- Click **Manage Clients > Fees > Invoicing**

The Broker Invoicing page appears.

Invoicing

To configure invoicing for your client accounts, click *Configure Invoicing*.

To create new fee invoices for your client accounts, click *Submit New Invoices*.

To review, update and cancel pending invoices, click *Review Pending Invoices*.

To view the status of submitted invoices including error messages, click *View Status*.

[Configure Invoicing →](#)

[Submit New Invoices →](#)

[Review Pending Invoices →](#)

[View Status](#)

- Click **Submit New Pending Invoices**.
- Enter invoices for each client account as follows:
 - Select a client account from the Client Account list. The Limit and Currency fields are automatically filled with the information you entered on the Client Fees page.

If you are an Advisor using Money Managers, select an Advisor account from the Advisor drop-down list (Financial Advisor accounts begin with the letter F; Money Manager accounts begin with the letter A), then

select a client account from the Client Account drop-down list.

- b. In the New Fees field, enter the amount of the invoice fee.
- c. Enter an optional note in the Memo field.
- d. Click the *Add* link in the Action column.

Note: The fee request (alone or combined with previously requested fees) cannot exceed the fee limit per period which you defined on the Client Fees page. The Requested Fees field shows the fees requested for the period to date.

The invoice is added to the list and a new invoice row is added to the table.

Account	New Fee Request	Memo	Requested Fees	Limit	Currency	Action
100000	1.00	test	0.21	Quarterly - 20.0	USD	Remove
100000	1.00	test	--	Monthly - 25.0	USD	Remove
Select Account ID <input type="text"/>	<input type="text"/> . <input type="text"/>	<input type="text"/>				Add

4. Continue adding fee invoices as required.
5. Click *Remove* in the Action column to remove any invoices from the list before you submit the request.
6. When all fee requests have been added, click **Continue** to submit your advisor invoicing request.

Click **Cancel** to cancel the operation.

7. A summary of your invoice requests appears. Click **Confirm** to confirm your request.

Click **Cancel** to cancel the operation.

8. On the next page, click **Print** to print a copy of the invoices.

To view, update or cancel pending invoice requests

1. Click **Manage Clients > Fees > Invoicing**

The Broker Invoicing page appears.

Invoicing

To configure invoicing for your client accounts, click *Configure Invoicing*.
 To create new fee invoices for your client accounts, click *Submit New Invoices*.
 To review, update and cancel pending invoices, click *Review Pending Invoices*.
 To view the status of submitted invoices including error messages, click *View Status*.

Configure Invoicing

Submit New Invoices

Review Pending Invoices

View Status

2. Click **Review Pending Invoices**.
3. Select the account for which you want to view pending fee invoices from the Account list. The Limit and Currency fields are automatically filled for you.

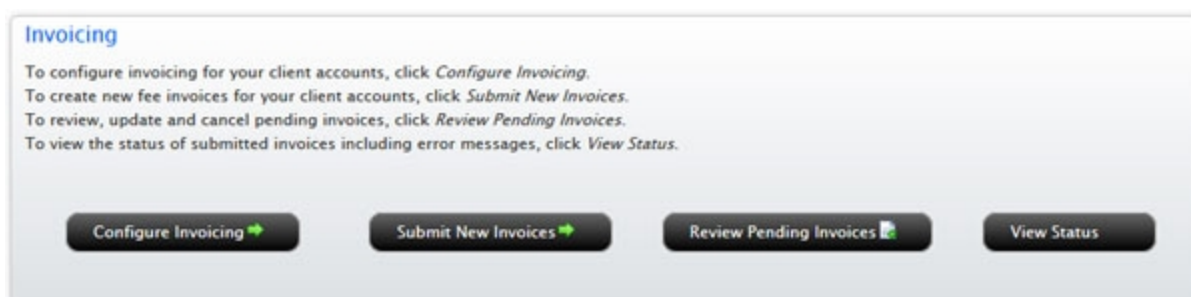
If you are using Money Managers, select an Advisor account from the Advisor drop-down list (Financial Advisor accounts begin with the letter F; Money Manager accounts begin with the letter A), then select a client account from the Client Account drop-down list.

4. Select the month and year of the pending fee invoice from the Month-Year list.
5. You can update fee invoices that have been submitted but not yet processed. To update the fee invoice, enter the new fee in the New Fee Request field, then click **Confirm**.
6. To cancel a pending fee invoice request, enter **0** in the New Fee Request field, then click **Confirm**.

To view invoice status

1. Click **Manage Clients > Fees > Invoicing**

The Broker Invoicing page appears.



2. Click **View Status**.
3. Select the account for which you want to view the status of fee invoices for the past seven days from the Account list. The Limit and Currency fields are automatically filled for you.

If you are using Money Managers, select an Advisor account from the Advisor drop-down list (Financial Advisor accounts begin with the letter F; Money Manager accounts begin with the letter A), then select a client account from the Client Account drop-down list.

Invoice status displays the following information for each invoice:

- Requested Amount
- Currency
- Memo, if there is one
- Post Date
- Posted Amount
- Error Reason, if there is an error

Uploading Invoices

If you have multiple client invoices, you can create a bulk invoice file and upload it on this page. You will be able to verify the invoice details before they are submitted for processing.

The file must be a CSV (comma-separated values) file that contains the following fields:

- Client Account Number
- Amount (in client account's base currency)
- Money Manager Account Number (only if the invoice is to be paid to a Money Manager)

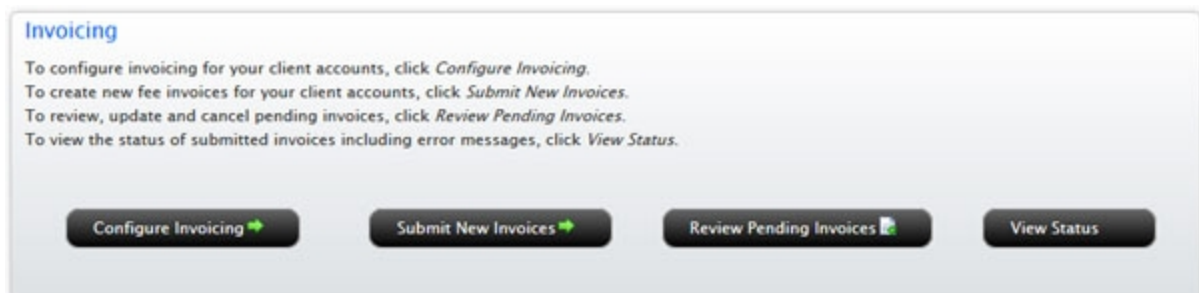
The following optional field may also be included:

- Memo.

To upload a .csv file with multiple client invoices

1. Prepare your .csv invoice file based on the rules listed above.
2. Log into Account Management, then click **Manage Clients > Fees > Invoicing**

The Broker Invoicing page appears.



3. Click **Submit New Invoices**.

The page displays information about entering invoices.

4. Click **Upload New Invoices**.

Client Invoicing

Upload Client Invoices

The file must be a CSV (comma-separated values) file that contains the following fields:

- » Client Account Number
- » Amount (in client account's base currency)
- » Money Manager Account Number (only if the invoice is to be paid to a Money Manager)

The following optional field may also be included:

- » Memo

5. On the Upload Client Invoices page, click **Browse**, then locate and select your .csv invoice file.
6. Click **Upload**.
7. Do one of the following:
 - Click **Continue** to confirm your upload.
 - If your uploaded file is marked invalid, or if you want to add more account invoices to your .csv file, click **Reload**, then update your invoice file. Upload the updated file by clicking **Browse**, locate and select the updated file, then click **Upload**.
 - Click **Cancel** to cancel the upload completely.

Markup Summary

The Markup summary displays commission markup schedules for a broker's client accounts. The report sorts information by fee schedule, and displays an extra line for those client accounts that use the global markup schedule.

Who can access the Markup Summary page?

You can access this page if you are a Broker Master User.

To view the Markup Summary

1. Click **Manage Clients > Fees > Markup Summary**.

The Markup Summary page appears.

This report displays unique commission markup schedules and the accounts associated with the schedules. The accounts associated with the global schedule are highlighted as such.

Account ID	Account Title
U 11011001	10110001-001

Account ID	Account Title
<i>The following accounts are defaulted to the global schedule.</i>	
U 0011001	Applicant 000001
U 0011002	Applicant 000002

Client Fee Templates

The Templates page lets Brokers, Advisors and Multiple Fund Investment Managers with Separately Managed Accounts (SMAs) view existing client fee templates, [create new templates](#), and [edit or delete existing templates](#).

Overview of Client Fee Templates

Client fee schedules can be applied to accounts individually or can be stored in *templates*. As a broker, you can configure fees for one or more client accounts, or set up client fee schedules in templates, then assign the templates to client accounts. The use of templates allows you to easily maintain different fee schedules for multiple client accounts.

You create, modify and delete templates on the Templates page. If you are a new broker (i.e., you just opened your account), then there will be a blank default client fee template, which you can then configure with your own fee schedule. If you are an existing broker, your old global fee schedule is now the default client fee template. You can modify the default template but you cannot delete it.

You are not required to create templates for client fee schedules. You can simply select one or more client accounts on the Configure Fees page, then create a fee schedule for those accounts without assigning a template to those accounts. If you do configure fees for client accounts without assigning a template, the Template column on the Configure Fees page will show Default as the template (even though you have not assigned a template to those accounts).

If you have more than one saved template, you can mark one of them as the default template. New accounts will automatically be assigned to the template that is marked as the default at the time the client account is opened. If you do mark one of your own templates as the default template, the template named Default remains in the system and the client accounts previously assigned to the named Default template will still be assigned to it.

To create a client fee template

1. Click **Manage Clients > Fees > Templates**. Fund Investment Managers click **Manage Funds > Fees > Templates**.

The Templates page opens.

Templates

Use this page to manage your Templates. A **Default** template has been created for you already and is automatically applied to **New Accounts**, you cannot delete the Default template only modify. To create a new template for future use click the "Create New Template" button below.

Create New Template

Make Default

▼ Default
✎
⊙

This template is applied to the following account(s):

00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345
 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345 00112345
 00112345 00112345 00112345 00112345 00112345 00112345

Stocks

Currency/Exchange Product Unit	Ticket Charge	Min	Max*	Absolute Markup	% Markup	Fee#1	Vol#1	Fee#2	Vol#2	Fee#3	Exchange & Regulatory Fees
CURRENCY											
AUD (%)	---	---	---	---	---	0.15	---	---	---	---	---

▶ My Template B
✎ ✕ ⊙

▶ My Template C
✎ ✕ ⊙

▶ My Template D
✎ ✕ ⊙

The Templates page lists all of your saved client fee templates.

2. Click **Create New Template**.
3. Set your monthly or quarterly invoice limits in the fields provided.
4. Brokers and advisors can charge their clients for services rendered based on a fee-per-trade unit for each asset class (e.g. stocks, options, etc.), exchange and currency. These sections are displayed in expanding and collapsing sections.

Click the gray bar to expand or collapse each section as needed to set fees per trade:

- Ticket charge
 - Minimum fee per trade
 - Maximum fee per trade
 - Absolute markup
 - % markup
 - Absolute fees in a tiered schedule
 - Indicate whether or not to add all regulatory and exchange fees (pass-through fees) to an Absolute Tiered Commission.
5. Specify interest markups or markdowns for a specific currency.

Templates
Make Default

▼ Default

This template is applied to the following account(s):

Monthly/Quarterly Invoicing

Monthly/Quarterly Invoicing (enter monthly or quarterly amount) The broker calculates and removes the fees from the client account up to a limit of per month OR per quarter.

Stocks

Currency/Exchange Product Unit	Ticket Charge	Min	Max*	Absolute Markup	% Markup	Fee#1	Vol#1	Fee#2	Vol#2	Fee#3	Exchange & Regulatory Fees
CURRENCY											
USD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
AUD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CAD (shares)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
CHF (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EUR (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
GBP (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
HKD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
JPY (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
MXN (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SEK (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SGD (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
EXCHANGE											
BM (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
FWB (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
IBIS (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
LSE (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
SWB (%)	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

Warrants

Stock & Index Options

Futures, Futures Options, SSFs

Contracts for Difference

Metals

Mutual Funds

FX

Bonds

Interest Rates

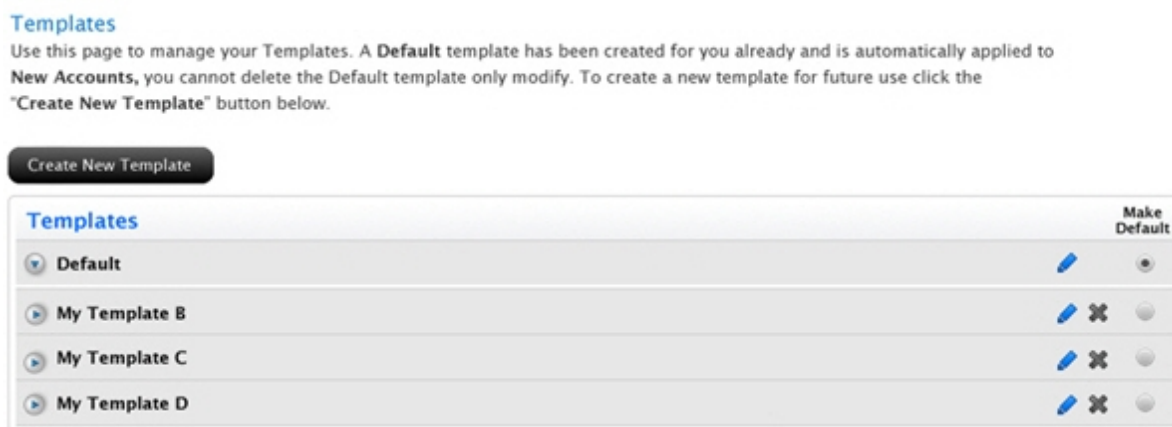
6. Enter the name of the template in the Template Name field.
7. Click the **Yes** check box if you want your new template to become the default template client fees template. New accounts will automatically be assigned to the template that is marked as the default at the time the client account is opened.
8. Click **Save Template**.

To edit or delete a client fee template

1. Click **Manage Clients > Fees > Templates**. Fund Investment Managers click **Manage Funds > Fees > Templates**.

The Templates page opens.

2. Click the blue pen icon next to the template you want to edit.
3. To delete a template, click the **X** next to the template.
4. To mark a template as the default template, click the radio button in the Make Default column.



5. Modify the fee schedule as required, then click **Save Template**.

Fees for SMAs in Multiple Hedge Fund Accounts

Fund Investment Managers with Multiple Hedge Fund accounts can set client fees for any Separately Managed Accounts (SMAs) associated with their Hedge Fund account.

[Client fee setup](#) for an SMA in a Multiple Hedge Fund account is IDENTICAL to the client fee setup for Advisors. Fund Investment Managers can :

- Set up [automatic billing and configure monthly/quarterly invoices](#) for SMAs, including Percent of Net Liquidation Value, Flat Fee, Percent of P&L, and Fee per trade unit, just like Advisors.
- Set up [High Water Marking](#) for fees based on Percent of P&L, just like Advisors.
- Create [client fee templates](#) on the Manage Clients > Fees > Templates page.
- Submit Fund Investment Manager-calculated [daily fee invoices](#) for SMAs, just like Advisors.

SMA accounts in a Multiple Hedge Fund account must also provide [authorization](#) whenever a Fund Investment Manager submits a new fee schedule or modifies an existing fee schedule

Note that the automatic billing fee caps and limitations that apply to Advisor client accounts also apply to SMAs in a Multiple Hedge Fund account.

For detailed instructions on configuring fees for SMAs in a Multiple Hedge Fund account, see the Advisor Client Fees section of this guide (click the links above for more information). The step-by-step procedures are identical for SMAs EXCEPT that the Fund Investment Manager accesses the Fees pages from the Manage Funds menu.

HFCIP Fees

Advisors use this page to modify the fees they charge on the current value of the amount that their clients have invested in hedge funds who participate in our Hedge Fund Capital Introduction Program (HFCIP), which is part of our Investors' Marketplace. When you invest funds for your client at the Hedge Fund Investor Site (available at the Marketplace), you will be able to enter the fees that you charge for that investment on the form that your client must approve and sign.

For each client who invests in a participating hedge fund, you can charge fees based on the Annualized Percentage of Net Liquidation Value of the current value of the client's investment in the Fund and/or the percentage of profit and loss of the client's investment in the Fund, as well as configure the fee posting frequency (monthly or quarterly). After you complete your entries on the page, you will be presented with a PDF form that your client must sign.

Fees entered for the first time in the middle of a period will be calculated and applied as of the date the fee agreement is approved and entered into the system. Fees changed during a period will take effect as of the beginning of the next monthly or quarterly period. If you change the frequency from monthly to quarterly, the change will take effect as of the next calendar quarter. If you change the frequency from quarterly to monthly, the change will take effect after the end of the current calendar quarter.

Note: Hedge funds may offer advisor clients who invest in their funds a discount on the hedge fund's standard management fee. Check the Hedge Fund's listing at the Hedge Fund Investor Site or contact the Fund directly to see if they offer such a discount.

Who can access the HFCIP Fees page?

You can access this page if you are a(n):

- Advisor Master

To configure HFCIP fees for a client account

1. Click **Manage Clients > Fees > HFCIP Fees**.

Configure HFCIP Fees

Use this page to charge fees on the current value of the amount that your clients have invested in Hedge Funds via the Hedge Fund Investor Site, which is part of our Investors' Marketplace.

Use the Smart Search to locate specific client accounts below, and then click the client account and enter fees on the next page.

If you have already invested funds for your client through the Marketplace, the invested hedge fund will automatically be enabled for the fee program.

Smart Search:

Account Number	Account Alias	Account Name	Date Opened
U 10000	Hedge Fund	Hedge Fund 10000	01/22/2004
U 10000	Hedge Fund	Hedge Fund 10000	05/10/2004
U 10000	Hedge Fund	Hedge Fund 10000	02/25/2003

2. Optionally use the Smart Search to locate a specific client account (by Account ID, Account Alias, Account Name or Household). Click any column heading to sort the list of client accounts by that column.
3. Click anywhere on a client account row.

Configure HFCIP Fees – U

For each Hedge Fund listed below, click Enroll, enter fees based on the Annualized Percentage of Net Liquidation Value (NLV) of the current value of the client's investment and/or the percentage of P&L of the client's investment. Then select the fee posting frequency. After you click Continue, you will be presented with a PDF form that your client must sign.

Fee will be calculated on a monthly or quarterly basis (based on your Frequency selection) and not on a daily basis.

Enroll	Transferred Amount(USD)	Fund Name	Fees		Frequency
			Annualized Percentage of Net Liquidation Value	Percentage of P&L	
<input checked="" type="checkbox"/>		Capital Partners LP	0.6	1.0	Monthly
<input checked="" type="checkbox"/>		Capital Partnership, L.P.	0.5	0.25	Monthly
<input type="checkbox"/>		Opportunities Fund			Monthly
<input type="checkbox"/>		Capital Partners LP			Monthly
<input type="checkbox"/>		Value Fund			Monthly
<input type="checkbox"/>		Capital Fund 1			Monthly
<input type="checkbox"/>		Fund, LLC			Monthly
<input type="checkbox"/>		Partners, LLC			Monthly
<input type="checkbox"/>		Fund LP			Monthly
<input type="checkbox"/>		Capital Partners LP			Monthly
<input type="checkbox"/>		Fund			Monthly
<input type="checkbox"/>		Fund I, LP			Monthly
<input type="checkbox"/>		Capital Partners, L.P			Monthly
<input type="checkbox"/>		Capital Management, LP			Monthly
<input type="checkbox"/>		Applicant 1718266			Monthly

← Back

Continue →

4. For each Fund in which the client has invested or plans to invest, click the **Enroll** check box, and then enter fees as follows:
 - In the **Annualized Percentage of Net Liquidation Value** field, enter a fee based on the Annualized Percentage of Net Liquidation Value (NLV) of the current value of the client's investment in the Fund. The percentage of equity fee must be between 0 and 1.

- In the **Percentage of P&L** field, enter a fee based on the percentage of profit and loss of the client's investment in the Fund.
 - In the **Frequency** column, select *Monthly* or *Quarterly*.
5. When have completed entries for all applicable Funds, click **Continue**.
 6. A summary of your fee entries appears. Click **Generate PDF** to print a PDF document that describes the new fee schedule, and then either keep it for your records or have your client sign the form. You can choose not to have your client form because once you confirm the fees, the client receives a request to approve the fees under Pending Items. Depending on which method you choose, the client can either return the signed form to us or confirm the request in Account Management under Pending Requests. Instructions will be provided on the bottom of the PDF telling you where and how to send the form.

Confirmation of HFCIP Client Fees – U

Click Generate PDF to print a PDF document with the new fees. To activate this client fee schedule the client can sign the printed PDF fee schedule or the client can confirm the request in Account Management under Pending Requests.

Fund Name	Fees		
	Annualized Percentage of Net Liquidation Value	Percentage of P&L	Frequency
Capital Partners LP	0.6	1.0	Monthly
Capital Partnership, L.P.	0.5	0.25	Monthly

Generate PDF →

Settings

The Settings menu includes the following pages:

- [Account Alias](#) - Create aliases for client accounts.
- [Client Approvals](#) - Fully Disclosed Broker Masters can enable or disable the approval of all client applications and options trading permissions for all clients.
- [Excess Funds Sweep](#) - Configure the transfer of excess margin funds between your securities and commodities account segments.

Account Alias

The Manage Clients > Account Alias page lets a master user define aliases for client/sub/fund accounts. To define an Account Alias for your own master account, use the [Account Alias](#) page in the Manage Account menu. If you create an account alias, it will appear on your account statements and if your an Advisor Master, the account aliases will also be reflected in IB TWS.

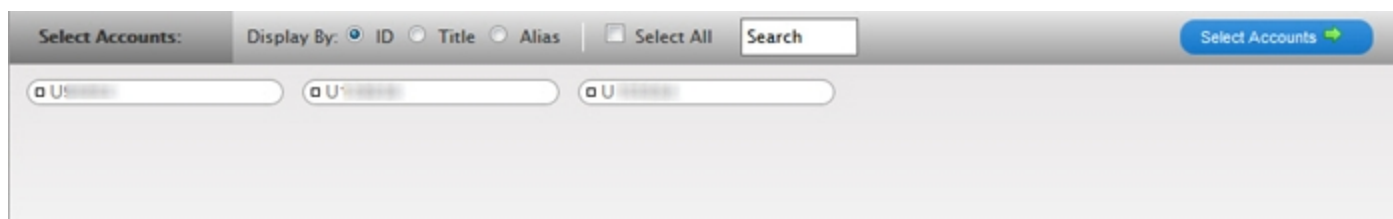
Who can access the Account Alias page?

You can access this page if you are a(n):

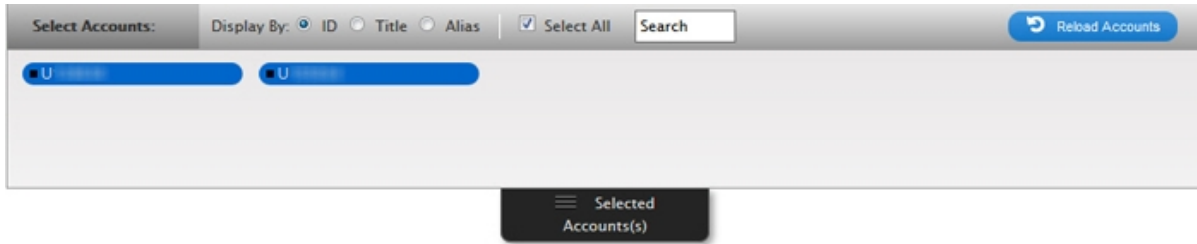
- Advisor Master User
- Broker Master User
- Investment Manager Master User

To define an account alias

1. Click **Manage Clients > Settings > Account Alias**.
2. Use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the check boxes next to each account for which you want to create an account alias. Click **Select Accounts** to load the Account Alias page with your selected accounts.



To select different accounts on these pages, click the Account Selector tab, click **Reload Accounts** in the Account Selector to clear your selections, and then select different accounts.



3. Type the account alias in the Account Alias field for each selected account, then click **Continue**.

Account Alias

Use this page to define an alias for your account. An account alias can be anything that is easier to remember than your Account ID; for example, your first name or a nickname.

Account ID	Account Alias
U 10000	<input type="text"/>
U 10000	<input type="text"/>
U 10000	<input type="text"/>

Submit →

The page refreshes and displays a confirmation message.

Broker Client Approvals

Fully Disclosed Broker Masters use this page to enable or disable the approval of all client applications and options trading permissions for all clients. If you enable approval, all client applications and all client requests for options trading permissions must be approved by you before they are submitted to us.

You must enable or disable both types of approvals at the same time; you cannot enable client application approval and disable client option trading permissions separately. Once you enable client approvals on this page, you can view completed and pending approvals for all accounts on the [Manage Clients > Dashboard](#) page, or view pending client applications that need to be approved on the Approvals tab of the [Manage Clients > Dashboard](#) page.

Who can access the Client Approvals page?

Broker Master Users with Fully Disclosed Clients


To enable or disable client approvals

1. Click **Manage Clients > Settings > Client Approvals**.

Client Approvals

Use this page to enable or disable the approval of client applications and client options trading permissions.

	Enabled	Disable
Approve all client applications and option trading permissions	<input checked="" type="radio"/>	<input type="radio"/>

Submit 

2. To enable both client application approvals and client options trading permissions, click the **Enable** radio button. As the Broker Master, you will now be responsible for approving all client account applications and all client requests for options trading permissions.

To disable both client application approvals and client options trading permissions, click the **Disable** radio button. Client applications and client requests for options trading permissions will go directly to us for approval.

3. Click **Submit**.

The page refreshes with a message informing you that your setting has been saved.

4. Click **Manage Clients > Dashboard** to view application and client options trading approvals on the **Open Accounts** tab.

Dashboard Registration Tasks Client Accounts

Open Accounts **26** Pending Accounts **172** Approvals **23** Closed Accounts **26** Rejected Accounts **3** Recent Activity **1**

Smart Search:

Account Title	Account Type	Account Number	Username	Account Alias	Approvals
Applicant 1755045	Advisor	F 101196	arnow123	--	
Applicant 1752196	Advisor	F 101196	arnow123	--	
Applicant 1752516	Advisor	F 101196	arnow123	--	
Applicant 1755450	Advisor	F 101196	arnow123	--	
Applicant 1751956	Advisor	F 101196	arnow123	Test	
Applicant 1755454	Advisor	F 101196	arnow123	--	
Applicant 1752358	Advisor	F 101196	arnow123	--	
Applicant 1755691	Advisor	F 101196	arnow123	Master	
Applicant 1755463	Advisor	F 101196	arnow123	--	
Applicant 1752241	Advisor	F 101196	arnow123	--	
Applicant 95671	Advisor	F 101196	arnow123	--	
Applicant 1428098	Advisor	F 101196	arnow123	--	
Applicant 1428098	Advisor	U 101196	arnow123	--	
Applicant 58999	STL	U 101196	arnow123	--	
Applicant 1755350	Advisor	F 101196	arnow123	MASTER	
Applicant 1755050	Advisor	F 101196	arnow123	--	
Applicant 1752384	Advisor	F 101196	arnow123	--	
Test Corporation	Advisor	F 101196	arnow123	--	Application: arnowi123 (2015-02-09)
Test Corporation	Advisor	F 101196	arnow123	--	
Test Corporation	Advisor	F 101196	arnow123	--	

- Click any client account row with a status of *Approve* to view the details of that account.
 - The detailed view of the client account opens. At the bottom of the screen, click **Accept and submit for approval** to approve the client request, or click **Reject application** to reject the client request. Click **Registration Tasks** to view a list of all completed and incomplete registration tasks.
5. Click **Manage Clients > Dashboard**, then click the **Approvals** tab to view all pending client application approvals.

Dashboard

Registration Tasks

Client Accounts

Open Accounts 26

Pending Accounts 172

Approvals 23

Closed Accounts 26

Rejected Accounts 3

Recent Activity 4

Smart Search: Account Title, Account Type, Account Num

Account Title	Account Type	Account Number	Username	Account Alias	Status
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval
Test Corporation	Advisor	F-111111	test@corp.com	--	Ready for approval

- Click any client account row with a status of *Approve* to view the details of that account.
- The detailed view of the client account opens. At the bottom of the screen, click **Accept or Reject Application** to approve or reject the client application, or click **Accept or Reject Options** to accept or reject the options trading for the client. Click **Registration Tasks** to view a list of all completed and incomplete registration tasks.

Excess Funds Sweep

Your Universal Account is authorized to trade both securities products and commodities/futures products and therefore consists of two underlying accounts or account segments: a securities account governed by rules of the U.S. Securities and Exchange Commission (SEC) and a futures account governed by rules of the U.S. Commodity Futures Trading Commission (CFTC). As part of our Universal Account service, you have authorized us to automatically transfer funds as necessary between your securities account and your futures account in order to satisfy margin requirements in either account.

Use the Manage Clients > Excess Funds Sweep page to configure how you want us to handle the transfer of excess funds between the two segments of your client's account. You can choose to sweep the funds to either the securities account or the commodities account, or choose not to sweep funds at all.

Note the following:

- All customer deposits are initially received into your securities account and will remain in that account unless you choose to sweep excess funds to your commodities account.

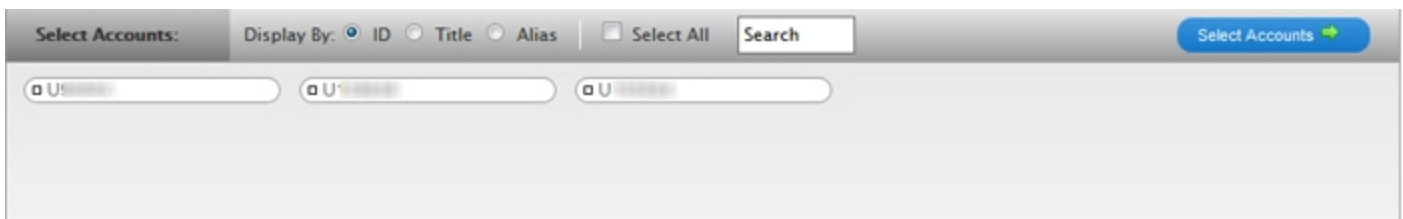
- If you are identified as a securities pattern day trader, then we strongly recommend that you choose to sweep excess funds into your securities account.
- Regardless of your choice, we will generally keep a small buffer of excess margin funds in each account in order to prevent excessive transfers back and forth as your margined securities and futures positions fluctuate in value.
- This feature is not available in IB-India and IB-UKL accounts.

Who can access the Excess Funds Sweep page in the Manage Clients menu?

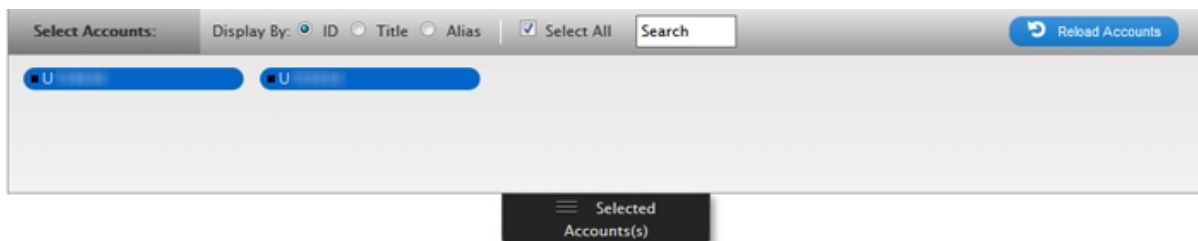
You can access this page if you are a Broker Master Users with Disclosed and Non-Disclosed Clients.

To set your excess funds sweep method

1. Click **Manage Clients > Settings > Excess Funds Sweep**.
2. Use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the check boxes next to each account for which you want to set Excess Funds Sweep options. Click **Select Accounts** to load the Excess Funds Sweep page with your selected accounts.



To select different accounts on these pages, click the Account Selector tab, click the **Reload Accounts** button in the Account Selector to clear your selections, and then select different accounts.



3. Read the important information on the page, then select a sweep method for each selected account by clicking one of the radio buttons.

Excess Funds Sweep

Your Universal Account is authorized to trade securities products, commodities/futures products and Foreign Exchange ("forex") transactions and therefore consists of two underlying accounts, a securities account governed by rules of the U.S. Securities and Exchange Commission (SEC) and a futures account governed by rules of the U.S. Commodity Futures Trading Commission (CFTC).

Whether you have assets in a securities or a futures account with us, your assets are protected by U.S. federal regulations governing how brokers must protect your property and funds. In the securities account, your assets are protected by SEC and SIPC rules (Note: foreign currency is protected to the extent used to purchase securities). In the futures account, your assets are protected by CFTC rules requiring segregation of customer funds. You are also protected by our strong financial position and our conservative risk management philosophy. See our [Strength & Security](#) page.

As part of our Universal Account service, you have authorized us to automatically transfer funds as necessary between your securities account and your futures account in order to satisfy margin requirements in either account.

Note:

- » All customer deposits are initially received into the securities account and will remain in that account unless you choose commodities sweep below.
- » Selecting "securities" sweep below is strongly recommended for any customer identified as a securities pattern day trader.
- » Regardless of your choice, We will generally keep a small buffer of excess margin funds in each account in order to prevent excessive transfers back and forth as your margined securities and futures positions fluctuate in value.

Account ID	Sweep Method		
	Do not sweep excess funds	Sweep excess funds into my securities account	Sweep excess funds into my commodities account
U 123456	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
U 123456	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
U 123456	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

Continue →

- **Do not sweep excess funds**
 - **Sweep excess funds into my securities account**
 - **Sweep excess funds into my commodities account**
4. Click **Continue**. Your setting is saved immediately.

Trade Configuration

The Trade Configuration menu includes the following pages:

- [Base Currency](#) - Change the base currency for client accounts.
- [Account Type](#) - Upgrade client accounts from a cash account to a Reg T Margin account, or from a Reg T Margin account to a Portfolio Margin account.
- [Configuration \(Client Trading\)](#) - Master users can enable or disable trading for client accounts.
- [Permissions](#) - Configure client account trading permissions.
- [Restrictions](#) - Master account users restrict their own accounts and their client/sub accounts from trading specific symbols
- [Trading Limits](#) - Proprietary Trading Group Master users control the size and amounts that their authorized traders (sub accounts) can trade.

Base Currency

The Base Currency page lets you modify the base currency for your account. Your base currency determines the currency of translation for your statements, the currency used for determination of margin requirement, and for a Cash Account, the currency of products you are allowed to trade. In addition, charges related to market data and research, inactivity fees, and commissions on Forex trades are also charged in your base currency.

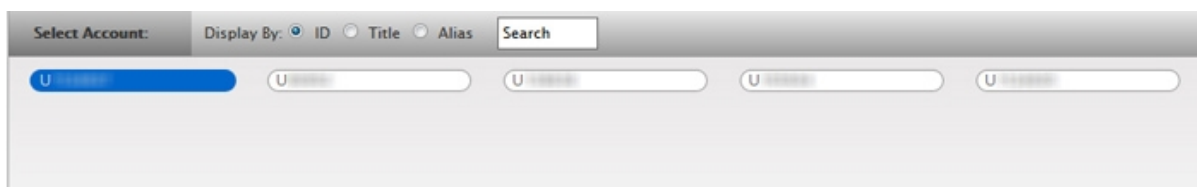
Who can access the Base Currency page in the Manage Clients menu?

You can access this page if you are a(n):

- Broker Master User (can modify the base currency for non-disclosed client accounts)
- Proprietary Trading Group STL Master User

To modify the base currency for an account

1. Click **Manage Clients > Trading > Base Currency**. Proprietary Trading Group Master Users click **Manage Traders > Trading > Base Currency**.
2. Use the Account Selector to search for a client or sub account by Account ID, Account Title or Account Alias, then click the desired account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

3. Select the radio button next to your desired base currency, then click **Continue**.

Base Currency

Use this page to modify the base currency of your account.

Your base currency determines the currency of translation for your statements and the currency used for determination of margin requirement.

Note:

» Base currency changes will not take effect until the next trading day.

<input checked="" type="radio"/>	United States Dollar (USD)	<input type="radio"/>	Canadian Dollar (CAD)
<input type="radio"/>	Australian Dollar (AUD)	<input type="radio"/>	British Pound (GBP)
<input type="radio"/>	Euro (EUR)	<input type="radio"/>	Hong Kong Dollar (HKD)
<input type="radio"/>	Japanese Yen (JPY)	<input type="radio"/>	Mexican Peso (MXN)
<input type="radio"/>	Swedish Krona (SEK)	<input type="radio"/>	New Zealand Dollar (NZD)
<input type="radio"/>	Swiss Franc (CHF)	<input type="radio"/>	Hungarian Forint (HUF)
<input type="radio"/>	Czech Koruna (CZK)	<input type="radio"/>	Danish Krone (DKK)
<input type="radio"/>	Norwegian Krone (NOK)	<input type="radio"/>	Singapore Dollar (SGD)
<input type="radio"/>	Chinese Offshore Yuan (CNH)		

Submit →

4. Verify your selection, then click **Continue** to submit your currency change request.

If you need to make further changes, click **Back**, then make corrections before submitting.

Note that base currency changes do not take effect until the next trading day.

Account Type

Use the Account Type page to upgrade client accounts from a Cash account to a Reg T Margin account, or from a Reg T Margin account to a Portfolio Margin account. Before you can upgrade to a margin account, you must meet the eligibility requirements of those accounts. For more information on margin accounts, see the Margin pages, available from the [Reference](#) menu.

Who can access the Account Type page in the Manage Clients menu?

You can access this page if you are a(n):

- Advisor Master User (can only view the Account Type of client accounts and cannot change it for the master account)
- Broker Master User (can also change the Account Type of Non-Disclosed client accounts)
- Investment Manager Master User (can only view the Account Type of client accounts and cannot change it for the master account)

To upgrade to a margin account

1. Click **Manage Clients > Trading > Account Type**.

If you are an Advisor, Broker or Investment Manager, use the Account Selector at the top of the page to select an account whose Account Type you want to view.

The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

2. View the Account Type setting for the selected account.

Account Type

Use this page to upgrade to a margin account.

To add an executing broker, select **Settlement Instructions** from the Funding menu.

You must be approved for option trading to have a portfolio margin account and to take advantage of the reduced margin offered by a portfolio margin account.

Be aware that Portfolio Margin Upgrades are subject to review and may be declined for various reasons, including a noted margin increase upon upgrade of an account from Regulation T to Portfolio Margin. You will be notified by email when your request is approved, and this approval can take up to several business days. If the request is being declined due to an increase in margin under Portfolio Margin, you will be informed via a Customer Service Help Ticket and may respond accordingly. Thank you for your patience.

Current account type is *Reg T Margin*

Account Type:

Portfolio Margin (Pending) ▼

Continue →

Client Trading

The Client Trading page lets you enable or disable trading for a specific client account. Changes made on this page do not take effect until the next business day.

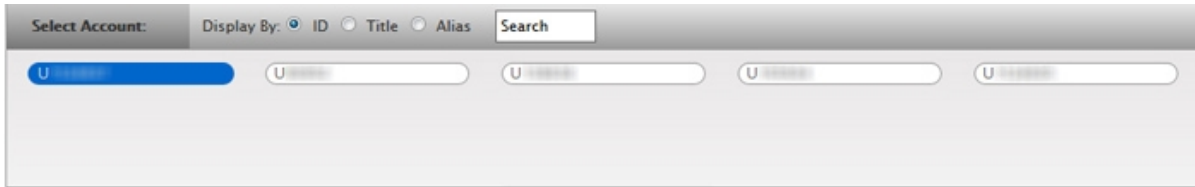
Who can access the Client Trading page?

You can access this page if you are a(n):

- Advisor Master User Individual
- Advisor Master User Organization
- Multiple Funds Hedge Fund Investment Manager

To enable or disable client trading

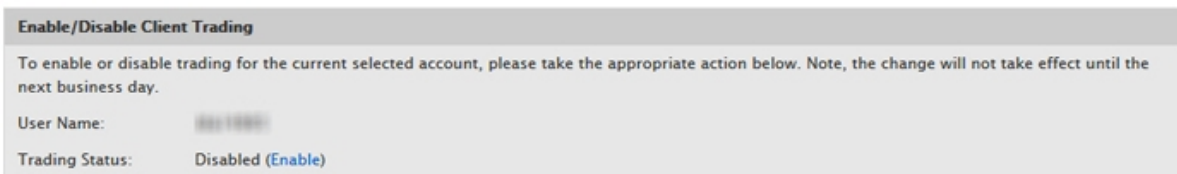
1. Click **Manage Clients > Trading > Configuration**.
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

The Client Trading page opens.

Client Trading



The current trading status (Enabled or Disabled) of the selected client account appears.

3. To enable trading for the client account, click the *Enable* link.
To disable trading for the client account, click the *Disable* link.

Permissions

Trading permissions specify which products you can trade and in which locations. You use the Permissions page to view or modify existing trade permissions or subscribe to new permissions. When specifying permissions, you will be asked to sign any risk disclosures required by local regulatory authority.

Who can access the Permissions page in the Manage Clients/Funds menu?

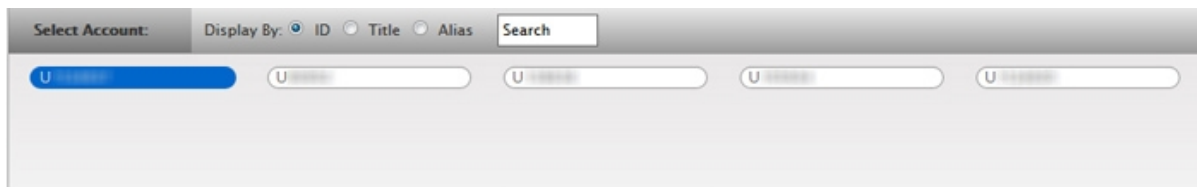
You can access this page if you are a(n):

- Advisor Master User Individual/Organization (can only view)
- Broker Master User (Non-disclosed Broker Masters can modify the trading permissions of client accounts)
- Investment Manager Master User (can only view)

The Permissions page is available in PDF format for advisor clients.

To set trading permissions

1. Click **Manage Clients/Funds > Trading > Permissions**. The Trading Permissions page appears by default.
2. Use the Account Selector to search for client or sub accounts by Account ID, Account Title or Account Alias, then click the desired account to view the pending items or requests for that account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

3. In the Trading Programs section of the page, view the trading programs in which the selected account is participating.
 - The Stock Yield Enhancement Program allows us to borrow shares from you in exchange for cash collateral, and then lend the shares to traders who want to sell them short and are willing to pay a fee to borrow them. For more information, see our [Stock Yield Enhancement Program highlights](#).
 - Portfolio Margin customers can also sign up for our Pre-Borrow Program, which lets you pre-borrow stocks for short sales in Trader Workstation instead of waiting three days until the settlement date. Note that we will charge you the indicative borrow rate for each day up to the settlement date beginning with the trade date, and you can find this rate on your daily Activity Statement.

Trading Programs

If you would like to participate in the programs listed below, check the box and we will provide you with the required disclosures and agreements.

Stock Yield Enhancement Program (example)	<input type="checkbox"/>
---	--------------------------

4. The Trading Permissions section of the page lists all of the products that the selected account can trade and the countries in which it can trade them.

Trade Permissions

Check the products that you wish to trade and the countries in which you want to trade them and we will provide you with the required disclosures and agreements.

Country	Stocks	Bonds	Warrants	Stock Options	Index Options	Futures	Futures Options	Single Stock Futures	CFD	Mutual Funds	Metals	Leveraged Forex	FX Conversion
Global	-	-	-	-	-	-	-	-	<input type="checkbox"/>	-	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-
Austria	<input type="checkbox"/>	-	-	-	-	-	-	-	-	-	-	-	-
Belgium	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-
Canada	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-
Europe	-	<input type="checkbox"/>	-	-	-	-	-	-	-	<input type="checkbox"/>	-	-	-
France	<input type="checkbox"/>	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Germany	<input type="checkbox"/>	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-
Italy	<input checked="" type="checkbox"/>	-	-	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-	-	-
Japan	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Korea	-	-	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-
Mexico	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Norway	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-
Singapore	<input type="checkbox"/>	-	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-
Spain	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Sweden	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-
Switzerland	<input type="checkbox"/>	-	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-	-	-

Restrictions

The Restrictions page lets master account users restrict their client accounts from trading specific symbols. When you add a trading restrictions for a stock symbol, all derivatives of that stock will also be restricted, including options, futures, and so on. The Restrictions page also displays all current symbols that the master account and client/sub accounts are restricted from trading.

Rules for Setting Trading restrictions

The following rules apply to trading restrictions:

- Trading restrictions can be applied by a master account user to an entire account family (master account and all client/sub accounts), to the master account only or to specific client or sub accounts.
- Client and sub account users cannot set trading restrictions.
- When restrictions are applied to an entire account family, client and sub accounts inherit the restrictions.
- When restrictions are applied to an entire account family, any existing restrictions on specific client or sub accounts are overridden.
- Trading restrictions can be applied to specific client or sub accounts to override restrictions inherited from account family restrictions.

- Inherited restrictions cannot be deleted at the client/sub account level but can be overridden by the master account user.
- Overridden restrictions can be deleted but will be replaced by restrictions inherited from account family restrictions.
- Master account users can delete restrictions at the master account level.
- Restrictions set by our operators can only be modified or deleted by the operator.

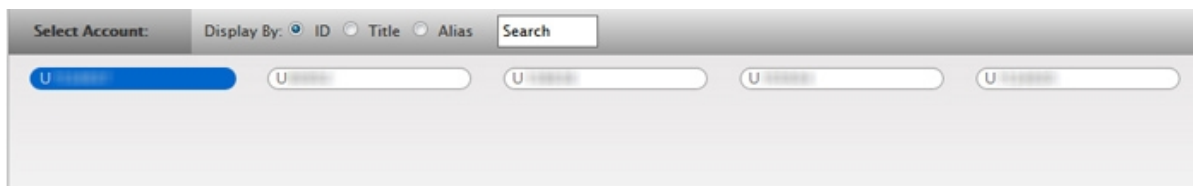
Who can access the Trading Restrictions page in the Manage Clients/Funds/Traders menu?

You can access this page if you are a(n):

- Advisor Master User
- Broker Master User
- Investment Manager Master User
- Proprietary Trading Group STL Master User

To add trading restrictions

1. Click **Manage Clients/Funds/Traders > Trading > Restrictions**.
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

The Restrictions page opens.

Trading Restrictions

Use this page to restrict your own master account and your client/sub accounts from trading specific symbols.

Override Inherited Restrictions

To add a new trading restriction or update an existing one, start by entering a symbol and clicking the **Submit Query** button. Note, all changes to restrictions take effect on the next trading day.

Symbol:

Submit Query

Note:

- » All derivatives of the restricted stock or index are also restricted (options, futures, etc.)
- » Restrictions with GTD that have expired will be highlighted in red.
- » Click on any symbol to expand the Issuer details.
- » Inherited restrictions cannot be deleted, but can be overridden.

Current Restrictions – Inherited					
Symbol	Issuer/Underlying	TIF	Begin Date	End Date	
AAPL		GTC	--	--	
IBKR		GTD	Fri, Jun 22, 2012	Sat, Jun 30, 2012	
IBM		GTC	--	--	

- To set trading restrictions at the master account level (apply restrictions to the entire account family), in the Client/Sub Account Selection section, select the master Account ID, then click **Change Account**.

To set trading restrictions at the client or sub account level, in the Client/Sub Account Selection section, select the client/sub Account ID, then click **Change Account**.

- Enter the symbol you want to restrict in the *Symbol* field, then click **Submit**. The Add or Edit Restrictions page appears, and displays available stocks and bonds for the symbol you entered.

The following figure shows an example of the Add or Edit Restrictions page. In this example, a master account user entered the symbol *IBM* on the Trading Restrictions page.

Add or Edit Restrictions

Available assets for IBM are listed below. Select the asset you want to restrict, then select a Time in Force to be applied to those assets.

Note:

- » For stock or index selection, all derivatives of that stock or index will also be restricted (options, futures, etc.)
- » The ISIN listed for a bond is just 1 of potentially many matches

Select Assets

	Asset Type	Description	ISIN
<input type="checkbox"/>	Stock and Derivatives	INTL BUSINESS MACHINES CORP	US4592001014
<input type="checkbox"/>	Bond	IBM International Group Capital LLC	US44924EAZ34
<input type="checkbox"/>	Bond	International Business Machines Corp	US45999AET88, US459200HT14

Select a Time in Force

Select a Time in Force to be applied to all selected assets. For GTD, the Begin and End dates are required. Click the **Submit** button to save your restrictions.

TIF:

Begin Date: (MM/DD/YYYY)

End Date: (MM/DD/YYYY)

Submit →

5. Select the check box next to each asset type you want to restrict. If you select the stock, all derivatives of that stock will also be restricted, including options and futures.
6. In the TIF list, select the Time in Force for the restriction. Select *GTC (Good-Til-Canceled)* or *GTD (Good-Til-Date)*.
 - If you select *GTD (Good-Til-Date)*, you must also enter the beginning and ending dates for the restriction. Employees will be restricted from trading the selected symbol and assets for the dates you enter.
7. Click **Submit** to activate the trading restriction, which will be added to the list of existing restrictions displayed on the Trading Restrictions page.

On the Trading Restrictions page, click a symbol in the list of existing restrictions to display all issuer names associated with that symbol.

Editing a Trading Restriction

To edit an existing trading restriction, enter the symbol in the *Symbol* field on the Trading Restrictions page and click **Submit** just as you would if adding a new restriction. Modify any of the restriction information on the Add or Edit Restrictions page, then click **Submit**. The modified restriction will appear on the list of existing restrictions displayed on the Restrictions page.

Deleting a Trading Restriction

To remove existing restriction, you must delete it from the Restrictions page. In the Existing Restrictions list, select the check box for the restriction you want to remove, then click **Delete**.

Remember the following rules:

- Inherited restrictions cannot be deleted at the client/sub account level but can be overridden by the master account user.
- Overridden restrictions can be deleted but will be replaced by inherited restrictions.
- Master account users can delete restrictions at the master account level.
- Restrictions set by our operators can only be modified or deleted by the operator.

Trading Limits

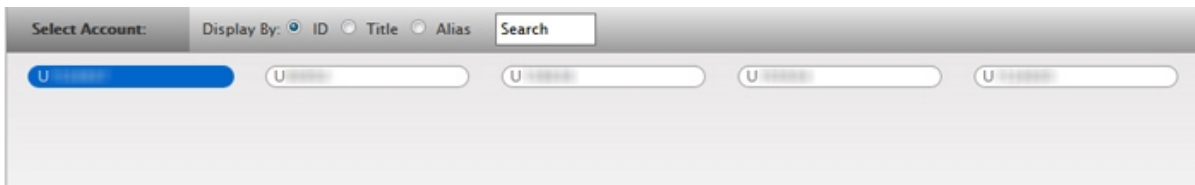
The Trading Limits page lets Proprietary Trading Group Master users control the size and amounts that their authorized traders (sub accounts) can trade.

Who can access the Trading Limits page?

You can access this page only if you are a Proprietary Trading Group Master User.

To view and set trading limits

1. Click **Manage Traders > Trading > Limits**.
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

The page updates to display three expandable trading limit sections.

Trading Limits

Use this page to view or edit trading limits for an existing sub account.

▶ Order Value Limits (in 1,000,000's of USD)

▶ Order Quantity Limits

▶ Exchange for Physical Limits

New trading limits and changes to existing trading limits go into effect on the next business day.

3. To set order value limits, click to expand that section, enter values and click **Continue**.
 - Dollar Value Per Order - The total value of any one order, in millions of dollars. For example, a value of .5 = a limit of 500,000 USD.
 - Net Dollar Value Per Day - The net value of buys and sells for an entire trading day, in millions of dollars. For example, if you bought 50 million and sold 15 million in a day, the net dollar value for that day would be 35 million.
 - Gross Dollar Value Per Day - The aggregate value of buys and sells for an entire trading day. For example, if you bought 50 million and sold 15 million in a day, the gross dollar value for that day would be 65 million.

▼ Order Value Limits (in 1,000,000's of USD)

Dollar Value Per Order	<input type="text"/>
Net Dollar Value Per Day	<input type="text"/>
Gross Dollar Value Per Day	<input type="text"/>

Continue →

4. To set order quantity limits, click to expand that section, then enter order quantity limits for: cash, stock (STK), futures (FUT), options (OPT), futures options (FOP), warrants (WAR), bonds, contracts for differences (CFD), or Dutch warrants (IOPT). Click **Continue** when you are done entering values.

Order Quantity Limits	
Cash	<input type="text"/>
Stocks	<input type="text"/>
Futures	<input type="text"/>
Options	<input type="text"/>
FOP	<input type="text"/>
Warrants	<input type="text"/>
Bonds	<input type="text"/>
CFD	<input type="text"/>
IOPT	<input type="text"/>

Continue →

5. To set Exchange for Physical Limits, click to expand that section, then enter values for any of the following and click **Continue**.
 - Maximum Nominal Exchange for Physical Per Order - The total value of any one Exchange for Physical (EFP) order, in millions of dollars.
 - Maximum Net Exchange for Physical Per Trades - The net value of EFP buys and sells for an entire trading day, in millions of dollars.
 - Maximum Gross Exchange for Physical Trades - The aggregate value of EFP buys and sells for an entire trading day. For example, if you bought 50 million and sold 15 million in a day, the gross dollar value for that day would be 65 million.

Exchange for Physical Limits	
Maximum Nominal Exchange for Physical Per Order	<input type="text"/>
Maximum Net Exchange for Physical Per Trades	<input type="text"/>
Maximum Gross Exchange for Physical Trades	<input type="text"/>

Continue →

6. Verify your changes on the Verify Trading Limits, then click **Continue**. Click **Back** if you need to make further changes.
7. A confirmation number is sent to your email address of record. Enter this number on the Confirmation page that appears, then click **Continue**.

New trading limits and changes to existing trading limits go into effect on the next business day.

Security

The Security menu includes the following pages:

- [Audit Trail](#) - Master users can view Account Management requests from client accounts.

Audit Trail

The Audit Trail page lets Master account users view Account Management requests from client accounts.

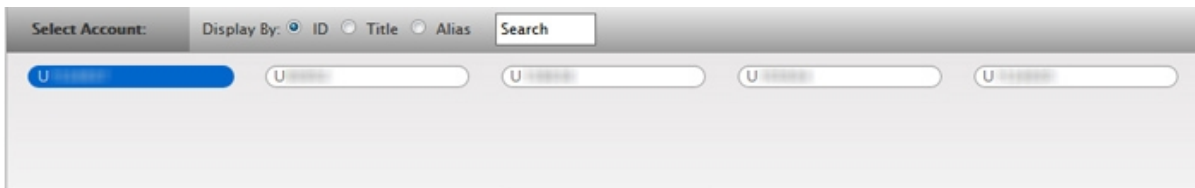
Who can access the Audit Trail page?

You can access this page if you are a(n):

- Advisor Master User
- Broker Master User

To view the audit trail

1. Click **Manage Clients > Security > Audit Trail**.
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

3. Select the number of days back you wish the audit trail to include by selecting *All*, *Previous 90 Days* or *Previous 180 Days* from the Show requests drop-down list, then click **Submit**.

The page refreshes with the updated information.

Audit Trail

Use this page to view requests generated in Account Management for your own account.

Requesting Username	Type of Request	Requested	Last Updated	Status
...	Add Client	Apr 17 2014 02:46:41 EDT	--	Processed
...	Add Client	Apr 17 2014 02:45:38 EDT	--	Processed
...	Add Client	Apr 17 2014 02:44:40 EDT	--	Processed
...	Add Client	Apr 16 2014 02:46:47 EDT	--	Processed
...	Add Client	Apr 15 2014 02:45:44 EDT	--	Processed
...	Add Client	Apr 13 2014 02:41:56 EDT	--	Processed
...	Add Client	Apr 13 2014 02:40:51 EDT	--	Processed
...	Add Client	Apr 11 2014 09:20:31 EDT	--	Processed
...	Add Client	Apr 11 2014 02:42:01 EDT	--	Processed
...	Add Client	Apr 11 2014 02:40:59 EDT	--	Processed
...	Add Client	Apr 10 2014 02:44:36 EDT	--	Processed
...	Add Client	Apr 10 2014 02:43:21 EDT	--	Processed
...	Add Client	Apr 09 2014 02:52:50 EDT	--	Processed
...	Add Client	Apr 08 2014 09:29:32 EDT	--	Processed
...	Add Client	Apr 08 2014 02:48:13 EDT	--	Processed
...	Add Client	Apr 08 2014 02:46:42 EDT	--	Processed
...	Add Client	Apr 05 2014 02:51:45 EDT	--	Processed

The audit trail displays type of request, the date and time of the request, the date and time the request was updated (if applicable), and the state of the request, including:

Updating a Client's W8/W9

The Client W8/W9 page lets Non-disclosed Broker Masters fill out or update an IRS Form W-9 for clients who are legal residents and citizens of the US (the US is your country of organization formation and organization registration). If the client is not a US legal resident and not a US citizen, the form that appears is IRS Form W-8.

Who can access the Client W8/W9 page?

You can access this page if you are a(n):

- Broker Master User (Non-disclosed clients only)

To update your W-9

1. Click **Manage Clients > Create and Link Accounts > Client W8/W9**
2. Complete the W9 form, then click **Continue**.
3. To access the IRS instructions for the form, click the *Form Instructions* link in the upper right corner of the page.

The following figure shows part of the W-9 form.

The screenshot shows the top portion of the IRS Form W-9. At the top right, there is a blue link labeled "Form Instructions". Below this, a paragraph of text explains the purpose of the form. The form itself is titled "Form W-9 (Rev. January 2011) Department of the Treasury Internal Revenue Service" and "Request for Taxpayer Identification Number and Certification". It includes a note: "Give form to the requester. Do not send to the IRS." The form has several input fields: "Name (as shown on your income tax return)*" with the value "Test Test", "Business name/disregarded entity name, if different from above" (empty), "Check appropriate box for federal tax classification:*" with radio buttons for "Individual/Sole Proprietor" (selected), "C Corporation", "S Corporation", "Partnership", "Trust/Estate", and "Exempt Payee" (checkbox), and "Other (see instructions):" (empty). There is also a dropdown menu for "Limited liability company, Enter the tax classification: -". At the bottom, there are fields for "Address (number, street, and apt. or suite no.)*" with the value "Test" and "Requester's name and address (optional)".

4. To update a client's W8 form, select the client account ID from the Account ID list, then select the tax treaty country for that account from the Country drop-down. Click **Continue**, then complete the form.

The following figure shows the W-8 page.

To enter a W-8 or W-9 for a client account [click here](#), or
Select one or more client account(s) and the tax treaty country for that account:

Account ID	Country
<ul style="list-style-type: none">Account ID 1Account ID 2Account ID 3Account ID 4Account ID 5Account ID 6Account ID 7Account ID 8Account ID 9Account ID 10	<input type="text"/>

Users

The Users page lets you:

- [Add users](#) to an account.
- [Modify](#) Account Management access rights for existing users.
- [Add up to two usernames for a user](#).
- [Delete users](#) from an account.

Who can access the Users page in the Manage Clients menu?

You can access this page if you are a(n):

- Advisor Master User

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

Security Officers								
First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	Delete
chris		Enderlin		CEO		--		

Users								
First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	Delete
Neil		dgfhdfghdf		TRADER	View Rights	Open		
Nelson		child		NON_EMPLOYEE	View Rights	Pending Approval		
marc		robles		SECRETARY		--		
eme		Davis		Employee	View Rights	Pending Approval		
Test		Test		Employee	View Rights	Pending Approval		
Emmet		Tenerelli		TRADER	View Rights	Open		
Joe		Brody		Employee	View Rights	Pending Approval		
Jack		Bechtel		TRADER	View Rights	Pending Approval		
MPP		Mikes		Employee	View Rights	Pending Approval		
Sumi		Bazile		TREASURER		--		

Add User

Individual Account User Rules

The following rules and limitations apply to Individual accounts:

- Up to two usernames may be created for the same person.
- Up to 5 persons may be added with a Power of Attorney, which will be provided when adding users to an individual account.
- Individual Advisors may not add any persons other than themselves (they can have two usernames for themselves).
- Joint Accounts may add two usernames for each account holder.
- Trust accounts may add up to two usernames for each trustee.

User Information Displayed on User Access Rights Page

The User Access Rights page displays information about all users registered with your account. This is a summary of the information entered when you added the user to your account, and includes the following:

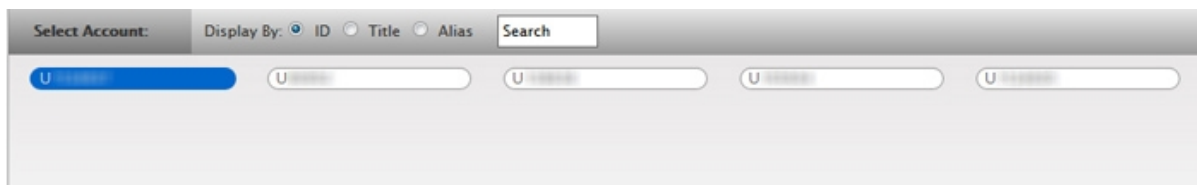
Column	Description
First Name	The user's first name.
MI	The user's middle initial.
Last Name	The user's last name.
User Name	The user's user name.
Type	Depending on the type of account you have, this corresponds to the Type and Entity Relationship field on the Add New User and Access Rights page. It could be Employee or Non-employee or a specific role in your company, such as CEO or Treasurer.
Accessible Rights	Click View Rights to displays a popup summary of the user's access rights.
Status	The status of the user. For example, "Open" or "Pending Confirmation."
Modify	Displays a <i>Modify</i> link for users' whose status is "Open." Click this link to modify the users' access rights.
Delete	Displays a <i>Delete</i> link. Click this link to delete the user from your account.

Adding a User

You can add users to your account and grant them access to a subset of Account Management functions, including granting access to functions for one or more sub accounts. You cannot grant access to Funding functions to a new user.

To add a user to the account

1. Click **Manage Clients > Users**.
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.



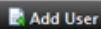
The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

The Users page opens.

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

Users								
First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	Delete
Salvador		Noone		Account Holder		--		

 Add User

3. Click **Add User**.

Add User

Complete the required information and select user functions below:

First Name:*

Middle Initial:

Last Name:*

Suffix: (e.g.: Jr)

Username:*

Password:*

Username and Password are both case-sensitive.

Confirm Password:*

Record your password. For security reasons you will not be shown your password again.

E-mail Address:*

Re-enter E-mail Address:*

Entity Relationship:* Employee Non-Employee

4. On the Add User page, enter all required information, including name, six-character username prefix, password, and email address.
5. On the same page, assign Account Management functions to the user by clicking the appropriate check boxes in the Access Rights section. Access groups correspond to Account Management menus.
 - If you have created any User Roles, optionally select a User Role. The access rights saved with the User Role will be applied to the new user.
 - Click an access group to expand the section, then click check boxes to grant access to individual functions.

- To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access the function in Account Management:
6. If you are adding a user to a multiple account structure, when you click a check box for an Access group or for an individual function inside an Access group, the Assign Accounts box opens.

Use the Assign Accounts box to select which accounts you want this user to be able to access for the selected function or group of functions. You can select:

- *All* for all accounts, including the Master and all sub accounts;
- *Master* to grant access to only the Master account;
- *Sub All* to grant access to all sub accounts;
- *Sub Specific*, to grant access to individual sub accounts. .

If you select this option, two lists of client accounts - Available and Selected - appears. To select individual client accounts, highlight them in the Available Accounts box and click the right arrow button to move them into the Selected Clients box. Remove client accounts from the Selected Accounts box by highlighting them then clicking the left arrow button.

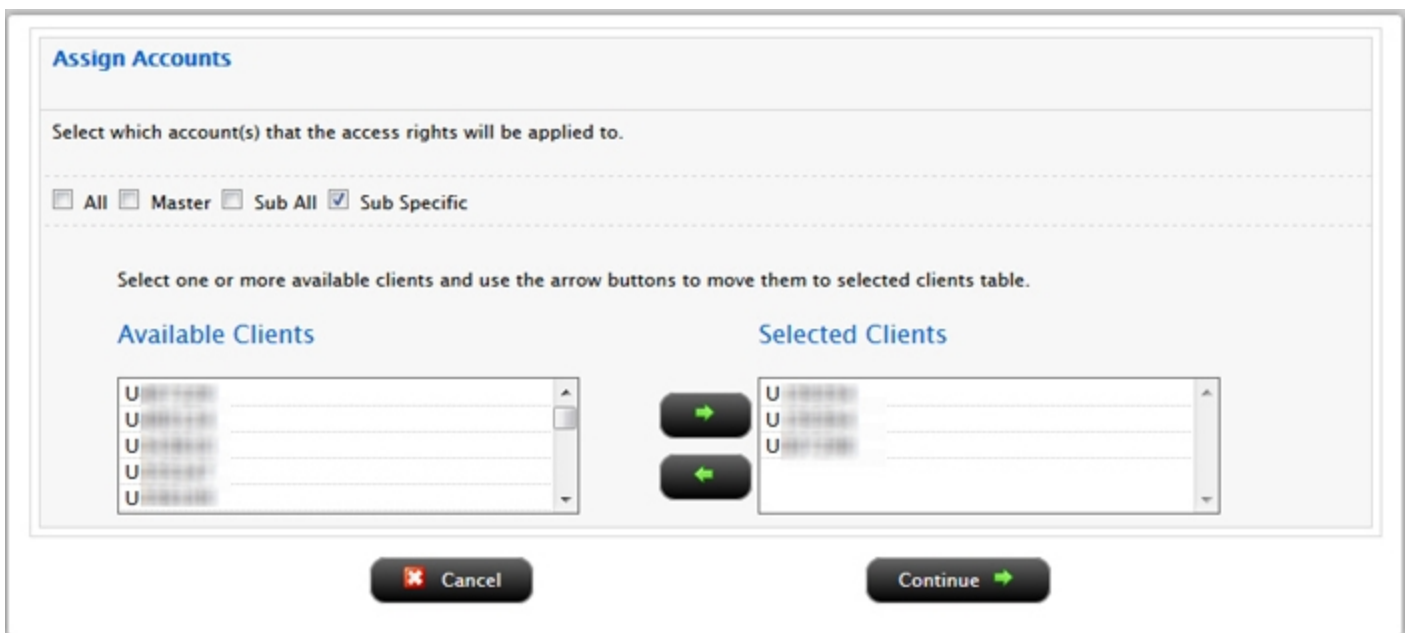


Assign Accounts

Select which account(s) that the access rights will be applied to.

All Master Sub All Sub Specific

Cancel **Continue**



Assign Accounts

Select which account(s) that the access rights will be applied to.

All Master Sub All Sub Specific

Select one or more available clients and use the arrow buttons to move them to selected clients table.

Available Clients **Selected Clients**

U [blurred] [blurred] [blurred] [blurred] [blurred]

U [blurred] [blurred] [blurred] [blurred] [blurred]

U [blurred] [blurred] [blurred] [blurred] [blurred]

U [blurred] [blurred] [blurred] [blurred] [blurred]

U [blurred] [blurred] [blurred] [blurred] [blurred]

Cancel **Continue**

Click **Continue** to save your account assignments.

Note: All account users automatically get rights to Security functions (Password, Secure Login System Secure Device Sharing, and Voting Subscriptions), which are located in the Manage Account > Security access group, and the functions in the Manage Account > Settings access group (User Information and Email Address).

The following figure shows an example of an access rights configuration. In this example, a user is being granted access to all functions in the Reports > Activity menu of Account Management.

Access Rights

Grant the user access rights to functions within each access group. Click an access group to expand the section, then click check boxes to grant access to individual functions. To grant access to all functions within an access group, click the check box next to the access group name.

I'd like to have this person designated as a Security Officer.

Trade

QuickTrade, Trader Workstation and WebTrader

Reports

Activity

Can Access?	Access Right
<input checked="" type="checkbox"/>	Activity Statements Modify Accounts
<input checked="" type="checkbox"/>	Activity Downloads Modify Accounts
<input checked="" type="checkbox"/>	Activity Flex Queries Modify Accounts

Trade Confirmations

PortfolioAnalyst

Risk

Supplemental

Tax

Settings

7. On the same page, you can select the accounts to which the access rights are assigned.
 - Highlight one or more individual sub/client accounts in the list (Ctrl+ click to select multiple non-adjacent accounts in the list; Shift+click to select multiple adjacent accounts in the list). Click the *All Sub/Client Accounts* check box to select ALL accounts.
8. Click **Continue**.
9. Verify that all the information is correct, then click **Continue**.
If you need to make further changes, click **Back**, then make corrections before submitting.
10. Enter the confirmation number sent to you via email, then click **Continue**.
If you have not received a confirmation number, click **Request Confirmation Number** to have a confirmation number sent to your email address on record.
11. Click **Cancel** to cancel your changes.

Viewing Pending User Access Rights

Click *Pending Authorization* in the Status column for any Security Officer listed to view a popup that displays the pending user access rights.

Viewing Eligible Security Officers on Pending Items

On the Users page, you can move your mouse over the Status of any Security Officer listed with a status of Pending Authorization to see a popup with Eligible Security Officers displayed:

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Delete
dfgdf		sdfsd		SIGNATORY			
Security		Officer	ibtest421	Employee	View Rights	Pending Authorization	
Security		Two	ibtest981	Employee	View Rights	Pending Authorization	

Eligible Security Officers: ibtest421, ibtest981

You can view your pending changes to user access rights on the **Home > Pending Items** page. Move your mouse over those pending items to see a popup with Eligible Security Officers displayed:

Summary Positions **Pending Items 4** Messages 0 Corporate Actions 0

User Access Right Change Authorization (Request Date: 08/31/2012)	You have authorized this request. (2 additional Security Officers required)
Access Rights Configuration Authorization (Request Date: 08/23/2012)	You have authorized this request. (2 additional Security Officers required)
Access Rights Configuration Authorization (Request Date: 08/23/2012)	You have authorized this request. (2 additional Security Officers required)
User Access Right Change Authorization (Request Date: 08/23/2012)	You have authorized this request. (2 additional Security Officers required)

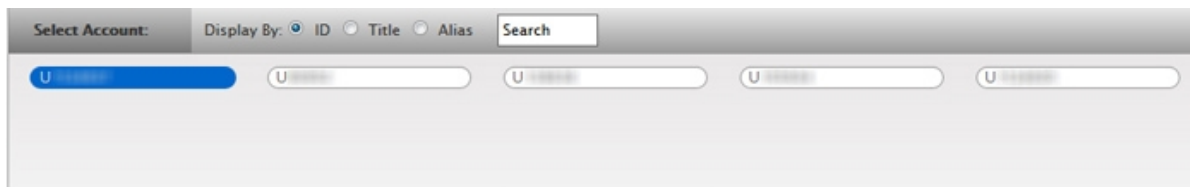
Eligible Security Officers: ibtest421, ibtest981

Modifying User Access Rights

You can modify Account Management access rights for an existing user on the User Access Rights page. For example, if you add a user to your account, you may want to modify the user's access rights at a later date.

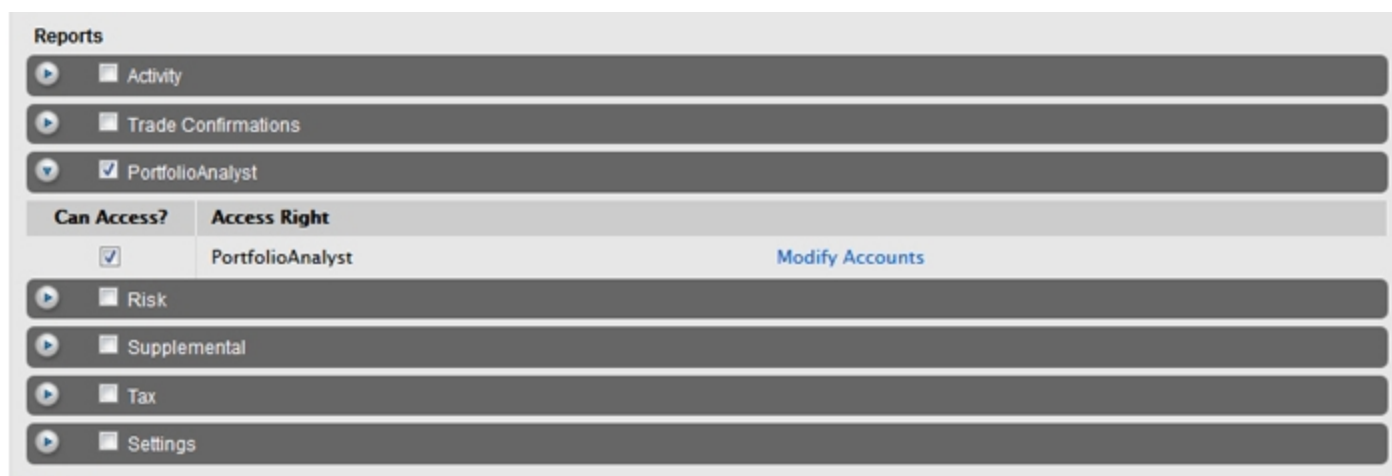
To modify access rights for an existing user

1. Click **Manage Clients > Users** .
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

3. Click the *Modify* link next to the user whose access rights you want to modify.
4. On the next page, modify the access rights for the user by selecting or deselecting check boxes next to the available Account Management functions, including changing any authorization privileges you may have assigned or need to assign.
 - Click an access group to expand the section, then click check boxes to grant access to individual functions.
 - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access the function in Account Management:
5. If you are modifying a user in a multiple account structure, click *Modify Accounts* for any individual function inside an Access group. The Assign Accounts box opens.



Use the Assign Accounts box to change which accounts you want this user to be able to access for the selected function or group of functions. You can select:

- *All* for all accounts, including the Master and all sub accounts;
- *Master* to grant access to only the Master account;
- *Sub All* to grant access to all sub accounts;
- *Sub Specific* to grant access to individual sub accounts.

If you select this option, two lists of client accounts - Available and Selected - appears. To select individual client accounts, highlight them in the Available Accounts box and click the right arrow button to move them

into the Selected Clients box. Remove client accounts from the Selected Accounts box by highlighting them then clicking the left arrow button.

Click **Continue** to save your account assignments.

6. Verify that all the information is correct, then click **Continue**.

If you need to make further changes, click **Back**, then make corrections before submitting.

7. Enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirm** to have a confirmation number sent to your email address on record.

8. Click **Cancel** to cancel your changes.

Adding Usernames to a User

Account Management lets you assign up to two usernames for each individual user. For example, an individual user might want to add a second user name in order to log in on two different machines for testing purposes.

To add a username for a user

1. Click **Manage Clients > Users**.
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.

The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

3. Click the *2nd User* link next to the user for whom you want to add a second user name.

Add Second User

Complete the required information and select user functions below:

Name: Rico Schmo

Username:*

Password:*

Username and Password are both case-sensitive.

Confirm Password:*

Record your password. For security reasons you will not be shown your password again.

E-mail Address:

Entity Relationship: NON_EMPLOYEE

Access Rights

Grant the user access rights to functions within each access group. Click an access group to expand the section, then click check boxes to grant access to individual functions. To grant access to all functions within an access group, click the check box next to the access group name.

Trade

- QuickTrade, Trader Workstation and WebTrader
- Post Trade Allocations

Reports

4. On the next page, enter information for the second username, then click **Continue**.
5. Verify that all the information is correct, then click **Continue**.

If you need to make further changes, click **Back**, then make corrections before submitting.

6. Enter the confirmation number sent to you via email, then click **Continue**.

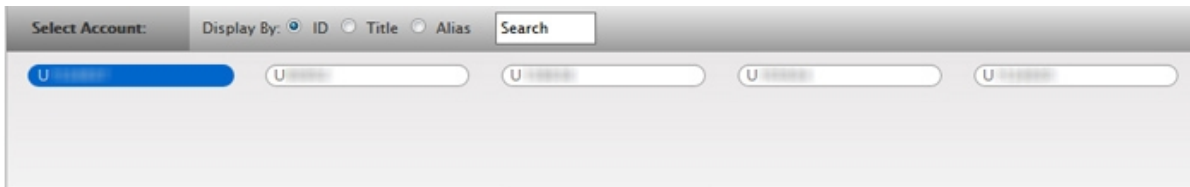
If you have not received a confirmation number, click **Request Confirmation Number** to have a confirmation number sent to your email address on record.

7. Click **Cancel** to cancel your changes.

Deleting a User

To delete a user from the account

1. Click **Manage Clients > Users**.
2. Use the Account Selector to search for a client account by Account ID, Account Title or Account Alias, then click the desired account.



The Account Selector is closed once you select an account. To change the selected account, click the tab to open the Account Selector, and then click a different account.

3. Click the *Delete* link next to the user you want to delete.

Users

Use this page to add users to your account, modify existing users' information or access rights and delete users from your account. When you delete a user, his or her Account Management access is disabled instantly and trading access is disabled by the next calendar day.

Users									
First Name	MI	Last Name	User Name	Type	Accessible Rights	Status	Modify	2 nd user	Delete
Rico		Schmo		NON_EMPLOYEE		--			
Jorie		smolka		NON_EMPLOYEE	View Rights	Open		2 nd user	
Rob		asoka		NON_EMPLOYEE	View Rights	Pending Approval		2 nd user	

Account Management access for that user is disabled instantly and Trading Access is disabled by the next calendar day.

CRM

Customer Relationship Management (CRM) allows Advisors and Brokers to easily store and view information about all of their contacts, including clients, prospects, former clients and other personal and professional relationships. The data-base-driven CRM is a convenient way for Advisors and Brokers to view all current clients, prospective clients and other contacts from a single screen in Account Management, and to turn a prospect into a client. You can easily navigate within Account Management to manage existing client accounts. Every record in CRM is considered a "contact" and you can designate contacts as being of a certain type (prospects, clients, etc.).

CRM allows you to create and store emails, notes, tasks and calendar events for each contact; send bulk emails to multiple contacts and organize contacts into groups. We do not store or have access to your emails, notes and tasks; they are stored at Rackspace, a third-party cloud management solution provider.

Note: CRM is currently in Beta release. The information contained in these help topics is therefore subject to change.

Who can access the CRM page?

You can access this page if you are an Advisor or Broker Master User.

CRM Home Page

Customer Relationship Management



search by name All ▼ Search Advanced Search

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z ↗

Title	Type	Accounts
326, 123456	Prospect	
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]

My Tasks View Tasks by: Pending ▼

Task	Due Date
This is a new task	2015-11-12
Call to discuss account options	2015-10-28
[redacted]	2015-10-20
[redacted]	2015-10-14
[redacted]	2015-10-07

My Events

Oct 2015

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Event	Time
[redacted]	08:00-08:30

20 1/31

From the CRM home page, Advisors and Brokers can:

- [View, sort and perform a simple search](#) of contacts and set the number to view on a single page.
- [Enter a new contact.](#)
- [View and open an individual contact.](#)
- [Set and reset a password for notes and tasks.](#)
- [View current tasks and scheduled events.](#)
- [Create and access a Rackspace mailbox for all of your CRM emails.](#)

- Access the [Advanced Search](#) page to enter a variety of search criteria, add contacts to an existing group, remove contacts from an existing group and send bulk email to multiple contacts.
- [Organize your contacts into groups.](#)
- [Send bulk email to multiple contacts or groups;](#)
- [Import contacts from an Excel file.](#)

Icons on CRM pages give you access to the most important functions in CRM. For more information, see [CRM Icon Reference](#).

Individual CRM Contacts

Use the [sorting and searching methods](#) on the CRM home page to find a specific contact, and then click the contact in the list to display that individual record.

Individual CRM contact records can include:

- Personal information;
- Prospect information;
- Financial information;
- Employment information;
- Trading experience;
- Client account invitations sent;
- Notes;
- Access to CRM emails hosted on Rackspace;
- Tasks;
- Events;
- Documents;

[From an individual contact record, you can perform many additional functions](#), including:

- [Edit](#) the information stored in the contact record;
- View, add, sort and delete notes;
- Add prospect information to a contact, which changes the contact to a prospect;
- Enter a new contact;
- View all emails that have been sent to the contact;
- Send an email;
- Send a prospect electronic invitation to open a client account;
- Add, update and delete tasks.
- Delete and print;

- Export to a Microsoft Excel spreadsheet;
- [Schedule events](#);
- Upload documents associated with a specific contact, prospect or client;
- Go to the Dashboard to view account details for an existing client's open account.
- View all accounts for a specific client.

Short Videos

[Adding and Importing Records](#)

[Adding Notes, Tasks and Events to Records](#)

[Sending Emails and Creating Groups](#)

If you have any questions about CRM, send us an email at crm@interactivebrokers.com.

View, Sort and Search Records

Your saved CRM contacts (or a subset of your contacts depending on how many contacts you have saved) are listed on the CRM home page sorted by Title by default. Each item in the list also displays the type of record (Contact, Prospect or Client) and Account IDs for clients.

You can view, sort and search for records in the following ways:

- Sort the list of records by clicking any column heading (Title, Type or Accounts).
- Use the letters at the top to view records that begin with a specific letter. Click a letter to view only those records whose Title begins with that letter.



- Search for records by name. Type the search word in the Search field at the top of the page and then click **Search**.



- Filter the list to display only Prospects, only Contacts, only Clients or All records using the Filter drop-down. You can use the Filter drop-down in conjunction with the search field to narrow your search. Select the record type and then click **Search** to filter the list of records.



- If you have a lot of records, they are displayed on multiple pages. You can set the number of records to display on a single page using the control at the bottom of the page (display 20, 30, 40 or 50 records at a time). This control lets you see how many pages of contacts you have at a glance and which page you are looking at (for example, 1/31 lets you know that you are looking at page 1 of 31), and lets you quickly jump to the previous page and first page or to the next page and last page.



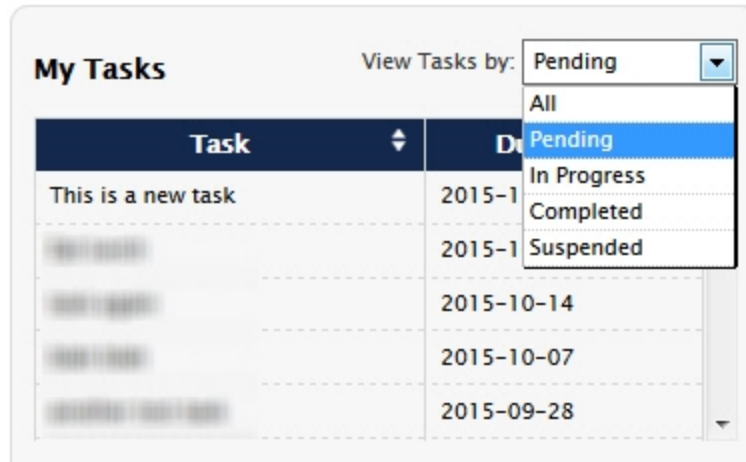
View Current Tasks and Events

You can view all current tasks and a calendar showing all events for the current month on the CRM home page. You can also:

- [Sort tasks by status](#)
- [Display a specific event](#) by clicking a date on the calendar
- [Navigate to different months and years](#) on the calendar

To sort tasks by status

1. In My Tasks, select one of the statuses from the View Tasks by drop-down:
 - All
 - Pending
 - In Progress
 - Completed
 - Suspended

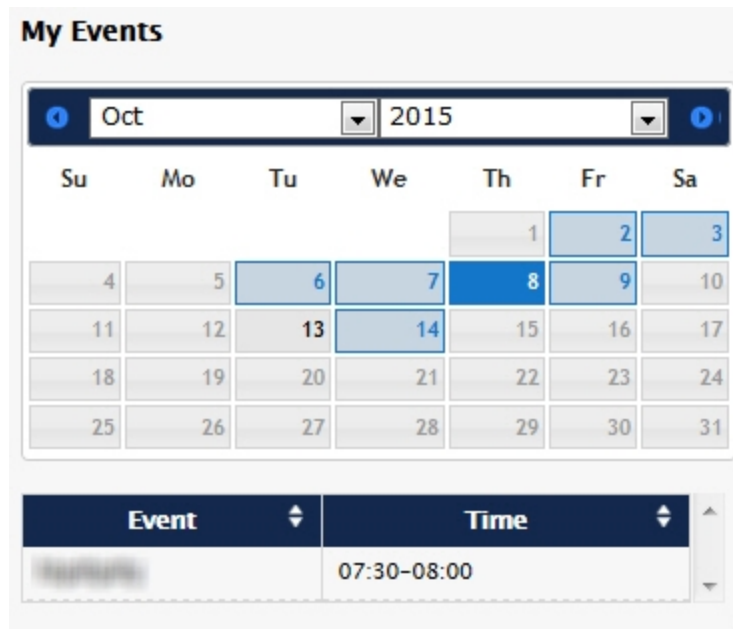


2. The list of tasks displayed in My Tasks updates accordingly.
3. You can also click any task displayed in My Tasks to jump to the Tasks tab for individual record for whom the task was created.

To display a specific event

My Events displays a calendar view of all events for the current month. Dates on which an event is scheduled appear in light blue.

1. Select a specific date on the My Events calendar to display a description and date and time of the event(s) scheduled for that day.



2. The selected date appears in a darker blue on the calendar.
3. You can also click the event description below the calendar to jump to the individual record for whom the event was created.

To navigate to different months and years on the calendar

Do any of the following to display a different month and year on the My Events calendar:

- Use the month drop-down to select a different month.
- Use the year drop-down to select a different year.
- Use the small blue arrows on the left and right of the top bar of the calendar to quickly display the previous and next month, respectively.

Entering a New Contact, Prospect or Client

CRM is built on a database that contains a record for each contact, prospect and client.

To enter a new contact, prospect or client

1. Click **Manage Clients > CRM**.

Customer Relationship Management



search by name All

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z ↗

Title	Type	Accounts
326, 123456	Prospect	
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]

My Tasks View Tasks by: Pending

Task	Due Date
This is a new task	2015-11-12
Call to discuss account options	2015-10-28
[redacted]	2015-10-20
[redacted]	2015-10-14
[redacted]	2015-10-07

My Events

Oct 2015

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Event	Time
[redacted]	08:00-08:30

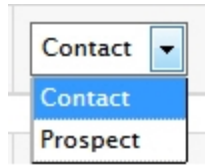
20 1/31

2. Click the New Record icon.









The New Record page opens.

3. Select the type of relationship you want to add from the drop-down at the top of the page.



4. Fill out the form completely.

Contact 		
 		
Name		
Salutation	<input type="text"/>	
First Name	<input type="text"/>	
Middle Name (optional)	<input type="text"/>	
Last Name	<input type="text"/>	
Suffix (optional)	<input type="text"/> (e.g.: Jr., Sr., III)	
Gender	<input type="text"/>	
Date of birth (MM/DD/YYYY)	<input type="text"/>	
Marital status	<input type="text"/>	
Number of dependents	<input type="text" value="0"/>	
SSN	<input type="text"/> 	
Legal Residence		
Address	<input type="text"/>	
City	<input type="text"/>	
State/Province	<input type="text"/>	
Zip/Postal Code	<input type="text"/>	
Country	<input type="text"/>	
Country of citizenship	<input type="text"/>	
Contacts		
Phone	<input type="text"/>	
Phone2	<input type="text"/>	
Fax	<input type="text"/>	
Email	<input type="text"/>	
		

5. Click **Save**.
6. Optionally, do one of the following:
 - Click **Exit** or the **Home** icon (located in the upper right corner of the page), to return to the CRM main screen.

Note: You can also enter a new record by clicking the **New Record** icon from any existing individual record.

Edit an Existing Contact, Prospect or Client

To edit an existing contact, prospect or client

1. Click **Manage Clients > CRM**.
2. Use the search function to find the contact, prospect or client you want to edit, then click the name of the person you want to edit.

The complete record opens.

Client: Billie Appleton (897718) 🏠 👤+ 📄 📧 👤 📄 🔍

Contact Information | Notes | Tasks | Emails | Events | Documents | Accounts ⬅️ Previous Record Next Record ➡️

🔍 Expand All = Collapse All Print Export to CSV Delete

Contact Information

Billie Appleton (897718)

Address:	Date Of Birth:
	Dependents: 0
Email:	Citizenship:
Identification Document:	Identification Document Number:
Country Of Issuance:	
Home:	Work:
Mobile:	Fax:

Employment Information

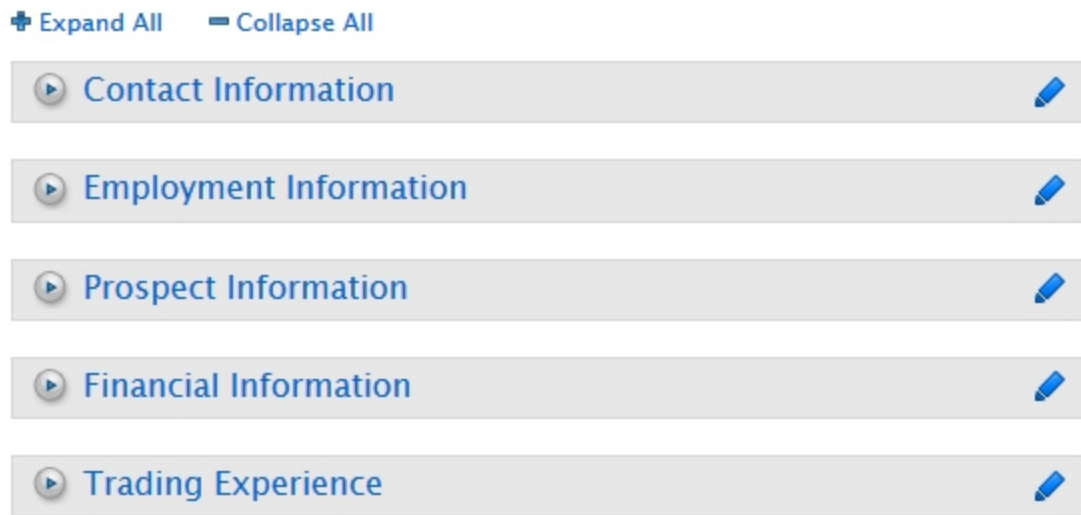
Groups

Prospect Information

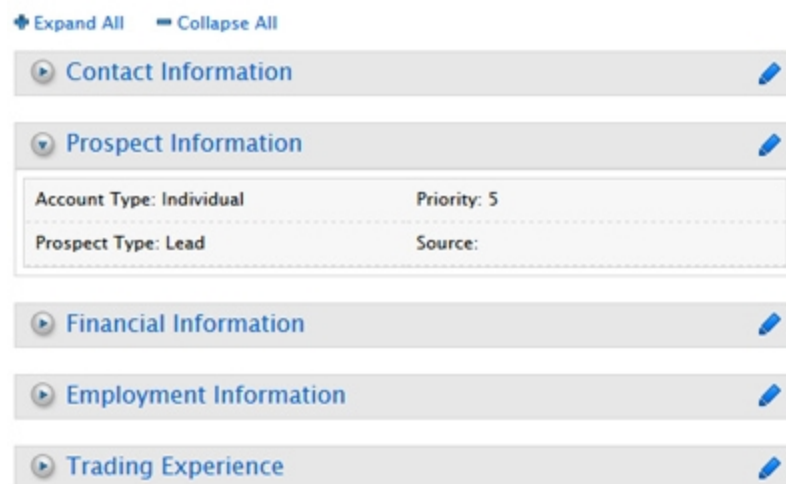
Financial Information

Trading Experience

3. By default, the record opens with all sections expanded. Collapse all sections by clicking **Collapse All** at the top of the record. Expand all sections by clicking **Expand All**.




Expand an individual section by clicking the section heading.



To edit the next record, click the **Next Record** button. To edit the previous record, click the **Previous Record** button.

4. Edit information in any section by clicking the blue pencil icon located in the section heading.

The complete record opens, with each field editable.

Prospect ▼		
Save		Exit
Name		
Salutation	Mr. ▼	
First Name	Joe	
Middle Name (optional)		
Last Name	Doe	
Suffix (optional)		(e.g.: Jr., Sr., III)
Gender	Male ▼	
Date of birth (MM/DD/YYYY)	07/07/1977	
Marital status	Married ▼	
Number of dependents	2	
SSN		
Legal Residence		
Address		
City		

5. Edit information in the record as required.
6. Change the type of record from contact to prospect using the drop-down field at the top of the page.
7. Click **Save** to save your changes, **Exit** to return to the record without saving your changes, or the **Home** icon to return to the CRM main screen.

Additional Functions for Individual Records

In addition to viewing lists of clients, prospects and contacts and entering and editing records, Advisors can perform the following tasks from individual records:

- [Go to the previous or next record.](#)
- [View, add, sort and delete notes.](#)
- [Add Prospect Information](#) to a contact record. This changes the contact to a prospect.
- [Enter a new record.](#)
- [Send an email to a contact, prospect or client.](#)
- [View all emails sent to a person.](#)
- [Send a prospect or a client an invitation](#) to open an Advisor Client account.
- [Add, update and delete tasks.](#)

- [Delete](#) and [print](#) individual records.
- [Export](#) individual records to a Microsoft Excel spreadsheet by downloading them as a .CSV (comma-separated values) file.
- [View](#) all accounts for a specific client.
- [Schedule events with a specific contact, prospect or client.](#)
- [Upload documents associated with a specific contact, prospect or client.](#)
- [Go to the Dashboard](#), where you can drill down to view account details for any client account.

To go to the previous or next record

1. On the CRM home page, click the title of the record you want to view.
2. Click the **Previous Record** or **Next Record** button to view the previous or next CRM record .



To view, add, sort and delete notes

We do not store or have access to your notes; they are stored on Rackspace. Before you can add notes to a CRM record, you must set a Notes password from the CRM home page. See [Set and Reset Your Notes Password](#) for details.

1. On the CRM home page, use the search function to find the client, prospect or contact to whose record you want to add a note.
2. Click the title of the record to which you want to add a note.

The record opens.

Prospect: **[REDACTED]**

[Contact Information](#)
[Notes](#)
[Tasks](#)
[Emails](#)
[Events](#)
[Documents](#)

[Previous Record](#)
[Next Record](#)

[Expand All](#)
[Collapse All](#)
[Print](#)
[Export to CSV](#)
[Delete](#)

Contact Information

Gender: M	Date Of Birth: 04/08/1986
Address: [REDACTED]	Dependents: 0
United Kingdom	Citizenship: United Kingdom
Email: [REDACTED]	Identification Document Number: [REDACTED]
Identification Document: Passport	Country Of Issuance: United Kingdom
Home: [REDACTED]	Work: [REDACTED]
Mobile: [REDACTED]	Fax: [REDACTED]

[Employment Information](#)
[Groups](#)
[Prospect Information](#)
[Financial Information](#)
[Trading Experience](#)

- Click the **Notes** tab.

Prospect: **Dave April**

[Contact Information](#)
[Notes](#)
[Tasks](#)
[Emails](#)
[Events](#)
[Documents](#)

Client Communications

[Create Note](#)

Sort: **Newest**

Added on 2015-06-03 10:16:25	Test note
Added on 2014-04-03 09:04:44	test note

The Notes tab lists all of your existing notes.

- Click the **Create Note** button in the Client Communications section. The Note box opens.



5. Start typing a note in the space provided in the Note box.
6. Click the **Save** icon in the Note box to save your note. Click the **X** icon to close the Note box.
7. To sort the list of notes, select *Newest* or *Oldest* from the Sort drop-down.
8. Delete a note by clicking the **X** icon below the note.




To add Prospect Information to a contact record


1. On the CRM home page, use the search function to find contact to whose record you want to add prospect information.
2. Click the title of the record.
The record opens.

3. Click the icon located in the Add Prospect Information heading. Note that this is only available in Contact records with no Prospect Information.

➕ Expand All ➖ Collapse All

▼ Contact Information 

Name: [Redacted]	
Address:	Date Of Birth: 04/24/1971
	Married
	Dependents: 0
contact@gmail.com	Citizenship:
Phone:	SS#:
Phone 2:	
Fax:	







▶ Add Prospect Information 

4. The complete record opens, allowing you to add information in ALL sections.
5. Click **Save** when you are done editing.

On the CRM home screen, the record type is now listed as a Prospect.

To enter a new record

1. Click the **New Record** icon from any individual record.

Contact 		
<input type="button" value="Save"/> <input type="button" value="Exit"/>		
Name		
Salutation	<input type="text"/>	
First Name	<input type="text"/>	
Middle Name (optional)	<input type="text"/>	
Last Name	<input type="text"/>	
Suffix (optional)	<input type="text"/>	(e.g.: Jr., Sr., III)
Gender	<input type="text"/>	
Date of birth (MM/DD/YYYY)	<input type="text"/>	
Marital status	<input type="text"/>	
Number of dependents	<input type="text" value="0"/>	
SSN	<input type="text"/>	
Legal Residence		
Address	<input type="text"/>	
City	<input type="text"/>	
State/Province	<input type="text"/>	
Zip/Postal Code	<input type="text"/>	
Country	<input type="text"/>	
Country of citizenship	<input type="text"/>	
Contacts		
Phone	<input type="text"/>	
Phone2	<input type="text"/>	
Fax	<input type="text"/>	
Email	<input type="text"/>	
<input type="button" value="Save"/>		

2. Create the new record by completing the form, and then clicking **Save**.

Note: You can also enter a new record by clicking **New Record** on the main CRM screen.

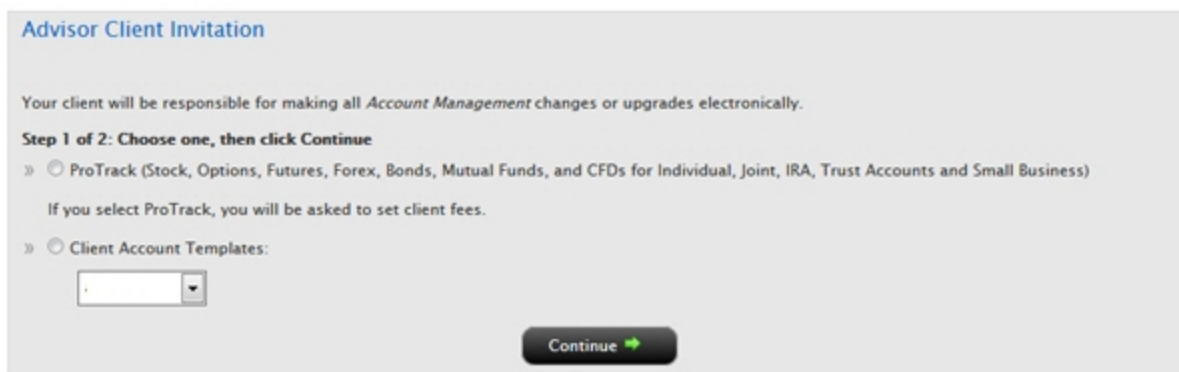
To send an email to a contact, prospect or client

We do not store or have access to your CRM emails; they are stored on Rackspace. Before you can send an email to a CRM contact, prospect or client, you must request a Rackspace Mailbox from the CRM home page. See [Set Up and Use a CRM Mailbox](#) for details.

1. On the CRM home page, use the search function to find the client, prospect or contact whose record you want to view.
2. Click the title of the record.
The record opens.
3. Click the **Emails** tab.
All of the emails you have sent to this contact, prospect or client appears on this page.

To send a prospect or a client an invitation to open a client account

1. On the CRM home page, use the search function to find the client or prospect to whom you want to send an account invitation.
2. Click the title of the record.
The record opens.
3. Click the **Send Electronic Invitation** icon. Note that this icon is only available in records for prospects and clients.
The Advisor Client Invitation page opens.



Advisor Client Invitation

Your client will be responsible for making all *Account Management* changes or upgrades electronically.

Step 1 of 2: Choose one, then click Continue

» ProTrack (Stock, Options, Futures, Forex, Bonds, Mutual Funds, and CFDs for Individual, Joint, IRA, Trust Accounts and Small Business)

If you select ProTrack, you will be asked to set client fees.

» Client Account Templates:

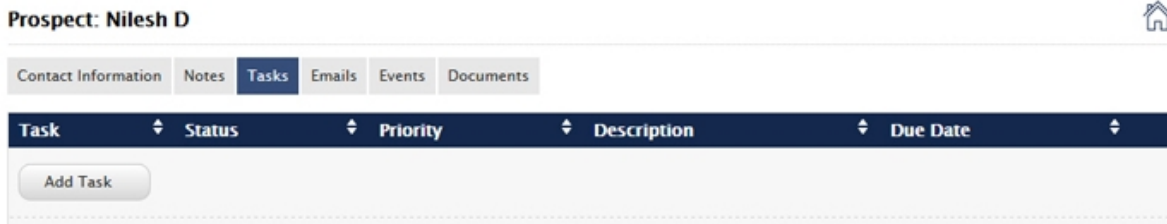
Continue ➔

4. Select the type of application for your client, then click **Submit**.
5. On the Client Fee Setup page, select the type of fees for the client, then click **Continue**. For more information, see [Inviting a Client to Start an Electronic Application](#).
6. Follow the instructions on the screens that appear to complete the client account invitation process.
An email is sent to the client, inviting him or her to complete an account application electronically.

To add, update and delete tasks

You can add important reminders to CRM records in the form of tasks, which can easily be added, updated or deleted. Like Notes, Tasks are stored on Rackspace. You must set a notes/tasks password before you can add notes and tasks to a record. You can view a summary of current tasks in My Tasks on the CRM home page.

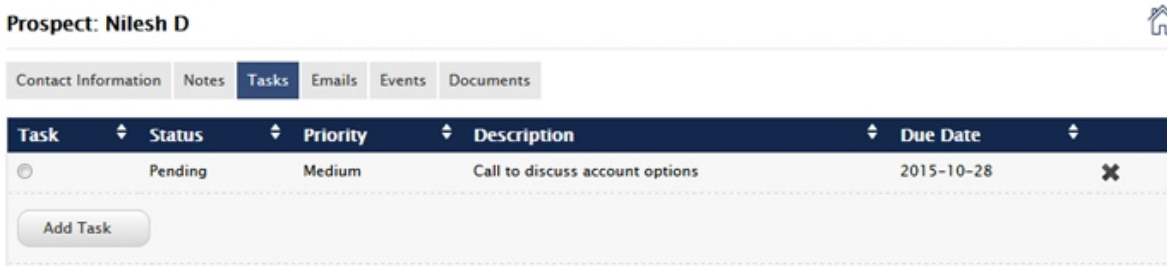
1. On the CRM home page, use the search function to find the client, prospect or contact whose record you want to update with a task.
2. Click the title of the record.
The record opens.
3. Click the **Tasks** tab.



4. To add a task:
 - Click **Add Task**. The Add Task section appears at the bottom of the page.

The 'Add Task' form is displayed. It has four main fields: 'Status' with a dropdown menu showing 'Pending', 'Priority' with a dropdown menu showing 'Medium', 'Description' with a text input field containing 'Call to discuss account options', and 'Due Date' with a date input field showing '10/28/2015'. A 'Save' button is located to the right of the date field.

- In the first drop-down from the left, select the status of the task (*Pending, In Progress, Completed, or Suspended*). *Pending* is the default status.
- In the second drop-down from the left, select the priority of the task (*Low, Medium or High*). *Medium* is the default priority.
- Type a name for the task.
- The date field displays today's date by default. Click in the date field to display a calendar, which lets you select a different date.
- Click **Save**. The new task appears in the task list.



5. To update a task:
 - Click the radio button for the task. The Update Task section appears at the bottom of the page.
 - Update the task status, priority, name or date, and then click **Save**. The task is updated in the task list.
6. To delete a task, click the **X** icon for the task, and then click **OK** in the confirmation popup.

To delete an individual record

1. On the CRM home page, use the search function to find the client, prospect or contact whose record you want to delete.
2. Click the title of the record.
The record opens.
3. Click the **Delete** icon (the red X) located in the upper right corner of the page.

To print an individual record

1. On the CRM home page, use the search function to find the client, prospect or contact whose record you want to print.
2. Click the title of the record.
The record opens.
3. Click the **Print** icon located in the upper right corner of the page.


To export an individual records to Excel in a .CSV file

You can download any CRM record to a .CSV (comma-separated values) file, which can then be opened in Microsoft Excel or a similar program.

1. On the CRM home page, use the search function to find the client, prospect or contact whose record you want to export to a .CSV file.
2. Click the title of the record.
The record opens.
3. Click the **Download CSV File** icon located in the upper right corner of the page.
4. You are prompted to save the file to a location on your computer.


To view all accounts for a specific client

1. On the CRM home page, use the search function to find the client, prospect or contact whose record you want to view.
2. Click the title of the record.
The record opens.
3. Click the **Accounts** tab to view all accounts for the client, including Account Title, Account ID, Account Type, Date Applied, Date Open, Date Funded, Date Closed (if applicable) and Status for each account.

Client: **Billie Appleton (1897118)** 

Contact Information | Notes | Tasks | Emails | Events | Documents | **Accounts**

Account Title	Account Id	Account Type	Date Applied	Date Open	Date Funded	Date Closed	Status
U 11897118			2013-01-16	2013-01-17	-	-	Open



To upload documents associated with a specific contact, prospect or client

You can upload one or more documents associated with a contact, prospect or client from an individual CRM record. Each document must be between 0 and 2 MB and cannot be an executable (.exe) file.

1. On the CRM home page, use the search function to find a client, prospect or contact.
2. Click the title of the record.
The record opens.
3. Click the **Documents** tab. This tab lists all previously uploaded documents that are currently stored with the contact, prospect or client record.
4. Click the **Choose File** button, and then search for and select the document you want to upload. The document must be no larger than 2 MB.
5. Click **Submit**.
The document appears in the list of documents.
6. To delete a previously uploaded document, click the **X** icon on the document row.

To jump to the Dashboard

1. On the CRM home page, use the search function to find the client, prospect or contact whose record you want to view.
2. Click the title of the record.
The record opens.
3. Click the **Accounts** tab.
4. Click the **Dashboard** button located on the upper right corner of the screen. The [Dashboard](#) main page opens.

Set and Reset Your Notes/Tasks Password

You can add notes and tasks to any individual CRM record. We do not store or have access to your CRM notes; they are stored on Rackspace.

Before you can add notes and tasks to CRM records, you must set a password from the CRM home page.

To set and reset your CRM notes/tasks password

1. Click **Manage Clients > CRM**.

Customer Relationship Management



search by name All

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Title	Type	Accounts
326, 123456	Prospect	
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]
Contact title unavailable	Prospect	U [redacted]

My Tasks View Tasks by: Pending

Task	Due Date
This is a new task	2015-11-12
Call to discuss account options	2015-10-28
[redacted]	2015-10-20
[redacted]	2015-10-14
[redacted]	2015-10-07

My Events

Oct 2015

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Event	Time
[redacted]	08:00-08:30

20 1/31

2. Click the **Set/Reset Notes/Tasks Password** icon near the top of the page.



Set/Reset password to access notes and tasks



You can add notes and tasks to any individual CRM record. Before you can add notes and tasks to CRM records, you must set a password below. We do not store or have access to your CRM notes and tasks; they are stored and encrypted on Rackspace. Once you set your password, you will automatically be logged into Rackspace when you access Notes and Tasks in CRM.

3. Enter a password and then click **Save**. (Note that you can return to the main CRM page by clicking the Home icon located on the right side of the screen.

You will now be able to access the Notes and Tasks features in any individual CRM record.

4. To reset your notes/tasks password, click the **Set/Reset Notes/Tasks Password** button on the CRM home page, and then enter a new password and click **Save**.

Set Up and Use a CRM Mailbox

All Interactive Brokers CRM notes and emails are hosted on Rackspace, a leading managed cloud solution provider.

Requirements for a Rackspace Mailbox

Rackspace Mailboxes use your own email address. Therefore, you must have a pre-existing email address at your own domain before your Rackspace Mailbox can be created. There are two ways to do this:

- You already have your own email address at your own domain. For example, jsmith@acmeadvisors.com.
- We will register a domain for you, which will include your own email address at that domain. To request this service, send us an email at crm@interactivebrokers.com. There will be a small cost associated with the registering of your domain.

Note: To maintain the security of your CRM emails stored on Rackspace, email addresses at public domains, such as Yahoo, Gmail, Hotmail or Outlook, are not allowed.

Additional Information

- A Rackspace mailbox costs \$1.00 per mailbox per month, subject to any change implemented by Rackspace.
- Your Rackspace mailbox provides 25 GB of storage.
- Once your Rackspace mailbox has been created, you will be notified in Pending Items in Account Management. You can then access your mailbox from the CRM page or from any individual CRM record.
- You can update your Rackspace mailbox password at any time by accessing Settings from within your Rackspace mailbox.

Additional Services Available from Rackspace

- Upgrade to a Microsoft Exchange Mailbox for \$8 per month.
- Archive your emails for \$3 per month.

To sign up for these services, send an email to crm@interactivebrokers.com.

To create a mailbox on Rackspace for CRM and to access your Rackspace mailbox once it has been created

1. Click **Manage Clients > CRM**.
2. Click the **Show Email** icon on the CRM home page.



3. A page opens with instructions on how to request a Rackspace mailbox. Read the instructions completely, and then click the **Request Mailbox** button.

You will be presented with further instructions and information.

4. When your Rackspace mailbox has been created, we will notify you via Pending Items on the Account Management Home page.

The Rackspace email client looks like this:

Disclaimer

Interactive Brokers will never access your CRM notes and emails. To the extent that the Customer uses Rackspace to transport data or communications, Interactive Brokers disclaims any liability for interception of any such data or communications. IB is not responsible, and makes no warranties regarding, the access, speed, availability or security of Rackspace, Internet or network services.

Events

The Events tab, available from any individual CRM record, lets Advisors and Brokers schedule events using an interactive calendar with daily, weekly and monthly views. Events can be anything from scheduled meetings to phone calls to personal tasks. You can also view currently scheduled events on the My Events calendar on the CRM home page.

To schedule an event

1. On the CRM home page, use the search function to find the client, prospect or contact to whose record you want to add a note.
2. Click the title of the record to which you want to add a note.

The record opens.

3. Click the **Events** tab. The weekly event calendar opens.

The screenshot shows a calendar interface for the week of August 9-15, 2015. At the top, there are navigation buttons: a left arrow, a right arrow, and a 'Today' button. The title 'Aug 9 — 15, 2015' is centered. On the right, there are view selection buttons: 'Day' (selected), 'Week', and 'Month'. The calendar grid has columns for each day: Sun 8/9, Mon 8/10, Tue 8/11, Wed 8/12, Thu 8/13, Fri 8/14, and Sat 8/15. The rows represent time slots from 6am to 7pm, plus an 'All Day' row at the top. The 'All Day' row and the 'Mon 8/10' column are highlighted in yellow. A vertical scrollbar is on the right side of the grid.

	Sun 8/9	Mon 8/10	Tue 8/11	Wed 8/12	Thu 8/13	Fri 8/14	Sat 8/15
All Day							
6am							
7am							
8am							
9am							
10am							
11am							
12pm							
1pm							
2pm							
3pm							
4pm							
5pm							
6pm							
7pm							

4. Use the buttons on the upper right to change the calendar view: **Day** for daily, **Week** for weekly or **Month** for monthly. Click the **Today** button to display today's date on the calendar. Use the right and left buttons on the upper left to navigate between days, weeks or months.
5. You can enter a new event in any calendar view: Daily, Weekly or Monthly. Click the day and time at which you want to schedule the new event.

The Enter Event box opens.

Enter Event [X]

Title

Start

End

All Day

Ok Close

6. Enter the title of the event, and then select a start and end time. Click in the Start field to open the interactive calendar.

Enter Event [X]

Title

Start

End

All Day

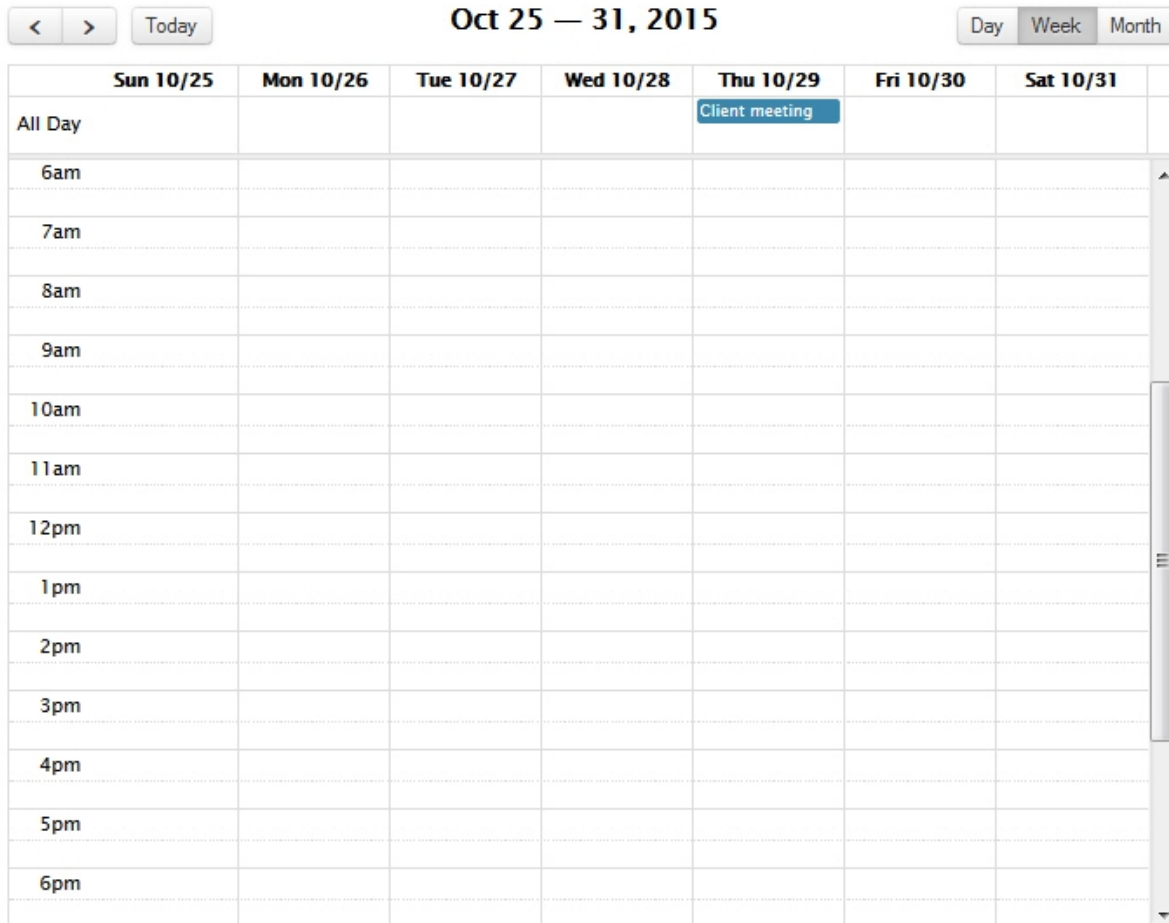
October - 2015 -

Sun	Mon	Tue	Wed	Thu	Fri	Sat	
27	28	29	30	1	2	3	03:30
	4	5	6	7	8	9	04:00
	11	12	13	14	15	16	04:30
	18	19	20	21	22	23	05:00
	25	26	27	28	29	30	05:30
						31	06:00

Click the desired start time on the right side of the interactive calendar, using the scroll bar to scroll to earlier or later times. You can also schedule the event to occur on any day using the interactive calendar. Once you click a time, the interactive calendar closes.

Repeat for the event end time.

7. To schedule an all-day event, simply click the **All Day** check box.
8. Click **Ok** to save the event and add it to the calendar.



- To edit an event that is already scheduled (for example, to change the scheduled start and end times), click the event on the calendar, and edit the information in the Edit Event box. Click **Save** to save the event and close the box.

The 'Edit Event' dialog box contains the following information:

- Title: Client meeting
- Start: 2015-10-29 00:00
- End: 2015-10-29 00:00
- All Day:

Buttons: Save, Delete, Close

- To delete an event that is already scheduled, click the event on the calendar, and then click **Delete** in the Edit Event box.

CRM Advanced Search

While the CRM home page lets you perform simple searches name or type of record, the Advanced Search page lets you:

- [Conduct a detailed search by entering a variety of search criteria;](#)
- [Add or remove one of more contacts to or from an existing group;](#)
- [Send a bulk email to one or more contacts.](#)
- [Open an individual record.](#)

Advanced Search



Search Criteria

Type	<input type="text" value="All"/>	Account	<input type="text"/>	Country	<input type="text"/>
Name	<input type="text"/>	Group	<input type="text"/>	City	<input type="text"/>
Email	<input type="text"/>	Employer	<input type="text"/>	State	<input type="text"/>
Phone	<input type="text"/>	Address	<input type="text"/>	Postal Code	<input type="text"/>

30
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<input type="checkbox"/>	Title	Type	Accounts	Email	Groups	Address
<input type="checkbox"/>	[Link]	Prospect		[Link]	Chicago12 Cook, Check 123789	60616
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Chicago12 Cook, Check 123789, Random Group3789, Brody12385, Holo	
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Brody12385, Miami Group, Chicago12 Cook, Dave 22378, Random Group3789, Holo	
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Random Group3789, Miami Group	
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Brody12385, Miami Group, Dave 22378	
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Miami Group, Random Group3789	

You can also collapse the Search Criteria by clicking anywhere in the Search Criteria header bar.

▶ Search Criteria

Reset
Search

To conduct an advanced search

1. From the CRM home page, click the Advanced Search button or the Advanced Search icon.



2. Enter search criteria into one or more of the Search Criteria fields, and then click **Search**.

▶ Search Criteria

Type	All ▼	Account	<input type="text"/>	Country	<input type="text"/>
Name	<input type="text"/>	Group	<input type="text"/>	City	<input type="text"/>
Email	<input type="text"/>	Employer	<input type="text"/>	State	<input type="text"/>
Phone	<input type="text"/>	Address	<input type="text"/>	Postal Code	<input type="text"/>

Reset
Search

3. To begin a new search, click **Reset**.

To add or remove one of more contacts to or from an existing group

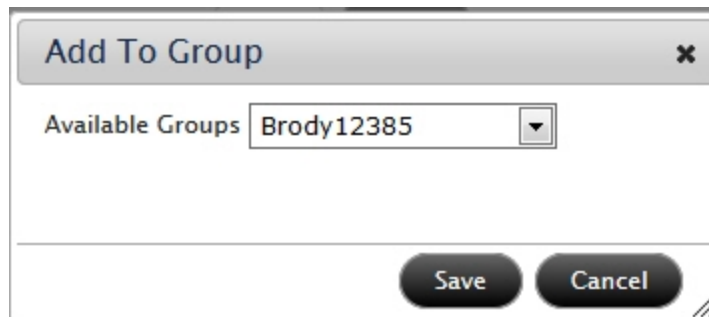
1. Conduct an advanced search. In the list of records that appears, Note the Groups column. You can click the Groups column heading to sort the list by group, making it easier to view your groups.

Add To Group
Remove From Group
Bulk Email

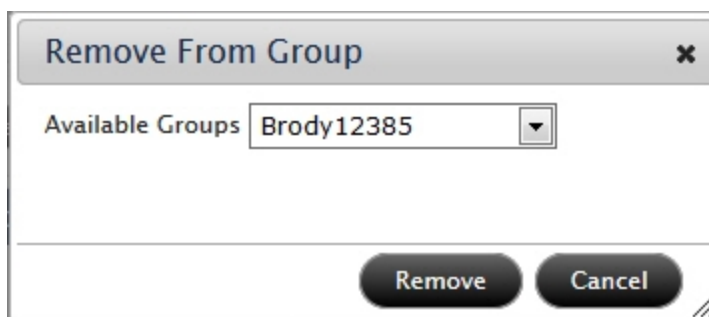
30 ▼
◀
1/21
▶

☐	Title	Type	Accounts	Email	Groups	Address
<input checked="" type="checkbox"/>	[Link]	Prospect		[Link]	Chicago12 Cook, Check 123789	60616
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Chicago12 Cook, Check 123789, Random Group3789, Brody12385, Holo	
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Brody12385, Miami Group, Chicago12 Cook, Dave 22378, Random Group3789, Holo	
<input type="checkbox"/>	[Link]	Prospect	U [Link]		Random Group3789, Miami Group	

2. Click the check box for each contact in the list that you want to add or remove from an existing group. As soon as you select one check box, the Add To Group and Remove From Group buttons become active.
3. To add the selected contacts to an existing group, click **Add to Group**, and then choose the desired group from the drop-down in the Add To Group box. Click **Save** to close the box and save your changes.



4. To remove the selected contacts from an existing group, click **Remove From Group**, and then choose the desired group from the drop-down in the Remove From Group box. Click **Remove** to remove the selected contact(s) from the selected group and close the box.



To send a bulk email

Bulk emails let you send a single email to multiple contacts at the same time.

1. Conduct an advanced search.
2. Click the check box for each contact in the list to whom you want to send a bulk email. The Bulk Email button becomes active.
3. Click **Bulk Email**.

A blank email with the To field already filled in with the selected contact emails opens.

Disclaimer!!: Attachments are not saved in the SENT folder of the mailbox. CC yourself to keep a copy of the email with attachments

To:

Subject:

Cc:

Message:

Select files to attach:

4. Enter a subject, optionally enter email addresses in the Cc: field, enter the text of your email, and optionally attach files, using the Browse button to search and select files on your computer.
5. Click **Submit** to send your email to all of recipients.

Note: Attachments are NOT saved in your Rackspace Sent folder. CC yourself to keep a copy of the email with the attachments.

To open an individual record

1. Conduct an advanced search.
2. In the list of records, click the Title of the record you want to open.

CRM Groups

You can organize your contact records into groups. On the CRM home page and Advanced Search page, the list of records can be sorted by Group. On the Advanced Search page, you can add and remove one or more contacts to and from existing groups or send bulk email to members of a group.

Use the Manage Groups page to:

- [View the current members of any group.](#)
- [Add a new group and add members to the new group;](#)
- [Delete an existing group;](#)
- [Rename a group;](#)
- [Send a bulk email to all members of a group.](#)

To view the current members in any group

1. From the CRM home page, click the View Groups icon.



The Manage Groups page opens. The Manage Groups page lists all of your current groups, along with the number of contact records in each group in parentheses next to the group name.



Manage Groups 🏠 👤+ 📄 📧 📋 🔍

Groups	
Brody12385 [14]	✎ ✉
Check 123789 [4]	✎ ✉
Chicago12 Cook [11]	✎ ✉
Dave 22378 [14]	✎ ✉
Dogs123 [5]	✎ ✉
Holo [2]	✎ ✉
Miami Group [13]	✎ ✉
Paris123 [3]	✎ ✉
Random Group3789 [9]	✎ ✉
TestGroup567 [0]	✎ ✉
Tester345 [0]	✎ ✉

2. Click the name of the group whose members you want to view. The Manage Groups Membership page opens, displaying the expanded Advanced Search Criteria panel at the top of the page and the members of the selected group below.

Customer Relationship Management (Beta)

Manage Group Membership: Chicago12 Cook



Search, Select the records and click on "Add To Group"

Search Criteria

Type	<input type="text" value="All"/>	Account	<input type="text"/>	Country	<input type="text"/>
Name	<input type="text"/>	Group	<input type="text"/>	City	<input type="text"/>
Email	<input type="text"/>	Employer	<input type="text"/>	State	<input type="text"/>
Phone	<input type="text"/>	Address	<input type="text"/>	Postal Code	<input type="text"/>

<input type="checkbox"/>	Title	Type	Accounts	Email	Groups	Address
<input type="checkbox"/>	326, 123456	Prospect			Chicago12 Cook, Check 123789	60616
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Chicago12 Cook, Check 123789, Random Group3789, Brody12385, Holo	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Brody12385, Miami Group, Chicago12 Cook, Dave 22378, Random Group3789, Holo	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Random Group3789, Miami Group	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Brody12385, Miami Group, Dave 22378	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Miami Group, Random Group3789	
<input type="checkbox"/>	Contact title unavailable	Prospect	U			
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Paris123	
<input type="checkbox"/>	Contact title unavailable	Prospect	U			

To add a new group and add members to the group

1. From the CRM home page, click the View Groups icon.



The Manage Groups page opens.

2. Click the Plus Sign icon on the upper right of the group list.



3. In the Create Group box, type the name of the new group, and then click **Save**.

The image shows a 'Create Group' dialog box. The title bar contains the text 'Create Group' in blue and a close button (an 'x' in a square). Below the title bar is a text input field with the label 'Name' and a light green background. At the bottom right of the dialog, there are two buttons: 'Save' and 'Cancel'.

The new group appears in the group list.

4. Click the name of the new group to open the Manage Groups Membership page.

Customer Relationship Management (Beta)

Manage Group Membership: Chicago12 Cook



Search, Select the records and click on "Add To Group"

Search Criteria

Type	<input type="text" value="All"/>	Account	<input type="text"/>	Country	<input type="text"/>
Name	<input type="text"/>	Group	<input type="text"/>	City	<input type="text"/>
Email	<input type="text"/>	Employer	<input type="text"/>	State	<input type="text"/>
Phone	<input type="text"/>	Address	<input type="text"/>	Postal Code	<input type="text"/>

<input type="checkbox"/>	Title	Type	Accounts	Email	Groups	Address
<input type="checkbox"/>	326, 123456	Prospect			Chicago12 Cook, Check 123789	60616
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Chicago12 Cook, Check 123789, Random Group3789, Brody12385, Holo	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Brody12385, Miami Group, Chicago12 Cook, Dave 22378, Random Group3789, Holo	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Random Group3789, Miami Group	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Brody12385, Miami Group, Dave 22378	
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Miami Group, Random Group3789	
<input type="checkbox"/>	Contact title unavailable	Prospect	U			
<input type="checkbox"/>	Contact title unavailable	Prospect	U		Paris123	
<input type="checkbox"/>	Contact title unavailable	Prospect	U			

5. Use the Search Criteria panel to search for the contact records that you want to add to the new group. Enter criteria into the desired search fields, and then click **Search**. The list of contact records updates to match your search.
6. Click the check box next to each contact that you want to add to the new group. As soon as you select one record in the list, the Add to Group button becomes active.
7. Click **Add to Group**.
8. In the Add to Group box, select the new group from the drop-down and then click **Save**.

The contacts you selected are now part of the new group you created.

To delete an existing group

1. From the CRM home page, click the View Groups icon.



The Manage Groups page opens.

2. Click the Edit Group icon on the row for the group you want to delete.



3. The Edit Group bar opens.



4. Click the red **X** icon to delete the group. Click the blue arrow to close the Edit Group bar.
5. Click **OK** in the confirmation message.

The group is deleted.

To rename a group

1. From the CRM home page, click the View Groups icon.



The Manage Groups page opens.

2. Click the Edit Group icon on the row for the group you want to delete.



3. The Edit Group bar opens.



4. Type a new name for the group in the text field, and then click the green check mark icon to rename the group. Click the blue arrow to close the Edit Group bar.

To send a bulk email to all members of a group

1. From the CRM home page, click the View Groups icon.



The Manage Groups page opens.

2. Click the Bulk Email icon on the row for the group you want to delete.



The Manage Groups Membership page opens with the list of contacts who are members of the selected group.

3. Click the check box next to each contact to whom you want to send a bulk email. As soon as you select one record in the list, the Bulk Email button becomes active.
4. Click **Bulk Email**.

A blank email with the To field already filled in with the selected contact emails opens.

Disclaimer!! Attachments are not saved in the SENT folder of the mailbox. CC yourself to keep a copy of the email with attachments

To:

Subject:

Cc:

Message:

Select files to attach:

5. Enter a subject, optionally enter email addresses in the Cc: field, enter the text of your email, and optionally attach files, using the Browse button to search and select files on your computer.
6. Click **Submit** to send your email to all of recipients.

Note: Attachments are NOT saved in your Rackspace Sent folder. CC yourself to keep a copy of the email with the attachments.

Import from Microsoft Excel

You can import lists of contacts from a Microsoft Excel file into CRM to save time entering information into individual record.

To import contacts

1. Create a Microsoft Excel file containing all of your contact information. The file should contain the following information for each person:
 - Salutation (Mr., Mrs. or Ms.)
 - First, middle and last name
 - Gender (Female or Male)
 - Date of birth (MM/DD/YYYY format)

- Marital Status (Unknown, Single, Married, Divorced, Widow)
- Number of Dependents
- Legal Residence, including Street (two lines, one including unit or apartment number), City, Country, Country of Citizenship, State/Province, Zip/Postal Code
- Contact Information, including Home, Work and Mobile Phone, Fax and Email
- Employment Information, including Employment Type (Employed, Unemployed, Retired or Self-Employed), Name and Business of Employer, Employer Work Phone and Employer Address (same information as Legal Residence above)


Note: On the contact file import screen, there is a link to download a sample Excel file. This sample file contains all of the information you need to create your own contact file in Microsoft Excel.

2. Click **Manage Clients > CRM**.
3. Click the **Import Contacts** icon.



The Import Contact page opens. You can return to the CRM main page by clicking the Home icon located on the right side of the screen.

Customer Relationship Management (Beta)

Import Contacts 

[Download sample file](#)

File








4. If necessary, click the link to download the sample Excel contacts file.
5. Click the **Choose File** button to locate and select your contact file on your computer.
6. Click **Upload File**.

Your contacts will now be stored in CRM as individual records.

CRM Icon Reference

You can use the icons to perform certain functions from the CRM home page and from an individual record.



Icon	Description
	Return to the CRM home page.
	Create a new record.
	Send a prospect or a client an electronic invitation to open a new account.
	Open your email in Rackspace in a new browser tab. If you have not set up a Rackspace email, you will see the email setup instructions page.
	Open the Groups page, where you can view all of your groups, create, rename and delete groups.
	Set a password to access Notes and Tasks.
	Open the Advanced Search page.

Investors' Marketplace

This section describes the options available in the Investors' Marketplace menu. The Investors' Marketplace lets Individual, Broker, Advisor, Hedge Fund, Money Manager and Administrator account holders form connections with each other and with other third-party service providers to do business on our platform.

There are actually several different marketplaces within Investors' Marketplace and you access them through the following options:

- [Search Services](#) - This menu allows customers to access different marketplaces where service providers advertise their services.
- [Advertise Services](#) - This menu allows customers and other service providers to advertise their services on the different marketplaces.

You can also access the Investors' Marketplace on the IB website by clicking the link at the bottom of any web page.

Search Services

The Search Services menu allows customers to search in several different marketplaces for participating Advisors, Brokers, Money Managers, Administrators and other third parties who have products and services to offer. Customers who are Accredited Investors or Qualified Purchasers under SEC rules can view information and about and invest in independent Hedge Funds on the Hedge Fund Investor Site.

The Search Services menu is organized into categories, each of which contains one or more distinct marketplaces:

- [Investing](#)
- [Research](#)
- [Technology](#)
- [Administration](#)
- [Business Development](#)

Investing

The Investors' Marketplace > Search Services > Investing menu lets customers search for and do business with the following types of investment service providers:

- [Advisor Marketplace](#) - Search for and connect with Professional Registered Investment Advisors (RIAs) and Commodity Trading Advisors (CTAs).
- [Broker Marketplace](#) - Search for and connect with Fully Disclosed Brokers.
- [Hedge Fund Marketplace](#) - Customers who are Accredited Investors or Qualified Purchasers under SEC rules can view information and about and invest in independent Hedge Funds.
- [Money Manager](#) - Advisors acting as Wealth Managers can view information about registered Money Managers, review their background information and specify your preferred contact method.

Advisor Marketplace

The Advisor Marketplace lets customers shop for, request contact from and automatically link to Advisors (RIAs).

Access the Advisor Marketplace by clicking **Investors' Marketplace > Search Services > Investing > Advisors**.

Note: You can only view Advisors for your own country. For example, US residents can only view US-based Advisors.

Advisor Marketplace

[DISCLAIMER](#)

IMPORTANT: The information provided on the Advisor Marketplace concerning participating third-party Financial Advisors is provided by the Advisors themselves and not by Interactive Brokers. Investment returns and performance information is provided solely by the Advisors and has NOT been audited or examined by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you should use a Financial Advisor or of any of these particular Advisors. The Advisors are independent of Interactive Brokers and Interactive Brokers does not recommend or endorse any Advisors or their investment strategies. Interactive Brokers does not make any representations or warranties concerning the past or future performance of the Advisors or the accuracy of the information provided by the Advisors. Interactive Brokers does not conduct any "suitability" review to make sure that any Advisor's trading is suitable for you. Past performance is no guarantee of future results.

[Collapse](#)

Products ▼

Registrations ▼

Strategy Types ▼

Clear

↓

Sort by ▼

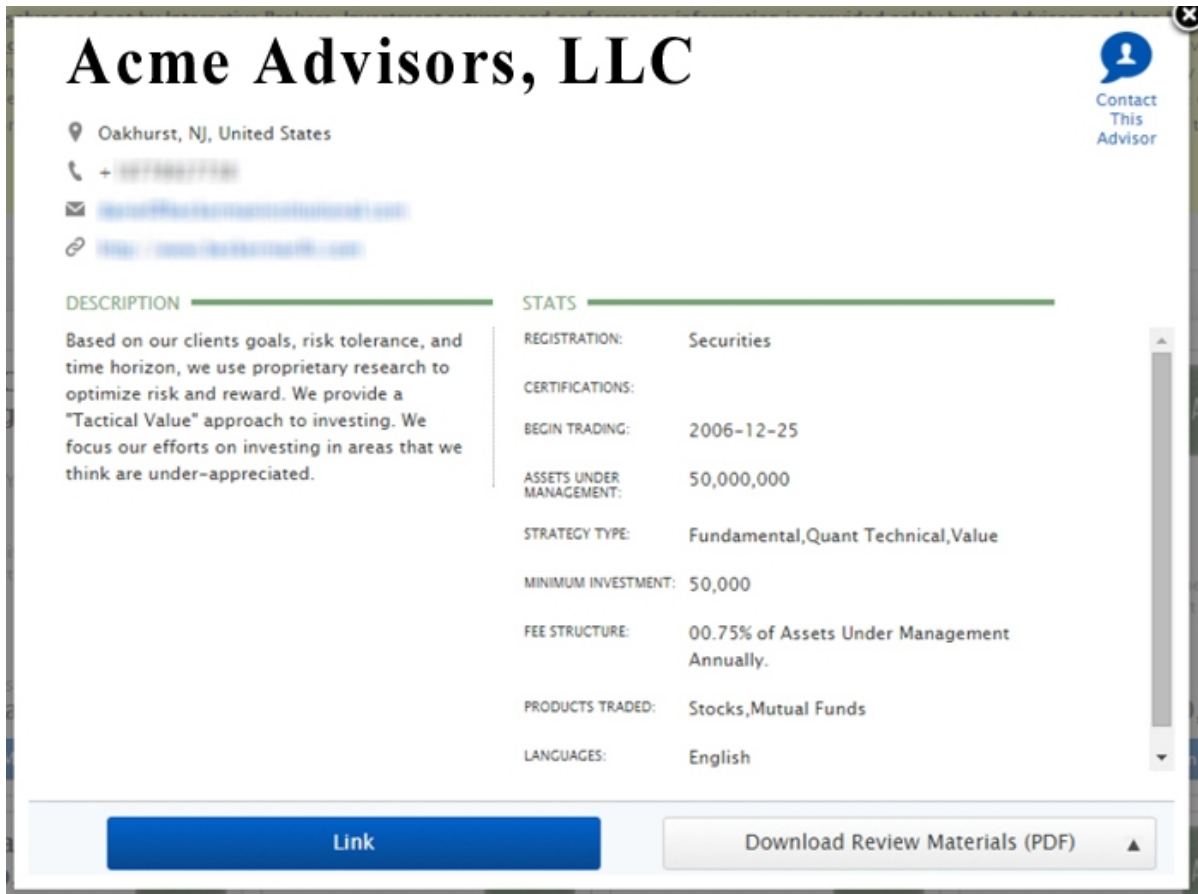
<div style="display: flex; justify-content: space-between;"> <div>Sage Capital Management LLC</div> <div style="background-color: #0070c0; color: white; padding: 2px 5px; font-weight: bold;">ADVISOR</div> </div> <p>NY, New York</p> <hr style="width: 20%; margin: 5px auto;"/> <p>Sage Capital Management LLC, an SEC registered investment advisor with...</p> <div style="display: flex; justify-content: space-between; font-size: 0.8em;"> <div>IN BUSINESS 16 Years</div> <div>AUM 350,000,000</div> </div> <div style="background-color: #0070c0; color: white; text-align: center; padding: 5px; margin-top: 5px;">More Information</div>	<div style="display: flex; justify-content: space-between;"> <div>VL Capital Management LLC</div> <div style="background-color: #0070c0; color: white; padding: 2px 5px; font-weight: bold;">ADVISOR</div> </div> <p>FL, Orlando</p> <hr style="width: 20%; margin: 5px auto;"/> <p>VL Capital Management is a registered investment advisor. Leveraging o...</p> <div style="display: flex; justify-content: space-between; font-size: 0.8em;"> <div>IN BUSINESS 2 Years</div> <div>AUM 1,000,000</div> </div> <div style="background-color: #0070c0; color: white; text-align: center; padding: 5px; margin-top: 5px;">More Information</div>	<div style="display: flex; justify-content: space-between;"> <div>Beckerman Institutional</div> <div style="background-color: #0070c0; color: white; padding: 2px 5px; font-weight: bold;">ADVISOR</div> </div> <p>NJ, Oakhurst</p> <hr style="width: 20%; margin: 5px auto;"/> <p>Based on our clients goals, risk tolerance, and time horizon, we use p...</p> <div style="display: flex; justify-content: space-between; font-size: 0.8em;"> <div>IN BUSINESS 8 Years</div> <div>AUM 50,000,000</div> </div> <div style="background-color: #0070c0; color: white; text-align: center; padding: 5px; margin-top: 5px;">More Information</div>	<div style="display: flex; justify-content: space-between;"> <div>Coleman Scherer Investments Inc.</div> <div style="background-color: #0070c0; color: white; padding: 2px 5px; font-weight: bold;">ADVISOR</div> </div> <p>IL, Palatine</p> <hr style="width: 20%; margin: 5px auto;"/> <p>Coleman Scherer Investments Inc. utilizes rules based quant systems to...</p> <div style="display: flex; justify-content: space-between; font-size: 0.8em;"> <div>IN BUSINESS 6 Years</div> <div>AUM 3,500,000</div> </div> <div style="background-color: #0070c0; color: white; text-align: center; padding: 5px; margin-top: 5px;">More Information</div>
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Filter and View Advisors

You can filter the list of available advisors by products traded (bonds, stocks, etc.), asset class registrations (Securities, Commodities, etc.) and strategy types. Click the desired products, registrations and/or strategy types in the drop-down lists provided. Click **Clear** to clear the current filter criteria.

You can sort the provider display by Name, Location, AUM (Assets Under Management) or Years by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the **More Information** button for any provider to view that provider's detailed information in a popup window.



Acme Advisors, LLC

Oakhurst, NJ, United States

+ 9738627788

acmeadvisors@acmeadvisors.com

http://www.acmeadvisors.com

Contact This Advisor

DESCRIPTION

Based on our clients goals, risk tolerance, and time horizon, we use proprietary research to optimize risk and reward. We provide a "Tactical Value" approach to investing. We focus our efforts on investing in areas that we think are under-appreciated.

STATS

REGISTRATION:	Securities
CERTIFICATIONS:	
BEGIN TRADING:	2006-12-25
ASSETS UNDER MANAGEMENT:	50,000,000
STRATEGY TYPE:	Fundamental,Quant Technical,Value
MINIMUM INVESTMENT:	50,000
FEE STRUCTURE:	00.75% of Assets Under Management Annually.
PRODUCTS TRADED:	Stocks,Mutual Funds
LANGUAGES:	English

Link

Download Review Materials (PDF)

Link to an Advisor

If you know that you want to become a client of a specific advisor, expand the advisor's listing, and then click the **Link** button. The Advisor/[Broker Account Setup](#) page opens.

Advisor/Broker Account Setup

Use this page to link your existing account to an Advisor/Broker-managed account using one of the methods listed below.

● **Move my entire account to an account managed by the Advisor/Broker identified below.**

Transfer all of my cash and positions to the Advisor/Broker-managed account. I will no longer be able to log into Trader Workstation, and my current market data subscriptions will be canceled. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. Accounts are moved every Friday 2:00 PM.

● **Create a new linked account that will be managed by the Advisor/Broker identified below.**

I will have two linked accounts that I can access using a single username and password. Trading permissions for my existing account will also apply to the new Advisor- or Broker-managed account, but any permission to which the Advisor or Broker is not entitled will be removed. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. The selected Advisor or Broker must approve this link request and the new linked account will be open by 6:00 PM on the same business day. Note that if you submit a request for a new linked account after 4:00 PM, the account will be open by 6:00 PM on the next business day.

● **Divide my account into two partitions, one of which will be managed by the Advisor/Broker identified below.**

I will have a single account divided into two partitions; a parent partition managed by me and a child partition managed by the Advisor or Broker identified below. Trading permissions for the parent partition will also apply to the child partition, but any permission to which the Advisor or Broker is not entitled will be removed. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. The new partition will be open and ready to be funded by 6:00 PM on the same business day. Note that if you submit a request for a new partition after 4:00 PM, the partition will be open and ready to be funded by 6:00 PM on the next business day.

Advisor/Broker Information

Advisor/Broker-managed Account ID:	<input type="text"/>
Advisor/Broker-managed Account Title:	<input type="text"/>

Continue →

If you have linked accounts of your own, you can choose to link those to the advisor as well. Click **Continue** to begin the linking process.

- Links are activated every Friday. Your Advisor must confirm the link before 2:00 pm on Friday.
- Once your account has been linked, log into Account Management to end any market data subscriptions if you no longer want to maintain them.
- Once your account has been linked, fees may be debited from your account as specified by your Advisor.

Download Review Materials

View additional PDF documents provided by the advisor by clicking **Download Review Materials**, and then clicking the link to a document. Typically these are brochures and FAQ documents.

Broker Marketplace

The Broker Marketplace lets customers shop for and automatically link to Fully Disclosed Brokers.

Access the Broker Marketplace by clicking **Investors' Marketplace > Search Services > Investing > Brokers**.




Broker Marketplace

DISCLAIMER

The information provided on the Broker Marketplace concerning participating third-party Introducing Brokers (including any articles or commentary posted by the Brokers) is provided by the Third-Party Brokers themselves and not by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you should contract for the services of a Third-Party Broker or for any of these particular Third-Party Brokers. The Third-Party Brokers are independent of Interactive Brokers and Interactive Brokers does not make any representations or warranties concerning the services offered or past or future performance of the Third-Party Brokers or the accuracy of the information provided by the Third-Party Brokers. Interactive Brokers does not conduct any "suitability" review to make sure that any Third-Party Broker's trading is suitable for you. Past performance is no guarantee of future results.

Collapse

Language(s) Clear Sort by

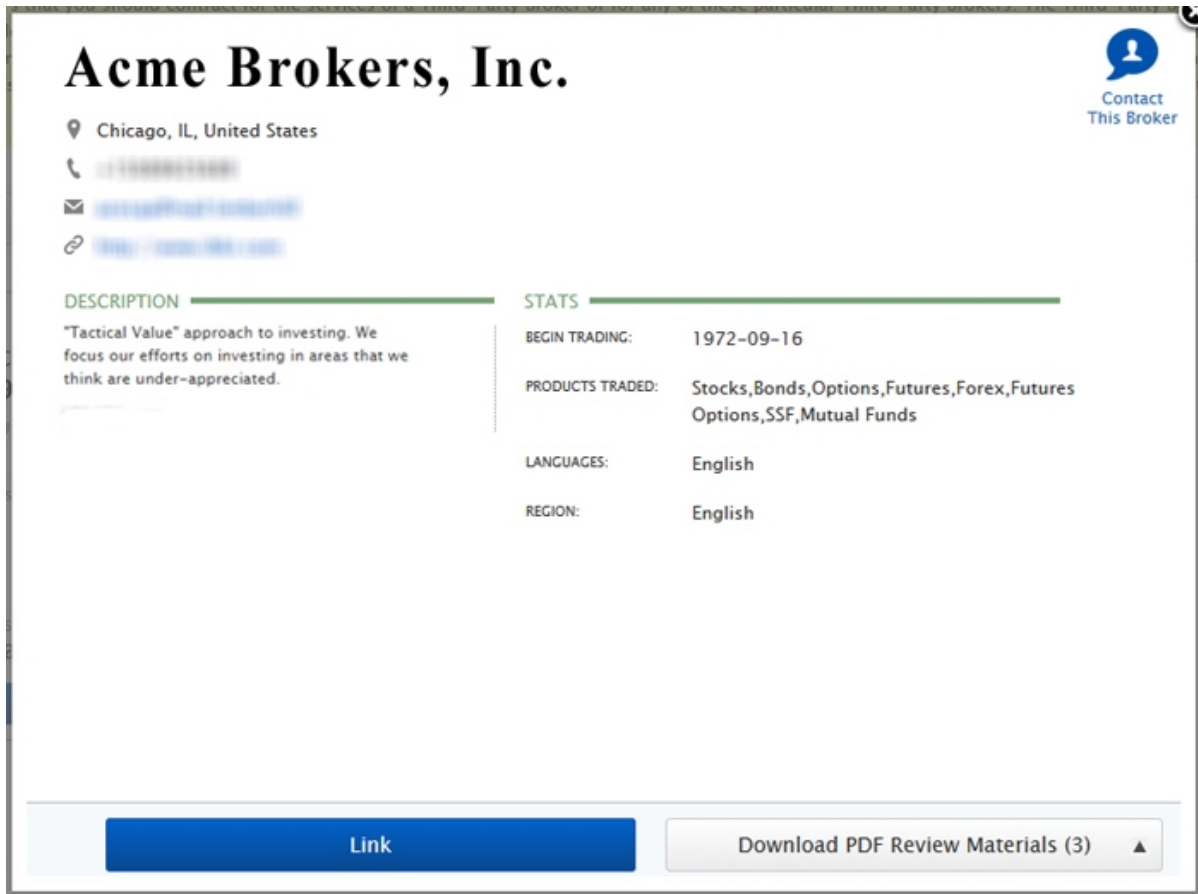
<p>Investments Inc.</p>  <p>IL, Chicago</p> <p>10-23 test</p> <p>IN BUSINESS 43 Years COUNTRY United States</p> <p>More Information</p>	<p>Capital Management LLC</p>  <p>CA, Portola Valley</p> <p>summary4</p> <p>IN BUSINESS 1 Years COUNTRY United States</p> <p>More Information</p>	<p>Capital Group, LLC</p>  <p>Vaduz</p> <p>summary5</p> <p>IN BUSINESS 16 Years COUNTRY Liechtenstein</p> <p>More Information</p>
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Filter and View Brokers

You can filter the list of available brokers by language using the Language drop-down list. Click **Clear** to clear the current filter criteria.

You can sort the provider display by Name, Location, Country or Years by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Simply click the **More Information** button for any provider to view that provider's detailed information in a popup window.



The screenshot shows a profile page for Acme Brokers, Inc. The header includes the company name, location (Chicago, IL, United States), and contact information (phone, email, and website). A 'Contact This Broker' button is in the top right. The main content is divided into two columns: 'DESCRIPTION' and 'STATS'. The description states a 'Tactical Value' approach. The stats list trading start date, products traded, languages, and region. At the bottom, there are two buttons: 'Link' and 'Download PDF Review Materials (3)'.

Acme Brokers, Inc.

Chicago, IL, United States

Phone: (312) 555-1234

Email: info@acmebrokers.com

Website: http://www.acme.com

DESCRIPTION

"Tactical Value" approach to investing. We focus our efforts on investing in areas that we think are under-appreciated.

STATS

BEGIN TRADING:	1972-09-16
PRODUCTS TRADED:	Stocks, Bonds, Options, Futures, Forex, Futures Options, SSF, Mutual Funds
LANGUAGES:	English
REGION:	English

[Link](#) [Download PDF Review Materials \(3\)](#)

Link to a Broker

If you know that you want to become a client of a specific broker, expand the broker's listing, and then click the **Link** button. The [Advisor/Broker Account Setup](#) page opens.

Advisor/Broker Account Setup

Use this page to link your existing account to an Advisor/Broker-managed account using one of the methods listed below.

● **Move my entire account to an account managed by the Advisor/Broker identified below.**

Transfer all of my cash and positions to the Advisor/Broker-managed account. I will no longer be able to log into Trader Workstation, and my current market data subscriptions will be canceled. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. Accounts are moved every Friday 2:00 PM.

● **Create a new linked account that will be managed by the Advisor/Broker identified below.**

I will have two linked accounts that I can access using a single username and password. Trading permissions for my existing account will also apply to the new Advisor- or Broker-managed account, but any permission to which the Advisor or Broker is not entitled will be removed. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. The selected Advisor or Broker must approve this link request and the new linked account will be open by 6:00 PM on the same business day. Note that if you submit a request for a new linked account after 4:00 PM, the account will be open by 6:00 PM on the next business day.

● **Divide my account into two partitions, one of which will be managed by the Advisor/Broker identified below.**

I will have a single account divided into two partitions; a parent partition managed by me and a child partition managed by the Advisor or Broker identified below. Trading permissions for the parent partition will also apply to the child partition, but any permission to which the Advisor or Broker is not entitled will be removed. Once my account has been linked, fees may be debited from my account as specified by the Advisor or Broker. The new partition will be open and ready to be funded by 6:00 PM on the same business day. Note that if you submit a request for a new partition after 4:00 PM, the partition will be open and ready to be funded by 6:00 PM on the next business day.

Advisor/Broker Information

Advisor/Broker-managed Account ID:	<input type="text"/>
Advisor/Broker-managed Account Title:	<input type="text"/>

Continue →

If you have linked accounts of your own, you can choose to link those to the broker as well. Click **Continue** to begin the linking process.

- Links are activated every Friday. Your Broker must confirm the link before 2:00 pm on Friday.
- Once your account has been linked, log into Account Management to end any market data subscriptions if you no longer want to maintain them.
- Once your account has been linked, fees may be debited from your account as specified by your Broker.

Download PDF Review Materials

View additional PDF documents provided by the broker by clicking **Download PDF Review Materials**, and then clicking the link to a document. Typically these are brochures and FAQ documents.

Hedge Fund Marketplace

Customers who are Accredited Investors or Qualified Purchasers under SEC rules can view information about independent Hedge Funds available on the Hedge Fund Marketplace page.

Who is Eligible to Invest in Participating Hedge Funds?

Customers who are Accredited Investors and Qualified Purchasers.

- US customers.
- Customers in all other countries EXCEPT Canada, India and Japan. Indian and Japanese customers are eligible only if they have IB LLC accounts.
- Advisors can invest in participating funds for their clients who are Accredited Investors and Qualified Purchasers.

- Fully Disclosed Broker sub accounts are eligible only if they are Accredited Investors and Qualified Purchasers and non-Canadian. Non-disclosed and Omnibus Broker sub accounts are NOT eligible.
- Hedge Funds who have already opened their funds to investment in the Hedge Fund Marketplace.

If you are eligible to invest in participating Funds, you will have access to the Hedge Fund Marketplace in Account Management.

Note: IRA accounts are not eligible to invest in participating Hedge Funds.

Required Minimums

- Eligible investors can invest a minimum of \$25,000 in a Fund. Note that some Funds require larger investments.
- You can redeem a minimum of \$25,000 or your remaining balance in the Fund, whichever is lower, and subject to the Fund's own requirements.

Risks of Hedge Fund Investing

All potential Hedge Fund investors should be aware of the following:

- The funds listed in our Hedge Fund Investor Site have not been registered under the securities laws of the United States, any state, or any other jurisdiction. The Hedge Fund Investor Site is not an offer to sell shares of any of the Funds. Rather, the offer to invest in the Funds may only be made by the private placement memorandum for the relevant Fund, and only to investors who meet certain eligibility requirements.
- An investment in a Hedge Fund is speculative and involves a high degree of risk. Only sophisticated, high net worth investors with a high risk tolerance should participate.
- The Hedge Funds listed on the website are independent from Interactive Brokers and Interactive Brokers will not supervise their trading decisions or be liable for losses.

Advisor Client Investments in Hedge Funds

Hedge funds can offer advisor clients who invest in their funds a discount on the hedge fund's standard management fee to encourage investments by financial advisors and their clients. Funds may offer discounts of up to 1% of AUM and/or 5 % of profits. For details, see [HFCIP Fees](#).

Advisors can [invest in a hedge fund on behalf of an eligible client](#) via the Dashboard.

To use the Hedge Fund Investor Site

1. Log into Account Management.
2. Click **Investors' Marketplace > Search Services > Investing > Hedge Funds**.

Note: If you do not see the Hedge Fund Marketplace link in the menu, then you are not eligible to invest in participating Funds.

3. All available Funds are displayed in a table. The name of the Fund is displayed and selectable; also displayed are annual rates of return for five years, amount of assets under management, the minimum investment required and a summary of the investment strategy. Each column is sortable and you can hover your mouse cursor over a column header for more information.

Some Funds have public articles that they have uploaded; these Funds are marked with a document icon. Click the document icon to read the article.

Hedge Fund Marketplace

Welcome to the Hedge Fund Marketplace. This site contains information regarding participating Hedge Funds (and Families of Funds), recent return statements, and investment strategy.

The following Hedge Funds are available for investment. The information shown below (including performance data) is provided solely by the Hedge Funds and has not been audited or verified by Interactive Brokers. The performance data shown represents past performance, which is not a guarantee of future results.

Families of Funds

If you would like to learn more about a specific Family of Funds, click the name of the Family.

Family of Funds
Patton Funds

Funds

If you would like to learn more about a specific Fund, click the name of the Fund.

Fund	Rates of Return					AUM	Min Invest	Invest Strategy
	2011	2012	2013	2014	2015			
Woodbridge Capital Partners, LP	1.67%	23.31%	52.60%	—	—	77.2MM	2MM	Long/Short, Buy and Hold, 125/25
Woodbridge Capital Partners, LP	0.01%	18.19%	7.48%	—	—	64MM	0.5MM	Event Driven, Fundamental Value
Woodbridge Capital Partners, LP	3.90%	90.50%	9.25%	—	—	34MM	0.1MM *	Event-driven, intrinsic value
Woodbridge Capital Partners, LP	-38.86%	-70.82%	38.98%	—	—	25MM	0.5MM	Concentrated Long/Short Equity
Woodbridge Capital Partners, LP	11.94%	33.53%	1.37%	—	—	19.28MM	0.1MM	Long/Short

Click the name of the Fund in which you are interested.

The next page displays a group of expanding and collapsing sections that represent the actions you can perform.

Hedge Fund Marketplace

Hedge Fund: [Woodbridge Capital Partners, LP](#)

- [Review Material Currently Posted on Site Concerning Fund](#)
- [Fund Details and Contact Information](#)
- [Invest in this Fund by transferring money from my IB account](#)
- [Request a redemption transferred to your IB account from this Fund](#)

[← Main](#)

4. Click a bar to expand that section, then follow instructions on the screen where applicable (not all items listed below will appear for all participating Funds):
 - **Review Material Currently Posted on Site Concerning Fund** - Lets you view and download PDF files uploaded by the Fund.
 - **Fund Details and Contact Information** - Lets you view miscellaneous fund details as well as contact the Fund or request that the Fund contact you.
 - **Contact this Fund** - Lets you contact the Fund or request that the Fund contact you.
 - **Invest in this Fund by transferring money from my account** - Lets you transfer funds directly from your account to the Fund. Follow the instructions on the screen to request the transfer.

Note that requests for investment must be approved by the Fund Investment Manager and the Fund's Third-Party Administrator.

- **Request a redemption transferred to your IB account from this Fund** - Lets you request a redemption from the Fund, which is a direct transfer from the Fund to your account. Follow the instructions on the screen to request the redemption.

Note that requests for redemption must be approved by the Fund Investment Manager and the Fund's Third-Party Administrator.

6. Click **Main** to return to the previous screen.

Money Manager Marketplace

Advisors acting as Wealth Managers can view information about registered Money Managers, review their background information and specify your preferred contact method.

Who can access the Money Manager Marketplace page?

You can access this page if you are an Advisor who is a Registered Investment Advisor (RIA) acting as a Wealth Manager or if you have opened a Money Manager account.

To use the Money Manager Marketplace page if you are a Wealth Manager

1. Log into Account Management using your Master account username and password.
2. Click **Investors' Marketplace > Search Services > Investing > Money Manager**.
3. The first time you access this page, you must sign the Money Manager Agreement. You cannot access the Money Manager Marketplace until you submit the signed agreement online.

Simply type your name in the Signature field, then press **Submit**.

4. The Money Manager Marketplace appears.

Money Manager Marketplace

[DISCLAIMER](#)

The information provided on the Money Manager Marketplace concerning participating Money Managers (including any articles or commentary posted by the Money Managers) is provided by the Money Managers themselves and not by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you or your clients should contract for the services of Money Managers or for these particular Money Managers. The Money Managers are independent of Interactive Brokers and Interactive Brokers does not make any representations or warranties concerning the past or future performance of the Money Managers or the accuracy of the information provided by the Money Managers. Interactive Brokers does not conduct any "suitability" review to make sure that any Money Managers' trading is suitable for your clients. Past performance is no guarantee of future results.

[Collapse](#)

Sort by

Apex Managed Futures MONEY MANAGER

United States

Apex intends to employ a short to medium-term trading strategy across ...

IN BUSINESS 4 Years **AUM** 20,000,000

[More Information](#)

KHC Investments, LLC MONEY MANAGER

United States

Well-secured issues of corporate and municipal bonds. Primarily ...

IN BUSINESS 8 Years **AUM** 10,000,000

[More Information](#)

Global Vista Advisors, LLC MONEY MANAGER

Greece

The Global Vista Options (GVO) program seeks to maximize investment ...

IN BUSINESS 5 Years **AUM** 3,000,000

[More Information](#)

Serious Stock Picks, Inc. MONEY MANAGER

United States

A long/short equity strategy is used combining both fundamental and ...

IN BUSINESS 16 Years **AUM** 119,000

[More Information](#)

Coastwise Capital Group, LLC MONEY MANAGER

United States

Coastwise Capital Group, LLC is an award winning, high-end ...

company4 MONEY MANAGER

United States

Risk Summary2 scscdcsd csdc sdcscsd csdcs sdcsc

ValueTree Investments, LLC MONEY MANAGER

United States

ValueTree manages a Focused Small-Cap Value Investing strategy that ...

Group W Investment Management LLC MONEY MANAGER

United States

In managing its equity portfolios, Group W seeks superior ...

- Sort the provider display by Name, Location, AUM (Assets Under Management) or Years by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.
- Click the **More Information** button for any provider to view that provider's detailed information in a popup window.

Acme Investments

Well-secured issues of corporate and municipal bonds. Primarily investment grade securities; focus on yield to maturity; relative stability of principal value.

STATS

CERTIFICATIONS:

EDUATION: Univ. of Michigan & DePaul Univ. MBA

REGISTRATIONS: Security Commodities

BEGIN TRADING: 2007-01-01

ASSETS UNDER MANAGEMENT: 10,000,000

STRATEGY TYPE: Primarily well-secured issues of corporate and municipal bonds. Also, some well-secured bankruptcies in the utility and airline industry.

MINIMUM INVESTMENT: 250,000

FEE STRUCTURE: .5% annual fee.

Link your account

6. Do any of the following:

- Click **Contact This Money Manager** in the upper right corner of the popup window, and then enter your name, email address and phone number. Enter the security text, and then click **Submit**.
- Click **Link** to add a new Money Manager. The [Money Manager Assignment](#) page appears.

Research

The Investors' Marketplace > Search Services > Research menu lets customers search for and do business with the following types of third-party providers:

- [Research](#) - Search for and connect with third-party providers of institutional-caliber research directly in the Trader Workstation trading platform. In addition, providers may also present live webinar events through us.
- [Education & Coaches](#) - Search for and connect with professionals who have expertise in trading, specific products and other topics.
- [News Feeds](#) - Search for and access news wires for Trader Workstation.
- [Trading Publications](#) - Buy investing-related books at bookshout.com.

Research Marketplace

The Research Marketplace provides third-party institutional-caliber research directly in the Trader Workstation trading platform. In addition, providers may also present live webinar events through us.









Access the Research Marketplace by clicking **Investors' Marketplace > Search Services > Research > Research**.

Research Marketplace

[DISCLAIMER](#)

The research section of the Investors' Marketplace provides information regarding third-party research providers. The research providers that can be accessed through the IB Trader Workstation have a TWS logo in the marketplace entry. In addition, certain research providers may present live webinar events through Interactive Brokers.

Sort by

<p>Equity, Options, Commodity, Futures, Interest Rate Reports </p> <p>Votes: 1</p> <p>Provider Name: Waverly Advisors Waverly's Tactical ...</p> <p>DATE ADDED RATINGS* 09/11/14 ★★★★★</p> <p>More Information</p>	<p>Equity, ETF and Credit Reports </p> <p>Votes: 1</p> <p>Provider Name: Morningstar In-depth reports from ...</p> <p>DATE ADDED RATINGS* 09/11/14 ★★★★★</p> <p>More Information</p>	<p>Equity Research Reports </p> <p>Votes: 1</p> <p>Provider Name: Zacks Zacks Equity Research ...</p> <p>DATE ADDED RATINGS* 09/11/14 ★★</p> <p>More Information</p>	<p>ABC Waves </p> <p>Votes: 1</p> <p>Provider Name: Simpler Options The idea behind the ...</p> <p>DATE ADDED RATINGS* 10/14/14 ★★★</p> <p>More Information</p>
<p>MarketEdge </p> <p>Votes: 2</p> <p>Provider Name: MarketEdge The Market Edge ...</p> <p>DATE ADDED RATINGS* 01/30/15 ★★</p> <p>More Information</p>	<p>TTM Squeeze </p> <p>Votes: 0</p> <p>Provider Name: Simpler Options The Squeeze indicator ...</p> <p>DATE ADDED RATINGS* 10/14/14 </p> <p>More Information</p>	<p>Combo Wave </p> <p>Votes: 0</p> <p>Provider Name: Simpler Options The Combo Wave is a ...</p> <p>DATE ADDED RATINGS* 10/14/14 </p> <p>More Information</p>	<p>Porsche Dots </p> <p>Votes: 0</p> <p>Provider Name: Simpler Options The Porsche Dots is a ...</p> <p>DATE ADDED RATINGS* 10/14/14 </p> <p>More Information</p>

Filter and View Providers

You can sort the provider display by Name, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider. Subscribe to the research provider on the **Manage Account > Trade Configuration > Research** page in Account Management.

MarketEdge

[Rate this Provider](#)

DESCRIPTION

The **MarketEdge Performance** report provides in-depth analysis on over 3,600 stocks. Updated daily, the research looks at short and intermediate term strengths and weakness and provides specific, actionable recommendations. A Calendar of Technical Events alerts investors to changes in pertinent technical indicators.

Non-Professional Price: 14.00 USD/Month
Professional Price: 18.00 USD/Month

COMMENTS

PRODUCT NAME: MarketEdge
PROVIDER NAME: MarketEdge
VOTES: 2
RATING: ★★
DATE ADDED: 2015-01-30

User	Date Voted	Comments

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

Evaluation Voting

Voting name:

Voting password:

Login

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

[Rate this Provider](#)

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription.**

Education & Coaches

The Education & Coaches Marketplace connects you with professionals who have expertise in trading, specific products and other topics. In addition, providers may also present live webinar events.

Access the Education & Coaches Marketplace by clicking **Investors' Marketplace > Search Services > Research > Education & Coaches.**

Education & Coaches Marketplace

The tools, information, and services accessible through this Marketplace are prepared and offered by independent third-party consultants (the "Third-Party Consultants") and not by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you or your clients should contract for the services of the Third-Party Consultants or for these particular Third-Party Consultants or a recommendation of any particular trades or trading strategy. The Third-Party Consultants are independent of Interactive Brokers and Interactive Brokers does not make any representations or warranties concerning the services provided by the Third-Party Consultants.

*The ratings of Third-Party Providers reflected on Interactive Brokers (IB)'s Investors' Marketplace are based solely on "votes" placed by IB customers or other third parties who visited the Marketplace, not by Interactive Brokers. Interactive Brokers does not rate, endorse, recommend or affiliate with the third-party providers and has no role in the ratings provided by those who rate Third-Party Providers on the marketplace. Similarly, all comments are provided solely by customers or members of the public and not by IB.

[Collapse](#)

The Education & Coaches section connects you with professionals who have expertise in trading, specific products and other topics.

Sort by

<p>TradersCoach.com - Bennett McDowell</p> <p>Votes: 2</p> <p>Type: Trading Learn to trade the financial markets</p> <p>DATE ADDED: 10/06/06 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>Protrader1on1.com - Kevin Westwick</p> <p>Votes: 3</p> <p>Type: Trading At Protrader1on1.com we offer ...</p> <p>DATE ADDED: 10/09/06 RATINGS*: ★★</p> <p>More Information</p>	<p>Trade With Options - Dan Venegoni</p> <p>Votes: 2</p> <p>Type: Trading TradeWithOptions.com specializes in ...</p> <p>DATE ADDED: 10/09/06 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>Vertical Financial Group Inc. - Steve Tait</p> <p>Votes: 2</p> <p>Type: Trading Technical Analysis training course. We ...</p> <p>DATE ADDED: 10/17/06 RATINGS*: ★</p> <p>More Information</p>
<p>Options University - Matt Barziza</p> <p>Votes: 3</p> <p>Type: Trading</p>	<p>Chat'n'Trade.com - John Coleman</p> <p>Votes: 1</p> <p>Type: Trading</p>	<p>Valhalla Futures - Will Scheier</p> <p>Votes: 13</p> <p>Type: Trading</p>	<p>Top Dog Trading - Barry Burns</p> <p>Votes: 2</p> <p>Type: Trading</p>

Filter and View Providers

You can sort the provider display by Name, Type, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.

Options University
Hurleyville, ny, United States
[Email icon] [Redacted email]
[Link icon] [Redacted URL]

DESCRIPTION

Learn options the right way -- from the educator of floor traders for large trading firms. [Redacted] has been a market maker and specialist for 14 years and has always trained other floor traders as part of his responsibilities.

COMMENTS

PROVIDER NAME: Options University [Redacted]
TYPE: Trading
VOTES: 3
RATING: ★★★★★
DATE ADDED: 2006-10-22

User	Date Voted	Comments
[Redacted]	2015-11-03	Good service..
[Redacted]	2014-04-28	rate 1
[Redacted]	2006-11-04	Quality education at its highest. This is more like

Rate this Provider

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

Evaluation Voting

Voting name:

Voting password:

Login

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription.**

News Feeds

The News Feeds Marketplace gives you access to news wires for Trader Workstation.

Access the News Feeds Marketplace by clicking **Investors' Marketplace > Search Services > Research > News Feeds.**

News Feeds Marketplace

[DISCLAIMER](#)

The News Feed Marketplace gives all customers access to newswires for Trader Workstation. (TWS)

Sort by

<p>Institutional News <small>TWS</small></p> <p>Votes: 1</p> <p>Provider Name: Dow Jones Dow Jones Newswires ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>US News Service <small>TWS</small></p> <p>Votes: 2</p> <p>Provider Name: Dow Jones Dow Jones Newswires ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>theflyonthewal l.com News Feed (No API Access) <small>TWS</small></p> <p>Votes: 1</p> <p>Provider Name: theflyonthewall.com TheFly is your source ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>US Press Release <small>TWS</small></p> <p>Votes: 1</p> <p>Provider Name: Press Release Includes: PR Newswire, ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★</p> <p>More Information</p>
<p>Briefing in Play <small>TWS</small></p> <p>Votes: 1</p> <p>Provider Name: Briefing.com Award winning live ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>Briefing in Play Plus <small>TWS</small></p> <p>Votes: 1</p> <p>Provider Name: Briefing.com Award winning live ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>Global Newswire <small>TWS</small></p> <p>Votes: 1</p> <p>Provider Name: Reuters Real-time, tradeable ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★★★★★</p> <p>More Information</p>	<p>Live Briefs Pro (No API Access) <small>TWS</small></p> <p>Votes: 1</p> <p>Provider Name: Midnight Trader One of the most widely ...</p> <p>DATE ADDED: 09/11/14 RATINGS*: ★★★★★</p> <p>More Information</p>


Filter and View Providers

You can sort the provider display by Name, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider. To subscribe to a news wire, click the **Subscribe** button.

Global Newswire

DESCRIPTION

 **THOMSON REUTERS**

Real-time, tradeable news that can be filtered by industry, topic, portfolio, watchlist and more.

Non-Professional Price: Free
Professional Price: 75.00 USD/Month

COMMENTS

PRODUCT NAME: Global Newswire
PROVIDER NAME: Reuters
VOTES: 1
RATING: ★★★★★
DATE ADDED: 2014-09-11

User	Date Voted	Comments
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[Subscribe](#)

[Rate this Provider](#)

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

[Rate this Provider](#)

Evaluation Voting

Voting name:

Voting password:

[Login](#)

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription**.

Trading Publications

The Trading Publications Marketplace provides access to bookshout.com, where you can search for and purchase investing-related books at a discount.

Access the Traders' Library by clicking **Investors' Marketplace > Search Services > Research > Trading Publications**.

Technology

The Investors' Marketplace > Search Services > Technology menu lets customers search for and do business with the following types of technology service providers:

- [Software Vendors](#) - Search for and connect with large and small third-party vendors who have potentially complementary software programs to expand the functionality of IB TWS.
- [Programming Consultants](#) - Search for and connect with developers who may be able to assist API and FIX CTCI customers by offering their programming expertise.

Software Vendors

The **Search Services > Software Tools** page in the Investors' Marketplace provides links to large and small third-party vendors who have potentially complementary software programs to expand the functionality of IB TWS.

Software Vendors Marketplace

[DISCLAIMER](#)

The Software Vendors section provides links to large and small third-party vendors who have potentially complementary software programs to expand the functionality of Trader Workstation.(TWS)

Sort by

eSignal Votes: 6 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★ More Information	AlphaTrade.com Votes: 2 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★ More Information	RT Soft Ltd. Votes: 2 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★ More Information	J-Chart Votes: 2 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★ More Information
Ensign Windows Votes: 10 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★★★★ More Information	MultiCharts and OwnData Votes: 7 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★★★★ More Information	Sierra Chart Votes: 8 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★★★★ More Information	Visual Chart Votes: 3 Type: Charts & Data DATE ADDED: 09/19/06 RATINGS*: ★★ More Information

Filter and View Providers

You can sort the provider display by Name, Type, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.

Acme Tools

✉ acme@acmetools.com
 🔗 www.acmetools.com

DESCRIPTION

IB API Java/C++ programming/consulting services and solutions

Have more than 5 years experiences of Object Oriented analysis and design, Software development with IBM Rational XDE and Rose in Java/J2EE. More than 3 years trading experiences with my own customized trading system.

COMMENTS

PROVIDER NAME: Acme Tools
 LANGUAGE: Java , C++
 VOTES: 3
 RATING: ★★★★★
 DATE ADDED: 2006-09-19

User	Date Voted	Comments
user1	2006-11-15	Very good service
user2	2006-11-15	OK
user3	2006-11-15	OK

Rate this Provider

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

[Rate this Provider](#)

Evaluation Voting

Voting name:

Voting password:

[Login](#)

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription**.

Programming Consultants

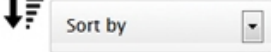
The Programming Consultant Marketplace offers contact information for developers who may be able to assist API and FIX CTCI customers by offering their programming expertise.

















Access the Programming Consultant Marketplace by clicking **Investors' Marketplace > Search Services > Technology > Programming Consultants**.

Programming Consultant Marketplace

[DISCLAIMER](#)

The Programming Consultants section offers contact information for developers who may be able to assist API and FIX CTCL customers by offering their programming expertise.



<p>Steve Zhang </p> <p>Votes: 3</p> <p>IB API Java/C++ programming/consulting services and solutions</p> <p>Have more ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>	<p>Pierre Morel </p> <p>Votes: 1</p> <p>Provide applications that specialize in charts & data, analysis reporting ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>	<p>W. van Stokkom </p> <p>Votes: 1</p> <p>Internet-APIs, Databases...for Financial-Futures Trading...such as with ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>	<p>Franks Development, LLC </p> <p>Votes: 1</p> <p>Comprehensive end-to-end solutions utilizing the IB API, SQL integration, and ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>
<p>Gabriele – gggabbb@hotmail.com </p> <p>Votes: 2</p> <p>Integration Development. Base Solution for backtesting/record /playback ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>	<p>Andy Mitchell </p> <p>Votes: 1</p> <p>Bespoke development of applications from complex charting programs to ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>	<p>ITService Financial Systems – Sergio Borgarello </p> <p>Votes: 1</p> <p>TradeStation, MetaStock, Trading Systems, Realtime Platforms, DataFeed ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>	<p>Gary Zuo </p> <p>Votes: 1</p> <p>hourly rate or project based.</p> <p>I have over 10 years programming ...</p> <p>DATE ADDED 09/19/06 RATINGS* </p> <p>More Information</p>

Filter and View Providers

You can sort the provider display by Name, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.

ESignal

<http://www.esignal.com>

DESCRIPTION

eSignal

eSignal is an award-winning market quote service and software application for investors and traders and is fully integrated with Interactive Brokers trading ticket technology. eSignal provides real-time, streaming quotes from all major financial markets, plus news and charts and award-winning proprietary technical analysis. The program includes market scanners, back testing, company research and an ability to get mobile and

COMMENTS

PRODUCT NAME: eSignal

PROVIDER NAME: eSignal

TYPE: Charts & Data

VOTES: 6

RATING: ☆☆

DATE ADDED: 2006-09-19

User	Date Voted	Comments
[blurred]	[blurred]	[blurred]
[blurred]	[blurred]	[blurred]

Rate this Provider

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

[Rate this Provider](#)

Evaluation Voting

Voting name:

Voting password:

[Login](#)

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription**.

Administration

The Investors' Marketplace > Search Services > Administration menu lets customers search for and do business with the following types of administration service providers:

- [Accountant Marketplace](#) - Search for and link to Administrators who provide accounting services.
- [Auditor Marketplace](#) - Search for and link to Administrators who provide auditing services.
- [Compliance Marketplace](#) - Search for and connect to compliance firms in the Administrator Marketplace for the purpose of doing business together. Clicking this menu item takes you to the Administrator Marketplace.
- [Legal Services Marketplace](#) - Search for and link to Administrators who provide legal services.
- [Tax Firm Marketplace](#) - Search for and link to Administrators who provide tax services.
- [Administrator Marketplace](#) - Search for and link to registered Administrators in the Administrator Marketplace.

All of the above display the Administrator Marketplace with Services Provided set to the selected type of Administrator. The Services Provided drop-down lets you select *Accountant*, *Administrator*, *Auditor*, *Compliance*, *Legal* or *Tax* to view only those types of Administrators, or you can select *All* to view Administrators of all types.

Administrator Marketplace

The information and services accessible through this Marketplace are prepared and offered by independent third-party firms (the "Third-Party Providers") and not by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you or your clients should contract for the services of the Third-Party Providers or for these particular Third-Party Providers. The Third-Party Providers are independent of Interactive Brokers and Interactive Brokers does not make any representations or warranties concerning the services provided by the Third-Party Providers.

[Collapse](#)

Service Provided Clear Sort by

<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator, Accountant, Auditor, Compliance, Legal, Tax</p> <p>IN BUSINESS 20 Years CLIENTS 30</p> <p>More Information</p>	<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator</p> <p>IN BUSINESS 11 Years CLIENTS 1</p> <p>More Information</p>	<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator, Compliance</p> <p>IN BUSINESS 2 Years CLIENTS 54</p> <p>More Information</p>
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In addition, Advisors, Hedge Fund Investment Manager, Brokers, Proprietary Trading Group Masters and Individual account holders who are linked to Administrators can access the following page:

- [Manage Administrators](#) - Perform a variety of Administrator management tasks.

Accountant Marketplace

The Administrator Marketplace lets eligible accounts (Advisors, Brokers, Hedge Funds , Proprietary Trading Groups and Individuals) browse for Administrators who provide third-party accounting services.

The Services Provided drop-down lets you select *Accountant*, *Administrator*, *Auditor*, *Compliance*, *Legal* or *Tax* to view only those types of Administrators, or you can select *All* to view Administrators of all types.

Administrator Marketplace

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[Collapse](#)

Service Provided Clear
Sort by

<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator, Accountant, Auditor, Compliance, Legal, Tax</p> <p>IN BUSINESS 20 Years CLIENTS 30</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator</p> <p>IN BUSINESS 11 Years CLIENTS 1</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator, Compliance</p> <p>IN BUSINESS 2 Years CLIENTS 54</p> <p>More Information</p>
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For more information, see the [Administrator Marketplace](#) topic.

Auditor Marketplace

The Administrator Marketplace lets eligible accounts (Advisors, Brokers, Hedge Funds, Proprietary Trading Groups and Individuals) browse for Administrators who provide third-party auditing services.

The Services Provided drop-down lets you select *Accountant*, *Administrator*, *Auditor*, *Compliance*, *Legal* or *Tax* to view only those types of Administrators, or you can select *All* to view Administrators of all types.

Administrator Marketplace

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[Collapse](#)

Service Provided Clear
Sort by

<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator, Accountant, Auditor, Compliance, Legal, Tax</p> <p>IN BUSINESS 20 Years CLIENTS 30</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator</p> <p>IN BUSINESS 11 Years CLIENTS 1</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator, Compliance</p> <p>IN BUSINESS 2 Years CLIENTS 54</p> <p>More Information</p>
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For more information, see the [Administrator Marketplace](#) topic.

Compliance Marketplace

The Administrator Marketplace lets eligible accounts (Advisors, Brokers, Hedge Funds, Proprietary Trading Groups and Individuals) browse for Administrators who provide third-party compliance services.

The Services Provided drop-down lets you select *Accountant*, *Administrator*, *Auditor*, *Compliance*, *Legal* or *Tax* to view only those types of Administrators, or you can select *All* to view Administrators of all types.

Administrator Marketplace

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[Collapse](#)

Service Provided Clear
Sort by

<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator, Accountant, Auditor, Compliance, Legal, Tax</p> <p>IN BUSINESS 20 Years CLIENTS 30</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator</p> <p>IN BUSINESS 11 Years CLIENTS 1</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator, Compliance</p> <p>IN BUSINESS 2 Years CLIENTS 54</p> <p>More Information</p>
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For more information, see the [Administrator Marketplace](#) topic.

Legal Services Marketplace

The Administrator Marketplace lets eligible accounts (Advisors, Brokers, Hedge Funds, Proprietary Trading Groups and Individuals) browse for Administrators who provide third-party legal services.

The Services Provided drop-down lets you select *Accountant*, *Administrator*, *Auditor*, *Compliance*, *Legal* or *Tax* to view only those types of Administrators, or you can select *All* to view Administrators of all types.

Administrator Marketplace

The information and services accessible through this Marketplace are prepared and offered by independent third-party firms (the "Third-Party Providers") and not by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you or your clients should contract for the services of the Third-Party Providers or for these particular Third-Party Providers. The Third-Party Providers are independent of Interactive Brokers and Interactive Brokers does not make any representations or warranties concerning the services provided by the Third-Party Providers.

[Collapse](#)

Service Provided Clear Sort by

<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator, Accountant, Auditor, Compliance, Legal, Tax</p> <p>IN BUSINESS 20 Years CLIENTS 30</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator</p> <p>IN BUSINESS 11 Years CLIENTS 1</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator, Compliance</p> <p>IN BUSINESS 2 Years CLIENTS 54</p> <p>More Information</p>
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For more information, see the [Administrator Marketplace](#) topic.

Tax Firm Marketplace

The Administrator Marketplace lets eligible accounts (Advisors, Brokers, Hedge Funds , Proprietary Trading Groups and Individuals) browse for Administrators who provide third-party tax services.

The Services Provided drop-down lets you select *Accountant, Administrator, Auditor, Compliance, Legal* or *Tax* to view only those types of Administrators, or you can select *All* to view Administrators of all types.

Administrator Marketplace

The information and services accessible through this Marketplace are prepared and offered by independent third-party firms (the "Third-Party Providers") and not by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you or your clients should contract for the services of the Third-Party Providers or for these particular Third-Party Providers. The Third-Party Providers are independent of Interactive Brokers and Interactive Brokers does not make any representations or warranties concerning the services provided by the Third-Party Providers.

[Collapse](#)

Service Provided Clear

Sort by

Partnership Name	Location	Services	IN BUSINESS	CLIENTS
Partnership Name	United States	Administrator, Accountant, Auditor, Compliance, Legal, Tax	20 Years	30
[Redacted]	United States	Administrator	11 Years	1
[Redacted]	United States	Administrator, Compliance	2 Years	54

For more information, see the [Administrator Marketplace](#) topic.

Administrator Marketplace

The Administrator Marketplace is an electronic forum where eligible accounts (Advisors, Brokers, Hedge Funds, Proprietary Trading Groups and Individuals) browse for registered Administrators for the purpose of adding third-party administrative services.

Once an Administrator is registered (the account is approved and open), his or her information becomes available at the Administrator Marketplace. Advisors, Brokers, Hedge Fund Investment Managers and Proprietary Trading Group master users search for, request contact from or request a link to Administrators.

Eligible accounts access the Administrator Marketplace to:

- Browse available Administrators.
- Select a preferred method of being contacted by selected Administrators and send contact requests.
- Add Administrators (send link requests).

Who can access the Administrator Marketplace page?

You can access this page if you are a(n):

- Advisor Master User
- Fully Disclosed and Non-Disclosed Broker Master User
- Investment Manager Master User
- Proprietary Trading Group Master User

- Individual
- Administrator

To use the Administrator Marketplace

1. Click **Investors' Marketplace > Search Services > Administration > Third-Party Administrators**.

The Administrator Marketplace opens.

Administrator Marketplace

The information and services accessible through this Marketplace are prepared and offered by independent third-party firms (the "Third-Party Providers") and not by Interactive Brokers. The information is NOT a recommendation by Interactive Brokers that you or your clients should contract for the services of the Third-Party Providers or for these particular Third-Party Providers. The Third-Party Providers are independent of Interactive Brokers and Interactive Brokers does not make any representations or warranties concerning the services provided by the Third-Party Providers.

[Collapse](#)

Service Provided Sort by

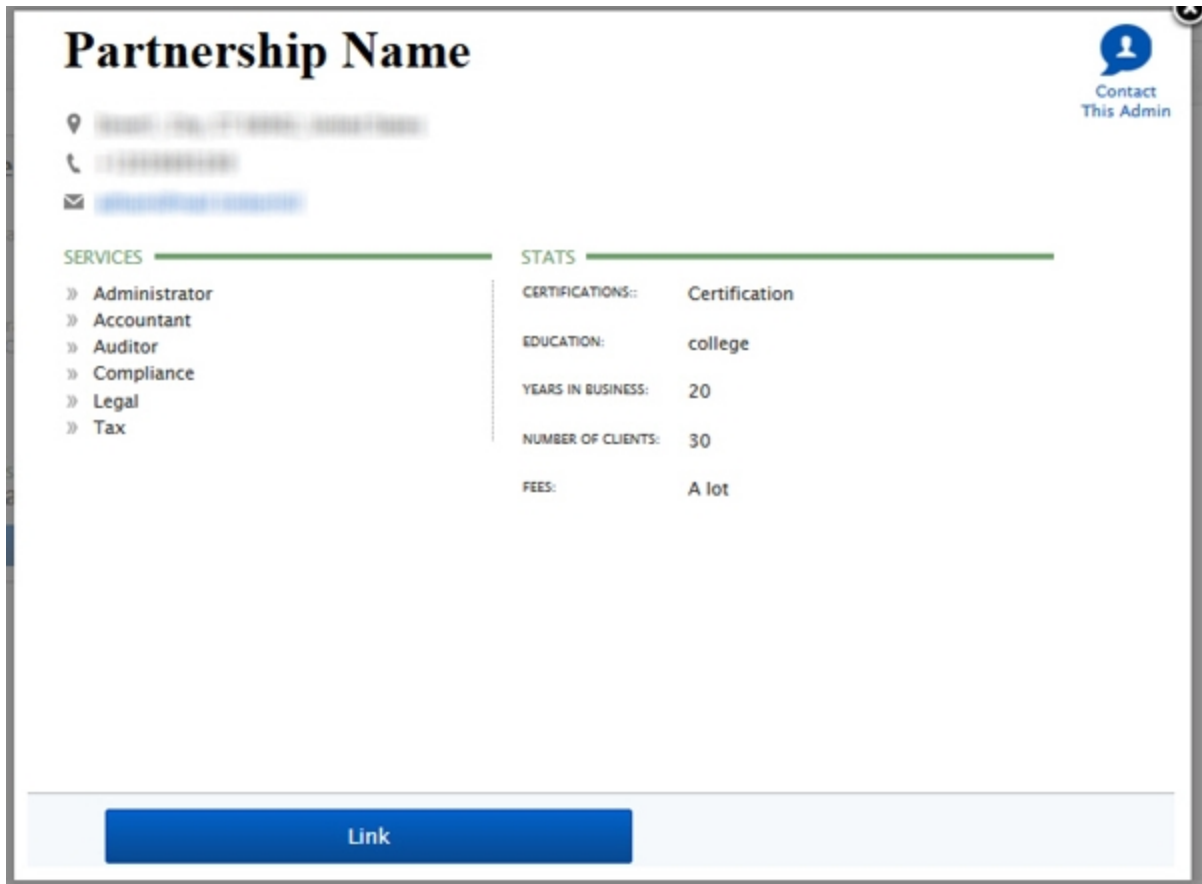
<p>Partnership Name ADMIN</p> <p>United States</p> <p>Services: Administrator, Accountant, Auditor, Compliance, Legal, Tax</p> <p>IN BUSINESS 20 Years CLIENTS 30</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator</p> <p>IN BUSINESS 11 Years CLIENTS 1</p> <p>More Information</p>	<p>United States ADMIN</p> <p>Services: Administrator, Compliance</p> <p>IN BUSINESS 2 Years CLIENTS 54</p> <p>More Information</p>
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Filter and View Advisors

Change the type of Administrator that you are looking for by making a selection in the Services Provided drop-down. In addition to *Administrator*, you can select *Accountant*, *Auditor*, *Compliance*, *Legal* or *Tax* to view only those types of Administrators, or you can select *All* to view Administrators of all types.

You can sort the provider display by Name, Location, Clients (number of current clients), and Years (years in business) by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.



Request that an Administrator Contact You

To request that the administrator contact you, click the **Contact This Admin** icon in the upper right corner of the provider pop-up window. Select your preferred method of contact (Email, Phone, or Either Email or Phone), and then click **Submit**. The Administrator will contact you using your preferred method.

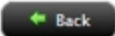
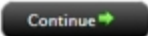
Link to an Administrator

If you know that you want to do business with a particular administrator, click the **Link** button. The Administrator will be notified of your request and will either accept or reject it. A confirmation page opens.

Administrator Account ID – [REDACTED]	
Name:	Partnership Name
Address:	Street1 City CT 06902 United States
Phone Number:	[REDACTED]
Email Address:	[REDACTED]

You have requested that we provide your Administrator Partnership Name with access to your trading account. As a result, Partnership Name will have access to your account information and statements and, depending on the user privileges you provided the Administrator, take certain actions in your account.

Please confirm that you understand and agree to this by clicking *Continue* below.

Click **Continue** on the Confirmation page to complete your request. Click **Back** to return to the Administrator Marketplace. Once your request is accepted, the Administrator will be linked to your account, and you can assign client/fund/sub accounts to the Administrator.

Manage Administrators

This page lets eligible Advisor, Hedge Fund, Proprietary Trading Group and Individual accounts:

- [Add an Administrator by entering his or her account number.](#)
- [View active and pending Administrators.](#)
- [Delink an Administrator from your account.](#)
- [Assign client accounts to an Administrator.](#)
- [Remove client accounts from an Administrator.](#)

Who can access the Manage Administrators page?

You can access this page if you are a(n):

- Advisor Master User
- Proprietary Trading Group Master User
- Investment Manager Master User
- Individual

Add an Administrator

Advisors, Hedge Fund Investment Managers and Proprietary Trading Group master users and Individual account holders can add Administrators whose account ID's they already know without having to shop for them in the Administrator Marketplace. For example, an Advisor, Hedge Fund Investment Manager or Proprietary Trading Group master user may already have a relationship with an Administrator, so they could simply obtain the Administrator's account ID that way.

To add an Administrator by entering an account ID

1. Click **Investors' Marketplace > Search Services > Administration > Manage Administrators**.

Manage Administrators

Use this page to view, add and remove Administrators, and assign client accounts to Administrators.

Administrators
Assign Client Accounts

Active Administrators

Account Title	Account ID	Status	Action
test	123456789	Approved	Delink

Pending Administrators

You have no Pending Administrators.

+ Add Administrator

2. Click **Add Administrator**.

The Add Administrator screen opens.

Add Administrator

Use this page to add an Administrator whose account number you know. To search for other Administrators go to the [Administrator Marketplace](#).

Add Administrator

Enter Account Number for Administrator Submit

← Back

3. Type the account ID of the Administrator you want to add in the field provided, then click **Submit**.

Your link request will be sent to the Administrator, and the Administrator will be listed in the Pending Administrator section of the Manage Administrators page. Once the Administrator accepts your request, he or she will be linked to your account, and you can assign client/fund/sub accounts to the Administrator.

View Administrators

Advisors, Hedge Fund Investment Managers and Proprietary Trading Group master users and Individual account holders can view all active and pending Administrators (Administrators to whom you have sent link requests but have not yet responded) on the Manage Administrators page.

To view Administrators

1. Click **Investors' Marketplace > Search Services > Administration > Manage Administrators**.

Manage Administrators

Use this page to view, add and remove Administrators, and assign client accounts to Administrators.

Administrators
Assign Client Accounts

Active Administrators

Account Title	Account ID	Status	Action
test	00000000	Approved	Delink

Pending Administrators

You have no Pending Administrators.

+ Add Administrator

- All Active and Pending Administrators are listed on the page in separate sections.

Delink an Administrator

Advisors, Hedge Fund Investment Managers and Proprietary Trading Group master users and Individual account holders can delink Administrators from their accounts. For example, if your relationship with an Administrator has ended (he or she is no longer performing administrative services for your clients), you can delink the Administrator from the Manage Administrator page.

To delink an Administrator

- Click **Investors' Marketplace > Search Services > Administration > Manage Administrators**.

Manage Administrators

Use this page to view, add and remove Administrators, and assign client accounts to Administrators.

Administrators
Assign Client Accounts

Active Administrators

Account Title	Account ID	Status	Action
test	123456789	Approved	Delink

Pending Administrators

You have no Pending Administrators.

+ Add Administrator

- In the list of Active Administrators, locate the Administrator you want to delink, then click **Delink** in the Action column.

The Administrator will be delinked from your account and from all of the assigned client, fund or sub accounts.

Assign Client Accounts to Administrators

After an Administrator has been linked to your Advisor, Hedge Fund or Proprietary Trading Group account, the next step is to assign client, fund and sub accounts to the Administrator.

To assign client, fund and sub accounts to an Administrator

- Click **Investors' Marketplace > Search Services > Administration > Manage Administrators**.

Manage Administrators

Use this page to view, add and remove Administrators, and assign client accounts to Administrators.

Administrators Assign Client Accounts

Active Administrators

Account Title	Account ID	Status	Action
test	XXXXXXXX	Approved	Delink

Pending Administrators

You have no Pending Administrators.

[Add Administrator](#)

- Click the **Assign Client Accounts** tab.

Administrators Assign Client Accounts

Assign Client Accounts to Administrator

This page lets you assign client accounts to and remove client accounts from Administrator. First, select an Administrator.

Select Administrator

- Select the desired Administrator from the drop-down.
- The Assign Client Accounts to Administrator page opens.

Assign Client Accounts to Administrator

Assign Client Accounts to Administrator, [XXXXXXXX](#)
 This page lets you assign client accounts to and remove client accounts from Administrator, [XXXXXXXX](#).

[+ View or Remove Assigned Clients](#)

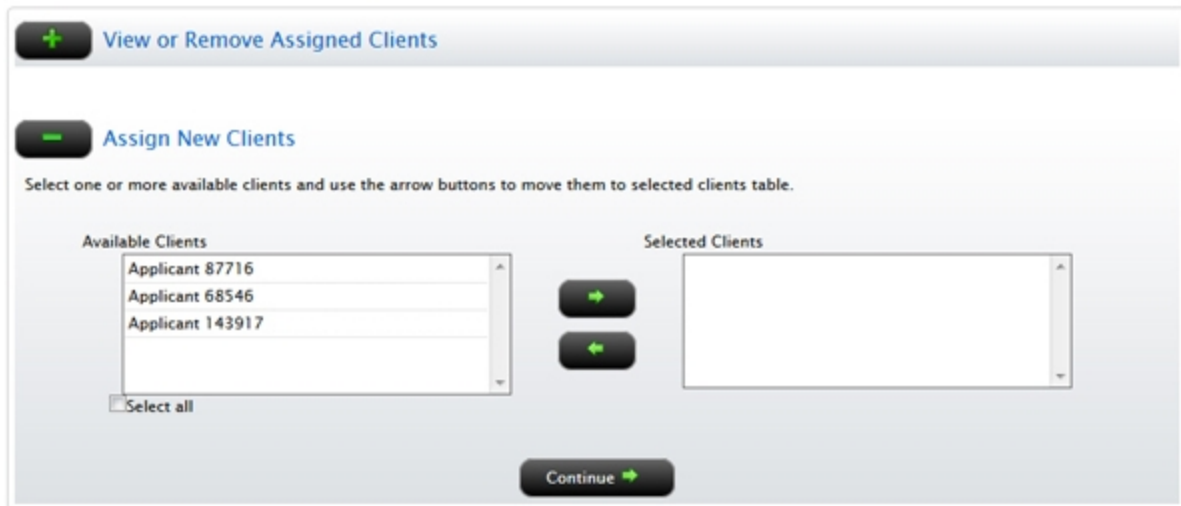
[+ Assign New Clients](#)

[Back](#)

You can make one of two selections on this page:

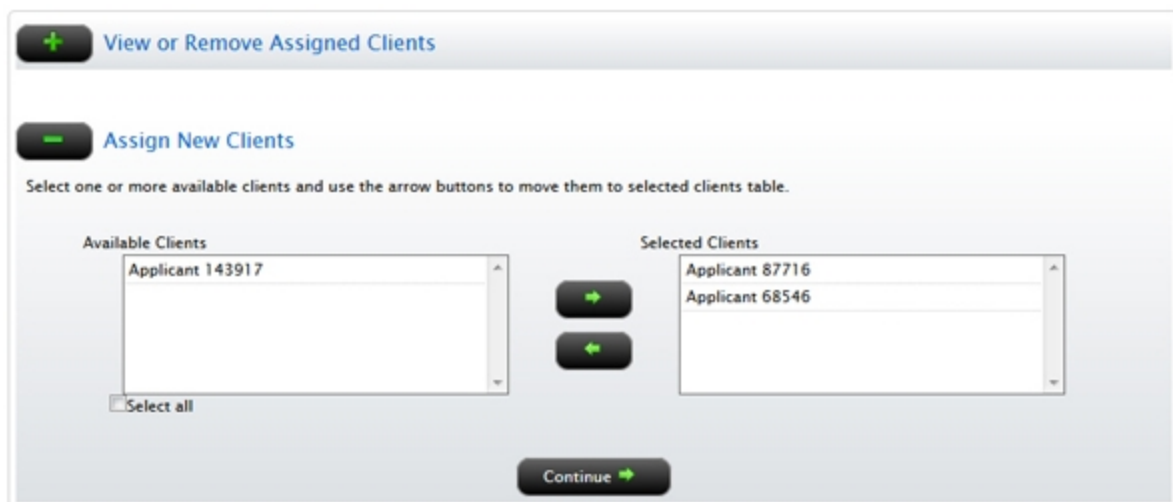
- **View and Remove Assigned Clients** - View the client accounts currently assigned to this Administrator, and remove client accounts from the Administrator.
- **Assign New Clients** - Add client accounts to the Administrator. The Administrator will be able to perform reporting functions for the assigned accounts.

Click the plus sign next to **Assign New Clients**.



5. There are two boxes - Available Clients (client accounts you can add to the Administrator) on the left, and Selected Clients (client accounts that you've already added to the Administrator on this page) on the right.

Move client accounts from Available Clients to Selected Clients by selecting the client account(s) on the left then clicking the right arrow button. You can use the Ctrl+click or Shift+click keyboard combinations to select more than one account at a time.



Click **Select All** to select all Available Clients.

- When you are finished adding client accounts to the list of Selected Clients for the Administrator, click **Continue**.

The Administrator will now be able to log into Account Management and perform reporting tasks for the client accounts to which he or she has been assigned.

Remove Client Accounts from Administrators

You can remove client, fund and sub account assignments from an Administrator at any time on the Manage Administrators page.

To remove client, fund and sub accounts from an Administrator

- Click **Investors' Marketplace > Search Services > Administration > Manage Administrators**.

Manage Administrators

Use this page to view, add and remove Administrators, and assign client accounts to Administrators.

Administrators **Assign Client Accounts**

Active Administrators

Account Title	Account ID	Status	Action
test	XXXXXXXXXX	Approved	Delink

Pending Administrators

You have no Pending Administrators.

[Add Administrator](#)

- Click the **Assign Client Accounts** tab.

Administrators **Assign Client Accounts**

Assign Client Accounts to Administrator

This page lets you assign client accounts to and remove client accounts from Administrator. First, select an Administrator.

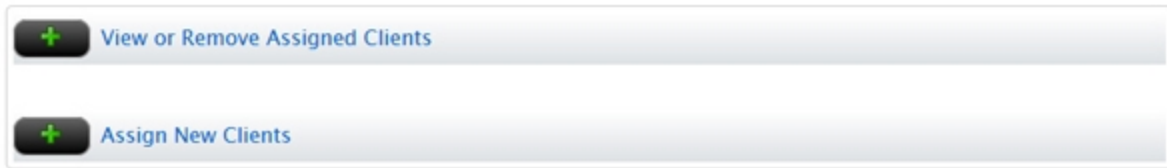
Select Administrator

- Select the desired Administrator from the drop-down.

The Assign Client Accounts to Administrator page opens.

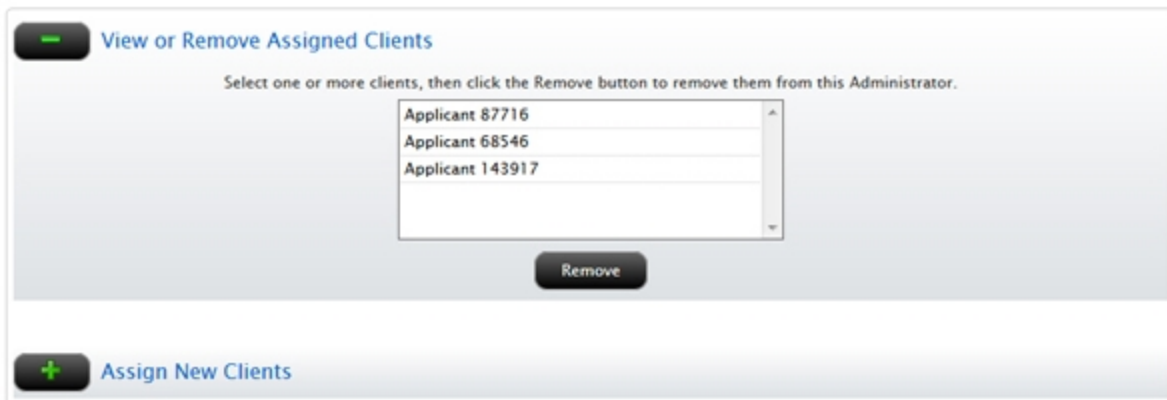
Assign Client Accounts to Administrator

Assign Client Accounts to Administrator, [View or Remove Assigned Clients](#)
 This page lets you assign client accounts to and remove client accounts from Administrator, [View or Remove Assigned Clients](#).



Back

4. Click the plus sign next to **View and Remove Assigned Clients**.



5. Remove client accounts from the Administrator by selecting the client account(s) in the box, then clicking **Remove**. You can use the Ctrl+click or Shift+click keyboard combinations to select more than one account at a time.
6. Click **Yes** to confirm.
7. When you are finished removing client accounts from the Administrator, click **Back** to return to the Manage Administrators page.

Business Development

The Investors' Marketplace > Search Services > Business Development menu lets customers search for and do business with the following types of business development service providers:

- [Advertising](#) - Search for and connect with third-party providers of advertising and marketing services.
- [Business Analysts](#) - Search for and connect with third-party business analysts.
- [Financing Firms](#) - Hedge Funds can search for and connect with venture capital firms and third-party financing services.

- [Careers](#) - Search for open positions at the Jobs Marketplace, or look to fill your own open positions at the Careers Marketplace.
- [Corporate Access Providers](#) - Allows Advisors, Brokers and Hedge Fund Investment Managers to search for and connect to corporate access providers, who facilitate meetings, roadshows and conference calls between institutional investors and companies looking for potential investors.

Advertising

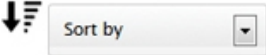
The Advertising Marketplace offers contact information for third-party marketing, promotion and advertising firms.



Advisors, brokers and hedge funds access the Advertising Marketplace by clicking **Investors' Marketplace > Search Services > Business Development > Advertising**.

Advertising Marketplace

[DISCLAIMER](#)

Third party marketing, promotion and advertising firms apply to and create a profile in this marketplace.



<p>Karoll JSC Votes: 4</p> <p>ADVERTISING FIRM</p> <p>DATE ADDED: 10/16/13 RATINGS*: </p> <p>More Information</p>	<p>RCM Asset Management, RCM Futures Votes: 9</p> <p>Quovo</p> <p>Some services I like to offer are managing your assets and things of that nature</p> <p>DATE ADDED: 11/14/13 RATINGS*: </p> <p>More Information</p>
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Filter and View Providers

You can sort the provider display by Name, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.



The screenshot shows a provider profile for "Karoll JSC". At the top left, the name "Karoll JSC" is displayed in a large, bold, black serif font. Below the name, there is a location pin icon followed by the text "Bulgaria". To the right of the name, there is a blue circular icon with a white person silhouette and the text "Rate this Provider" below it. Below the location, there is a link icon followed by a blurred URL. The profile is divided into two sections: "DESCRIPTION" and "COMMENTS", each with a green horizontal line. Under the "DESCRIPTION" section, the following information is listed: "PROVIDER NAME:" followed by a blurred name, "VOTES:" followed by the number "4", "RATING:" followed by five yellow stars, and "DATE ADDED:" followed by the date "2013-10-16". At the bottom of the description section, there is a blue link that says "SHOW COMMENTS".

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

Evaluation Voting

Voting name:

Voting password:

Login

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription.**

Business Analyst Marketplace

The Business Analyst Marketplace gives Advisors, Hedge Funds and Brokers access to third-party business analysts.

Access the Advertising Marketplace by clicking **Investors' Marketplace > Search Services > Business Development > Business Analysts.**

Business Analyst Marketplace

[DISCLAIMER](#)

The Business Analyst Marketplace gives Advisors, Hedge Funds and Brokers access to third-party business analysts.

Sort by

Business Analysts R' Us 

Votes: 4


09/11/14 

[More Information](#)

Filter and View Providers

You can sort the provider display by Name, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.



Business Analysts R' Us

Rate this Provider

DESCRIPTION

I analyze stuff. I swear, I do.

COMMENTS

PROVIDER NAME: Business Analysts R' Us

VOTES: 4

RATING: ★★☆☆

DATE ADDED: 2014-09-11

[SHOW COMMENTS](#)

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

[Rate this Provider](#)

Evaluation Voting

Voting name:

Voting password:

[Login](#)

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription.**

Financing Firms

The Financing Marketplace gives Hedge Funds access to venture capital firms and third-party financing services.













Access the Financing Marketplace by clicking **Investors' Marketplace > Search Services > Business Development > Financing Firms.**

Financing Marketplace

[DISCLAIMER](#)

The Financing Marketplace gives Hedge Funds access to venture capital firms and third-party financing services.

↓

<p>Test Company </p> <p>Votes: 1 </p> <p>I do stuff with management somewhere</p> <p>DATE ADDED: 04/21/15 RATINGS*: </p> <p>More Information</p>	<p>Test Company </p> <p>Votes: 1 </p> <p>I do stuff with management somewhere</p> <p>DATE ADDED: 04/21/15 RATINGS*: </p> <p>More Information</p>	<p>Test Company </p> <p>Votes: 1 </p> <p>I do stuff with management somewhere</p> <p>DATE ADDED: 04/21/15 RATINGS*: </p> <p>More Information</p>	<p>Test Company </p> <p>Votes: 1 </p> <p>I do stuff with management somewhere</p> <p>DATE ADDED: 04/21/15 RATINGS*: </p> <p>More Information</p>
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Filter and View Providers

You can sort the provider display by Name, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.

Test Company

Test City, Test State, China

Phone: (555) 555-5555

Email: info@testcompany.com

Website: www.testcompany.com

DESCRIPTION

Test Company is a leading provider of search services.

COMMENTS

PROVIDER NAME: Test Company

VOTES: 1

RATING: ★★★★★

DATE ADDED: 2015-04-21

[SHOW COMMENTS](#)

[Rate this Provider](#)

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

[Rate this Provider](#)

Evaluation Voting

Voting name:

Voting password:

[Login](#)

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription.**

Careers Marketplace

There are two versions of this marketplace, depending on what you are looking for:

- The Careers Marketplace lets account holders who are not Advisors, Hedge Funds, Proprietary Trading Group Masters or Brokers search for open positions.
- The Careers Marketplace lets Advisors, Hedge Funds, Proprietary Trading Group Masters and Brokers look for individual job-seekers to fill open positions.

Access the Job Seekers Marketplace by clicking **Investors' Marketplace > Search Services > Business Development > Careers.**

View all open positions or job seekers in expanding and collapsing sections. Simply click a single listing to expand the section, which shows a description of the position or job seeker and additional contact information.

Note: Only Advisors, Brokers, Proprietary Trading Group Master Users and Hedge Fund Investment Managers can view job seekers at the Job Seekers Marketplace in Account Management. Job Seekers are not visible at the Investors' Marketplace on our website.

Corporate Access Providers Marketplace

The Corporate Access Providers Marketplace gives Advisors, Brokers and Hedge Funds access to corporate access providers. These vendors facilitate meetings, roadshows and conference calls between institutional investors and companies looking for potential investors. Some of these corporate access providers use browser-based platforms based on proprietary algorithms to connect institutional investors and companies based on shared interests.

Access the Corporate Access Providers Marketplace by clicking **Investors' Marketplace > Search Services > Business Development > Corporate Access Providers**.

Corporate Access Provider Marketplace

[DISCLAIMER](#)

Browse firms that specialize in connecting Professional Investors with the management teams of leading companies, and that enable these investors to make direct investments into private companies, and a variety of other investment vehicles.

The screenshot displays a grid of four provider cards. Each card represents a provider named 'Test Company', categorized as a 'FINANCING FIRM'. The cards include the following information:

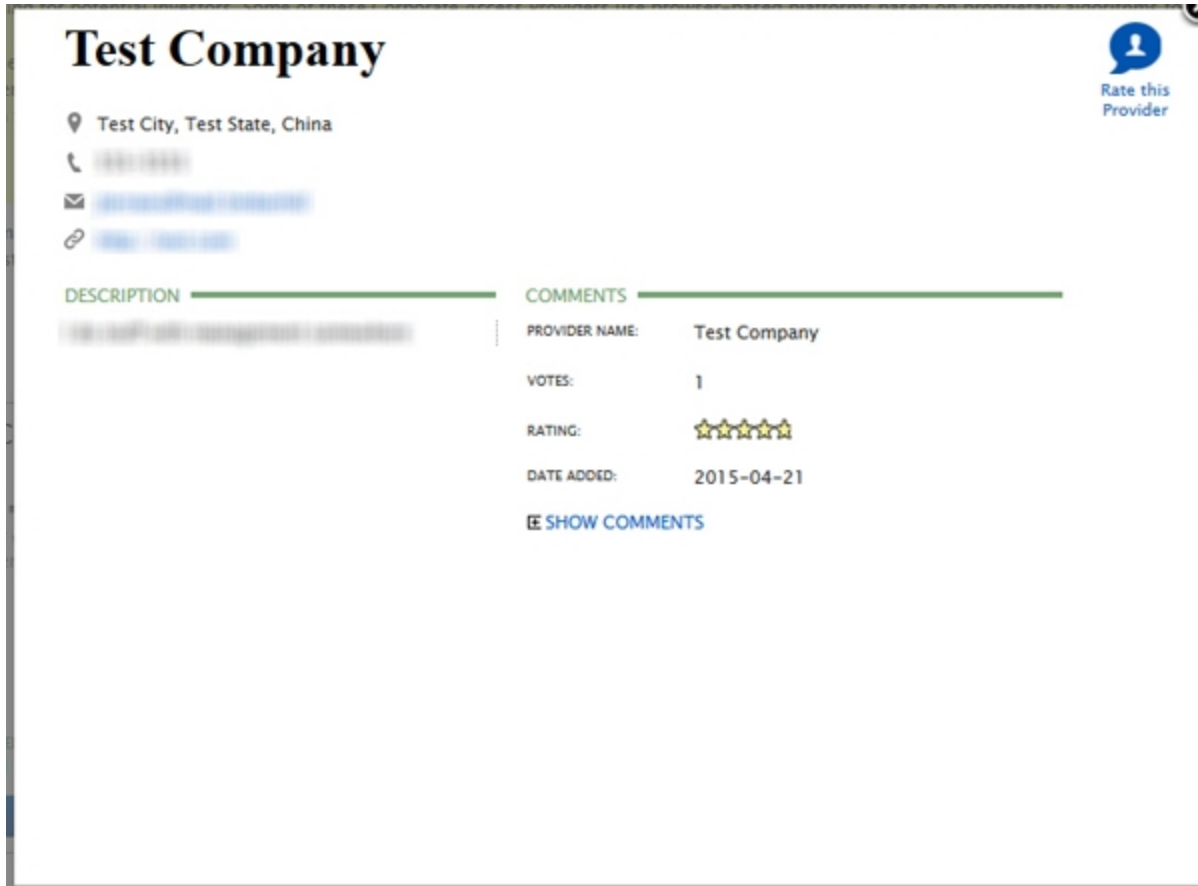
- Header:** 'Test Company' and 'FINANCING FIRM' logo.
- Votes:** 'Votes: 1' with a progress bar.
- Description:** 'I do stuff with management somewhere'.
- Metadata:** 'DATE ADDED: 04/21/15' and 'RATINGS*: ★★★★★'.
- Action:** A blue button labeled 'More Information'.

At the top right of the grid is a 'Sort by' dropdown menu with a downward arrow icon.

Filter and View Providers

You can sort the provider display by Name, Ratings, Votes and Date by clicking the **Sort by** button. You can also view the providers in ascending or descending orders by clicking the arrow icon next to the Sort by button.

Click the desired provider to see more information about the provider, including contact information.



Test Company

Test City, Test State, China

Phone: (555) 555-5555

Email: info@testcompany.com

Website: www.testcompany.com

DESCRIPTION

Test Company is a management consulting firm.

COMMENTS

PROVIDER NAME: Test Company

VOTES: 1

RATING: ★★★★★

DATE ADDED: 2015-04-21

[SHOW COMMENTS](#)

[Rate this Provider](#)

Rating a Provider

You can also vote for a provider by clicking the **Rate this Provider** icon located in the upper right corner of the provider window.

[Rate this Provider](#)

Evaluation Voting

Voting name:

Voting password:

[Login](#)

Only customers may vote. If you are a customer and do not have a Voting Username and Password, log into [Account Management](#) and choose **Manage Account > Security > Voting Subscription.**

In the Evaluation Voting dialog, log in with your Voting username and password, and then select a ranking. If you do not have a Voting user name and password, get one by clicking **Manage Account > Security > Voting Subscription.**

Advertise Services

The Advertise Services menu allows customers to advertise their services to other customers within Account Management.

The Advertise Services menu gives you access to the following pages:

- [Hedge Funds](#) - Our online version of a traditional Capital Introduction program is designed to help Hedge Funds who use us as their principal Prime Broker market their Funds to customers who are Accredited Investors and Qualified Purchasers.
- [Third Party Custodian](#) - U.S. Advisor Masters and Fully Disclosed Broker Masters use this page to add Third Party Custodians who will serve as trustees for Self-Directed IRA Third Party Custodian Accounts.
- [Money Manager](#) - Money Managers access the Money Manager Marketplace, where they can register to market their services to Wealth Managers.
- [Administrators](#) - Administrators access the Administrator Marketplace here to upload their information, review contact requests and accept new link requests.

In addition, eligible customers can advertise services in the following areas:

- [Software Vendors](#) - Allows customers to advertise potentially complementary software programs that expand the functionality of IB TWS to other customers.
- [Programming Consultants](#) - Allows customers who may be able to assist API and FIX CTCI customers to offer their programming expertise to other customers.
- [Research](#) - Allows customers to advertise third-party institutional-caliber research for our trading platform as well as offer to present live webinar events through us.
- [Education & Coaching](#) - Allows customers who have expertise in trading, specific products and other topics to offer education and coaching services to other customers.

Guidelines for Advertising Software Tools, Programming Consulting, Analyst Research and Educator Services

- We do not warrant or guarantee the operation of your product or service.
- The description you provide of your product or service should be short and factual.
- Since we do not verify the accuracy of your product or service descriptions, you must generally avoid adjectives or statements that go beyond a simple factual description. Do not use words or phrases such as "cutting-edge," "high-performance," "amazing," "unique," etc.
- The description cannot promise or guarantee trading success and should not contain any statements about returns or profits.
- The description should avoid references to the speed of your service or product, as Interactive Brokers will not and cannot verify this. Avoid terms such as "immediate," "lightning-fast," or "high-speed".
- The description must avoid references to day trading as we do not promote day trading.

- Interactive Brokers reserves the right to amend the description you provide before posting it on the IB website, or to remove or change references to your product from the IB website for any reason.
- Applications are reviewed on a monthly basis.

Note: If you are already a member of one of these four marketplaces and need to make changes to your information, email them to: commercialtools@interactivebrokers.com

Investing

The Investors' Marketplace > Advertise Services > Investing menu lets customers join Investors' Marketplace to advertise their services to other customers:

- [Advisors](#) - Advisors (RIAs and CTAs) can upload contact and other information about themselves and their services, as well as written articles for potential clients. Advisors can also review contact requests from potential clients, select whether or not to accept new clients, and approve new client requests.
- [Brokers](#) - Brokers can upload contact and other information about themselves and their services, as well as written articles for potential clients. Advisors can also review contact requests from potential clients, select whether or not to accept new clients, and approve new client requests.
- [Hedge Fund Marketplace](#) - Our online version of a traditional Capital Introduction program is designed to help Hedge Funds who use us as their principal Prime Broker market their Funds to our customers who are Accredited Investors and Qualified Purchasers.
- [Money Managers](#) - Money Managers access the Money Manager Marketplace, where they can register to market their services to Wealth Managers.

Advisor Marketplace

Advisors can market their services at the Advisor Marketplace. Once an advisor adds information to the Advisor Marketplace, other customers can log into Account Management and browse the marketplace and either request that the advisor contact them or request that the advisor add them as a client.

Note: Advisors must have a minimum of 1,000,000 USD assets under management to be eligible to join the Advisor Marketplace.

Advisor Marketplace lets an Advisor:

- [Modify your contact information](#)
- [Add information about you and your business](#)
- [Review contact requests by potential clients](#)
- [Select whether or not you are open to new clients](#)
- [Add PDF documents to your marketplace entry](#)
- [Review PDF materials already posted to your marketplace entry](#)
- [Approve new client requests](#)
- [Add text-based articles to your marketplace entry](#)

Who can access the Advertise Services > Investing > Advisor Marketplace page?

You can access this page only if you are a Registered Professional Advisor or Friends and Family Advisor.

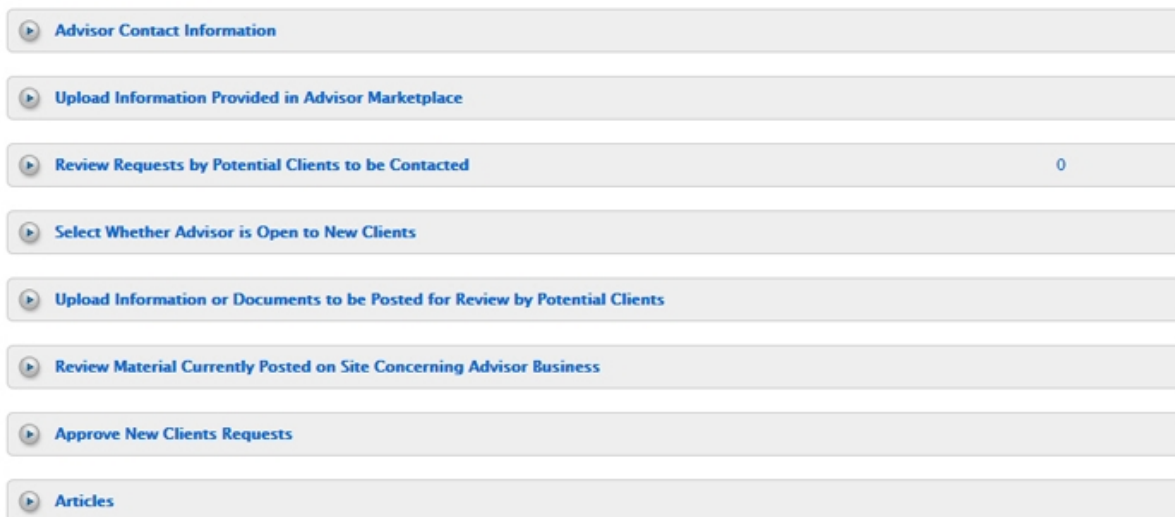
Joining the Advisor Marketplace

To join the Advisor Marketplace

1. Click **Investors' Marketplace > Advertise Services > Investing > Advisors**.
2. An electronic agreement opens. Read the agreement, type your signature in the field provided, and then click **Submit**.
3. While you wait for us to approve the agreement, you can add information about yourself in the Upload Information Provided in Advisor Marketplace section, upload information or documents or add text-based Articles. Your contact information is added in the Advisor Contact Information section automatically.

As soon as we approve your agreement, your information appears in the Advisor Marketplace and customers shopping for an advisor can request that you contact them or add them as clients.

Advisor Marketplace



To modify your contact information

1. On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Advisor Contact Information** to expand that section.

Some information already appears.

Advisor Contact Information

Name*	<input type="text" value="Jane Adams"/>
Street #1*	<input type="text"/>
Street #2 (optional)	<input type="text"/>
City*	<input type="text"/>
Country*	<input type="text" value="Canada"/>
State/Province*	<input type="text"/>
Zip/Postal Code*	<input type="text"/>
Primary Phone*	<input type="text"/> (Area Code & Phone Number)
Secondary Phone (optional)	<input type="text"/> (Area Code & Phone Number)

Modify

2. Click **Modify**, then edit the information as required.
3. Click **Submit** to save your changes.

To add information about you and your business

1. On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Upload Information Provided in Advisor Marketplace** to expand that section.

Upload Information Provided in Advisor Marketplace

Your response to the following questions will be posted on the Advisor Marketplace Site for review by potential investors

Individual or Company Name

Certifications

Education

Language(s)

Website

Registration Information

Information concerning your Registration(s) will be displayed on the Advisor Marketplace for review by potential investors. IB has the following information on file for your account. Please confirm that it is accurate and make any appropriate changes by clicking [here](#).

Date Began Trading*

Strategy Type*
(Select upto 3)

Day-trading Fundamental Growth
 Long/Short Macro Market Timing
 Quant/Technical Sector Focus Specialist Knowledge
 Value Yield Focus Other (Please explain)

Summary of the Advisor's fee structure:*

Product(s) Traded*

Stocks Bonds Options
 Futures Forex Futures Options
 Single Stock Futures Mutual Funds

Provide a brief, general description of the Advisor's trading strategy and/or risk management procedures.*

Amount of the Advisor's current Assets Under Management in USD:*

Submit

2. Enter information and select options that you want potential clients to see in the Advisor Marketplace, then click **Submit**.

To review contact requests

1. On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Review Requests by Potential Clients to be Contacted** to expand that section.

Review Requests by Potential Clients to be Contacted			
Client	Request Date	Contact Method	
Applicant 1846988	09/03/2014	Phone: [REDACTED]	Delete

- All potential clients who have requested contact is listed along with the date of the request and their contact information (for example, a phone number).
You can contact the person directly if you would like to discuss adding him as a client or you can click **Delete** to delete the request if you do not want to contact him.

To select whether you are open to new clients

- On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Select Whether Advisor is Open to New Clients** to expand that section.

Select Whether Advisor is Open to New Clients

Open: The Advisor is accepting new clients.
 Closed: The Advisor is not accepting new clients.

Submit

- By default, **Open** is selected, which means that you are currently accepting new clients. Click **Closed** if you are not accepting new clients at this time. You can change your selection at any time.

If you select **Closed**, your information will not appear in the Advisor Marketplace until you change your selection.

- Click **Submit**.

To add PDF documents

- On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Upload Information or Documents to be Posted for Review by Potential Clients** to expand that section.

Upload information or Documents to be Posted for Review by Potential Clients

All file uploads must be in Adobe PDF format [Get Adobe Reader](#)

Advisor Marketplace – Brief Description for Applicant [REDACTED]
 Advisor Marketplace – Summary of Investment Management Services for Applicant [REDACTED]

Advisor Marketplace – Summary of Financial Planning Services for Applicant [REDACTED]

No file selected.

Submit

You can upload three PDF files of the types listed, one at a time. These are: Brief Description for Applicant, Summary of Investment Management Services for Applicant, and Summary of Financial Planning Services for Applicant.

2. For each file you want to upload, do the following:
 - Select the radio button next to the type of file you want to upload.
 - Click the **Browse** button, then select the appropriate PDF file on your computer.
 - Click **Submit**.

The files you upload will appear in your Advisor Marketplace entry for potential clients to review.

To review PDF materials

1. On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Review Material Currently Posted on Site Concerning Advisor Business** to expand that section.



2. PDF documents that you have uploaded in the Upload Information or Documents to be Posted for Review by Potential Clients section appear here. Click a document to open it and review it.

To approve new client requests

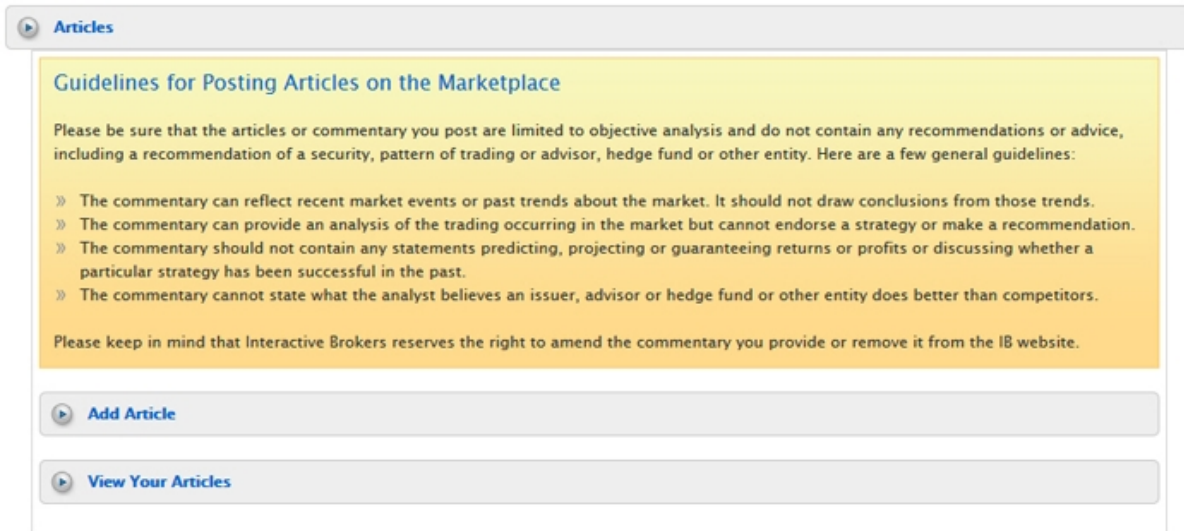
1. On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Approve New Client Requests** to expand that section.



2. Each person listed has requested that you add them as a client. Approve or decline each request by clicking the appropriate link. Once you approve a new client request, that person becomes one of your clients.

To add articles

1. On the **Investors' Marketplace > Advertise Services > Investing > Advisors** page, click **Articles** to expand that section.



Articles

Guidelines for Posting Articles on the Marketplace

Please be sure that the articles or commentary you post are limited to objective analysis and do not contain any recommendations or advice, including a recommendation of a security, pattern of trading or advisor, hedge fund or other entity. Here are a few general guidelines:

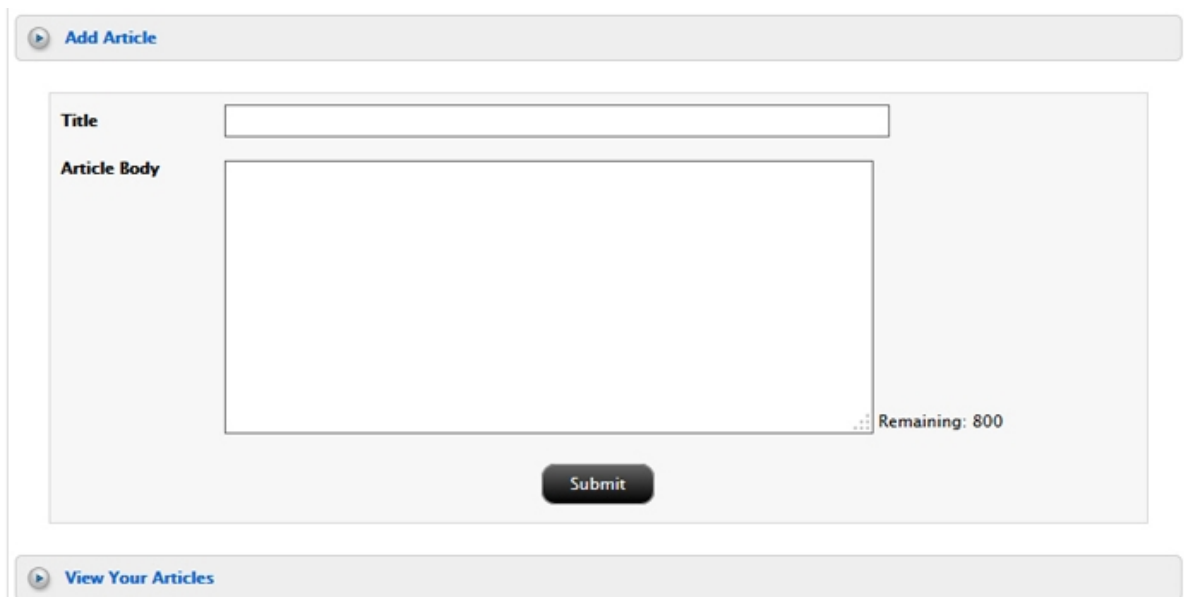
- » The commentary can reflect recent market events or past trends about the market. It should not draw conclusions from those trends.
- » The commentary can provide an analysis of the trading occurring in the market but cannot endorse a strategy or make a recommendation.
- » The commentary should not contain any statements predicting, projecting or guaranteeing returns or profits or discussing whether a particular strategy has been successful in the past.
- » The commentary cannot state what the analyst believes an issuer, advisor or hedge fund or other entity does better than competitors.

Please keep in mind that Interactive Brokers reserves the right to amend the commentary you provide or remove it from the IB website.

Add Article

View Your Articles

2. Click **Add Article** to expand that section.



Add Article

Title

Article Body

Remaining: 800

Submit

View Your Articles

3. Enter a title for the article in the Title field, then write the article in the Article Body field. You can copy and paste text from another program if you wish. All articles are text-based and can be a maximum of 800 characters.
4. Click **Submit**.
5. Click **View Your Articles** to expand that section and view all of the text-based articles that you have submitted and which will be available to potential clients in the Advisor Marketplace.

For more information

Broker Marketplace

Fully Disclosed Brokers can market their services at the Broker Marketplace. Once a broker adds information to the Broker Marketplace, other customers can log into Account Management and browse the marketplace and either request that the broker contact them or request that the broker add them as a client.

Broker Marketplace lets a Broker:

- [Modify your contact information](#)
- [Add information about you and your business](#)
- [Review contact requests by potential clients](#)
- [Select whether or not you are open to new clients](#)
- [Add PDF documents to your marketplace entry](#)
- [Review PDF materials already posted to your marketplace entry](#)
- [Approve new client requests](#)
- [Add text-based articles to your marketplace entry](#)

Who can access the Advertise Services > Investing > Broker Marketplace page?

You can access this page only if you are a Fully Disclosed Broker Master.

Joining the Broker Marketplace

To join the Broker Marketplace

1. Click **Investors' Marketplace > Advertise Services > Investing > Brokers**.
2. An electronic agreement opens. Read the agreement, type your signature in the field provided, and then click **Submit**.
3. While you wait for us to approve the agreement, you can add information about yourself in the Upload Information Provided in Broker Marketplace section, upload information or documents or add text-based Articles. Your contact information is added in the Broker Contact Information section automatically.

As soon as we approve your agreement, your information appears in the Broker Marketplace and customers shopping for a broker can request that you contact them or add them as clients.

Broker Marketplace

- [▶ Broker Contact Information](#)
- [▶ Upload Information Provided in Broker Marketplace](#)
- [▶ Review Requests by Potential Clients to be Contacted](#) 1
- [▶ Select Whether Broker is Open to New Clients](#)
- [▶ Upload Information or Documents to be Posted for Review by Potential Clients](#)
- [▶ Review Material Currently Posted on Site Concerning Brokage](#)
- [▶ Approve New Clients Requests](#)
- [▶ Articles](#)

To modify your contact information

1. On the **Investors' Marketplace > Advertise Services > Investing > Brokers** page, click **Broker Contact Information** to expand that section.

Some information already appears.

[▶ Broker Contact Information](#)

Name*	<input type="text" value="Applicant"/>
Street #1*	<input type="text" value="123 Main Street"/>
Street #2 (optional)	<input type="text"/>
City*	<input type="text" value="Chicago"/>
Country*	<input type="text" value="United States"/>
State/Province*	<input type="text" value="Illinois"/>
Zip/Postal Code*	<input type="text" value="60613"/>
Primary Phone*	<input type="text" value="(630) 555-1234"/> (Area Code & Phone Number)
Secondary Phone (optional)	<input type="text"/> (Area Code & Phone Number)

2. Click **Modify**, then edit the information as required.
3. Click **Submit** to save your changes.

To add information about you and your business

1. On the **Investors' Marketplace > Advertise Services > Investing > Brokers** page, click **Upload Information Provided in Broker Marketplace** to expand that section.

Upload Information Provided in Broker Marketplace

Your response to the following questions will be posted on the Broker Marketplace Site for review by potential investors

Individual or Company Name

Language(s)

Website

Registration Information

Information concerning your Registration(s) will be displayed on the Broker Marketplace for review by potential investors. IB has the following information on file for your account. Please confirm that it is accurate and make any appropriate changes by clicking [here](#).

Date Began Trading*

Product(s) Traded* Stocks Bonds Options
 Futures Forex Futures Options
 Single Stock Futures Mutual Funds

Select a region of Focus* Emerging Markets Global
 International United States

Provide a brief, general description of the Broker's trading strategy and/or risk management procedures.*

Submit

2. Enter information and select options that you want potential clients to see in the Advisor Marketplace, then click **Submit**.

To review contact requests

1. On the **Investors' Marketplace > Advertise Services > Investing > Brokers** page, click **Review Requests by Potential Clients to be Contacted** to expand that section.

Review Requests by Potential Clients to be Contacted

Client	Request Date	Contact Method
Applicant	09/03/2014	Phone: <input type="text" value=""/> Delete

2. All potential clients who have requested contact is listed along with the date of the request and their contact information (for example, a phone number). You can contact the person directly if you would like to discuss adding him as a client or you can click **Delete** to delete the request if you do not want to contact him.

To select whether you are open to new clients

1. On the **Investors' Marketplace > Advertise Services > Investing > Brokers** page, click **Select Whether Broker is Open to New Clients** to expand that section.

2. By default, **Open** is selected, which means that you are currently accepting new clients. Click **Closed** if you are not accepting new clients at this time. You can change your selection at any time.

If you select **Closed**, your information will not appear in the Advisor Marketplace until you change your selection.

3. Click **Submit**.

To add PDF documents

1. On the **Investors' Marketplace > Advertise Services > Investing > Brokers** page, click **Upload Information or Documents to be Posted for Review by Potential Clients** to expand that section.

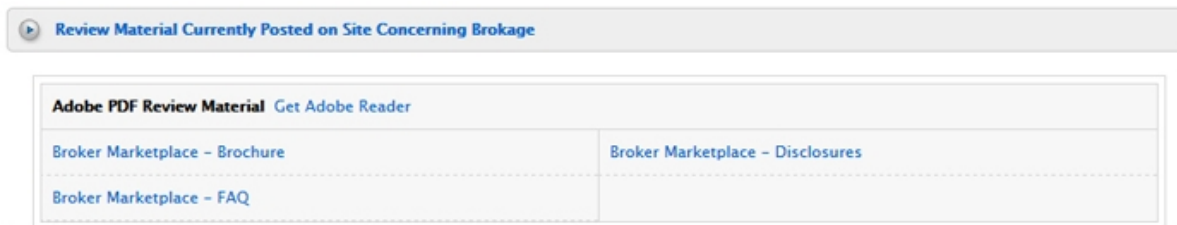
You can upload three PDF files of the types listed, one at a time. These are: Brief Description for Applicant, Summary of Investment Management Services for Applicant, and Summary of Financial Planning Services for Applicant.

2. For each file you want to upload, do the following:
 - Select the radio button next to the type of file you want to upload.
 - Click the **Browse** button, then select the appropriate PDF file on your computer.
 - Click **Submit**.

The files you upload will appear in your Broker Marketplace entry for potential clients to review.

To review PDF materials

1. On the **Investors' Marketplace > Advertise Services > Investing > Brokers** page, click **Review Material Currently Posted on Site Concerning Brokerage** to expand that section.



2. PDF documents that you have uploaded in the Upload Information or Documents to be Posted for Review by Potential Clients section appear here. Click a document to open it and review it.

To approve new client requests

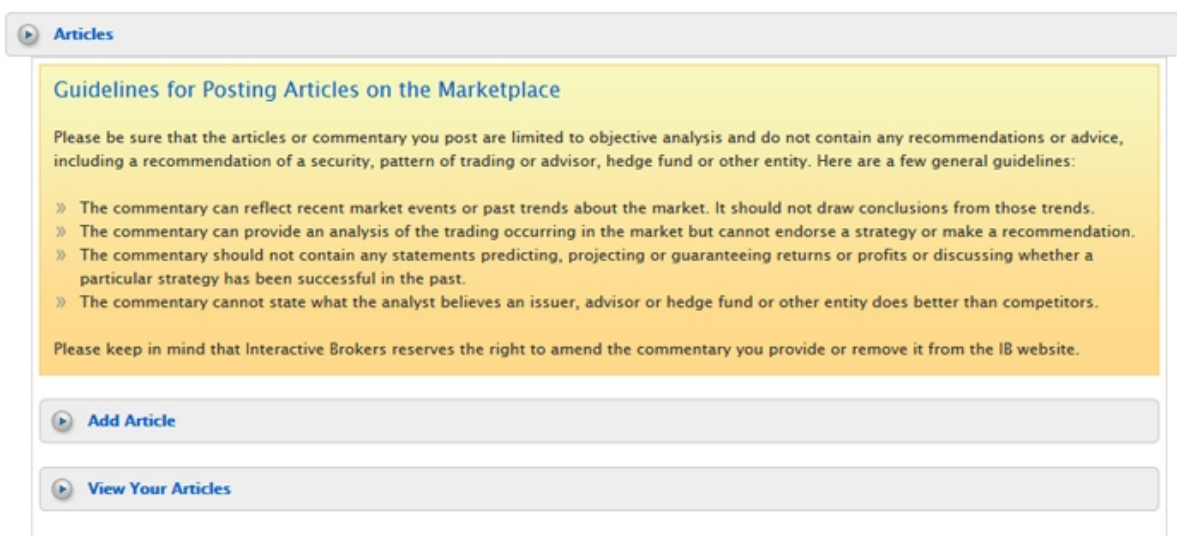
1. On the **Investors' Marketplace > Advertise Services > Investing > Brokers** page, click **Approve New Client Requests** to expand that section.



2. Each person listed has requested that you add them as a client. Approve or decline each request by clicking the appropriate link. Once you approve a new client request, that person becomes one of your clients.

To add articles

1. On the **Investors' Marketplace > Advertise Services > Brokers** page, click **Articles** to expand that section.



2. Click **Add Article** to expand that section.

The screenshot shows a web interface for adding an article. At the top, there is a button labeled 'Add Article'. Below it, the form is divided into two main sections: 'Title' and 'Article Body'. The 'Title' section contains a single-line text input field. The 'Article Body' section contains a larger, multi-line text area. In the bottom right corner of the 'Article Body' text area, there is a character count indicator that reads 'Remaining: 800'. Below the 'Article Body' field is a dark 'Submit' button. At the bottom of the form, there is a button labeled 'View Your Articles'.

3. Enter a title for the article in the Title field, then write the article in the Article Body field. You can copy and paste text from another program if you wish. All articles are text-based and can be a maximum of 800 characters.
4. Click **Submit**.
5. Click **View Your Articles** to expand that section and view all of the text-based articles that you have submitted and which will be available to potential clients in the Broker Marketplace.

Hedge Fund Marketplace

The Hedge Fund Marketplace gives you access to our online version of a traditional Capital Introduction program and is designed to help Hedge Funds who use us as their principal Prime Broker market their Funds to our customers who are Accredited Investors and Qualified Purchasers, as well as other Hedge Funds who have opened their funds to investing by qualified IB clients.

The Hedge Fund Marketplace is provided free of charge to all Hedge Funds who use us as their principal Prime Broker and have at least \$3 million in assets under management. In addition, eligible Hedge Fund accounts must have a demonstrated track record of trading for at least one year.

The Hedge Fund Marketplace page in Account Management (**Investors' Marketplace > Advertise Services > Hedge Funds**) provides the following functions:

- Eligible Single Hedge Fund accounts use this page to [apply for participation in the program](#).
- Eligible Multiple Hedge Fund accounts use this page to [apply for participation in the program](#).
- Once a Hedge Fund is accepted into the program, the Fund's Investment Manager uses this page to [perform administrative functions](#), including uploading new Fund documentation for potential investors, require minimum investment sizes, identify a Fund as open or closed to new investments, and add or remove Funds.

- Each participating Hedge Fund account identifies at least one Third-Party Administrator, who functions as a second level of approval for investment and redemption requests. Third-Party Administrators for participating Funds use this page [to approve investment and redemption requests](#), as well as review Fund documentation.

Advisor Client Investments in Hedge Funds

Hedge funds can offer advisor clients who invest in their funds a discount on the hedge fund's standard management fee to encourage investments by financial advisors and their clients. Funds may offer discounts of up to 1% of AUM and/or 5 % of profits.

Who can access the Hedge Fund Marketplace page?

You can access this page if you are a(n):

- Hedge Fund who uses us as your principal Prime Broker.
- or
- Third-Party Administrator identified in the Hedge Fund Capital Introduction Program application.

Applying for Participation in the Hedge Fund Marketplace - Single Fund Accounts

Single Hedge Fund accounts that meet the eligibility requirements can apply to open their funds to investment at the Hedge Fund Marketplace in Account Management.

To participate in the Hedge Fund Marketplace

1. Log into Account Management.
2. Click **Investors' Marketplace > Advertise Services > Investing > Hedge Funds**.

Note: If you do not see the Hedge Funds link in the Investors' Marketplace menu, then you do not qualify for the program.

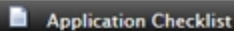
Hedge Fund Marketplace

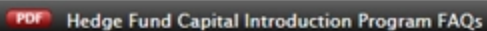
Thank you for your interest in the Hedge Fund Marketplace, where you can participate in the Interactive Brokers Hedge Fund Capital Introduction Program. The program is open to hedge funds with IB accounts that meet IB's due diligence parameters and the following principal requirements:

- » \$3MM USD assets under management held at IB
- » A documented 12-month track record or 12 months of trading at IB
- » The Fund must use Interactive Brokers as its principal prime broker

Interactive also generally requires that the Fund:

- » Has retained a reputable Third-Party Administrator that is willing to access the HFICI and approve investment and redemption transfers
- » Have a commitment from a reputable accounting firm to do a year-end audited financial statement
- » Has retained reputable outside counsel

 Application Checklist

 PDF Hedge Fund Capital Introduction Program FAQs

If you do not meet one or more of these requirements and feel that you should still be eligible for the IB Capital Introduction Program, contact your sales representative or send an email to hfcip@interactivebrokers.com

Incomplete Fund Applications

Would you like to apply your remaining Funds to the Hedge Fund Capital Introduction Program? Yes No

3. Optionally, do one of the following:
 - Click **Application Checklist** to view a list of information that you will be asked to provide in the application.
 - Click **Hedge Fund Marketplace FAQs** to view a list of frequently asked questions about the program.
4. To apply for participation in the program:
 - Read the question on the screen and click either **Yes** or **No** to answer.
 - If you answer No, a message appears informing you that you are not eligible to participate in the Hedge Fund Capital Introduction Program.
 - If you answered Yes to the question, click **Continue**.
5. Complete the entire application, which comprises several pages. Click **Continue** to advance to the next page in the application; click **Back** if you need to correct an error on a previous page.
6. A list of required documents appears on the last page of the application. Follow the instructions on the page to provide us with the required documents, which will complete your application.

We will review your application as follows:

- Confirmation of a third-party administrator.
- We will ensure that you have provided proof of commitment from an auditor to complete an audited financial statement for the following year.
- Our Compliance department will review your fund's trading history, investment strategy/objectives, regulatory/legal history and registration status.

- Our Compliance department will review your Fund Management entity, including searches on the company, contact person and officers/directors, and third-party professionals.

Applying for Participation in the Hedge Fund Marketplace - Multiple Fund Accounts

Multiple Hedge Fund accounts that meet the eligibility requirements can apply to open their funds to investment at the Hedge Fund Marketplace in Account Management on behalf of one or a family of funds.

To participate in the Hedge Fund Marketplace

1. Log into Account Management.
2. Click **Investors' Marketplace > Advertise Services > Investing > Hedge Funds**.

Note: If you do not see the Hedge Funds link in the Investors' Marketplace menu, then you do not qualify for the program.


Hedge Fund Marketplace


Thank you for your interest in the Hedge Fund Marketplace, where you can participate in the Interactive Brokers Hedge Fund Capital Introduction Program. The program is open to hedge funds with IB accounts that meet IB's due diligence parameters and the following principal requirements:

- » \$3MM USD assets under management held at IB
- » A documented 12-month track record or 12 months of trading at IB
- » The Fund must use Interactive Brokers as its principal prime broker

Interactive also generally requires that the Fund:

- » Has retained a reputable Third-Party Administrator that is willing to access the HFCl and approve investment and redemption transfers
- » Have a commitment from a reputable accounting firm to do a year-end audited financial statement
- » Has retained reputable outside counsel

 Application Checklist

 Hedge Fund Capital Introduction Program FAQs

If you do not meet one or more of these requirements and feel that you should still be eligible for the IB Capital Introduction Program, contact your sales representative or send an email to hfcip@interactivebrokers.com

Incomplete Fund Applications

Would you like to apply your remaining Funds to the Hedge Fund Capital Introduction Program? Yes No

3. Optionally, do one of the following:
 - Click **Application Checklist** to view a list of information that you will be asked to provide in the application.
 - Click **Hedge Fund Marketplace FAQs** to view a list of frequently asked questions about the program.
4. To apply on behalf of only one fund:
 - Click the **Fund** radio button.
 - Select the Fund you want to join the program from the drop-down list.
 - Read the question displayed below the drop-down list and click either **Yes** or **No** to answer.

If you answer No, a message appears informing you that you are not eligible to participate in the Hedge

Fund Capital Introduction Program.

- If you answered Yes to the question, click **Continue**.

or

To apply on behalf of a family of funds:

- Click the **Family of Funds** radio button.
- Enter the name of the Family of Funds in the field provided.
- Select the Funds you want to join the program from the drop-down list.
- Read the question displayed below the drop-down list and click either **Yes** or **No** to answer.

If you answer No, a message appears informing you that you are not eligible to participate in the Hedge Fund Capital Introduction Program.

- If you answered Yes to the question, click **Continue**.
5. Complete the entire application. Application steps are presented as expanding/collapsing sections. Click a section to expand it and complete the information in that section. Click **Continue** to advance to the next page in the application; click **Back** if you need to correct an error on a previous page.
 6. A list of required documents appears on the last page of the application. Follow the instructions on the page to provide us with the required documents, which will complete your application.

We will review your application as follows:

- Confirmation of a third-party administrator.
 - We will ensure that you have provided proof of commitment from an auditor to complete an audited financial statement for the following year.
 - Our Compliance department will review your fund's trading history, investment strategy/objectives, regulatory/legal history and registration status.
 - Our Compliance department will review your Fund Management entity, including searches on the company, contact person and officers/directors, and third-party professionals.
7. If you have already applied for at least one Fund in your account, additional options appear on the page.
 - If you are have a Multiple Fund Account and there are any active applications that are incomplete, you will see the Incomplete Fund Application section. In this section, you can select an applicant with an incomplete application, then click **Complete** to complete the application. You will not see this section if you do not have any incomplete applications.
 - If you are have a Multiple Fund Account and at least one of your Funds has not yet applied to participate in the program, you will see the question **Would you like apply your remaining Funds to the Hedge Fund Marketplace?** Click **Yes** to apply for the remaining Funds, or **No** if you do not want to apply for the remaining Funds. If you click **Yes**, you are prompted to select Fund or Family of Funds, as in Step 3 above.

Hedge Fund Marketplace - Account Management for Participating Hedge Funds

Once your Hedge Fund has been accepted into the program, your Fund Investment Manager can log into Account Management to perform administrative functions, including uploading new Fund documentation for potential investors,

require minimum investment sizes, identify a Fund as open or closed to new investments, and add or remove Funds.

To use the Hedge Fund Marketplace Account Management Features

1. Log into Account Management. Click **Investors' Marketplace > Advertise Services > Hedge Funds**.

Note: If you are a Multiple Fund account and one or more Funds are not participating in the Hedge Fund Marketplace, you can apply on behalf of those Funds who are not currently participating.

2. The Hedge Fund Marketplace page appears.
 - If you are a Single Fund Account, click **Single Fund Account Management** to continue.
 - If you are a Multiple Fund Account, click **Multiple Fund Account Management**, then select either a Single Fund or a Family of Funds and a Fund within that Family of Funds.

The Account Management page for the selected Fund appears.

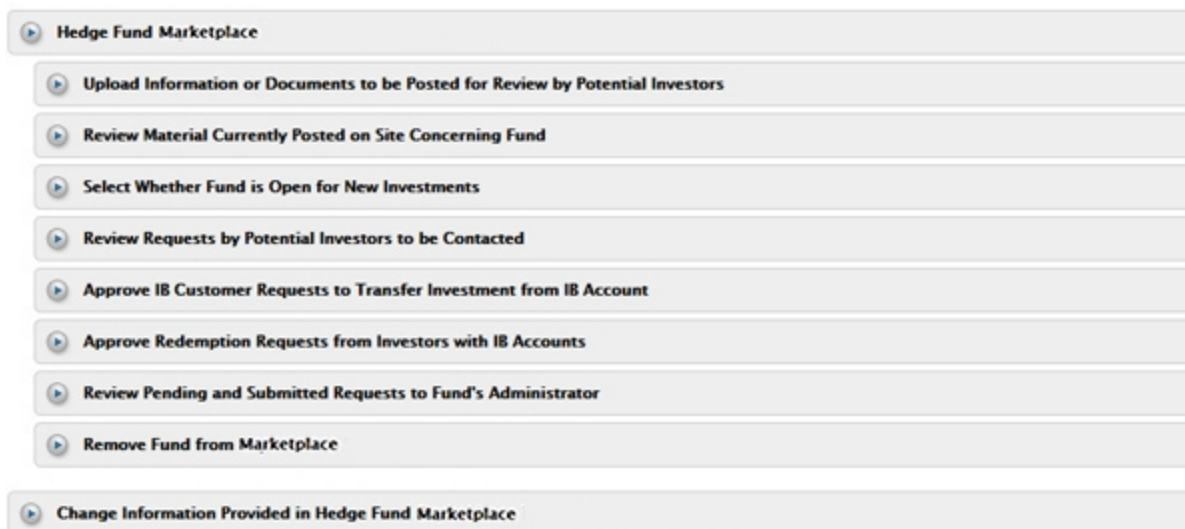
Hedge Fund Marketplace

Hedge Fund: [Hedge Fund](#)



[Click Here](#) for the Hedge Fund Capital Introduction Program FAQs. [Get Adobe Reader](#)

3. The Account Management page displays two groups of expanding and collapsing sections that represent the actions you can perform:
 - **Hedge Fund Marketplace Program Administration** - Lets you perform a variety of administration tasks, including uploading documents, setting the fund open to new investments, and reviewing and approving customer investment and redemption requests.
 - **Change Information Provided in Hedge Fund Marketplace Application** - Lets you modify information provided in the program application, including changing the contact person or banking information.
 - **Articles** - Lets you add and edit text articles.
4. Click the **Hedge Fund Marketplace Administration** bar to expand that section.



- **Upload Information or Document to Posted for Review by Potential Investors** - Lets you enter and submit a brief description of the Fund to be posted for review by potential investors.
 - **Review Material Currently Posted on Site Concerning Fund** - Lets you view or download and save PDF-format materials and documentation about the Fund. Click an item in this section to download and save it to your computer.
 - **Select Whether Fund is Open for New Investments** - Lets you specify whether or not the Fund is open for new investments.
 - **Review Requests by Potential Investors to be Contacted** - Lets you view all requests by potential investors to be contacted by the Fund. Each request includes the name of the potential investor, the date of the request and the preferred contact method.
 - **Approve IB Customer Requests to Transfer Investment from IB Account** - Lets you view and approve requests from IB customers to transfer money from their IB accounts to your Fund as an investment.
 - **Approve Redemption Requests from Investors with IB Accounts** - Lets you view approve requests from customers to transfer a redemption from your Fund to their account.
 - **Review Pending and Submitted Requests to Fund's Administrator** - Lets you view all pending and submitted investment and redemption requests.
 - **Remove Fund from Marketplace**- Lets you remove a Fund from the Hedge Fund Marketplace. Note that if you remove a Fund from the Marketplace and want to rejoin later, the Fund will have to reapply for admission to the Marketaplce.
5. Perform the steps in each section as required, following the instructions on the screen.
 6. Click the **Change Information Provided in Hedge Fund Marketplace Application** bar to expand that section.
 - **Contact Person for "NAME OF FUND"** - Lets you view and modify information about the contact person for the Fund.
 - **Fund Investment Strategy and Status** - Lets you enter information about the Fund's strategy and status, including the number of staff, risk management procedures, all saved rates of return including the current rate of

return, whether or not each rate of return has been audited, percentage rates of return (year-to-date, last 12 months, last three years, last five years, and from inception to date) and current assets.

- **Third-Party Administrator** - Lets you designate a Third-Party Administrator.
 - **Outside Auditor/Accounting Firm** - Lets you view and modify information about the outside auditor or accounting firm used by the Fund.
 - **Outside Legal Counsel** - Lets you view and modify information about the outside legal counsel used by the Fund.
 - **Administration/Communications from Investors** - Lets you set the frequency and method of delivery of investor return reports and statements to investors, as well as the frequency of reporting to the Fund's Third Party Administrator.
 - **Banking Information** - Lets you view and modify the Fund's banking information.
 - **Recent Legal or Regulatory Issues** - Lets you enter updated information about any recent legal or regulatory issues that affecting the Fund.
7. Perform the steps in each section as required, following the instructions on the screen.
 8. Click the **Articles** bar to expand that section.
 - **Add Article** - Lets you enter a text-based article to be viewed by investors at the Hedge Fund Investor Site. Enter a title and the body of the article, up to 800 characters. Articles must be approved before they are made available to potential investors.
 - **View Your Articles** - Lets you view the articles that you have entered, and delete articles. Delete an article by clicking the **X** icon.
 9. Perform the steps in each section , following the instructions on the screen.

Hedge Fund Marketplace - Third Party Administrator

Our Hedge Fund Marketplace is an online version of a traditional Capital Introduction program and is designed to help Hedge Funds who use IB as their principal Prime Broker market their Funds to IB customers who are Accredited Investors and Qualified Purchasers.

Each participating Hedge Fund account identifies at least one Third-Party Administrator, who functions as a second level of approval for investment and redemption requests. Third-Party Administrators for participating Funds use this page to approve investment and redemption requests, as well as review Fund documentation. For more information, see [Hedge Fund Marketplace](#).

Who can access this page?

You can access this page if you are a Third-Party Administrators for Hedge Funds participating in the Hedge Fund Marketplace.

To use the Hedge Fund Marketplace page if you are a Third-Party Administrator

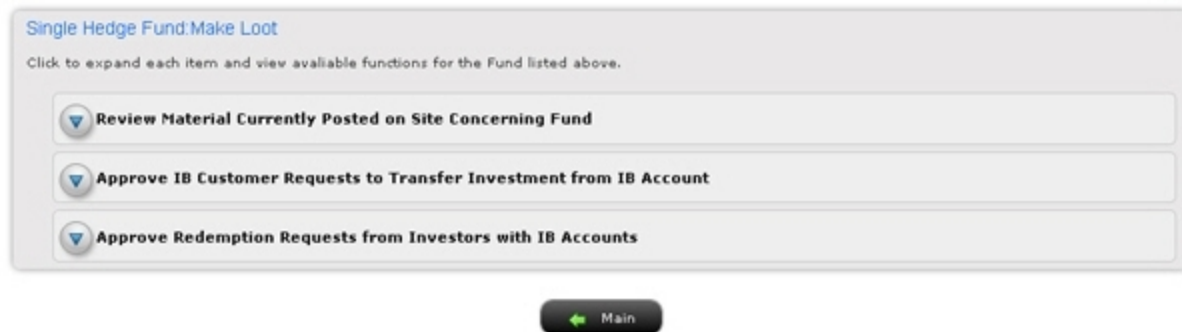
1. Log into Account Management with your Third-Party Administrator username and password.
2. Click **Investors' Marketplace > Advertise Services > Investing > Hedge Funds**.



3. Click **Funds** to display the fund for which you have been designated as Third-Party Administrator.



4. Click the Fund to view more details.



5. Click one of the following links to perform Third-Party Administrator tasks for the selected Hedge Fund:
 - **Review Material Currently Posted on Site Concerning Fund** - Lets you view or download and save PDF-format materials and documentation about the Fund.
 - **Approve IB Customer Requests to Transfer Investment from IB Account** - Lets you view and approve requests from IB customers to transfer money from their IB accounts to your Fund as an investment.
 - **Approve Redemption Requests from Investors with IB Accounts** - Lets you view approve requests from IB customers to transfer a redemption from the Fund to their account.
6. Perform the steps in each section as required, following the instructions on the screen.

Money Manager Marketplace

Money Managers can market their services by registering at the Money Manager Marketplace, where their information can be viewed by Wealth Managers.

Money Managers access this page to enter information about themselves and their trading services, including their education, certification, assets and products traded, which will be available to Wealth Managers who access the Money Manager Marketplace; and to review contact requests from Wealth Managers.

To register at the Money Manager Marketplace

1. Log into Account Management using your Master account username and password.
2. Click **Investors' Marketplace > Advertise Services > Investing > Money Manager**.
3. The first time you access this page, you must sign the Money Manager Agreement. You cannot access the Money Manager Marketplace until you submit the signed agreement online.

Simply type your name in the Signature field, then press **Submit**.

Note: If you do not want your information to appear in the Money Manager Marketplace, do not sign and submit the agreement.

The Money Manager Marketplace Registration page opens.



4. Enter all of the information that you want to appear in the Money Manager Marketplace:
 - Click **Money Manager Contact Information** to open that section, then complete the form and click **Submit**.

Money Manager Contact Information

Name*	<input type="text"/>
Street #1*	<input type="text"/>
Street #2 (optional)	<input type="text"/>
City*	<input type="text"/>
Country*	<input type="text"/>
State/Province*	<input type="text"/>
Zip/Postal Code*	<input type="text"/>
Primary Phone*	<input type="text"/> (Area Code & Phone Number)
Secondary Phone (optional)	<input type="text"/> (Area Code & Phone Number)

- Click **Upload Information** to be posed to the Money Manager Marketplace for review by Wealth Managers to open that section, then complete the form and click **Submit**.

Upload Information to be posted to the Money Manager Marketplace for review by Wealth Managers

Your response to the following questions will be posted on the Money Manager Marketplace Site for review by Wealth Managers

Individual or Company Name

Certifications

Education

Registration Information

Information concerning your Registration(s) will be displayed on the Money Manager Marketplace for review by Wealth Managers. IB has the following information on file for your account. Please confirm that it is accurate and make any appropriate changes by clicking [here](#).

Commodity (Futures) Registration
 Non-US Registered
 License or Registration Number : Test
 Name of Regulatory Authority : 22222

Date Began Trading*

Strategy Type*
 (Select upto 3)

Day-trading Fundamental Growth
 Long/Short Macro Market Timing
 Quant/Technical Sector Focus Specialist Knowledge
 Value Yield Focus Other (Please explain)

Minimum investment amount that the Money Manager will accept in USD:* (in thousands)

Summary of the Money Manager's fee structure:*

Product(s) Traded*

Stocks Bonds Options
 Futures Forex Futures Options
 Single Stock Futures Mutual Funds

Select a region of Focus*

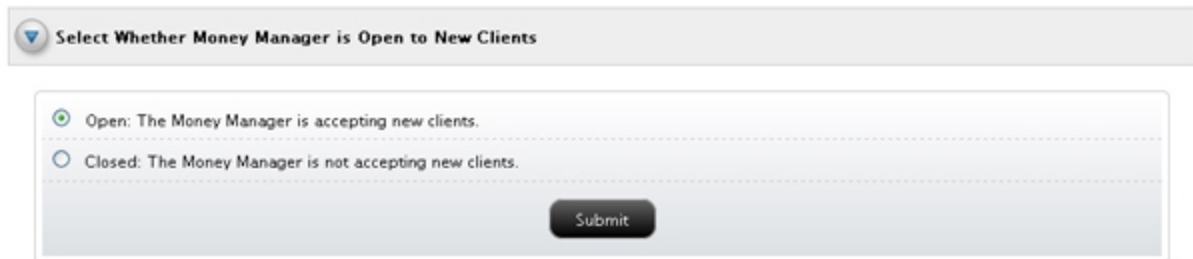
Emerging Markets Global
 International United States

Provide a brief, general description of the Money Manager's trading strategy and/or risk management procedures.*

Amount of the Money Manager's current Assets Under Management in USD:* (in thousands)

- Click **Review Requests by Wealth Managers to be Contacted** to open that section, then complete the form and click **Submit**.
5. Click **Select Whether Money Manager is Open to New Client** to open that section, then click **Open** or **Closed** and click **Submit**.

Select **Closed** if you do not want your information to appear in the Money Manager Marketplace. You will still be able to be selected by Wealth Managers but they will not be able to use the Money Manager Marketplace to shop for your services.



Select Whether Money Manager is Open to New Clients

Open: The Money Manager is accepting new clients.

Closed: The Money Manager is not accepting new clients.

Submit

Research

The Investors' Marketplace > Advertise Services > Research menu lets customers join Investors' Marketplace to advertise their research services to other customers:

- [Research](#) - Allows customers to advertise third-party institutional-caliber research for our desktop trading platform as well as offer to present live webinar events through us.
- [Education & Coaches](#) - Allows customers who have expertise in trading, specific products and other topics to offer those services to other customers.

Research Application

The Research Application page in Account Management allows customers to advertise third-party institutional-caliber research for IB TWS as well as offer to present live webinar events through us.

Complete and submit the Research Application on this page to advertise your services in the Research Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Access the Research Application page by clicking **Investors' Marketplace > Advertise Services > Research > Research**.

Education & Coaches Application

The Education & Coaches Application page allows customers who have expertise in trading, specific products and other topics to offer those services to other customers.

Complete and submit the Educator Application on this page to advertise your services in the Education & Coaches Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Access the Education & Coaches Application page by clicking **Investors' Marketplace > Advertise Services > Research > Education & Coaches**.

Technology

The Investors' Marketplace > Advertise Services > Technology menu lets customers join Investors' Marketplace to advertise their technology services to other customers:

- [Software Tools](#) - Allows customers to advertise potentially complementary software programs that expand the functionality of IB TWS to other customers.
- [Programming Consultants](#) - Allows customers who may be able to assist API and FIX CTCI customers to offer their programming expertise to other customers.

Software Vendors Application

The **Advertise Services > Technology > Software Vendors** page in the Investors' Marketplace allows our customers to advertise potentially complementary software programs that expand the functionality of our desktop trading platform to other customers.

Complete and submit the Software Vendors Application on this page to advertise your services in the Investors' Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Programming Consultant Application

The Programming Consultant Application page allows customers who may be able to assist API and FIX CTCI customers to offer their programming expertise to other customers.

Complete and submit the Programming Consultant Application on this page to advertise your services in the Programming Consultant Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Access the Programming Consulting Application page by clicking **Investors' Marketplace > Advertise Services > Technology > Programming Consultants**.

Administration

The Investors' Marketplace > Advertise Services > Administration menu lets Administrators and other third-party administration service providers join Investors' Marketplace to advertise their services to other customers:

- [Administrators](#) - Third-Party Administrators (with Administrator accounts) upload their information, review contact requests, accept new link requests and view client assignments.
- [Third Party Custodian](#) - U.S. Advisor Masters and Fully Disclosed Broker Masters use this page to add Third Party Custodians who will serve as trustees for Self-Directed IRA Third Party Custodian Accounts.
- [Manage Clients](#) - Administrators view all linked accounts and client assignments, and delink from linked accounts.

Administrator Marketplace for Administrators

Administrators access the Administrator Marketplace to:

- Upload information to the Marketplace
- Review contact requests (which can also be done on the Summary tab of the Home page)
- Decide whether to accept new link requests (for example, you may not be currently accepting new clients)

To use the Administrator Marketplace

1. Click **Investors' Marketplace > Advertise Services > Administration > Marketplace Information**.

The Administrator Marketplace opens.



- To upload or modify information to the Marketplace about the services you offer, click the **Upload Information to the Administrator Marketplace** bar.

The section expands to display your current information.

- Modify fields as required, then click **Submit**. After a brief review, your updated information will be visible in the Administrator Marketplace.
- To review contact requests from eligible accounts who found you in Administrator Marketplace, click the **Review Contact Requests** bar.

The section expands to display the name, request date and contact method (email, phone, or both) for each requester.

- Move your mouse cursor over the Client Name to display the account's information in a popup window.
- If you would like to contact the person, record his or her information, then contact the person using method indicated.
- After you contact the person and agree to accept a request to link to his or her account for the purpose of providing administrative services, come back to this page and click the Delete link in the Action column to delete the contact request.
- What if you don't want to contact the person?

4. To indicate whether or not you are accepting new link requests, click the **Accepting New Link Requests?** bar.

The section expands to display two radio buttons.

- Select **Open** if you are still accepting new clients or **Closed** if you are not accepting new clients, then click **Submit**. If you select **Closed**, eligible accounts will no longer be able to send you link requests.

Account Management for Administrators

Administrators can log into Account Management to access the following functions:

Home Page

Contact Requests- Available from the Account Management Home page, this is where Administrators can view contact requests and accept or reject linking requests from eligible accounts.

Reports Menu

Administrators can access the [Reports](#) menu to run reports, PortfolioAnalyst and Tax Optimizer for the master account and for linked client, fund and sub accounts.

Manage Account Menu

- [Profile](#) - Allows an Administrator to change his or her contact information.
- [Close Account](#) - Allows an Administrator to close his or her account.
- [Change Password](#) - Allows an Administrator to change his or her account password.
- [Change Email Address](#) - Allows an Administrator to change his or her email address of record.
- [Secure Login System](#) - Allows an Administrator to request or activate a security device.
- [Access Rights](#) - Allows and Administrator to add users and user roles to the account and set and modify the users' access rights.

Investors' Marketplace Menu

- [Advertise Services > Administration > Administrators](#) - Allows an Administrator to modify his or her information that appears in the Administrator Marketplace, upload information to the Marketplace, review contact requests and prevent their information from being visible in the Marketplace.
- [Investors' Marketplace > Advertise Services > Administration > Marketplace Information](#) - Allows an Administrator to view all active and pending linked accounts and client/fund/sub account assignments.

Manage Clients

This page lets Administrators:

- View all active and pending linked accounts.
- Delink from a linked account.
- View client, fund and sub accounts to which they are currently assigned.

Who can access the Manage Clients page?

You can access this page if you are an Administrator or an Administrator account user with access rights to this page.

To use the Manage Clients page

1. Click **Investors' Marketplace > Advertise Services > Administration > Manage Clients**.

The Manage Clients page opens.

Manage Clients

Use this page to view all active and pending client assignments, and their accounts currently assigned to you.

Assignments
Client Assignments

Pending Clients

There are no pending clients.

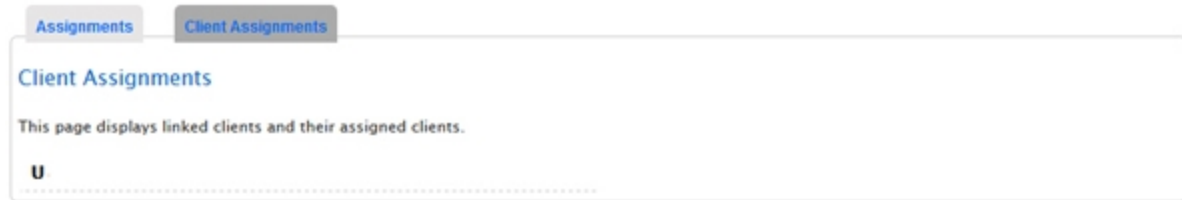
Linked Clients

Account Title	Account ID	Status	Action
Applicant	F123456	ACTIVE	Delink
Test Corporation	987654321	ACTIVE	Delink

2. On the Assignments tab, view a list of all pending links and active linked accounts.
3. Click **Delink** to delink yourself from a specific account. Your Administrator account will immediately be delinked from the account and you will no longer be able to perform reporting functions for the client, fund or sub accounts to which you were assigned by the account.
4. To view a list of client, fund and sub accounts to which you are assigned, click the Client Assignments tab.

Manage Clients

Use this page to view all active and pending client assignments, and their accounts currently assigned to you.



Third Party Custodian

A third party custodian is an IRA custodian for a Self-Directed Third Party Custodian IRA Account. The Third Party Custodian page lets U.S.-based Advisor Masters and Fully Disclosed Broker Masters add Self-Directed Third Party Custodian IRA Accounts as clients and view current open and pending Self-Directed Third Party Custodian IRA Accounts.

Who can access the Third Party Custodian page?

You can access this page if you are a U.S.-based Advisor Master User or a Fully Disclosed Broker Master User.

Adding a Self-Directed Third Party Custodian IRA Account requires the following steps:

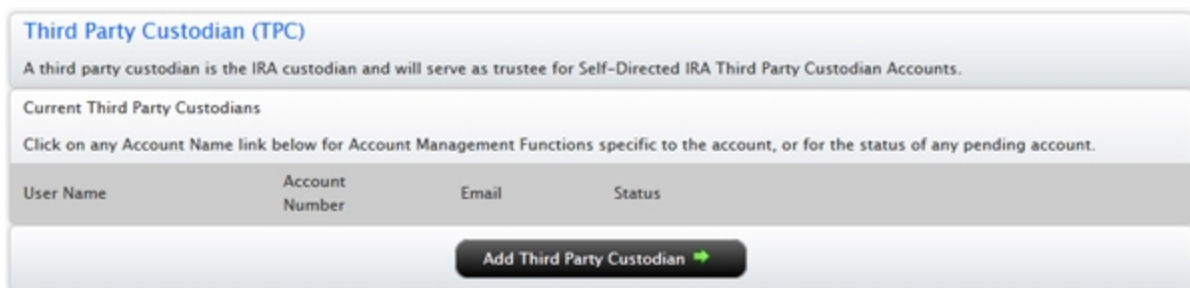
1. Add a Third Party Custodian from the Third Party Custodians page.
2. Complete a brief Third Party Custodian application.
3. Submit a letter or other form of documentation to us that proves the relationship between the Advisor or Broker and the Third Party Custodian.
4. While we approve the letter or documentation, the new Third Party Custodian appears in the list on the Third Party Custodians page.
5. On the Manage Clients > Accounts > Create > New page, the Advisor or Broker sends an invitation to a client to start a semi-electronic account application.

The complete procedure is described below.

To add a Self-Directed Third Party Custodian IRA Account

1. Click **Investors' Marketplace > Advertise Services > Third Party Custodian**.

The Third Party Custodians page appears. The first time you access this page, the list will be empty.



2. Click **Add Third Party Custodian**.

The first page of a new Third Party Custodian application opens.

The screenshot displays the 'Registration' page of the IB electronic registration system. At the top, a progress bar shows seven steps: 1. Create, 2. Details, 3. Funding, 4. Approval, 5. Configure, 6. Agreements, and 7. Complete. Step 1 is currently active. Below the progress bar, the page title is 'Registration' with a yellow 'Required' indicator. The main content area contains a welcome message and instructions. The registration form includes the following fields: 'Username*' (with a help icon and a note: 'Must include six letters and three different numbers, all lower case'), 'Email Address*' (used for all future correspondence), 'Confirm Email Address*', 'Country of Legal Residence/Formation*' (a dropdown menu currently showing 'United States'), and 'U.S. State of Legal Residence/Formation:' (a dropdown menu currently showing 'Choose One'). A 'Continue' button with a green arrow is located at the bottom of the form. On the right side, there is a 'Call Us' box with a phone icon and contact information: 'Monday - Friday', '1 (312) 542-6901', and '1 (877) 442-2757'. Below that is a 'Help Topics' box with links for 'Username Rules', 'Country of Legal Residence/Formation', and 'Residence/Formation'.

3. Complete the brief application, which asks you to enter information about the Third Party Custodian.
4. When you have completed the application, you must submit a letter or other form of documentation as proof of the relationship between you, the Advisor or Broker, and the Third Party Custodian indicated in the application.
5. While we approve the letter or documentation, the new Third Party Custodian appears in the list on the Third Party Custodians page.
 - When we have approved the letter or documentation, the status of the Self-Directed Third Party Custodian IRA Account will change to Open.
6. Click **Manage Account > Add Account**.
7. Invite the new Self-Directed Third Party Custodian IRA Account to complete a semi-electronic application by clicking **Client Invitation**.
The Client Invitation page opens.
8. Select the **Self Directed IRA Third Party Custodian Account** check box, then select the desired Third Party Custodian from the drop-down.
9. Click **Continue**.
10. Complete the account application, then send it to the client for signature.

Business Development

The Investors' Marketplace > Advertise Services > Business Development menu lets third-party business development service providers join Investors' Marketplace to advertise their services to other customers:

- [Advertising](#) - Allows customers to offer their third-party advertising and marketing services to other customers.
- [Business Analysts](#) - Allows customers to offer their third-party business analysis services to other customers.
- [Financing Firms](#) - Allows customers who are venture
- [Careers](#) - Allows customers looking for employment to post their resumes and other pertinent information to other customers who are looking to fill positions.
- [Corporate Access Providers](#) - Allows corporate access providers to advertise their services. Corporate access providers facilitate meetings, roadshows and conference calls between institutional investors and companies looking for potential investors

Advertising Application

The Advertising Application page in the Investors' Marketplace allows customers to offer their advertising and marketing services to other customers.

Complete and submit the Advertising Application on this page to offer your advertising services in the Advertising Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Access the Advertising Application page by clicking **Investors' Marketplace > Advertise Services > Business Development > Advertising**.

Business Analyst Application

The Business Analyst Application page in the Investors' Marketplace allows customers to offer their business analysis services to other customers.

Complete and submit the Business Analyst Application on this page to advertise your services in the Business Analyst Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Access the Business Analyst Application page by clicking **Investors' Marketplace > Advertise Services > Business Development > Business Analysts**.

Financing Firms Application

The Financing Firms Application page in the Investors' Marketplace allows customers to offer their financing services to other customers.

Complete and submit the Financing Firms Application on this page to offer your services in the Financing Firms Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Access the Advertising Application page by clicking **Investors' Marketplace > Advertise Services > Business Development > Financing Firms**.

Careers Application

There are two versions of this application, depending on what you are looking for:

- The Careers Application lets Advisors, Hedge Funds, Proprietary Trading Group Masters or Brokers post open positions.

- The Careers Application lets account holders who are not Advisors, Hedge Funds, Proprietary Trading Group Masters and Brokers post their resumes.

Access the Careers Marketplace by clicking **Investors' Marketplace > Advertise Services > Business Development > Careers**.

Complete and submit the application on this page to either post an open position or post your resume. Be sure to follow the [guidelines](#) for third-party providers.

Note: Only Advisors, Brokers, Proprietary Trading Group Master Users and Hedge Fund Investment Managers can post jobs and they must be logged into Account Management to do so.

Corporate Access Providers Marketplace

The Corporate Access Providers Application page in the Investors' Marketplace allows corporate access providers to offer their services to other customers.

Complete and submit the application on this page to offer your services in the Corporate Access Providers Marketplace. Be sure to follow the [guidelines](#) for third-party providers.

Access the Advertising Application page by clicking **Investors' Marketplace > Advertise Services > Business Development > Corporate Access Providers**.

Support

The Support menu gives you quick access to our Customer Service offerings.

This chapter includes the following topics:

- [Message Center](#)
- [Live Chat](#)
- [Contacts](#)
- [Service Tips](#)
- [Knowledge Base](#)
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Customer Service Message Center

The Customer Service Message Center lets you submit questions directly to Customer Service using inquiry tickets and track the status of your Customer Service inquiries.

Use the Customer Service Message Center to:

- [Create a new inquiry ticket, and attach a file to the ticket](#)
- [Modify an existing inquiry ticket](#)
- [Set Ticket Notification Preferences](#)
- [Cancel or close a inquiry ticket](#)
- [View corporate actions](#)
- [Submit a Tax Reporting Correction Form](#)
- [Request a trade cancellation](#)

The Customer Service Message Center includes the following features:

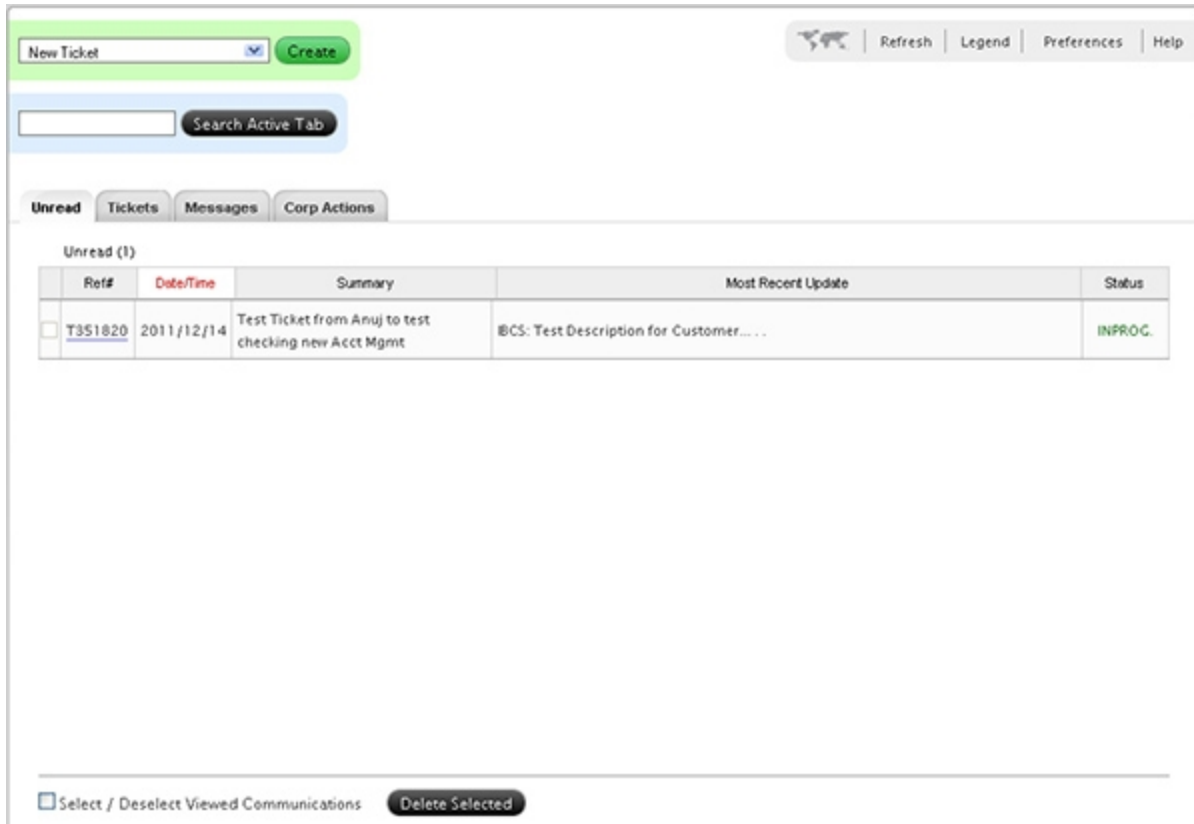
- Every inquiry is assigned a reference number, called a ticket. This reference number can be used to efficiently track the progress of the inquiry.
- The real-time status of an inquiry is always displayed in the main Message Center window. You will know if the issue has been picked up by an service expert, which expert is handling your issue, and whether it is being addressed by our main help team or by a specialty team.
- Both customers and staff can refine or add information to the ticket, permitting easy clarifications or follow up to the original inquiry. In addition, customers can cancel or close tickets once the issue has been addressed, giving them greater control over the process.
- History of both open and completed inquiries.
- Fast response - Tickets are assigned to an representative usually within a few minutes and always within 2 hours during European and North American trading hours. During Asian trading hours, response times may be longer.

The screenshot displays the Customer Service Message Center interface. At the top, there is a 'New Ticket' dropdown menu with a 'Create' button. To the right, there are navigation links for 'Refresh', 'Legend', 'Preferences', and 'Help'. Below this is a search bar with a 'Search Active Tab' button. The main content area has tabs for 'Unread', 'Tickets', 'Messages', and 'Corp Actions'. The 'Unread' tab is active, showing a table with one entry. The table has columns for 'Ref#', 'Date/Time', 'Summary', 'Most Recent Update', and 'Status'. The entry has a checkbox, Ref# 'T351820', Date/Time '2011/12/14', Summary 'Test Ticket from Anuj to test checking new Acct Mgmt', Most Recent Update 'IBCS: Test Description for Customer....', and Status 'INPROG.'. At the bottom, there is a checkbox for 'Select / Deselect Viewed Communications' and a 'Delete Selected' button.

Ref#	Date/Time	Summary	Most Recent Update	Status
<input type="checkbox"/> T351820	2011/12/14	Test Ticket from Anuj to test checking new Acct Mgmt	IBCS: Test Description for Customer....	INPROG.

Message Center Window

When you click **Support > Message Center**, the Message Center appears.

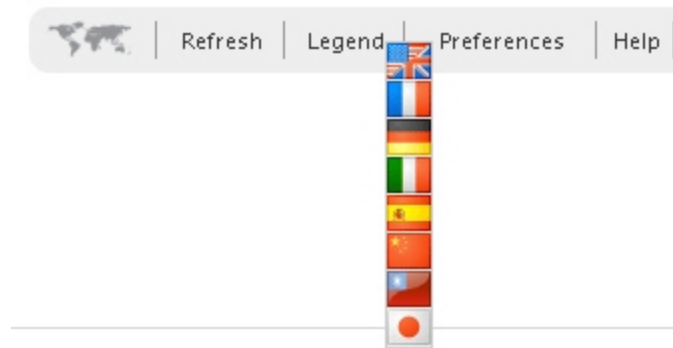


Viewing Tickets and Unread Messages

- View a list of the most recent inquiry tickets and unread messages by clicking the appropriate tab in the Customer Service Message Center window.
- For each ticket or message in the list, the Message Center displays the Ref# (unique for each message), the date and time, a summary of the ticket or message, the most recent update, the person or group assigned (usually IBCS for Customer Service), and the status.
- View an individual inquiry ticket or message by clicking anywhere on the item in the list.
- View the status of an inquiry ticket in the Status column. The Legend defines all possible statuses.
- Sort a list of tickets or messages by clicking on any column heading.
- Sort the list by read and unread items by clicking the **Sort Read/Unread** button.
- Update the list of messages or tickets by clicking the **Refresh** button.
- Use the Search function to search for specific tickets or messages on the current tab. Type the word or phrase you want to find, then click **Search Active Tab**.
- Delete old items from the list by checking the check box on the left side of an item, then click the **Delete Selected** button at the bottom of the window.

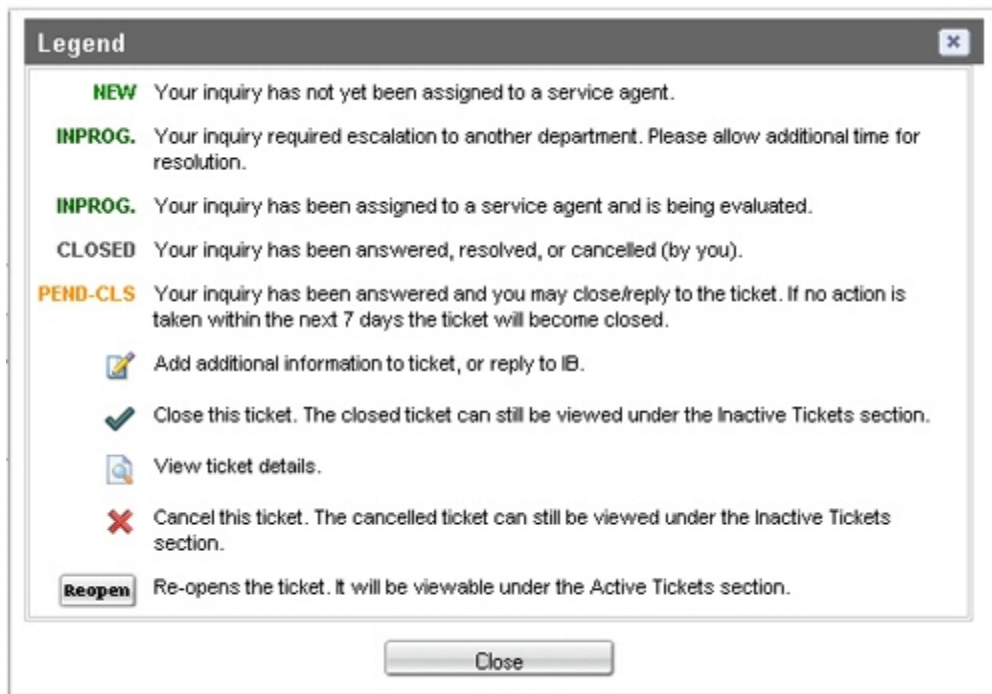
Changing the Display Language

You can change display language to any of the following languages by clicking the map icon, then selecting the appropriate flag icon:



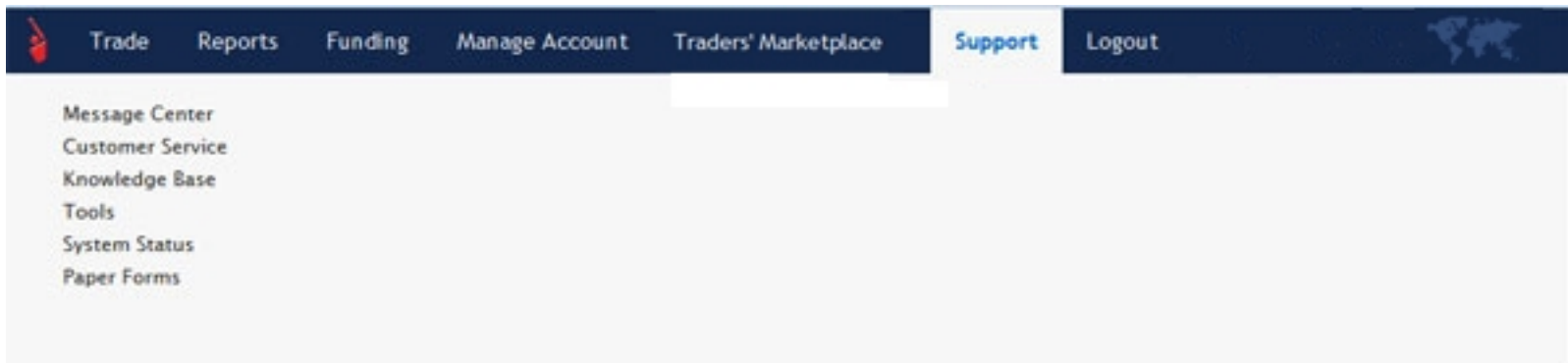
Viewing the Legend

The Customer Service Message Center Legend shows what all the possible inquiry statuses and icons mean. To view the Legend, click the Legend button.



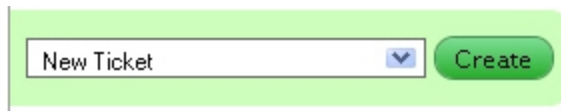
Creating a New Ticket

You create a new ticket in the Message Center. Before you create a new ticket, make sure that pop-ups are allowed in your web browser.



To create a new inquiry ticket

1. Click **Support**. The Message Center appears.
2. In the Message Center window, make sure New Ticket is selected in the list, then click **Create**.



The New Ticket window opens.

The screenshot shows a 'New Ticket' form window. At the top, there is a blue header with the title 'New Ticket' and window control buttons. Below the header, the form contains several sections: 'Inquiry related to' with a dropdown menu showing '*U [redacted]'; 'Account:' with a dropdown menu; 'Category:' with a dropdown menu showing 'Please choose a Category from the list'; 'Brief Summary of Problem/Request: (max 100 characters)' with a text input field; 'Detailed Description of Problem/Request:' with a larger text input area; and 'Attach File(s): (max 3MB total, max 2MB per file)' with two file input fields labeled 'File 1:' and 'File 2:', each with a 'Browse...' button. At the bottom of the form are three buttons: 'Reset Form' (black), 'Cancel' (red), and 'Send' (green).

3. Select a category and subcategory for the inquiry. The combination of categories and subcategories let us route your inquiry to the Expert who is specialized or is most experienced for your particular issue.

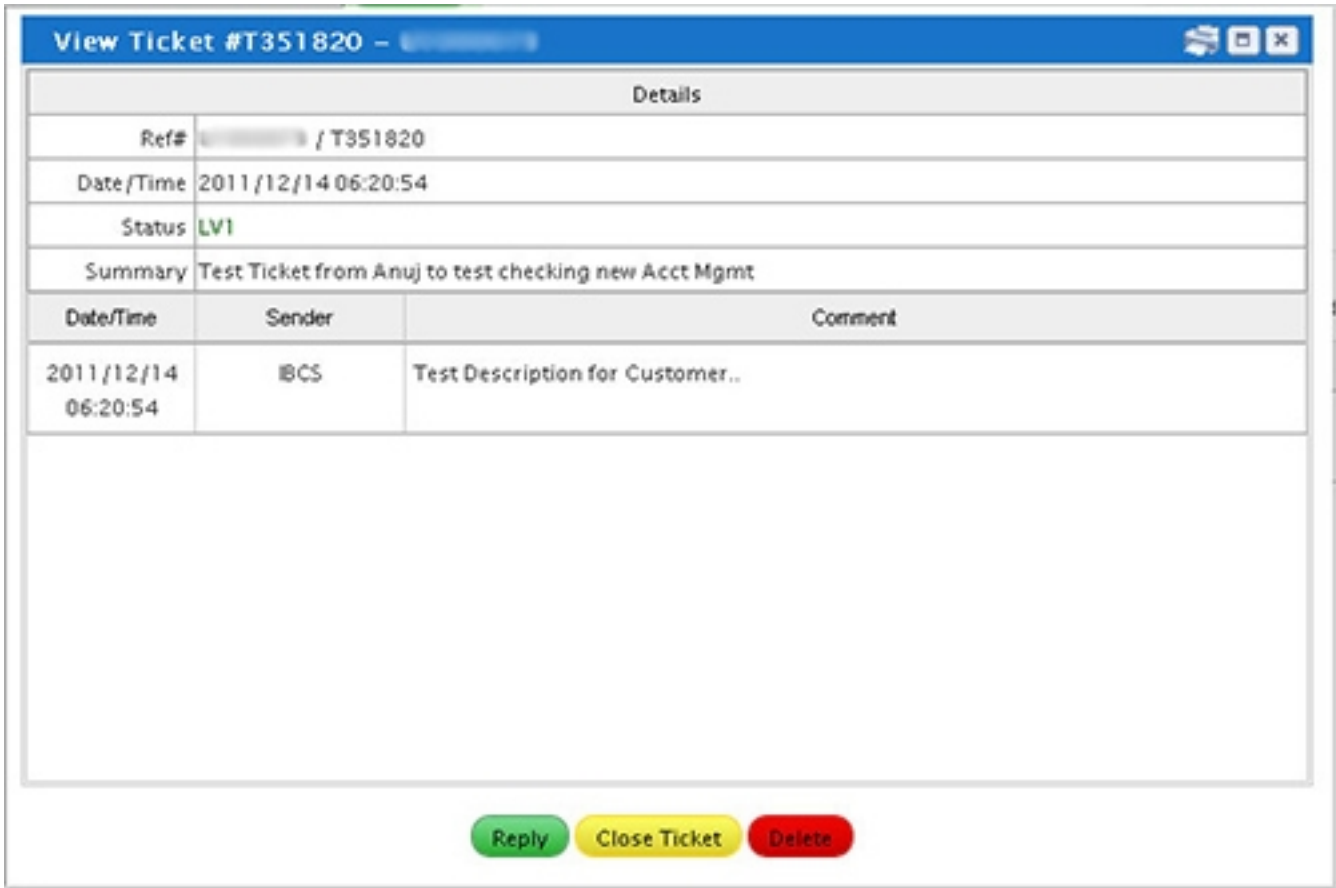
This screenshot shows the 'New Ticket' form with the 'Category:' dropdown menu open. The main category is 'Funds & Banking'. The subcategory dropdown is open, showing a list of options: 'Please choose the appropriate topic for 'Funds & Banking'', 'Cash Deposits', 'Position Transfers', 'Other Deposits and Withdrawals', 'Cash Withdrawals', 'Transaction Status', and 'Hold Period/Withdrawal Restrictions'. The rest of the form, including the 'Brief Summary', 'Detailed Description', and 'Attach File(s)' sections, remains visible in the background.

4. In the Brief Summary field, modify the brief description of your inquiry. This is the text that appears in the Summary column of the list of tickets in the main Message Center window.
5. In the Detailed Description field, modify the detailed description or question. Please be as specific and complete as possible (for example, exact dates/times, IB TWS version, and so on), as this lets us accurately research your inquiry to give you the best and fastest response. The Detailed Description field expands as you type, so don't worry about running out of space in which to describe your issue.
6. Optionally attach up to two files to your inquiry using the Attach Files fields. Click the Browse button to select a file on your computer. You can attach files with a total size of 3MB, and each file you attach must not be more than 2MB.
7. Click **Send**, then click **OK** to dismiss the confirmation message that appears. Click **Cancel** if you change your mind and do not want to submit the ticket, or **Reset Form** to reset all the fields in the New Ticket to blank.
8. Your new inquiry is listed on the Tickets tab in the Message Center, along with the ticket reference number and a status of NEW.

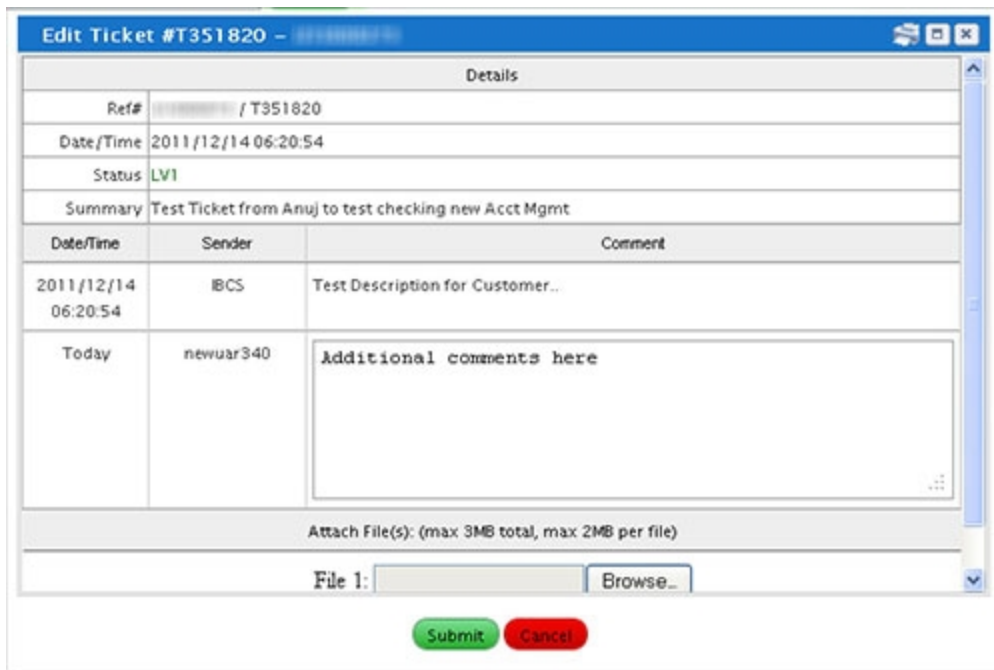
Modifying a Ticket

To modify an existing inquiry ticket

1. Click **Support**. The Message Center appears.
2. Click the Tickets tab to view all of your tickets.
3. Click the row that contains the ticket you want to modify. The View Ticket window opens.



4. Click **Reply**. The Edit Ticket window opens.



5. In the text box, replace the text "Additional comments here" with your own text, and attach any additional files using the File fields at the bottom of the window.
6. Click **Submit**.

Setting Ticket Notification Preferences

If you prefer, you can tell us to send you additional notification when an inquiry ticket is updated. You can be notified via email, IB TWS or SMS (Short Message Service) on your mobile telephone.

To set ticket notification preferences

1. Click **Support**. The Message Center appears.
2. Click **Preferences** in the top right corner of the Message Center.

The Message Preferences window appears.

1. Select Language	
Primary:	English
Secondary:	English

2. Select Subscriptions and Delivery Mode					
Message Type	Subscribe	Delivery Mode			
		Message Center	TWS	Email	SMS? Cell
Ticket Inquiries /Responses	Yes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
General Notices	Yes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

3. Select Security Level?

Email security level: Non-Secure Secure

Save Close

3. Select a primary and secondary language for messages.
4. For each Message Type, select one or more the three available notification methods (IB TWS, Email or SMS) by clicking the appropriate check box.
5. For email and SMS notification, select **Secure** or **Non-Secure** by clicking the appropriate radio button.
 - Secure notification - you will be send a generic notification that contains no private information.
 - Non-secure notification - you will receive the actual reply content. Note that this option may result in the content being viewable by an unauthorized third party.

6. Click **Save**.

Closing a Ticket

You can close open inquiry tickets in the Customer Service Message Center.

Close an open ticket when your inquiry has been resolved (for example, an exchange access problem that has already been fixed), or you if you have received a satisfactory answer. This changes the status of the ticket Closed. Close tickets as soon as possible once you are satisfied. Customer Service managers may close tickets in cases where the ticket appears to be fully answered but has not been closed by the customer.

To close an open inquiry ticket

1. Click **Support**. The Message Center appears.
2. In the Message Center, click the Tickets tab.
3. Click the row that contains the ticket you want to close. The View Ticket window opens.

The screenshot shows a window titled "View Ticket #T351820". The window contains a "Details" section with the following information:

Ref#	[redacted] / T351820	
Date/Time	2011/12/14 06:20:54	
Status	LVI	
Summary	Test Ticket from Anuj to test checking new Acct Mgmt	

Below the details is a table with columns "Date/Time", "Sender", and "Comment":

Date/Time	Sender	Comment
2011/12/14 06:20:54	IBCS	Test Description for Customer..

At the bottom of the window are three buttons: "Reply" (green), "Close Ticket" (yellow), and "Delete" (red).

4. Click **Close Ticket** to cancel the ticket.
5. View closed inquiry tickets on the Tickets tab by clicking the **Show All** radio button.

Viewing Corporate Actions

You can view and participate in corporate actions from the Corporate Actions tab in the Customer Service Message Center. You can view notification of all upcoming corporate actions that may affect you, based on the positions you hold. This means for example, that regardless of whether you hold a stock, option, bond, or SSF position in ABC company, you will receive notification of any and all upcoming corporate actions on ABC stock. We notify you of impending actions up to three months out, and track 14 different types of voluntary and mandatory corporate actions, including dividends, forward and reverse splits, spinoffs and issuances, mergers, name/symbol changes, and a variety of tenders and offers.

To view corporate actions

1. Click **Support**. The Message Center appears.
2. Click the Corp Actions tab.
3. Each notification is displayed on a separate line along with the View and Edit icons in the Functions column. Do one of the following:
 - Click the **View** icon to display details and a full description of the corporate action.
 - Click the **Edit** icon to open the Voluntary Corporate Action (CA) Election tool, which lets you submit instructions on voluntary corporate actions during an open election period. You can also access Corporate Actions using the Corporate Action Tool, available on the Customer Service Tools page.

The following figure shows an example of a corporate action notification.

The screenshot displays the Customer Service Message Center interface. At the top, there is a 'New Ticket' dropdown and a 'Create' button. Below this is a search bar labeled 'Search Active Tab'. The main navigation tabs include 'Unread', 'Tickets', 'Messages', and 'Corp Actions', with 'Corp Actions' currently selected. The main content area shows a list of corporate actions with columns for 'Ref#', 'Date/Time', and 'Summ'. A message with Ref# CA17224398 and Date/Time 2009/11/16 is selected. A 'View Message # CA17224398' dialog box is open, showing the following details:

Date/Time	Sender	Comment
2009/11/16 07:48:29	IBCS	We have received information regarding an upcoming Dividend Rights Issue in the below stock. EDF EDF SA Per the current information available, the election period will open on Nov 16, 2009 00:00 EST. The offer is set to expire Dec 03, 2009 11:00 EST. Instructions may be submitted by following the "Select CA Choice" icon below.

Below the table, there is a red disclaimer: "IB provides Corporate Action notifications and information on a best efforts basis only. IB does not warranty that this information is accurate, timely, or complete. The information is provided to IB by third party vendors and may be subject to errors and omissions and changes without prior or additional notice. Clients are urged to verify the information prior to using it in their investing and trading decisions by consulting the issuing company's website, financial news services, or by contacting the company's investor relations department." At the bottom of the dialog, there are buttons for 'Print Ticket', 'Select CA Choice', and 'Close'. The main interface also includes a 'Sort Read-Unread' button and a 'Delete Selected' button at the bottom.

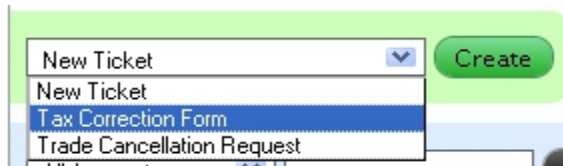
Submitting a Tax Reporting Correction Form

You can submit a Tax Reporting Correction form from the Customer Service Message Center. Use this form to request changes or report problems with one of the tax statements (1099, 1042, T3/T5, etc). By submitting this special form instead of submitting a normal inquiry ticket, you will help us process your requested corrections as quickly as possible.

You can also access the Tax Reporting Correction form from the **Support > Tools** page.

To submit a Tax Reporting Correction Form

1. Click **Support**. The Message Center appears.
2. Select *Tax Correction Form* from the drop-down, then click **Create**.



The Tax Reporting Correction Form opens.

 A screenshot of the 'Tax Reporting Correction Form' window. The form has a blue title bar and contains the following sections:

- Please select the tax year:** A dropdown menu showing '2011'.
- Please indicate your taxpayer status:** Three radio buttons: 'U.S. taxpayer' (selected), 'Canadian taxpayer', and 'Non-U.S. taxpayer'.
- Please select the type of correction: (check all that apply)** A grid of checkboxes for various correction types:
 - 1099-B Proceeds stock/equity transactions
 - 1099-DIV Dividends and Distributions
 - 1099-R Distributions from IRAs
 - 1099-B for Futures profit and loss
 - 1099-MISC Miscellaneous Income
 - 5498 IRA Contribution Information
 - 1099-INT Securities account interest income
 - 1099-OID Original Issue Discount
 - Tax Identification Number / Tax Payer Status
- Security Details:** A table with columns: Form, IB Underlying, Exchange, Transaction Date, Reason for correction. The 'Form' column has a 'Choose' dropdown. Below the table is an 'Add another row' button.
- Reason for correction: (Add any extra information here)** A large text area for providing details.
- At the bottom are three buttons: 'Reset Form' (black), 'Cancel' (red), and 'Send' (green).

3. Select the tax year for which you wish to report a correction from tax year list.
4. Select your taxpayer status by clicking the appropriate radio button:

- U.S taxpayer
- Canadian taxpayer
- Non-U.S. taxpayer

All available tax forms for your selected taxpayer status display in the form.

5. Click the check box for each tax form that you wish to correct.

The form displays additional options for each box in the selected tax form that can be corrected.

6. Click each check box that corresponds to the tax form box you wish to correct.
7. In the Security Details section, select the tax form you wish to correct from the Form list, then enter any underlying, the exchange, transaction date and reason for correction in the fields provided.
8. Type any additional information in the Reason for correction text field, then click **Send** to submit the completed form.

Requesting a Trade Cancellation

You can bust a trade using the Order Cancellation Request form in the Customer Service Message Center. After you submit this form to inform us of problem or erroneous trades, we will report these trades to the appropriate exchange on a best efforts basis. Please note that this is a time-sensitive process. Most exchanges have very short time periods (as little as 8 minutes), during which they will accept a request for cancellation.

We recommend that traders find and report problematic trades using this tool and thereafter follow up immediately, contacting us by telephone. In addition to uncertainties in response speed, trade cancellation requests initiated by telephone are prone to delays identifying the correct account and transactions.

You can also access the Order Cancellation Request form from the **Support > Tools** page.

To request a trade cancellation

1. Click **Support**. The Message Center appears.
2. Select *Trade Cancellation Request* from the drop-down, then click **Create**.



The Order Cancellation Form opens.

3. Select the date of the problem or erroneous trade from the Trade Date list. Trade dates are based on EST (Eastern Standard Time).
4. Select the type of contract involved in the trade from the Contract Type list. Select Stock, Future, FutureOption, Option, Warrant, Cash or Bond.
5. Type the reason for the request in the Reason for Request box.
6. Click **Get Trades** to display all available trades of the select contract type on the selected date.
7. Read the statement at the bottom of the form, then click the check box to confirm your agreement.
8. Click **Send** to submit the form.

For more information

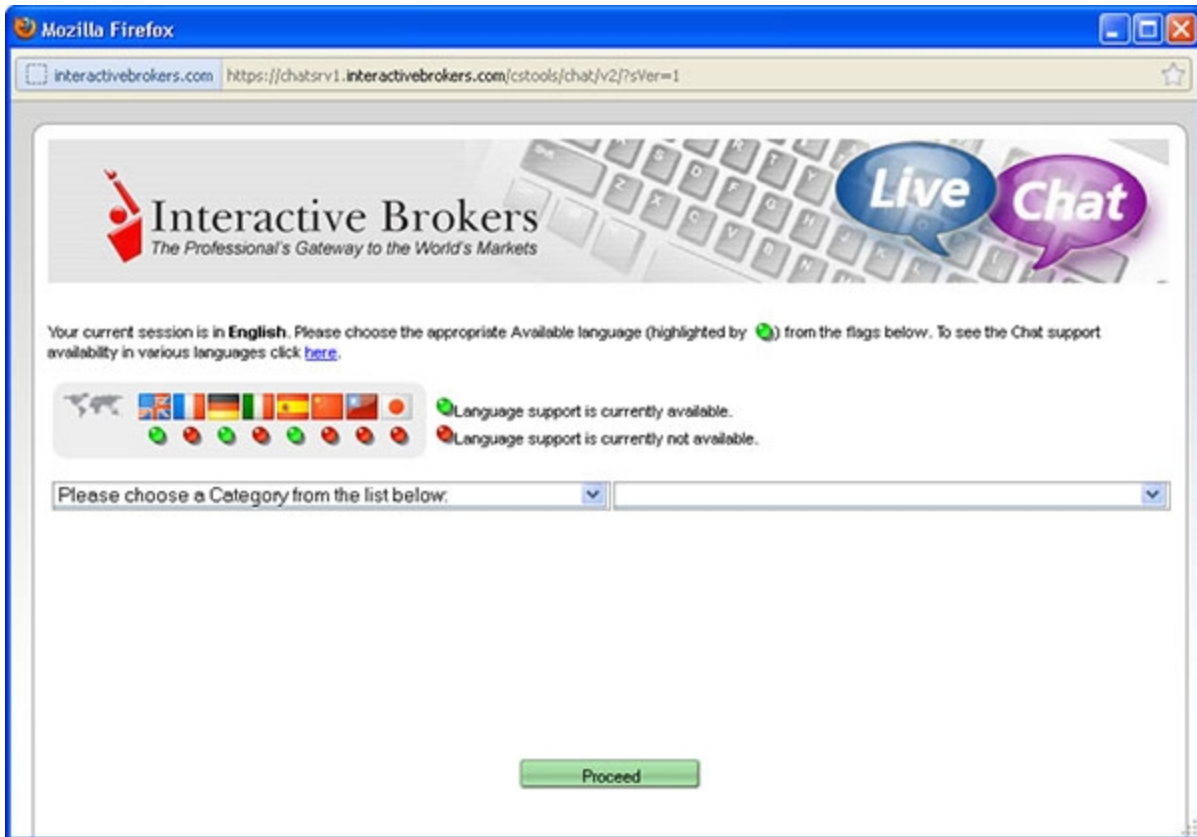
- [Erroneous Trade Policy](#)

Live Chat

Customer Service Live Chat lets you communicate directly with an Customer Service representative in real time. Because it is authenticated and uses secure communications, staff are able to provide account specific information in a secure manner. Transcripts are available on demand. We recommend using the Customer Service Live Chat for funding/banking and account application inquiries.

To access Customer Service Live Chat

1. Click **Support** > **Customer Service** > **Live Chat**. The Live Chat window opens.



2. In the Customer Service Live Chat window, select a category from the Category list. This is the subject on which you are seeking assistance.
3. Select a subcategory from the Sub-Category list.
4. Select your language by clicking the appropriate flag. A flag with a green dot below it indicates that support is currently available in that language. A flag with a red dot indicates that support is NOT currently available in that language.
5. Click **Proceed**.

A Customer Service representative will appear online in a few moments.

Customer Service Contact Information

This page gives you all the information you need to contact our Customer Service department.

To access the Contacts page

1. Click **Support > Customer Service > Contacts**.

Phone
Chat
Email
Fax/Postal
Tips for Best Service
Erroneous Trade Policy

Phone

IB offers 24-hour customer service via regional Customer Service Centers located through-out America, Europe and Asia. While there's an agent always available to assist with your inquiries, answers can oftentimes be found quickest and without a phone call directly from IB's website and [Knowledge Base](#). The list of Quick Tips below contains responses to the most common questions and answers to others can be found by entering keywords associated with your inquiry into the search engine above.

Quick Tips		
How to Deposit Funds Via a Wire Transfer [↗]	How to check the status of funding transactions [↗]	How to Submit a General Inquiry Web Ticket [↗]
How to Deposit Funds Via an ACH Initiated by Interactive Brokers [↗]	Introduction to the Trader Workstation [↗]	IB Market Data Assistant [↗]
How to Deposit Funds Via a Check [↗]	WebTrader: Introduction [↗]	An Introduction to Forex (FX) [↗]
How to Transfer U.S. & Canadian Securities Positions [↗]	Secure Login with Interactive Brokers Secure Code Card [↗]	Setting Communication Preferences [↗]

Select your local time zone from the drop-down list below to determine which Service Center is currently available to take your call. Calls received by a given Service Center outside local operating hours will be automatically routed to an available agent at another Service Center.

US Eastern Standard Time (New York) ▾

Calls to Interactive Brokers' Service Desks may be recorded for quality control purposes.

Location	Number	Hours of Operation	Menu Options
United States	1 (877) 442-2757 Toll free 1 (312) 542-6901 Direct dial	08:00 – 20:00 (Mon – Fri) (America/New York) 12:00 – 19:00 (Sun) (America/New York)	1 Existing Accounts 1 / 1 Trade Related Issues 1 / 1 / 1 Phone Orders

Service Tips

The Service Tips page contains information to help you get the most out of your experience with Customer Service.

To view the Service Tips page

1. Click **Support > Customer Service > Service Tips**.

Phone Chat Email Fax/Postal **Tips for Best Service** Erroneous Trade Policy

Tips Best Service

IB offers a variety of ways to get assistance and information including phone support, secure inquiry/trouble tickets, chat and email submitted through our website. While you can ask the same question using any of these channels, depending on the nature of your inquiry, you will get the best and most efficient service by using the methods recommended below.

Phone inquiries: recommended where there is time sensitivity, for example, a problem with an order or trade. In general, IB will answer our phone lines within a minute. *Funding/Banking* inquiries usually take longer. We suggest *Ticket* or *Chat* instead of phone for the following areas: funding, tax, statements, dividend & corporate actions.

Inquiry/Trouble Ticket: a new secure form system, enables a question to be sent from [Account Management](#) that is delivered directly to our main Customer Service database system. From here, the question is routed to the specialist or team within IB's Customer Service that is certified in the particular area of inquiry. It is SMART routing for questions. You will get an immediate reference number for the ticket, and your question will be allocated to a service agent usually within 2 hours. Where possible, we will also provide an answer within this timeframe, but even if additional research is needed, you will know who is handling your case, and be able to track its progress.

IB-Chat: our new chat service is accessible via [Account Management](#). It is designed to connect you to the service specialist best qualified to answer your question. Because it is authenticated and uses secure communications, IB staff are able to provide account specific information in a secure manner. Web page content, conferencing, and feedback are all features of this new system; transcripts are available on demand. We particularly recommend IB-Chat for *Funding/Banking* and *Account Application* inquiries.

Email: Free format email communications are no longer supported due to the proliferation of spam, phishing, and other forms of fraudulent communications. If you do not already have an IB account, we kindly ask you submit your inquiry using the form available on our website: <http://www.interactivebrokers.com/en/general/contact/newContact/contact.php>.

Existing customers should take advantage of the secure inquiry/trouble ticket system accessible through the Message Center within Account Management. Existing customers may also submit inquiries using the form above, with the response being routed to their Message Center. Urgent or time sensitive questions should never be submitted via this form.

Type of Request	Recommended Form of Contact	Response Time (estimated)
Trading		
Trade Bust requests	Phone	under 30 minutes

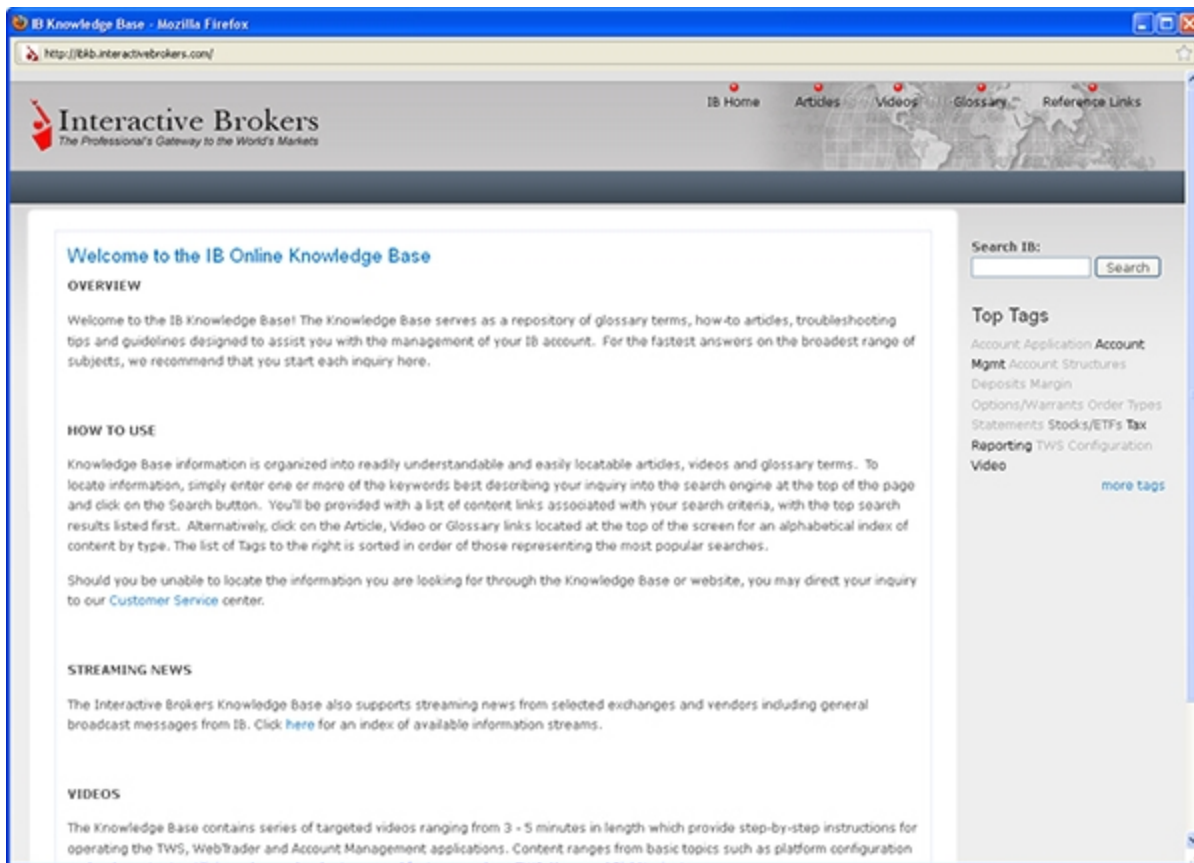
Knowledge Base

The Knowledge Base is a repository of glossary terms, how-to articles, troubleshooting tips and guidelines designed to assist customers with the management of their accounts.

To access the Knowledge Base from Account Management

1. Click **Support** then click **Knowledge Base**.

The Knowledge Base opens in a new window.



To locate information, enter one or more of the keywords best describing your inquiry into the search field at the top of the page, then click **Search**. A list of content links associated with your search criteria appears, with the top search results listed first.

You can also click the **Article**, **Video** or **Glossary** links at the top of the page for an alphabetical index of content by type. The list of Tags to the right is sorted in order of those representing the most popular searches.











Customer Service Tools

This page displays a list of links to useful Customer Service information and tools.

To access the Tools page

1. Click **Support** then click **Tools**.
2. Click an icon or its text label to open a specific page or tool.

Use the scroll bar to view more tools.

Tools	
	Contact Us Get our contact phone numbers, hours of service, and other general Customer Service information.
	Tips for Best Service IB offers a variety of ways to get assistance and information including phone support, web forms, and chat. While you can ask the same question using any of these channels, you will get the best and most efficient service by using the methods recommended here.
	Message Center Our secure web-from system ideally suited for non-urgent issues. Inquiries are sent directly to our main client database system where it is routed to the specialist or team within IB Customer Service that is certified in the particular area of inquiry. You will get an immediate reference number for the ticket, and know which agent in IB is working on your problem. You can enter follow-up information and attachments and also rate the quality of our service at the end.
	IB-Chat (Live) Our interactive chat service, accessible to clients from Account Management. Because it is authenticated and uses secure communications, IB staff are able to provide account specific information in a secure manner. Transcripts are available on demand. We recommend IB-Chat for Funding/Banking and Account Application inquiries.
	Trade Cancellation Request Use this web form to inform IB of problem or erroneous trades. We will then report them onwards to the appropriate exchange on a best efforts basis. THIS IS A TIME SENSITIVE PROCESS. Most exchanges have very short time periods during which they will accept a request for cancellation, as little as 8 minutes. We recommend that traders find and report problematic trades using this tool and thereafter follow up immediately, contacting IB by telephone. In addition to uncertainties in answer speed, trade cancellation requests initiated by telephone are prone to delays identifying the correct account and transactions.
	Tax Form Correction Use this form to request changes or report problems with one of the tax statements (1099, 1042, T3/T5, etc). By using this special form instead of the general web ticket, you will assist us to get your requested corrections processed as quickly as possible.
	Short Stock (SLB) Availability Use this tool to check on real-time availability of stocks from IB's SLB desk for borrowing/shorting purposes. Where available, we will also provide indicative borrow rates. These are rates at which dealers in the Securities Lending/Borrowing Market are willing to transact today. Stock transactions executed today will settle in 3 business days and the borrow rates may change during this time, sometimes significantly.
	IB Market Data Assistant This search tool helps traders select the appropriate IB market data subscription service for the stock(s) and derivatives they wish to trade. The search results also shows all exchanges, pro/non-pro, and depth-of-market variations so traders can select only what they need and economize on exchange data fees.
	Corp Actions This tool allows traders to review information on upcoming corporate actions relating to positions held in the account. This will include both mandatory and voluntary action types. This tool will also allow traders to submit elections to IB for voluntary offers.
	CMSS Customer Meeting Scheduler Service

System Status

This page lets you see the status of our system at a glance.

To view the System Status page

1. Click **Support** then click **System Status**.

The System Status page automatically displays in a new window.

Current System Status

Interactive Brokers System Status	
Updated: 2011/11/28 15:55:58 EST	Refreshed: 10:46 EST (Next Refresh: 60 seconds)

System Availability		
Stat	Message	Created/Updated
■ No problems	No problems reported at this time.	2011/11/29 2011/11/29

Legend	
■	Problem/Outage
■	Scheduled Maintenance
■	General Info
■	Normal Operations
■	Resolved

System Availability

IB operates three main computing centers around the globe; one in the U.S, one in Europe and one in Hong Kong. New customers are automatically assigned to one of these server facilities based upon their location and/or trading preferences.

Trading is available **24 hours a day, 7 days a week** with the exception of system reset times described in the table below.

Server Reset Times	North America	Europe	Asia
Saturday – Thursday	23:45 – 00:45 ET ¹	05:45 – 06:45 CET ¹	17:30 – 17:45 ET ¹
Friday	23:45 – 00:30 ET ²	23:45 – 00:30 ET ²	23:45 – 00:30 ET ²

For further information on system availability, please contact tac@interactivebrokers.com.

- » ¹The reset period describes the duration during which your account may be unavailable for a few seconds. It does not indicate that the entire system will be unavailable for the full reset period. During a reset period, there may be an interruption in the ability to log in or manage orders. Existing orders (native types) will operate normally although execution reports and simulated orders will be delayed until the reset is complete.
- » ²During the Friday evening reset period, all services will be unavailable in all regions for the duration of the reset.

RIA Forums

The RIA Forums page give Registered Investment Advisors access to the IB Advisor Forums, an online community for advisors. The IB Advisor Forums are built on a common Internet bulletin board forum and include the following features:

- Create and post comments in multiple forums. The Index tab displays all forums. Click any forum name to view the posts in that forum.
- Search for specific forum users and view a list of all forum users on the User list tab.
- Search for posts by keyword, author or forum on the Search tab.
- Enter and edit information about yourself, including email address, password, personal information, and edit display and privacy settings on the Profile tab.

To post on the Advisor Forums, you will need to log in with your [Voting Subscription](#) username and password. If you do not have a Voting Subscription username and password, you will be prompted to create them the first time you access the RIA Forums page.

IB Advisor Forums

Forums for Advisors.

Index
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Search
Profile

Logged in as **votetest** :: Last visit: Yesterday 13:25:06 :: Topics: [Posted](#) | [New](#) | [Active](#) | [Unanswered](#)

Advisors	Topics	Posts	Last post
<input type="checkbox"/> General	3	7	2015-06-16 19:40:38 by Zora

[Mark all topics as read](#)

Newest registered user: **petrova**

Registered users online: **1**

Guests online: **1**

Total number of registered users: **3**

Total number of topics: **3**

Total number of posts: **7**

Online: **votetest**

Jump to

[Atom active topics feed](#)

Powered by **FluxBB**

Paper Forms

A variety of Account Management forms are available on this page. The forms available from this page are in PDF format and can be electronically completed by a client, or printed by an advisor and sent to the client to complete.

Who can access the Paper Forms page?

You can access this page if you are a(n):

- Advisor Master User
- Proprietary Trading Group Master User
- Investment Manager Master User

Using Account Management Forms

Clients can log into Account Management with their personal username and password and access and print a form then manually complete it, or a master account user can log into Account Management and print the form for a client to complete.

To access paper forms

1. Click **Support > Paper Forms**.
2. Click the name of the form that you want to access. The form displays in a new browser window. You can print the form from there.

Reference

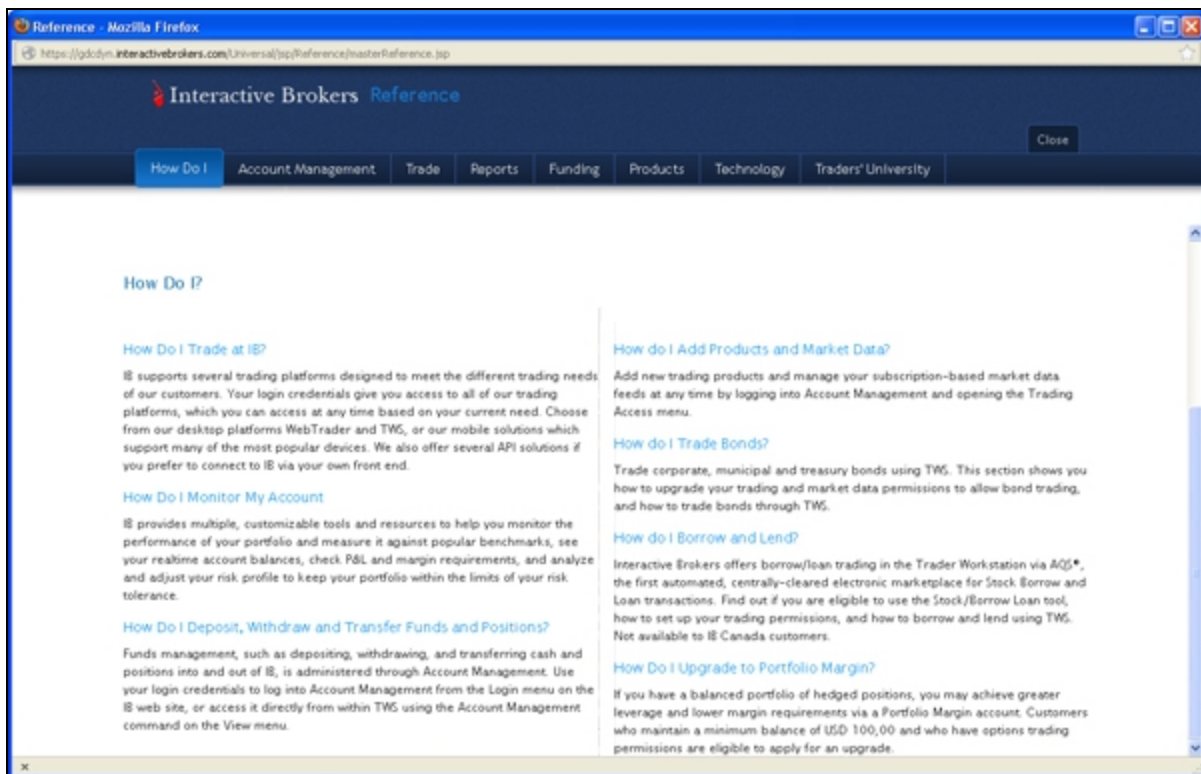
The Reference menu includes a wealth of information for customers, including detailed instructions on order types, margin, products and exchanges. The Reference menu is divided into categories to help you quickly find important information.

The Reference menu includes the following categories:

- [How Do I](#)
- [Account Management](#)
- [Trade](#)
- [Reports](#)
- [Funding](#)
- [Products](#)
- [Technology](#)
- [Traders' University](#)

To open the Reference menu, click **Reference** in the lower right corner of Account Management.

The Reference menu opens in a new window. To close the Reference menu, click the **Close** button.



Accessing the Reference Menu

To access the Reference menu, simply click the **Reference** button located in the upper right corner of Account Management.

The screenshot displays the Account Management dashboard. At the top, there is a navigation bar with links for Trade, Reports, Funding, Manage Account, Manage Clients, Investors' Marketplace, Support, and Logout. Below this is a secondary navigation bar with Summary (selected), Positions, Pending Items (0), Messages (0), and Corporate Actions (0). The main content area shows account details for 'Yankee' as of 8:18:10 AM. It includes three tables: Balances (USD), Current Margin Requirements (USD), and Current Available for Trading (USD). To the right, there are promotional banners for 'Getting Started at IB for Advisors' and 'News'. At the bottom right, a yellow callout bubble contains the text 'Dynamic Help and Reference Menu', pointing to the 'Reference' button in the footer.

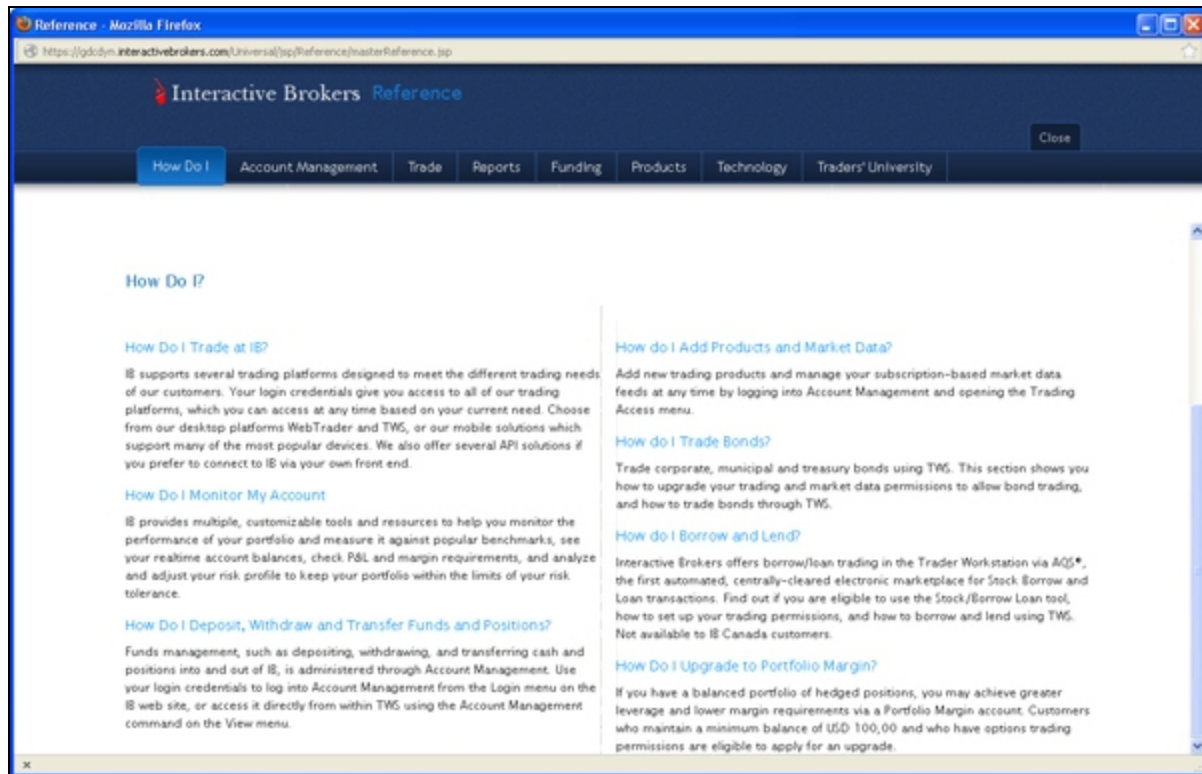
	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Net Liquidation	724.82	0.00	0.00	724.82
Equity With Loan	724.82	0.00	0.00	724.82
Cash	724.82	0.00	0.00	724.82

	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Initial	0.00	0.00	0.00	0.00
Maintenance	0.00	0.00	0.00	0.00

	IBUK Securities	IBUK Futures	IBUK Regulated	Total
Available Funds	724.82	0.00	0.00	724.82
Excess Liquidity	724.82	0.00	0.00	724.82
Buying Power				724.82
SMA				724.82

Footer: Yankee - [Account ID] PDF Help **Reference**

The Reference menu opens in a new browser window while you remain logged into Account Management.



To exit the Reference Menu, click the **Close** button.

How Do I Reference

The How Do I Reference menu contains quick answers to questions about common tasks, such as trading or adding market data, along with links to more detailed explanations and procedures.

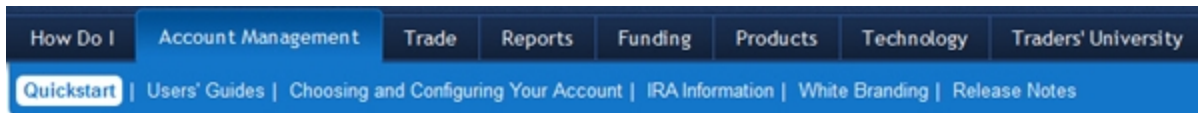


The following How Do I sections are included:

- **How Do I Trade at IB?**
- **How Do I Trade Bonds?**
- **How Do I Monitor My Account?**
- **How Do I Deposit, Withdraw and Transfer Funds and Positions?**
- **How Do I Add Products and Market Data?**
- **How Do I Borrow and Lend?**

Account Management Reference

The Account Management Reference menu contains Account Management-specific documentation as well as reference information about account configuration and white branding.



The following menu items are included:

- **Quickstart** - Designed for new users, this one page summary can get you up and running in Account Management quickly.
- **Users' Guides** - Includes links to the full Account Management User's Guide as well as our User Access Rights Guide for institutional account holders.
- **EmployeeTrack Users' Guide** - EmployeeTrack customers can access the EmployeeTrack Management Users' Guide here. Note that only EmployeeTrack customers will see this menu item.
- **Choosing and Configuring Your Account** - Learn about customer types, account types, trading permissions, IRA account information, and more.
- **IRA Information** - Describes all of our IRA accounts, IRA transfer methods and contribution limits, and includes IRA account Frequently Asked Questions.
- **White Branding** - Describes how Advisors, Brokers and Fund Investment Managers can put their own company information on Account Management, Trader Workstation, Statements and more.
- **Release Notes** - See what new features and changes to existing features are included in the latest Account Management release.

Trade Reference

The Trade Reference menu contains information related to trading. The following information and tools are included:

- **Margin** - The complete guide to understanding how IB margin accounts work, including margin calculations, examples and margin requirements for all asset types.
- **Order Types** - Complete explanations of all IB-supported order types, including interactive examples.
- **Securities Financing** - Complete explanations on short selling, including descriptions of short sale mechanics and buy-in procedures, up-to-date lists of shortable instruments, and information about IB's Stock Yield Enhancement Program and Pre-Borrow Program.
- **Delivery and Exercise** - Information about futures and futures options physical delivery, exercising options and CFD corporate actions.
- **Exposure Fee** - Information about exposure fees for high risk account.
- **Advisor Fee Cap** - Information about caps and limitations of Advisor Fees.

Short Stock Availability Tool

Use the Short Stock Availability tool to get the number of shares available of a particular stock for shorting and the current indicative borrow rate.

Using this tool, you can:

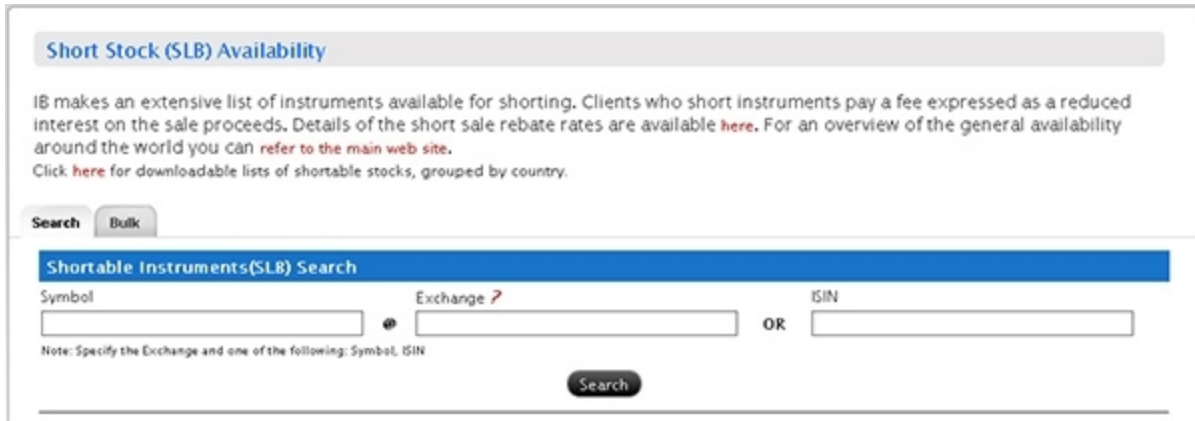
- Search for any stock by symbol and exchange, ISIN or CUSIP number.
- View availability, number of lenders, and current indicative borrow rate.
- View historical indicative borrow rates and download these rates in a comma-separated values (.csv) file, which you can open in Microsoft Excel.
- Find short stock availability for a single symbol, or for multiple symbols uploaded in a bulk request file.

Any stock or option symbols displayed are for illustrative purposes only and are not intended to portray a recommendation.

To use the Short Stock Availability tool

1. Click **Reference > Trade > Short Stock Availability**.

The Short Stock Availability tool opens, showing the Short Stock (SLB) Search form.



2. Search for a stock by entering the symbol and exchange, the ISIN number or the CUSIP number, then click **Search**:

- Type the symbol and exchange in the *Symbol* and *Exchange* fields, respectively.

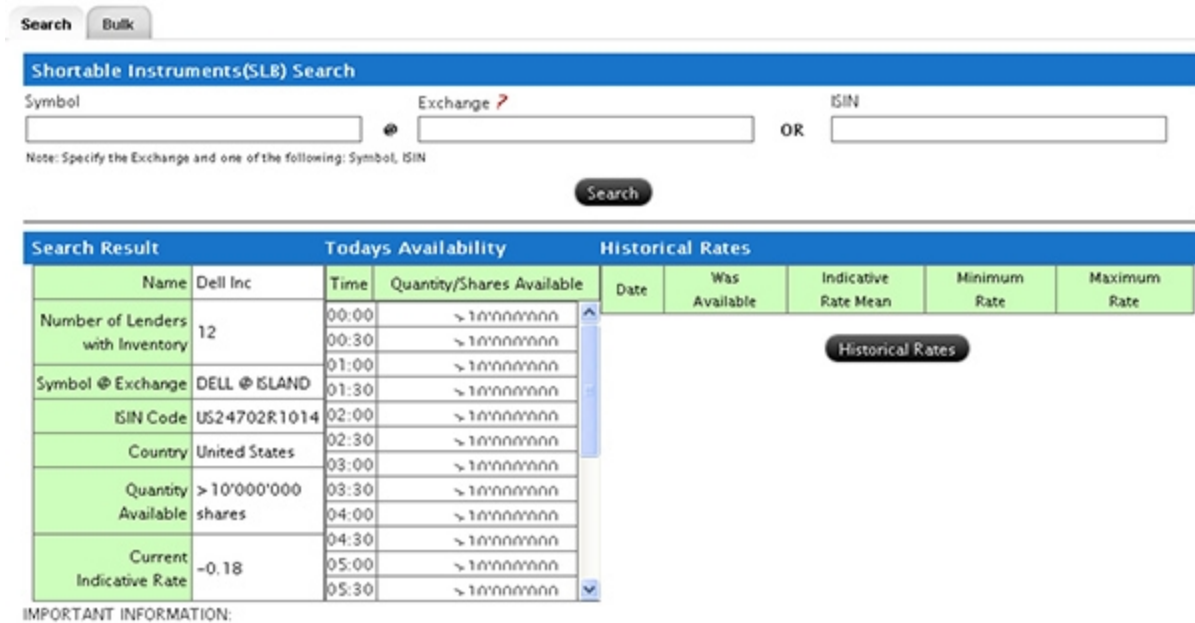
or

- Type the ISIN number in the *ISIN* field.

or

- Type the CUSIP number in the *CUSIP* field.

The search results are displayed below the search fields. The following figure shows an example of search results for the symbol DELL.



Any stock or option symbols displayed are for illustrative purposes only and are not intended to portray a recommendation.

- To view the historical indicative borrow rates, click **Historical Rates**. The historical rates are displayed.

Search Result		Today's Availability		Historical Rates				
Name	Dell Inc	Time	Quantity/Shares Available	Date	Was Available	Indicative Rate Mean	Minimum Rate	Maximum Rate
Number of Lenders with Inventory	12	00:00	> 100000000	29-NOV-11	Yes	-0.17	-0.18	-0.16
Symbol @ Exchange	DELL @ ISLAND	00:30	> 100000000	28-NOV-11	Yes	-0.17	-0.17	-0.16
ISIN Code	US24702R1014	01:00	> 100000000	27-NOV-11	Yes	-0.17	-0.17	-0.17
Country	United States	01:30	> 100000000	26-NOV-11	Yes	-0.17	-0.17	-0.17
Quantity Available	> 10'000'000 shares	02:00	> 100000000	25-NOV-11	Yes	-0.17	-0.17	-0.17
Current Indicative Rate	-0.18	02:30	> 100000000	24-NOV-11	Yes	-0.17	-0.17	-0.17
		03:00	> 100000000	23-NOV-11	Yes	-0.17	-0.17	-0.17
		03:30	> 100000000	22-NOV-11	Yes	-0.21	-0.25	-0.17
		04:00	> 100000000	21-NOV-11	Yes	-0.25	-0.25	-0.25
		04:30	> 100000000	20-NOV-11	Yes	-0.25	-0.25	-0.25
		05:00	> 100000000					
		05:30	> 100000000					

- Download a comma-separated value (.csv) file containing the historical indicative rates by clicking **Download**, then saving the file to your computer. You can open this file in any spreadsheet program that imports .csv files, including Microsoft Excel.

To use the Short Stock Bulk Request

- Click **Reference**, then click **Short Stock Availability**.
The Short Stock Availability tool opens.
- Click the **Bulk** tab to open the Short Stock(SLB) Bulk Request form.

Search Bulk

Shortable Instruments(SLB) Bulk Request

Click Browse to upload the bulk request file: (max 2MB)

Include Stocks Include Bonds

Note: Please ensure that pop ups are enabled.

File Format Instructions For Bulk Request
 Your file must include a header indicating which format your file is using.
 The header must begin with the pound "#".
 The following headers are acceptable (use only one per file)
#SYMBOL
#ISIN
 Each row must have SYMBOL or ISIN and the EXCHANGE.
 Use the semi-colon ";" as the delimiter for each row.
 Use the Sample buttons below to see the example files.

Click one of the buttons below to download the sample files

IMPORTANT INFORMATION:

3. Create your bulk request file as a text file according to the following rules, which are also displayed on the Bulk Request page:

- Each bulk request file must include a header that indicates the format you are using. Headers must be one of the following (one per file):

```
#SYMBOL
#CUSIP
#ISIN
```

- Each row in the bulk request file must include the following:

SYMBOL, CUSIP or ISIN, and the exchange.

- Use a semi-colon (;) as the delimiter for each row.

Here is an example of a SYMBOL bulk request file. It is one of the three sample files available for download on the Short Stock (SLB) Request form:

```
#SYMBOL
AA;NYSE
IBM;ARCA
WIND:NASDAQ
```

If you use the sample bulk request files on a Windows platform, we recommend doing any editing in Wordpad instead of Notepad.

4. Click the **Browse** button to locate the bulk request file on your computer that you want to upload.
5. Click **Process**.

If you are using Firefox, you are prompted to save or download the results.

If you are using Internet Explorer 7, the results display on a new tab in the browser.

Corporate Action Tool

This tool allows traders to review information on upcoming corporate actions relating to positions held in the account. This will include both mandatory and voluntary action types. This tool will also allow traders to submit elections to IB for voluntary offers.

You can also use access the Voluntary Corporate Action tool from within the Customer Service Message Center.

To use the Corporate Action Election tool

1. Click **Reference > Trade > Corporate Actions**.

The screenshot shows the 'Corporate Action Manager' interface. It has two tabs: 'Choice Corporate Actions' (selected) and 'Other Corporate Actions'. Below the tabs is a section titled 'Voluntary Corporate Actions' containing a table with the following data:

Deadline (LOCAL)	Symbol/Exchange	Description	Type	Eligible	State	Action
20111115 20:00 (LOCAL)	NHR/ASX	NATIONAL HIRE GROUP LIMITED	Tender Issue	0	Closed	View
20111124 02:00 (LOCAL)	SIU/ASX	SIRIUS CORP LTD	Rights Issue	0	Closed	View
20111124 02:00 (LOCAL)	LOM/ASX	LONRHO MINING LTD	Rights Issue	0	Closed	View
20111124 02:00 (LOCAL)	CFU/ASX	CERAMIC FUEL CELLS LTD	Rights Issue	0	Closed	View
20111124 02:00 (LOCAL)	KAHL/SFB	KAPPAHL AB	Rights Issue	0	Closed	View
20111124 04:00 (LOCAL)	83/SDHK	SINO LAND CO	Generic Voluntary	0	Closed	View

Voluntary corporate actions appear on the **Choice Corporate Actions** tab. Master account users can view voluntary corporate actions for their client/sub accounts on the **Other Corporate Action** tab.

2. Each notification is displayed on a separate line along with the **View** and **Allocate** links in the Action column. Do one of the following:
 - Click **View** to display details and a full description of the corporate action.
 - Click **Allocate**.

The Voluntary CA Election box appears.

Voluntary CA Election

Seven Group Holding Ltd has offered to purchase the outstanding shares of NATIONAL HIRE GROUP LIMITED common stock at a price of AUD 3.00.

Restricted countries: None

The deadline to tender shares to the offer will be 2011-11-16 09:00 (Asia/Hong_Kong).

In the absence of an election, no action will be taken.

Voluntary Corporate Action

NATIONAL HIRE GROUP LIMITED

AU000000NHR5

Effective Date: 2011-10-05

Deadline: **20111116 09:00 GMT+8:00**
20111115 20:00 (LOCAL)

	Position(s) eligible for allocation [as of 20111129 11:03 (LOCAL)]	0		?	
	Unallocated Position(s) [Including, not yet saved: 0]	0	(0%)		
Choice(s)	Description	Current	(%)	New	(%)
1 (Default)	Take no action	0	(0)	-	
2	Submit shares for cash	0	(0)	-	

New elections for a specific account should be entered as a share quantity!

We strongly recommend clients to read the User Guide for this interface by clicking the "Help" button below. Failure to properly submit your corporate action decisions may result in processing errors that may lead to a negative economic result for your portfolio.

I have read and agreed to the [Terms and Conditions](#) Last Revised 525 days ago.

Help
Save

The Voluntary CA Election box includes the following:

- Description – This section is located in the upper left of the box and provides the term details on the corporate action.
- Summary – This section is located in the upper right corner of the box and provides a quick snapshot of the relevant dates on the action, including corporate action type, security information, effective date of the action and the deadline for submitting instructions on the account.
- Position – This section provides a summary of the current position in the account as well as the number of shares currently unallocated to the voluntary offer. Shares which remain unallocated at the deadline of the offer will be automatically allocated by us to the default choice.
- Choice table – This table lists the options that are available under the given corporate action as well as the current position allocated to a given option. Each line displays:
 - Description of the option available.
 - Elected position (%) – reports the quantity of shares previously submitted to the option as well as that quantity as a percentage of the current available position
 - New election (%) – field in which you enter the number of shares you wish to submit to the option.

3. To allocate shares to a voluntary corporate action, enter the number of shares you wish to allocate to a given option in the New Election field. The share quantity you enter will be added to any previously allocated quantity.
4. Click the acknowledgment check box, then click **Save**. Your instructions will be submitted to us for processing. We will send confirmation to the Message Center within 30 seconds of accepting your submitted choice. If you do not receive confirmation, contact us immediately as non-confirmed elections are not processed.

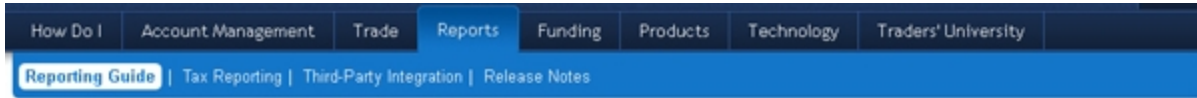
Note: If no election is submitted and acknowledged by us, the default allocation will be processed for the non-electing shares.

5. Click the **Other Corporate Actions** tab to view additional corporate actions.



Reports Reference

The Reports Reference menu contains information about statements and reports.

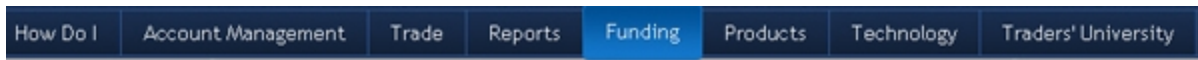


The following menu items are included:

- **Reporting Guide** - The complete reference for all of IB's reports, including step-by-step procedures and complete descriptions of every field in every report. Available as online help and as a downloadable PDF.
- **Tax Reporting** - Includes important information for IB customers about taxes and tax reporting.
- **Third-Party Integration** - Institutional account holders can learn how integrate their reports with third-party software.
- **Release Notes** - See what new features and changes to existing features are included in the latest reporting release.

Funding Reference

The Funding Reference menu contains information about funding, including deposit, withdrawal and position transfer details, rules and limitations.

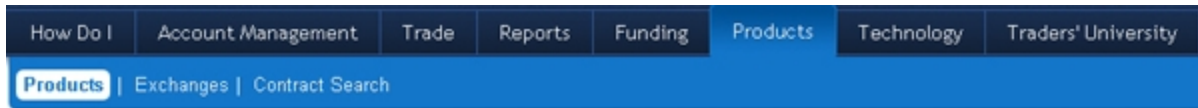


The following pages are included:

- **Fund Transfers**
- **Position Transfers**
- **Transaction History**
- **Settlement Instructions**
- **FAQs**

Products Reference

The Products Reference menu contains information about products and exchanges.

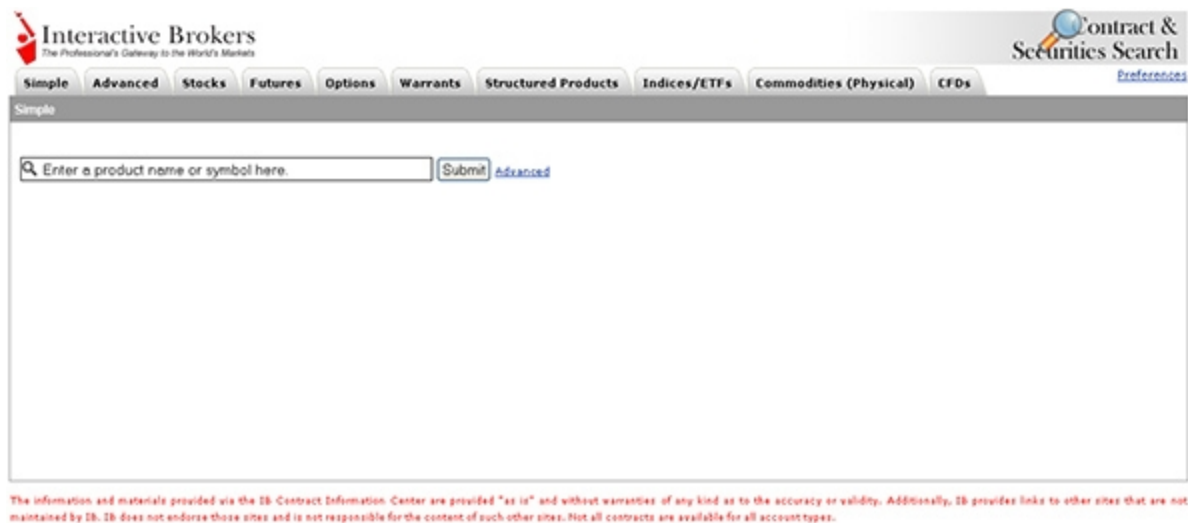


The following menu items are included:

- **Products** - Contains lists of all products available and the market centers at which they can be traded.
- **Exchanges** - Contains lists of all market centers worldwide and the products that can be traded on them.
- [Contract Search](#) - Lets you search for a specific contract.

Contract Search

The Contract Search page gives you access to our extensive contract search, which lets you search for any contract by product name or symbol.



Click one of the tabs to search for specific asset types, or click the Advanced tab to enter additional search criteria.

Interactive Brokers
The Professional's Gateway to the World's Markets

Contract & Securities Search
[Preferences](#)

Simple Advanced Stocks Futures Options Warrants Structured Products Indices/ETFs Commodities (Physical) CFDs

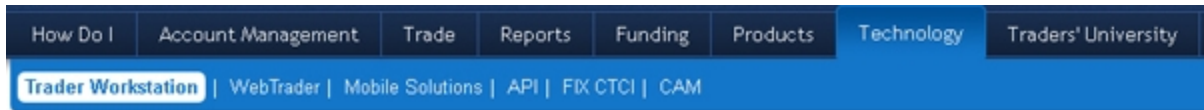
Advanced

Description/Name Contract Type Country/Region
Symbol Exchange Currency
Security ID Type Security ID
 Has Futures Has Options Has Warrants Search Reset

The information and materials provided via the IB Contract Information Center are provided "as is" and without warranties of any kind as to the accuracy or validity. Additionally, IB provides links to other sites that are not maintained by IB. IB does not endorse those sites and is not responsible for the content of such other sites. Not all contracts are available for all account types.

Technology Reference

The Technology Reference menu includes information about our trading platforms.



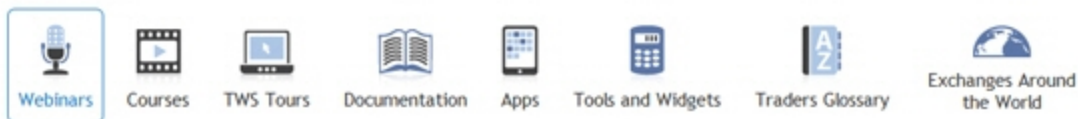
The following menu items are included:


- **Trader Workstation** - Learn about IB TWS, our market maker-designed trading platform.
- **WebTrader** - Learn about WebTrader, our simpler HTML-based trading platform.
- **Mobile Solutions** - Learn about our mobile IB TWS trading solution available on a variety of mobile devices.
- **API** - Learn about our IB TWS Application Programming Interface, which lets customers with programming experience create their own trading software using our trading system.
- **FIX CTCI** - Learn about IB Gateway, our solution for FIX CTCI customers.
- **CAM** - Download and learn about our Customer Activity Monitor (CAM), which helps professional advisors and brokers quickly find and view all client activity.

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Traders University is your single point of access to all of our free education offerings, including:

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