

Users' Guide

# Account Management

 **InteractiveBrokers**

## **Account Management Users' Guide**

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# Getting Started

This chapter introduces you to Account Management and provides an overview of common functions.

Topics included:

- » [About Account Management](#)
- » [Account Management Access and Account Structures](#)
- » [Logging In](#)
- » [Home](#)
- » [Functions Available from Every Screen](#)
- » [Icon Reference](#)
- » [Account Selector](#)
- » [Navigating Between Screens](#)
- » [Getting Help](#)
- » [Printing](#)
- » [Logging Out](#)



**Note:** Information in the Beta Users' Guide is subject to change.

## About Account Management

Our Account Management system lets you configure and manage your account from a single window, including the ability to view the current value of all of your accounts, configure all of your account settings, submit fund and position transfers, run reports, and access the Investors' Marketplace and Client Services.

- » [Home](#) - This is the first screen you see when you first log in to Account Management. The Home screen displays your current account or asset class value and margin requirements.
- » [Functions available from every screen](#) - These include access to pending items, messages, corporate actions, user-level settings and the Account Selector.
- » [Settings](#) - Access all of your account and user settings. These are the settings that are associated with your account and your username, respectively.

- » [Reporting](#) - Run a variety of reports, including default and customized activity statements, margin reports, trade confirmations, and tax forms; and access PortfolioAnalyst, which lets you evaluate the performance of your portfolio in customizable reports and view the performance of all of accounts in one place.
- » [Transfer & Pay](#) - Set up fund and position transfers and view the transaction history of your account.
- » [Trading](#) - All accounts can launch Trader Workstation and WebTrader, trade within Account Management using QuickTrade, and some multiple account structures can access Post-Trade Allocations.
- » [Support](#) - Access all Client Services functions, including the Message Center and live chat.

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 main menu or the [breadcrumb links](#) provided on the Account Management pages.

## Classic Account Management

At the time of publication of this guide, not all of our account structures have been configured for our new Account Management system, and most but not all of the Account Management functions have been completed.

You can always return to our Classic Account Management system and access the full set of functions by clicking **Classic AM** in the main menu. Our previous version of Account Management will open, with the familiar menus along the top of the screen.

## 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
<b>Traders and Investors</b>	
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.
<b>Advisors</b>	
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 cli-

Account Structure	Description
	ent 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.
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).
<b>Hedge and Mutual Funds</b>	
Investment Manager Master Users	Investment managers who manage a single fund, multiple funds, or an allocation (give-up) fund. A single fund can add one or more authorized traders to represent different fund strategies; this changes the Single Fund account into a Fund Strategy account (behaves like a Proprietary Trading Group STL account).
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.
<b>Registered Brokers and FCMs</b>	
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.

Account Structure	Description
Broker Non-Disclosed Client Users	Non-disclosed broker clients whose accounts are managed by a broker.
Broker Omnibus Client Users	Omnibus broker clients whose accounts are managed by a broker.
<b>Proprietary Trading Groups</b>	
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 with a Separate Trading Limit.(STL) account can create sub accounts with separate trading limits and different trading strategies 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.
<b>SIPP Accounts</b>	
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.
<b>Administrators</b>	
Administrator	Third-party administrators, auditors and outside legal counsel log in once to perform reporting and other administrative tasks for multiple client accounts.
<b>Referrers</b>	
Referrer	An individual or a firm that participates in our Referral

Account Structure	Description
	<p>Program and receives flat fee- or commission-based payouts by referring eligible clients to IB. A referrer typically specializes in providing training and coaching, trading information, systems and tools, and professional services to clients through public or private channels. Flat fee-based referrers must be individuals while commission-based referrers must be organizations.</p>
<b>Institutional Hedge Fund Investors</b>	
Institutional Hedge Fund Investors	<p>Designed for endowments, foundations, pensions, family offices, funds of funds and other institutions who want to invest in hedge funds, our Institutional Hedge Fund Investor accounts allows access to the Hedge Fund Marketplace, our online version of a traditional Capital Introduction Program.</p>

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	
<b>I</b>	Individual, Joint, Trust and IRA account users
<b>SB</b>	Corporate, Partnership, LLC and Unincorporated Businesses
<b>FF</b>	Friends and Family Group account users
<b>AM</b>	Advisor Master Individual
<b>AMO</b>	Advisor Master Organization (Corporate, Partnership, LLC, Unincorporated business)
<b>AC</b>	Advisor Client Individual (Individual, Joint, IRA with electronic access)
<b>ACO</b>	Advisor Client Organization (Corporate, Partnership, LLC, Unincorporated business with elec-

	tronic access)
<b>BM</b>	Broker Master
<b>BFC</b>	Broker Fully Disclosed Client (Individual, Joint, IRA)
<b>BFCO</b>	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
<b>BNC</b>	Broker Non-Disclosed Client
<b>BOC</b>	Broker Omnibus Client
<b>FIM</b>	Fund Investment Manager Master
<b>F</b>	Fund
<b>PTGM</b>	Proprietary Trading Group Master
<b>PTGS</b>	Proprietary Trading Group Sub
<b>A</b>	Administrator

### For more information...

» [Account Configuration](#)

## Transaction and Information Security

To ensure that your account is as secure as it can be, we strongly recommend that you participate in our [Secure Login System](#), which provides two-factor authentication through physical security devices or our IB Key app for mobile phones.

In addition to protecting your account through our Secure Login System, we provide the following security protocols:

- » If you do not participate in the Secure Login System, ALL REQUESTS that you submit in Account Management require that you enter a confirmation number to complete the request. We send the confirmation number to your email address on record as soon as you submit a request.
- » The only exceptions to the rule above are Deposit Notifications and Inbound Position Transfers (except ACATS and ATON). These transactions do not require a confirmation number.

- » If you participate in the Secure Login System, you will not be prompted for a confirmation number because your account is already protected by two-factor authentication.
- » We provide an additional security layer for outbound transactions, including withdrawals and outbound position transfers, and for the creation of bank information for deposits (not deposit notifications) and withdrawals. Regardless of whether or not you participate in the Secure Login System, these types of transactions require that you confirm your identity by entering your username and password when you complete the request.
- » For internal transfers and linking your multiple accounts under a single username and password, we require that you enter the username and password

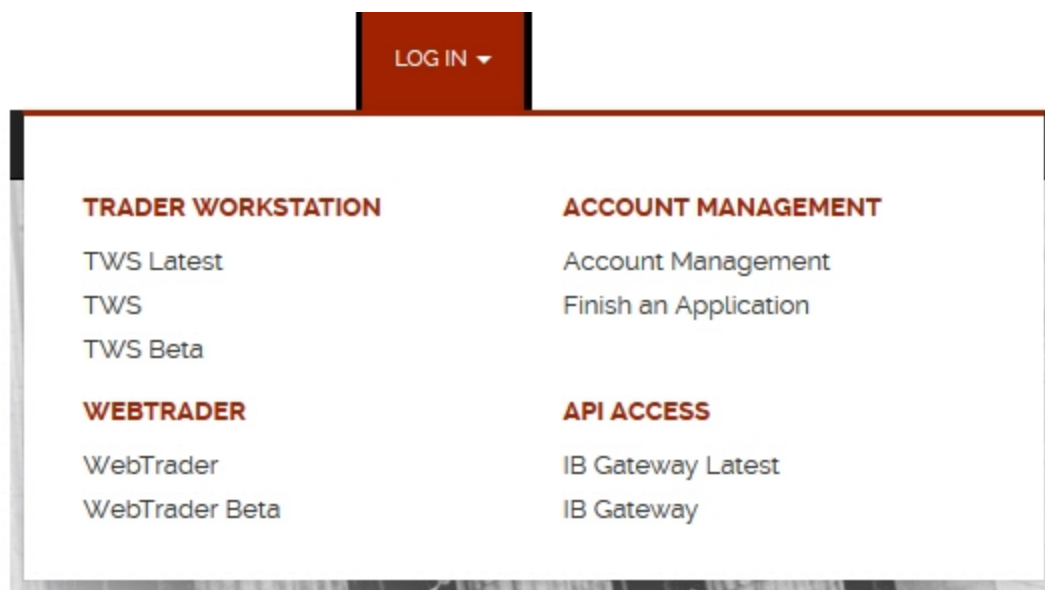
## Logging In

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 drop-down list on the upper right corner.

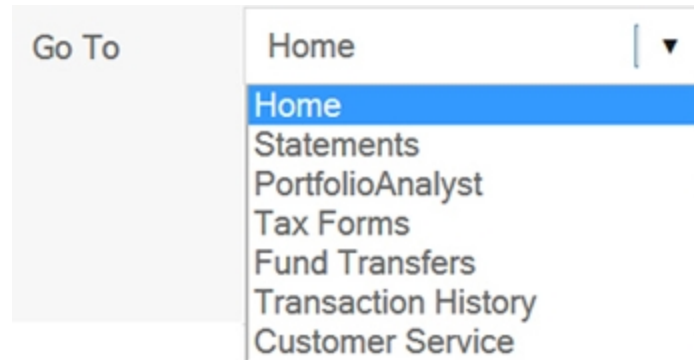


The Account Management login screen appears.

The screenshot shows a login form titled "Account Management Login". It contains the following elements:

- A text input field labeled "Username" with a green border.
- A text input field labeled "Password".
- A dropdown menu labeled "Live Account" with a downward arrow icon.
- A dropdown menu labeled "Go To" with "Home" selected and a downward arrow icon.
- A green button labeled "Login".
- At the bottom, there are links for "Start New Application", "Login Problems", and "Help".

2. In the Username field, type your account username.
3. In the Password field, type your account password.
4. Choose *Live Account* or *Paper Account*. You can use your live or paper trading account username and password to log in to your paper trading account.
5. Optionally select a specific destination in Account Management from the **Go To** drop-down.



If you have a Secure Login System security device, you are prompted to use your security device for authentication before clicking the **Login** button. Two index numbers are shown; for each index number, look up the corresponding value on your security device and enter them in the field provided.

6. 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.

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. Choose *Live Account* or *Paper Account*. You can use your live account username and password to log in to your paper trading account.
6. Optionally select a specific destination in Account Management from the **Go To** drop-down.
7. 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

The Account Management Home page includes:

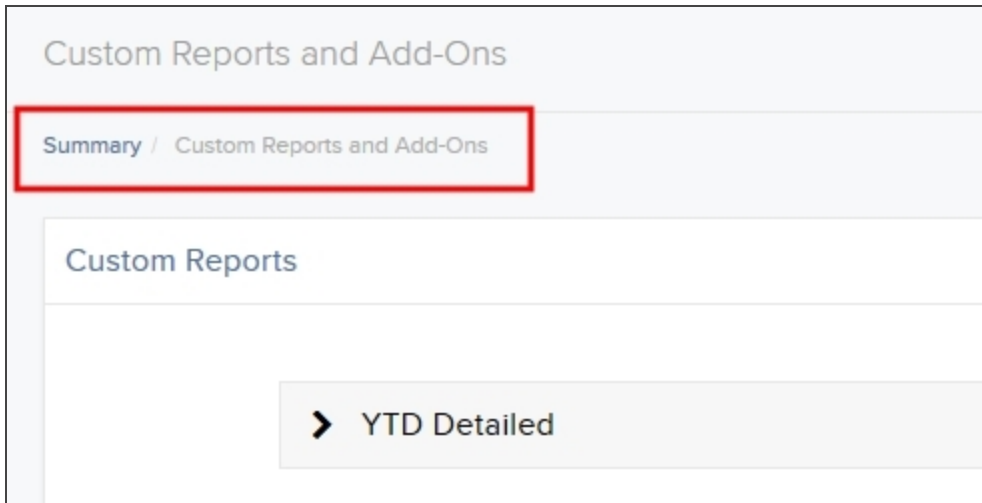
- » [Net Asset Value](#)
- » [Margin Requirements](#)

To return to the Home page from any place in Account Management, click **Home** on the main menu.

[Additional functions](#) are available from any screen in Account Management, including Pending Items, messages from Client Services, access to your other accounts, and more. On a desktop, these always appear on the top bar of the screen.

### How do I navigate between screens?

Each screen displays breadcrumbs just below the main title. Each breadcrumb represents a screen; they show you the screen you are viewing and how you got there. Click a breadcrumb link to go directly to a previously viewed screen.



For example, *Portfolio Analyst / Custom Reports and Add-Ons* tells you that you are currently viewing the Custom Reports and Add-Ons screen and that you came from the Portfolio Analyst Summary screen. Click *Portfolio Analyst* in the breadcrumbs to jump immediately to the Portfolio Analyst Summary screen.

#### **What if I have or manage multiple accounts?**

If you have or manage multiple accounts, you must first select one or more account in the Account Selector, which opens automatically when you first access Portfolio Analyst. Open the Account Selector at any time to change your account selection by selecting the List icon in the upper right corner of the screen (next to your user name).

The screenshot shows a web interface for selecting accounts. At the top, there is a dark blue header with the word "Accounts" and a close button (X). Below the header is a search bar with the placeholder text "search accounts", a clear button (X), and a search button (Q). To the right of the search bar are a filter icon (funnel) and a settings icon (gear). A yellow box with the text "Select one or more accounts." is positioned below the search bar. Underneath is a table with four columns: "Account", "Customer Type", "Title", and "Status". Each column has a dropdown arrow. The table contains four rows of account information, each with a checkbox in the first column. At the bottom of the interface are two buttons: "Reset" and "Continue".

Account	Customer Type	Title	Status
<input type="checkbox"/> U [REDACTED]	Individual	Applicant [REDACTED]	Open
<input type="checkbox"/> U [REDACTED]	Joint	Applicant [REDACTED]	Open
<input type="checkbox"/> U [REDACTED]	IRA	Applicant [REDACTED]	Open
<input type="checkbox"/> U [REDACTED]	Individual	Applicant [REDACTED]	Open

## Viewing Net Asset Value

This panel shows you the total current value of your account, and the current value of each asset class in your account in pie charts and a table.

On this panel, you can:

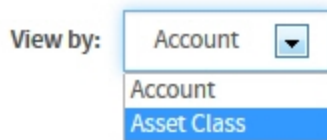
- » [Switch between Asset Class and Account views](#) to see the current value of each of your IB accounts in pie charts and a table.
- » On a desktop, hover your mouse over any pie chart to display more information.
- » [Drill down to view positions](#) in a specific asset class or for a specific account.

### Asset Class and Account View

The Home screen shows you the value of your account(s) by Asset Class or by Account.

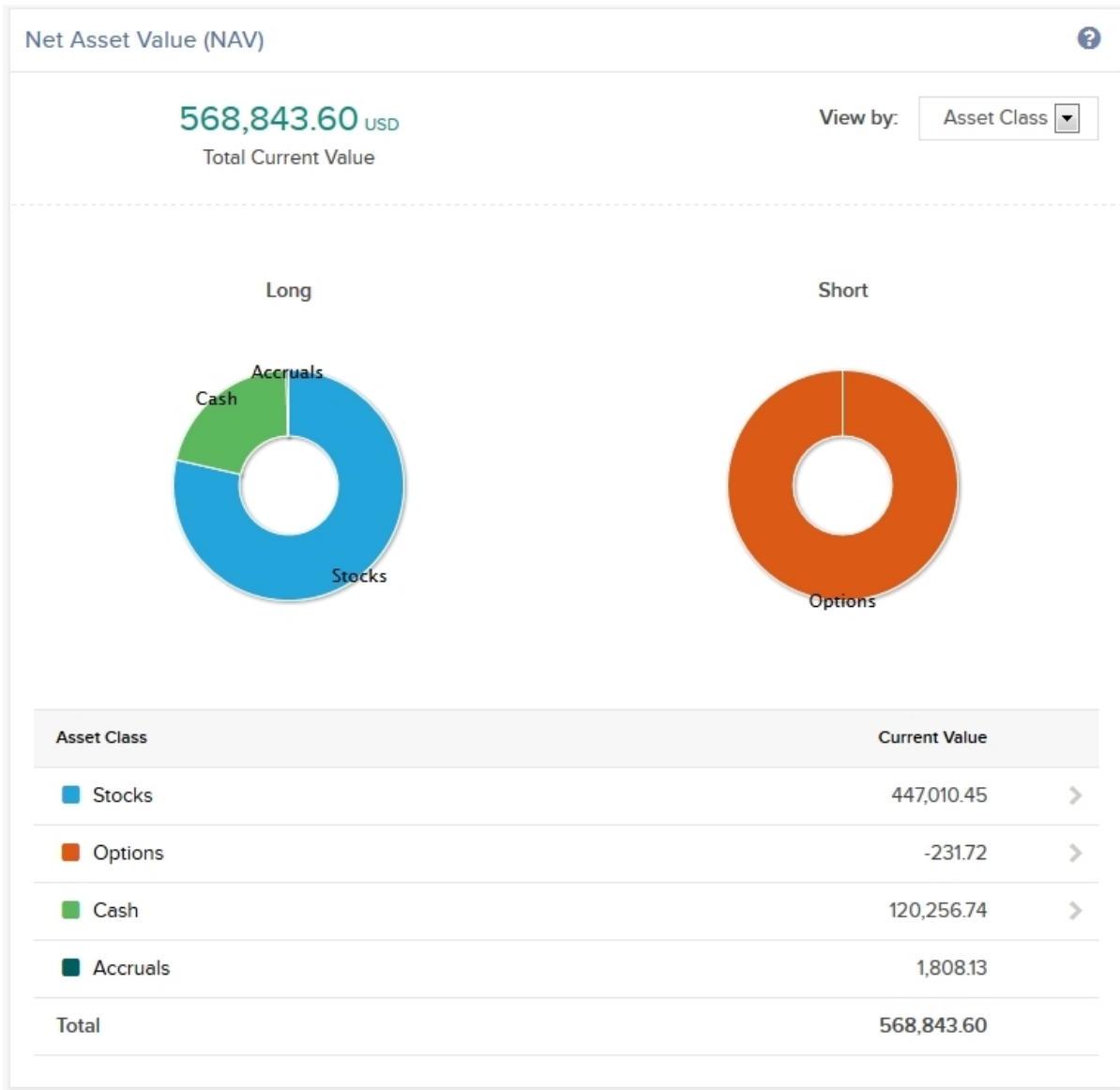
#### Switching Between Views

Use the View by menu to switch between views. Account Management remembers your last View by selection.



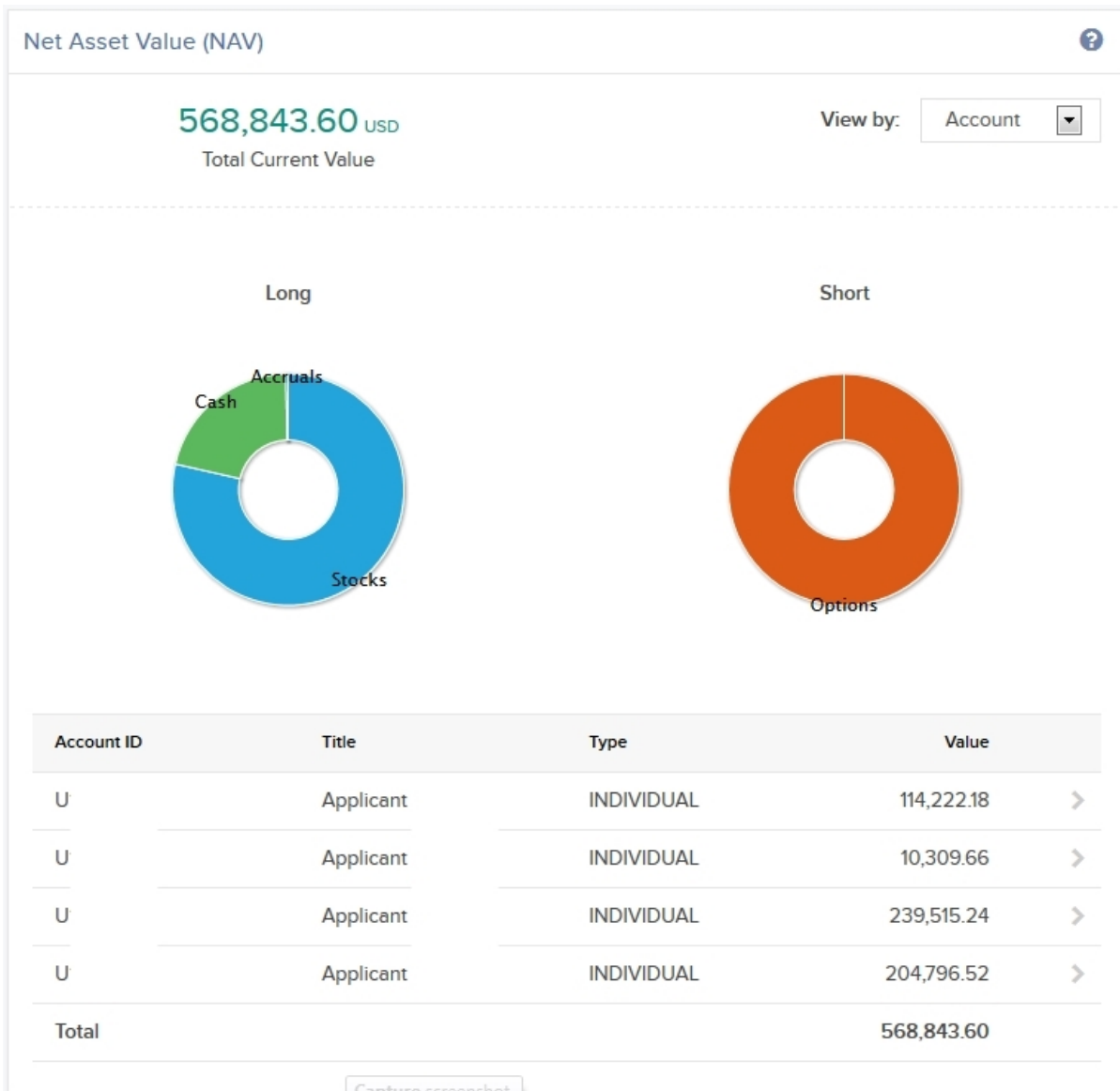
#### Asset Class View

The initial view is Asset Class view, which displays two pie charts that show your long and short asset allocation, respectively, and a table that lists the current value in each asset class in your account. If there are no short positions, only one pie chart appears.



### Account View

Account view displays two pie charts that the long and short position value in the selected account, and a table that lists the current value of each account along with the Account ID, title and type of account. If there are no short positions, only one pie chart appears.



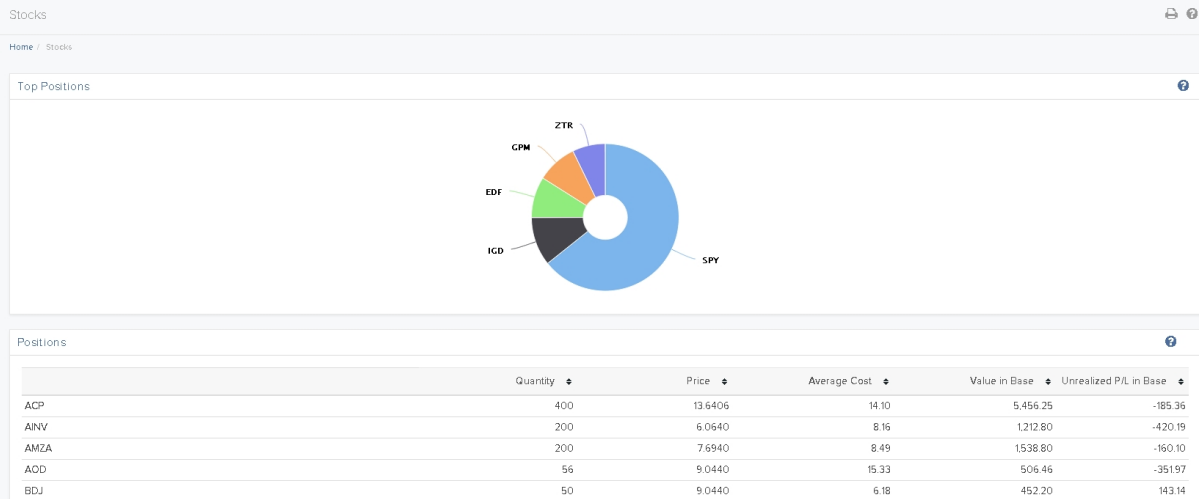
## Viewing Positions

You can drill down from the Home screen to view positions.

### To drill down to view positions by asset class

Click any asset class in the table.

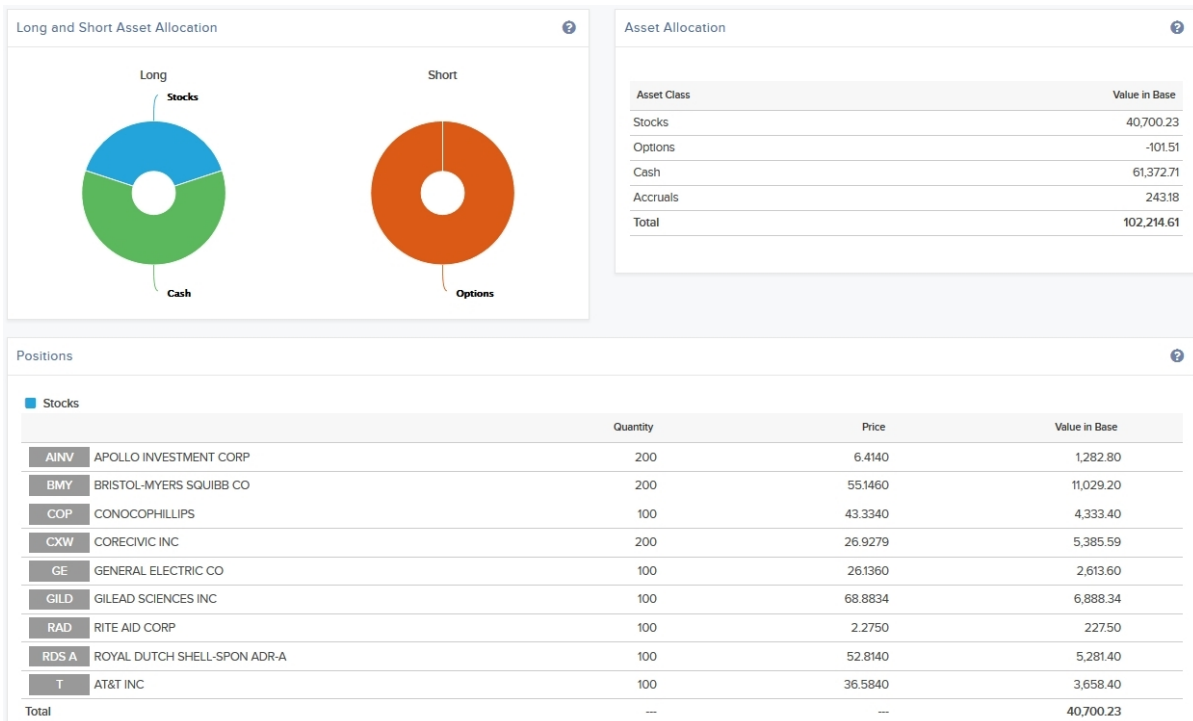
Top long and short positions in the selected asset class are displayed in pie charts at the top, and all positions in the selected asset class are displayed in a table along with their quantity, price, average cost, value in your base currency and unrealized profit and loss in your base currency.



### To drill down to view positions by account

Click any account in the table.

Asset allocation for the selected account are displayed in long and short pie charts next to a table showing the value of all asset classes in the selected account, and all positions for the account are displayed in a table sorted by asset class.



## Margin Requirements

The Margin Requirements panel on the Home screen shows you the current margin requirements for your account, including:

- » **Initial Margin:** The minimum amount of equity required to open a new position.
- » **Maintenance Margin:** The amount of equity required to maintain your current positions.
- » **Available Funds:** The amount of funds you have available for trading.  
For securities, this is equal to Equity with Loan Value – Initial Margin.  
For commodities, this is equal to Net Liquidation Value – Initial Margin.
- » **Excess Liquidity:** This is your margin cushion.  
For securities, this is equal to Equity with Loan Value – Maintenance Margin.  
For commodities, this Net Liquidation Value – Maintenance Margin.
- » **Buying Power:** The maximum amount of equity available to buy securities. In a Margin account, Buying Power gives you additional leverage to make trades, increasing your potential gain but also increasing your risk.  
In a Cash account, Buying Power = Minimum (Equity with Loan Value, Previous Day Equity with Loan Value) – Initial Margin.  
In a Margin Account, Buying Power = Minimum (Equity with Loan Value, Previous Day Equity with Loan Value) – Initial Margin \*4.
- » **SMA:** SMA (Special Memorandum Account) is a line of credit created when the market value of securities in a Margin account increases in value and maintained for the purpose of applying Federal Regulation T initial margin requirements at the end of the trading day. If the SMA balance at the end of the trading day is negative, your account is subject to liquidation.

## Cash Details

The Cash Details panel on the Home screen shows you the withdrawal limits on your account including:

- » **Withdrawable:** The amount of cash you can withdraw to your bank or use for debit card transactions.
- » **Withdrawable Without Borrowing:** The amount of cash you can withdraw without incurring an interest charge.



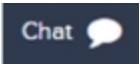
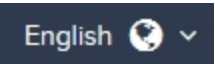




**Note:** The Cash Details panel is only viewable on accounts with activated [debit cards](#).



## Functions Available From Every Screen

There are several functions available throughout Account Management. On a desktop, these functions are represented by the icons at the top of the screen and summarized below. Click the links for more details.

	<p>Open/Close Menu - Click this icon to hide or show the main menu.</p>
	<p>Opens a drop-down menu that provides access to the following functions:</p> <ul style="list-style-type: none"> <li>» <a href="#">Pending Items</a> - 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 icon.</li> <li>» <a href="#">Corporate Actions</a> - 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 icon.</li> <li>» <a href="#">Messages</a> - Displays all current Client 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 Messages icon.</li> </ul>
	<p>Chat - Chat live with a Client Services representative.</p>
	<p><a href="#">Language Selector</a> - Lets you change the display language.</p>
	<p>User Menu - Gives you access to user-level settings (as opposed to account-level settings) and the Log Out function.</p>
	<p><a href="#">Account Selector</a> - If you have multiple accounts and account partitions, the Account Selector lets you quickly select a different account to perform Account Management tasks in that account. Many functions in Account Management require you to select an account before you can do anything.</p>

## 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.

### Types of Pending Items

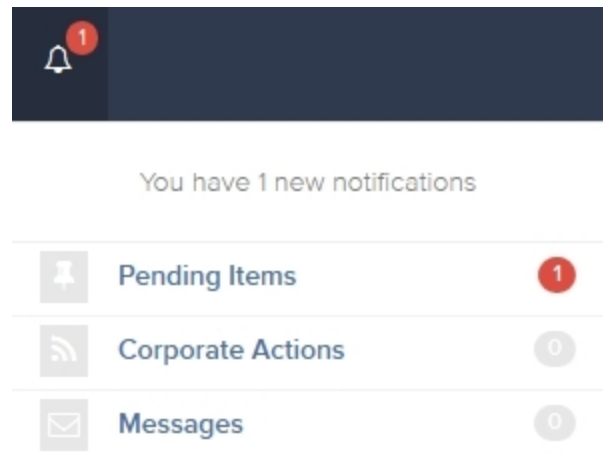
- » **Agreements** - These are agreements that you must sign (type your electronic signature). The pending item is considered complete when you successfully sign and submit the agreement. Agreements include account-specific agreements and the Futures Arbitration Agreement.
- » **Document Submission** - You are required to submit a document to us, usually by uploading the document from the pending item. This pending item is considered complete after you have uploaded the document and we have approved it.
- » **Request Confirmation** - You have submitted a request but the request requires you to confirm the action. Funding requests such as withdrawals are request confirmations. Once you confirm your request, the pending item is considered complete.
- » **Request Authorization** - You must authorize an action performed by another user on the same account. You will see this pending item only if you have been designated an [Authorizer](#) for an account. The pending item is considered complete when you approve or reject the request.
- » **Client Linkage Requests** - You must accept or reject another customer's request to become your client. You will see this pending item only if you are the master account holder in a multiple account or institution account structure that accepts client link requests (for example, an advisor). The pending item is considered complete once you accept or reject the request.
- » **Pending Additional Account** - You have requested an additional account, but did not complete the application. Open this pending item to continue the application where you left off. This pending item is considered complete when you finish and submit the application.
- » **Investor Category** - The [Investor Category](#) screen 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. This pending item appears if you have not answered all of the Investor Category questions. Open this pending item to go directly to the Investor Category screen and finish answering the questions. This pending item is considered complete when you answer all of the Investor Category questions.

### Opening Pending Items

#### To open pending items

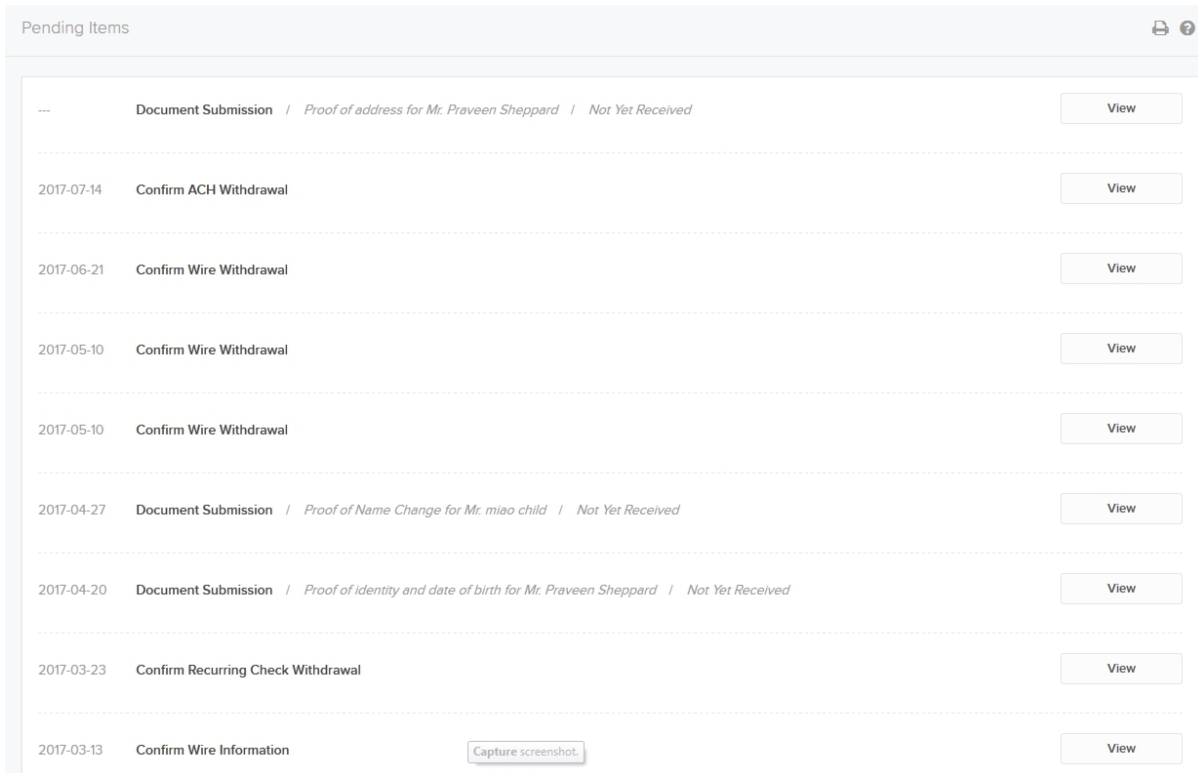
1. From any screen in Account Management, click the Notifications (bell) icon. The number on the icon shows you how many total unread notifications you have.

A drop-down opens, showing how many unread Pending Items, Corporate Actions and Message you have.



2. Click **Pending Items**.

The Pending Items screen opens.



Pending Items		
---	Document Submission / Proof of address for Mr. Praveen Sheppard / Not Yet Received	<a href="#">View</a>
2017-07-14	Confirm ACH Withdrawal	<a href="#">View</a>
2017-06-21	Confirm Wire Withdrawal	<a href="#">View</a>
2017-05-10	Confirm Wire Withdrawal	<a href="#">View</a>
2017-05-10	Confirm Wire Withdrawal	<a href="#">View</a>
2017-04-27	Document Submission / Proof of Name Change for Mr. miao child / Not Yet Received	<a href="#">View</a>
2017-04-20	Document Submission / Proof of identity and date of birth for Mr. Praveen Sheppard / Not Yet Received	<a href="#">View</a>
2017-03-23	Confirm Recurring Check Withdrawal	<a href="#">View</a>
2017-03-13	Confirm Wire Information	<a href="#">View</a>

3. You can open and view any pending item to see the details of the item. Click the **View** button for the pending item you want to view.
4. Click **CONTINUE** when you have completed the action that clears the pending item.

Here is an example of a pending withdrawal that needs to be confirmed.

Your **ACH Withdrawal** for **USD 123.00** needs to be confirmed.

You have requested to perform the transaction shown below. You must confirm your identity by submitting the required fields before the transaction will be processed.

Reference Number	38610725
Account ID	U
Transaction Information	
Amount	USD 123.00
Bank Name	Citibank, N.A.
ABA Routing Number	
Bank Account Number	
Bank Account Type	Checking
Confirm Your Identity	
Username	<input type="text" value="Required"/>
Password	<input type="text" value="Required"/>
We have emailed a confirmation number to you at the following email address: <a href="mailto:acesops@mail">acesops@mail</a>	
Confirmation Number	<input type="text" value="Required"/>

## Corporate Actions

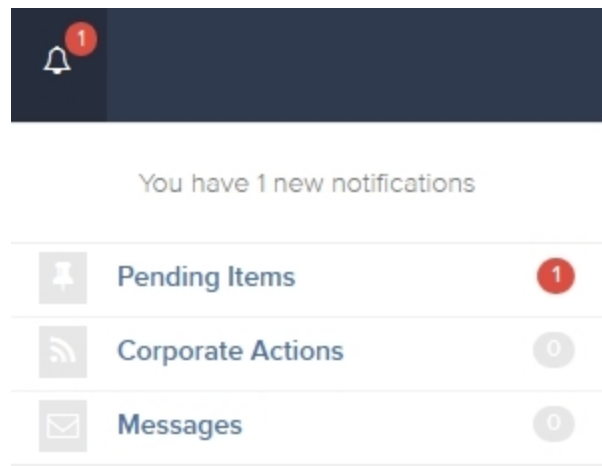
The Corporate Actions tab displays notifications of all upcoming corporate actions that may affect your account or, for multiple account structures, for the selected account, based on the positions held in the account. This means for example, that regardless of whether you hold a stock, option, bond, 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.

### To open corporate actions

1. From any screen in Account Management, click the Notifications (bell) icon. The number on the icon shows you how many total unread notifications you have.

A drop-down opens, showing how many unread Pending Items, Corporate Actions and Message you have.



2. Click **Corporate Actions**.

The Corporate Actions screen opens.

3. You can open and view any corporate action to view the details of the item. Click the **View** button for the corporate action you want to view.
4. Click **CONTINUE** when you are done.

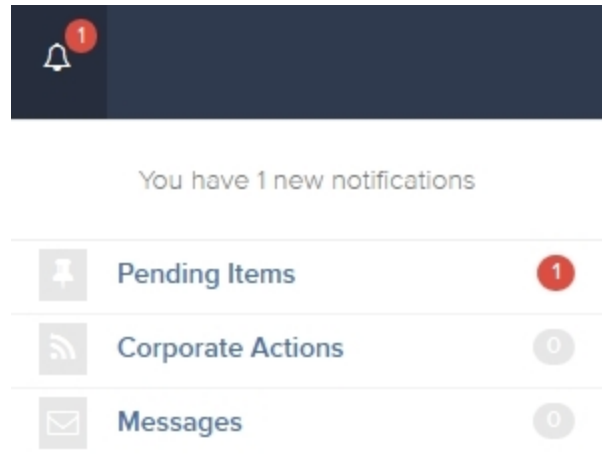
## Messages

The Messages tab displays pending Client Services messages for your account or, for multiple account structures, for the selected account. Pending Client Service inquiries include messages from Client Services in response to inquiry tickets. You can also view your messages in the [Message Center](#), available from the Support screen.

### To open messages

1. From any screen in Account Management, click the Notifications (bell) icon. The number on the icon shows you how many total unread notifications you have.

A drop-down opens, showing how many unread Pending Items, Corporate Actions and Message you have.



2. Click **Messages**.

The Messages screen opens.

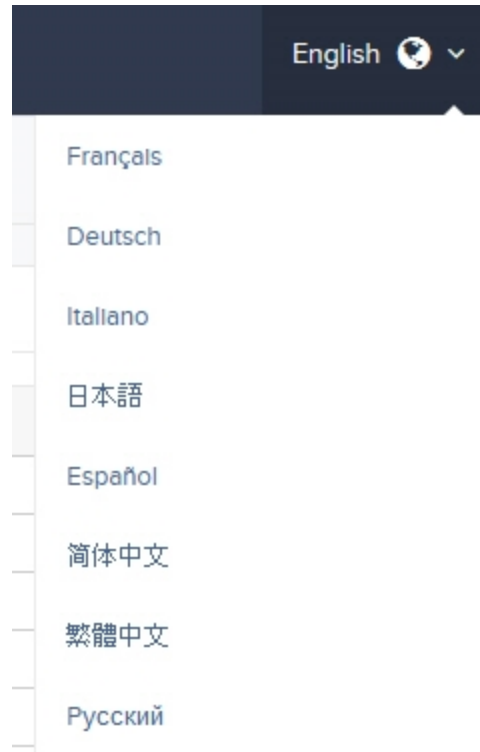
3. You can open and view any message to view the details of the item. Click the **View** button for the message you want to view.
4. Click **CONTINUE** when you are done.

## 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 of the screen.

### To change the display language

1. Log into Account Management.
2. Click the language menu at the top of the screen. This is the menu with the current language next to a globe icon.






The language settings drop-down opens, showing all possible languages for Account Management.

3. Click the language you want to change.










The display language in Account Management changes to your selected language.



## Account Management Icon Reference

Account Management includes a number of icons to help you access functions quickly.

Icon	Description
	Opens the User Menu, where you can log out of Account Management.
	Opens and closes the main menu.
	Gives you access to Pending Items, Corporate Actions and Mes-



Icon	Description
	sages.
	Opens the Account Selector so you can switch to a different account or account partition.
	In PortfolioAnalyst, Search (magnifying glass): Click this icon to search for a specific description, name, quantity, symbol or transaction type in your IB account(s) and external accounts.
	Display additional information, usually in a popup window. For example, click this icon to view information and access rights for a user that you've added to your account.
	Help.
	Configure. <ul style="list-style-type: none"> <li>» Click this icon to access configuration settings.</li> <li>» In the Account Selector, click this to display additional information, such as Alias or Status.</li> </ul>
	Run, as in reports.
	Add, as in users or reports.
	Filter. <ul style="list-style-type: none"> <li>» In PortfolioAnalyst, click this to filter positions by Ending Quantity, Ending Price or Change.</li> <li>» In the Account Selector, filter the list of accounts by account type.</li> </ul>
	Edit, as in reports or users.

Icon	Description
	Delete.
	In PortfolioAnalyst, on the Custom Reports and Add-Ons screen, click this to view the details of a saved custom benchmark or a saved synopsis.

## Using the Account Selector

If you have multiple linked accounts or account partitions, or you manage multiple accounts, you will be prompted to select one or more accounts after you log in to Account Management. You select accounts in the Account Selector, which displays the account ID and customer type of all of your IB accounts. On a desktop, the Account Selector slides in from the right side of the screen.

If you want to view account balances and Net Asset Value for all of your IB accounts on one screen, you would select those accounts in the Account Selector.

This topic shows you how to use the Account Selector to:

- » [Select an account](#)
- » [Select a different account](#)
- » [Search for accounts](#)
- » [Filter by Customer Type](#)
- » [Display additional account information](#)

### To select an account:

1. Click the Account Selector icon located in the top right corner of Account Management.  
If you do not see the Account Selector icon, then you do not have multiple accounts or partitions.

The Account Selector opens.

Accounts

search accounts x Q

Select one or more accounts.

Account	Customer Type	Title	Status
<input type="checkbox"/> U [REDACTED]	Individual	Applicant [REDACTED]	Open
<input type="checkbox"/> U [REDACTED]	Joint	Applicant [REDACTED]	Open
<input type="checkbox"/> U [REDACTED]	IRA	Applicant [REDACTED]	Open
<input type="checkbox"/> U [REDACTED]	Individual	Applicant [REDACTED]	Open

Reset Continue

2. Click the check box that corresponds to the account(s) you want to use in Portfolio Analyst. If you want to choose a different account, clear your selections by clicking **RESET**.
3. Click **CONTINUE**.

The Portfolio Analyst Summary screen opens and displays data for the selected account(s).

**To select a different account:**

If you have multiple accounts and have already logged in with one account, you can switch account easily using the Account Selector.

1. Click the Account Selector icon on the top right of the screen.
2. Click the check box that corresponds to the account(s) you want to use. If you want to choose a different account, clear your selections by clicking **Reset**
3. Click **CONTINUE**.

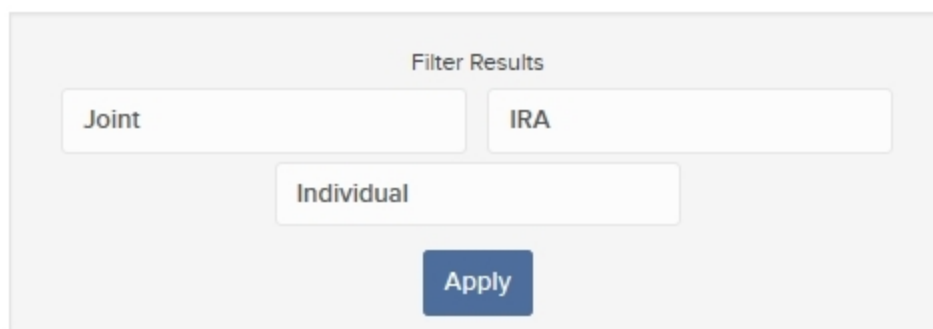
The Home screen reloads and displays data for the selected account(s).

**To search for accounts:**

In the Account Selector, type part of the account title or customer type in the *search accounts* field, and then click the magnifying glass icon. Click the **X** to clear the search field and the search results.

**To filter accounts by Customer Type:**

1. In the Account Selector, click the filter icon located above the list of accounts (this is the second icon from the right).
2. Select the desired customer type buttons (for example, INDIVIDUAL or JOINT) and then click **Apply**.

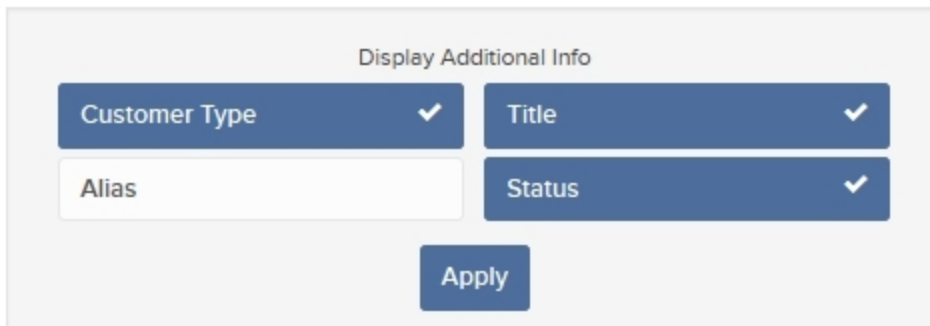


The list of accounts updates to display your accounts that match the selected customer type.

**To display additional account information:**

By default, the Account Selector displays the account ID and customer type of all of your IB accounts, but you can display additional information such as account alias or account status.

1. In the Account Selector, click the gear icon located above the list of accounts (this is the last icon on the right).
2. Select the desired information you want to add to the list of accounts. For example, you might want to display your account title and account alias (if you have one).
3. Click **Apply**.



Display Additional Info

Customer Type ✓

Title ✓

Alias

Status ✓

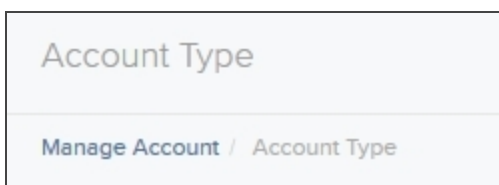
Apply

The list of accounts updates and resizes to display the additional information that you selected.

## Navigating Between Screens

Account Management provides breadcrumb links near the top left of many screens that let you quickly return to the previous screen. Just click the screen name displayed in the breadcrumbs.

For example, suppose you are on the Account Type screen to upgrade your Cash account to a Margin account. If you change your mind, you can quickly return to the main Manage Account screen by clicking Manage Account in the breadcrumbs.



## Getting Help

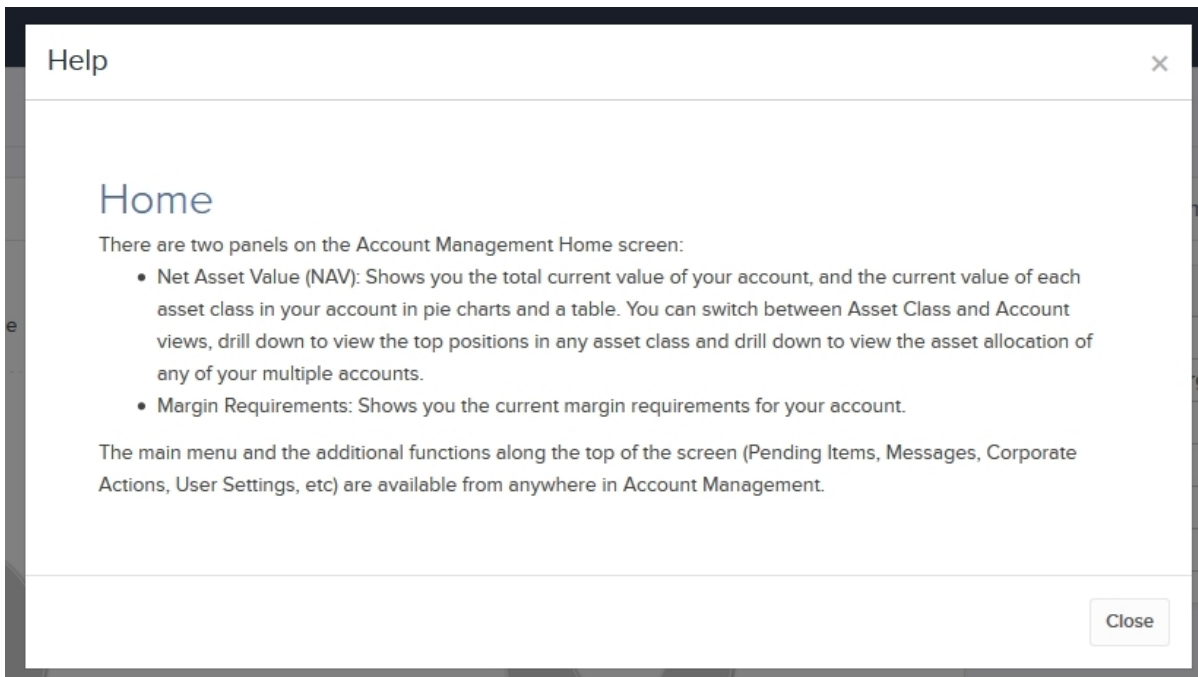
You can get additional information about Account Management in the following ways:

- » Contextual Help
- » Users' Guide

## Contextual Help

Contextual help is designed to give you quick answers while working in Account Management. Every panel in Account Management includes a help icon (question mark) in its title bar. View help for any panel by clicking the help icon.

To close the help window, click the Close button at the bottom of the window or click the X at the top of the window.



## 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 contextual help windows, or from the Support screen, or from the Documentation page in the Traders' University on our website.

## 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.

## Getting Started

This chapter introduces you to Account Management and provides an overview of common functions.

Topics included:

- » [About Account Management](#)
- » [Account Management Access and Account Structures](#)
- » [Logging In](#)
- » [Home](#)
- » [Functions Available from Every Screen](#)
- » [Icon Reference](#)
- » [Account Selector](#)
- » [Navigating Between Screens](#)
- » [Getting Help](#)
- » [Printing](#)
- » [Logging Out](#)



**Note:** Information in the Beta Users' Guide is subject to change.

## About Account Management

Our Account Management system lets you configure and manage your account from a single window, including the ability to view the current value of all of your accounts, configure all of your account settings, submit fund and position transfers, run reports, and access the Investors' Marketplace and Client Services.

- » [Home](#) - This is the first screen you see when you first log in to Account Management. The Home screen displays your current account or asset class value and margin requirements.
- » [Functions available from every screen](#) - These include access to pending items, messages, corporate actions, user-level settings and the Account Selector.
- » [Settings](#) - Access all of your account and user settings. These are the settings that are associated with your account and your username, respectively.
- » [Reporting](#) - Run a variety of reports, including default and customized activity statements, margin reports, trade confirmations, and tax forms; and access PortfolioAnalyst, which lets you evaluate the performance of your portfolio in customizable reports and view the performance of all of accounts in one place.
- » [Transfer & Pay](#) - Set up fund and position transfers and view the transaction history of your account.
- » [Trading](#) - All accounts can launch Trader Workstation and WebTrader, trade within Account Management using QuickTrade, and some multiple account structures can access Post-Trade Allocations.
- » [Support](#) - Access all Client Services functions, including the Message Center and live chat.

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 main menu or the [breadcrumb links](#) provided on the Account Management pages.

## Classic Account Management

At the time of publication of this guide, not all of our account structures have been configured for our new Account Management system, and most but not all of the Account Management functions have been completed.

You can always return to our Classic Account Management system and access the full set of functions by clicking **Classic AM** in the main menu. Our previous version of Account Management will open, with the familiar menus along the top of the screen.

## 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
<b>Traders and Investors</b>	
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 bene-

Account Structure	Description
	fit of the tax deductions for such contributions.
<b>Advisors</b>	
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.
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).
<b>Hedge and Mutual Funds</b>	
Investment Manager Master Users	Investment managers who manage a single fund, multiple funds, or an allocation (give-up) fund. A single fund can add one or more authorized traders to represent different fund strategies; this changes the Single Fund account into a Fund Strategy account (behaves like a Proprietary Trading Group STL account).
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.
<b>Registered Brokers and FCMs</b>	

Account Structure	Description
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.
Broker Omnibus Client Users	Omnibus broker clients whose accounts are managed by a broker.
<b>Proprietary Trading Groups</b>	
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 with a Separate Trading Limit.(STL) account can create sub accounts with separate trading limits and different trading strategies 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.
<b>SIPP Accounts</b>	
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.
<b>Administrators</b>	

Account Structure	Description
Administrator	Third-party administrators, auditors and outside legal counsel log in once to perform reporting and other administrative tasks for multiple client accounts.
<b>Referrers</b>	
Referrer	An individual or a firm that participates in our Referral Program and receives flat fee- or commission-based payouts by referring eligible clients to IB. A referrer typically specializes in providing training and coaching, trading information, systems and tools, and professional services to clients through public or private channels. Flat fee-based referrers must be individuals while commission-based referrers must be organizations.
<b>Institutional Hedge Fund Investors</b>	
Institutional Hedge Fund Investors	Designed for endowments, foundations, pensions, family offices, funds of funds and other institutions who want to invest in hedge funds, our Institutional Hedge Fund Investor accounts allows access to the Hedge Fund Marketplace, our online version of a traditional Capital Introduction Program.

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	
<b>I</b>	Individual, Joint, Trust and IRA account users
<b>SB</b>	Corporate, Partnership, LLC and Unincorporated Businesses
<b>FF</b>	Friends and Family Group account users

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

**For more information...**

» [Account Configuration](#)

## Transaction and Information Security

To ensure that your account is as secure as it can be, we strongly recommend that you participate in our [Secure Login System](#), which provides two-factor authentication through physical security devices or our IB Key app for mobile phones.

In addition to protecting your account through our Secure Login System, we provide the following security protocols:

- » If you do not participate in the Secure Login System, ALL REQUESTS that you submit in Account Management require that you enter a confirmation number to complete the request. We send the confirmation number to your email address on record as soon as you submit a request.
- » The only exceptions to the rule above are Deposit Notifications and Inbound Position Transfers (except ACATS and ATON). These transactions do not require a confirmation number.
- » If you participate in the Secure Login System, you will not be prompted for a confirmation number because your account is already protected by two-factor authentication.
- » We provide an additional security layer for outbound transactions, including withdrawals and outbound position transfers, and for the creation of bank information for deposits (not deposit notifications) and withdrawals. Regardless of whether or not you participate in the Secure Login System, these types of transactions require that you confirm your identity by entering your username and password when you complete the request.
- » For internal transfers and linking your multiple accounts under a single username and password, we require that you enter the username and password

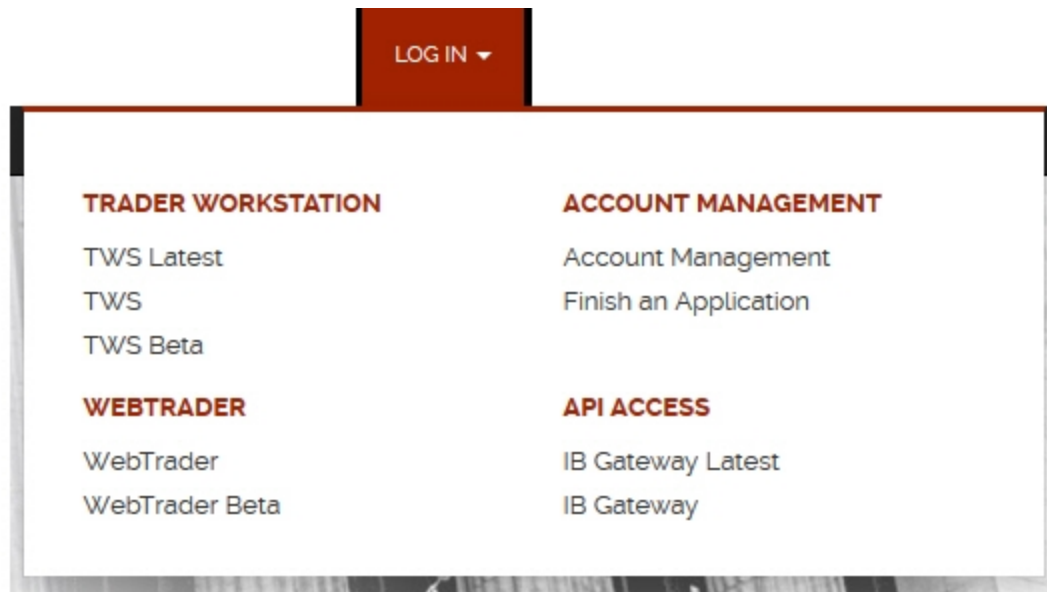
## Logging In

There are three ways to log into Account Management:

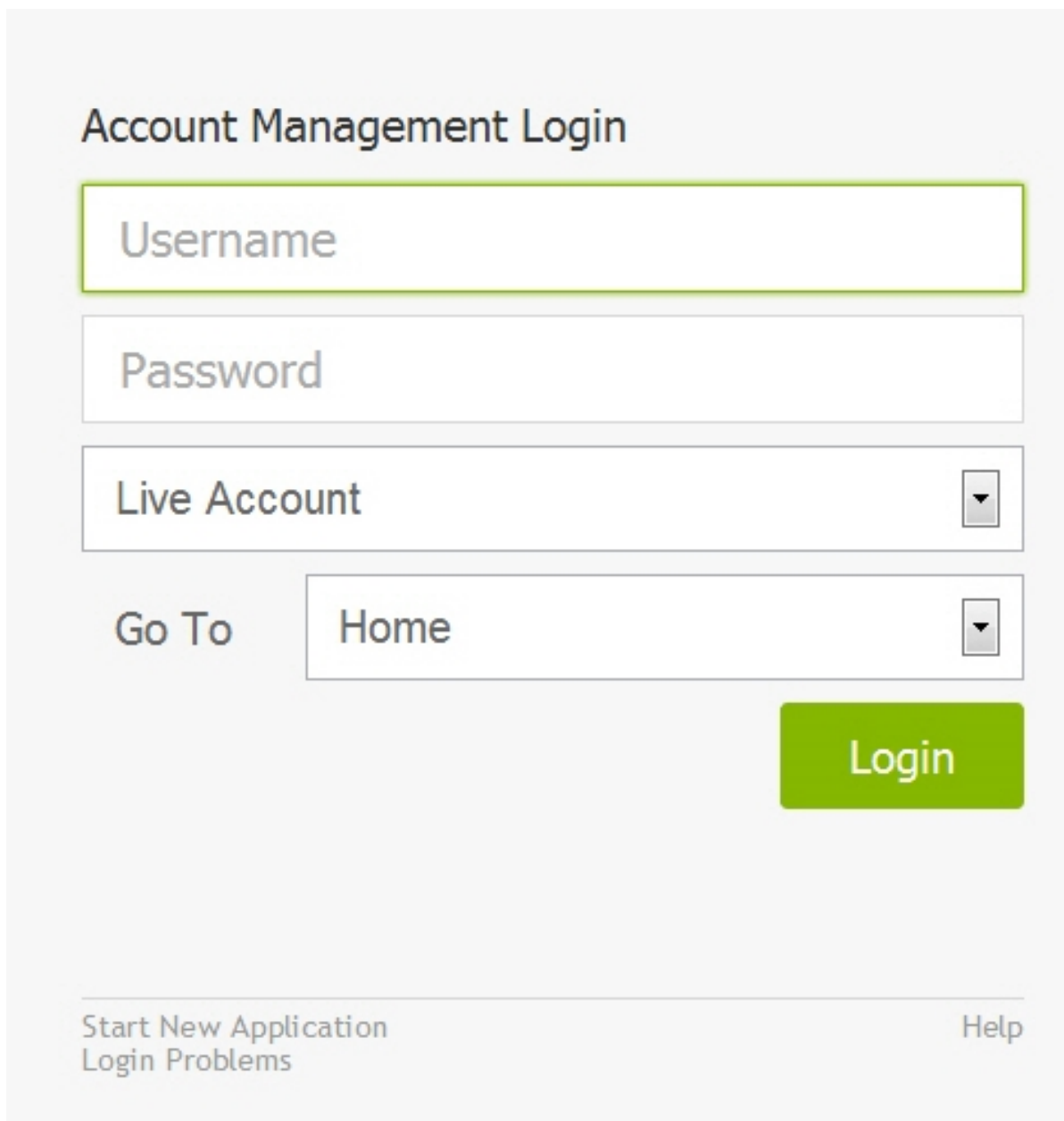
- » From our website.
- » From Trader Workstation.
- » By typing the Account Management Login URL in your web browser.

### **To log into Account Management from our website**

1. From our web site, select Account Management from the Login drop-down list on the upper right corner.



The Account Management login screen appears.

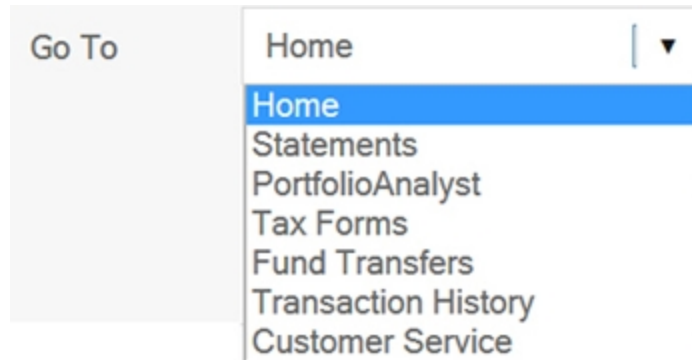


The image shows a login form titled "Account Management Login". It contains the following elements:

- A text input field labeled "Username" with a green border.
- A text input field labeled "Password".
- A dropdown menu labeled "Live Account" with a downward arrow icon.
- A "Go To" label next to a dropdown menu showing "Home" with a downward arrow icon.
- A green "Login" button.
- At the bottom, there are links for "Start New Application", "Login Problems", and "Help".

2. In the Username field, type your account username.
3. In the Password field, type your account password.
4. Choose *Live Account* or *Paper Account*. You can use your live or paper trading account username and password to log in to your paper trading account.
5. Optionally select a specific destination in Account Management from the **Go To** drop-down.





If you have a Secure Login System security device, you are prompted to use your security device for authentication before clicking the **Login** button. Two index numbers are shown; for each index number, look up the corresponding value on your security device and enter them in the field provided.

6. 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.

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. Choose *Live Account* or *Paper Account*. You can use your live account username and password to log in to your paper trading account.
6. Optionally select a specific destination in Account Management from the **Go To** drop-down.
7. 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

The Account Management Home page includes:

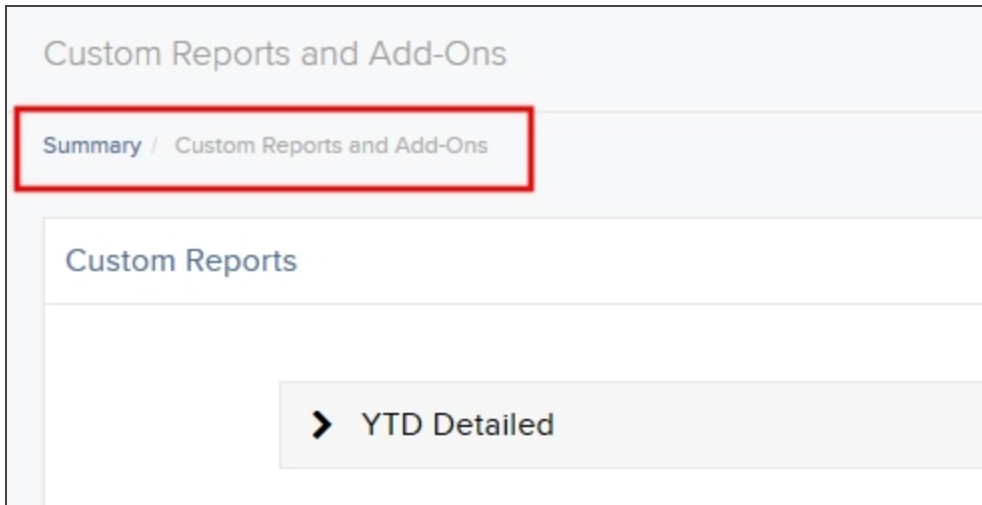
- » [Net Asset Value](#)
- » [Margin Requirements](#)

To return to the Home page from any place in Account Management, click **Home** on the main menu.

[Additional functions](#) are available from any screen in Account Management, including Pending Items, messages from Client Services, access to your other accounts, and more. On a desktop, these always appear on the top bar of the screen.

### How do I navigate between screens?

Each screen displays breadcrumbs just below the main title. Each breadcrumb represents a screen; they show you the screen you are viewing and how you got there. Click a breadcrumb link to go directly to a previously viewed screen.



For example, *Portfolio Analyst / Custom Reports and Add-Ons* tells you that you are currently viewing the Custom Reports and Add-Ons screen and that you came from the Portfolio Analyst Summary screen. Click *Portfolio Analyst* in the breadcrumbs to jump immediately to the Portfolio Analyst Summary screen.

#### **What if I have or manage multiple accounts?**

If you have or manage multiple accounts, you must first select one or more account in the Account Selector, which opens automatically when you first access Portfolio Analyst. Open the Account Selector at any time to change your account selection by selecting the List icon in the upper right corner of the screen (next to your user name).

### Accounts ✕

search accounts ✕ Q ▼ ⚙️

Select one or more accounts.

	Account	Customer Type	Title	Status
<input type="checkbox"/>	U [REDACTED]	Individual	Applicant [REDACTED]	Open
<input type="checkbox"/>	U [REDACTED]	Joint	Applicant [REDACTED]	Open
<input type="checkbox"/>	U [REDACTED]	IRA	Applicant [REDACTED]	Open
<input type="checkbox"/>	U [REDACTED]	Individual	Applicant [REDACTED]	Open

Reset Continue

## Viewing Net Asset Value

This panel shows you the total current value of your account, and the current value of each asset class in your account in pie charts and a table.

On this panel, you can:

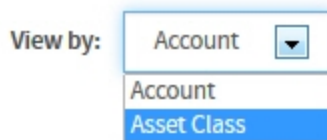
- » [Switch between Asset Class and Account views](#) to see the current value of each of your IB accounts in pie charts and a table.
- » On a desktop, hover your mouse over any pie chart to display more information.
- » [Drill down to view positions](#) in a specific asset class or for a specific account.

### Asset Class and Account View

The Home screen shows you the value of your account(s) by Asset Class or by Account.

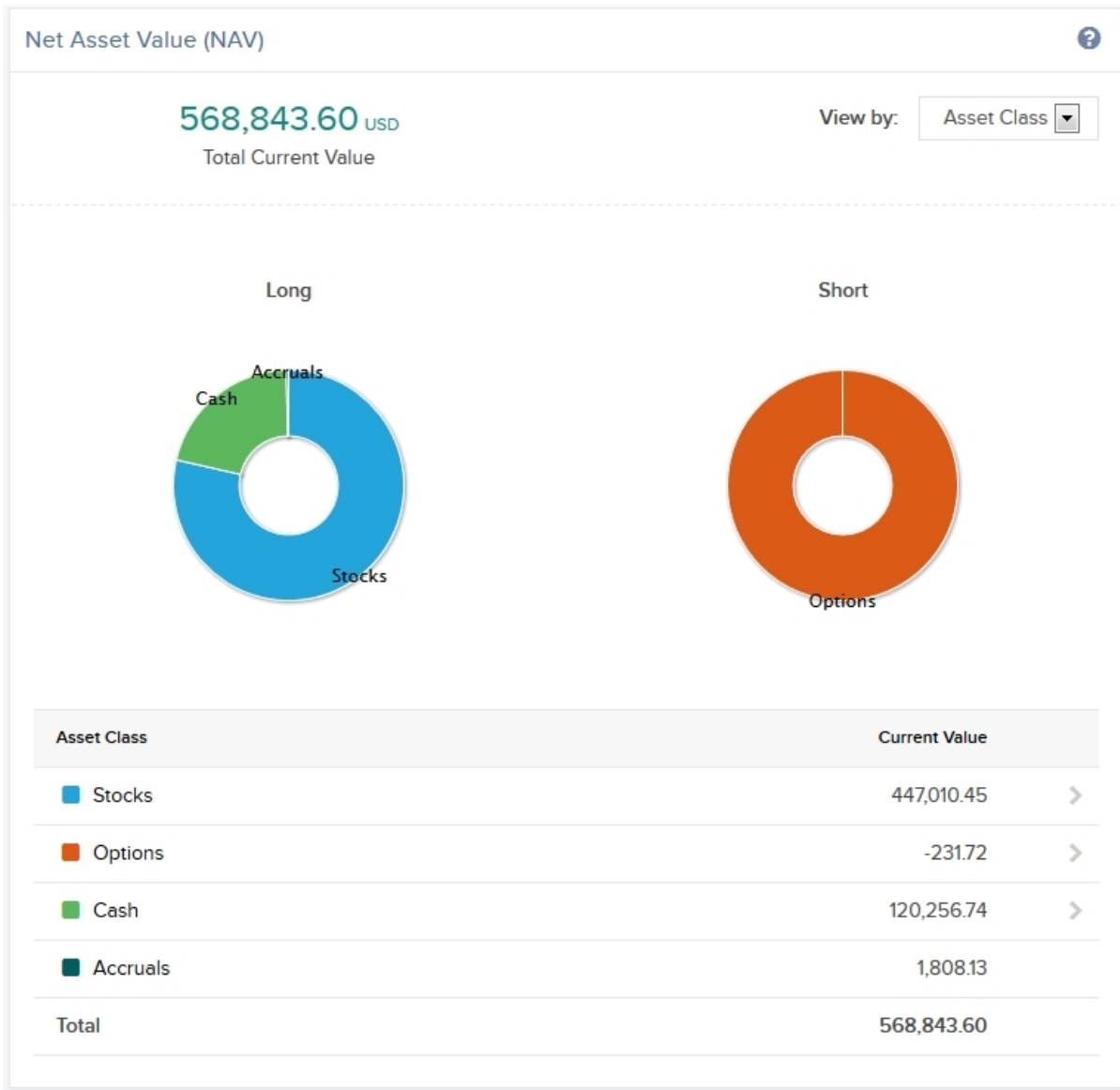
## Switching Between Views

Use the View by menu to switch between views. Account Management remembers your last View by selection.



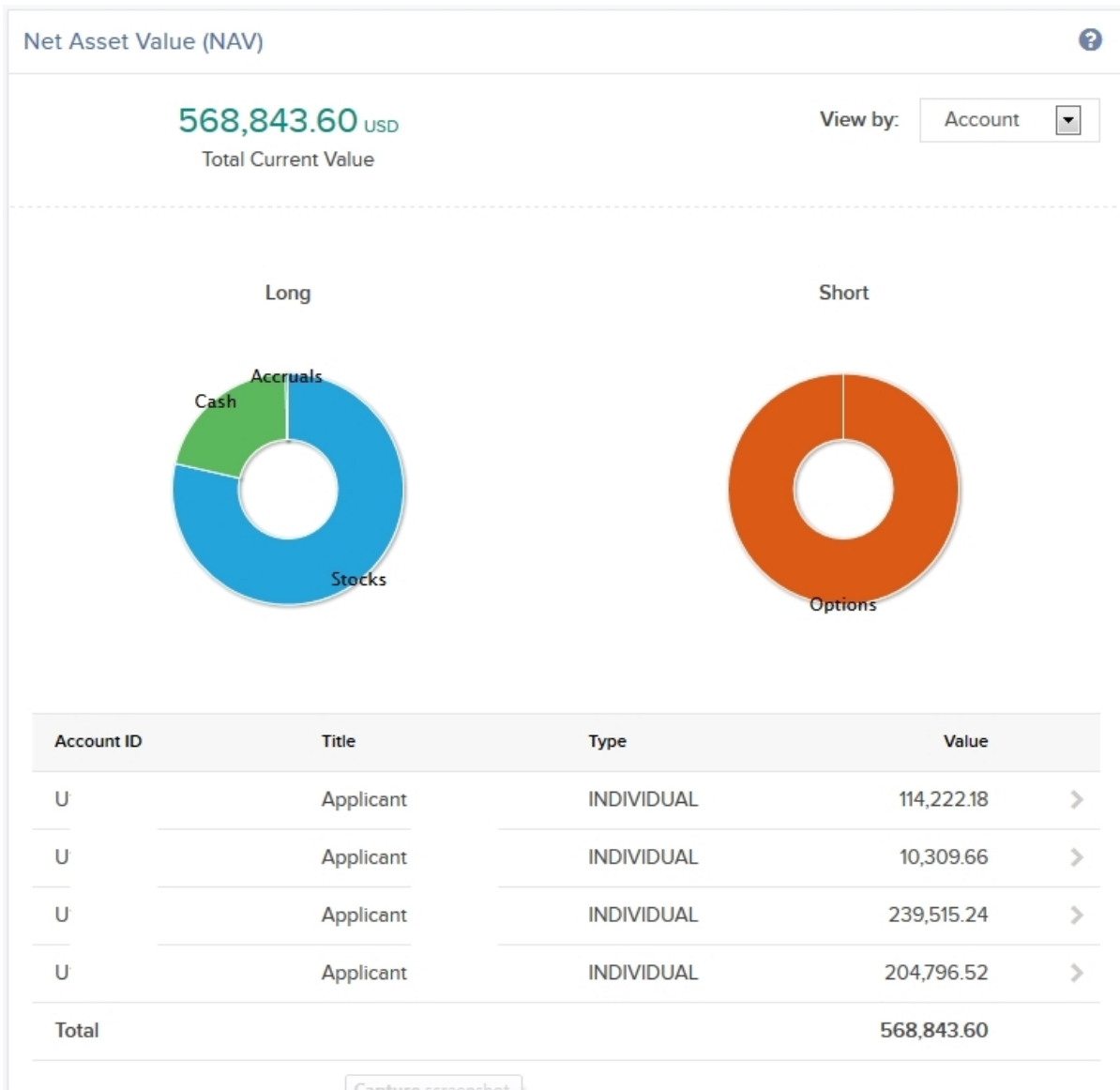
## Asset Class View

The initial view is Asset Class view, which displays two pie charts that show your long and short asset allocation, respectively, and a table that lists the current value in each asset class in your account. If there are no short positions, only one pie chart appears.



## Account View

Account view displays two pie charts that the long and short position value in the selected account, and a table that lists the current value of each account along with the Account ID, title and type of account. If there are no short positions, only one pie chart appears.



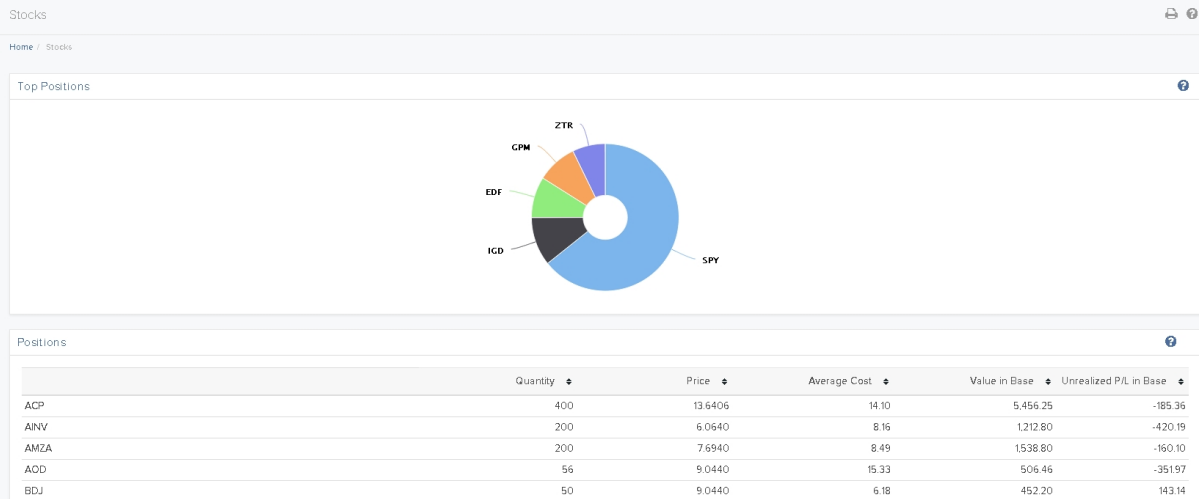
### Viewing Positions

You can drill down from the Home screen to view positions.

#### To drill down to view positions by asset class

Click any asset class in the table.

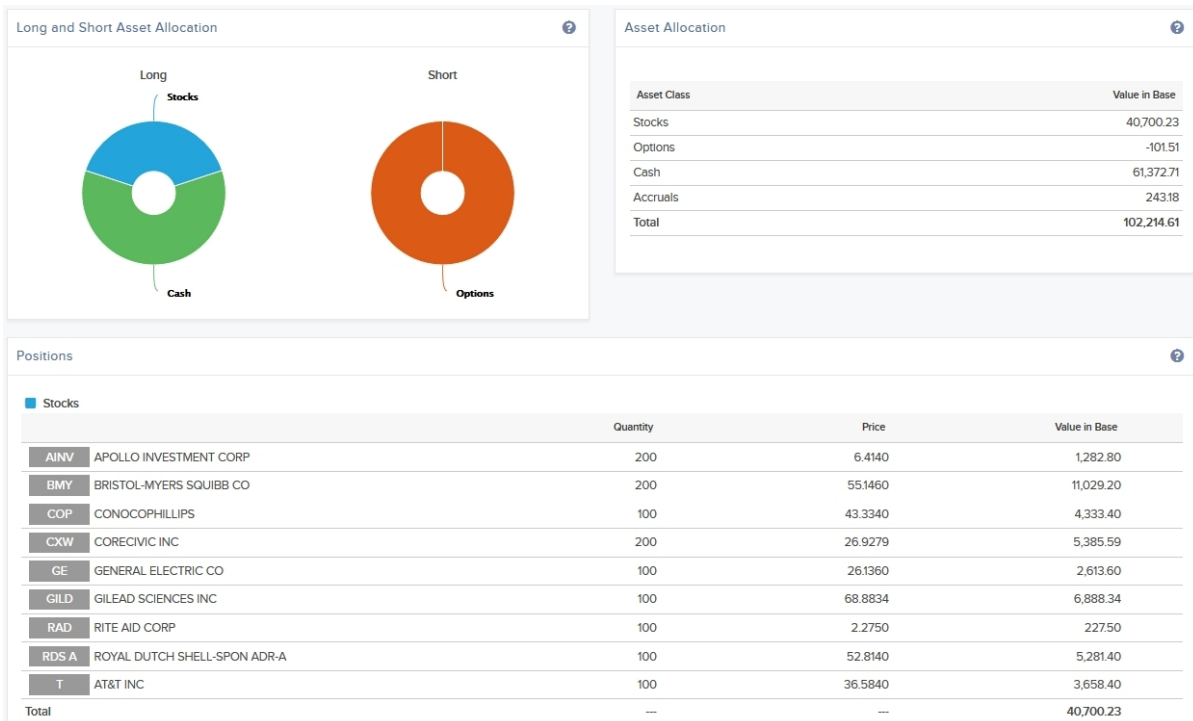
Top long and short positions in the selected asset class are displayed in pie charts at the top, and all positions in the selected asset class are displayed in a table along with their quantity, price, average cost, value in your base currency and unrealized profit and loss in your base currency.



### To drill down to view positions by account

Click any account in the table.

Asset allocation for the selected account are displayed in long and short pie charts next to a table showing the value of all asset classes in the selected account, and all positions for the account are displayed in a table sorted by asset class.







## Margin Requirements

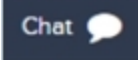
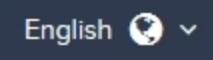


The Margin Requirements panel on the Home screen shows you the current margin requirements for your account, including:

- » **Initial Margin:** The minimum amount of equity required to open a new position.
- » **Maintenance Margin:** The amount of equity required to maintain your current positions.
- » **Available Funds:** The amount of funds you have available for trading.  
For securities, this is equal to Equity with Loan Value – Initial Margin.  
For commodities, this is equal to Net Liquidation Value – Initial Margin.
- » **Excess Liquidity:** This is your margin cushion.  
For securities, this is equal to Equity with Loan Value – Maintenance Margin.  
For commodities, this Net Liquidation Value – Maintenance Margin.
- » **Buying Power:** The maximum amount of equity available to buy securities. In a Margin account, Buying Power gives you additional leverage to make trades, increasing your potential gain but also increasing your risk.  
In a Cash account, Buying Power = Minimum (Equity with Loan Value, Previous Day Equity with Loan Value) – Initial Margin.  
In a Margin Account, Buying Power = Minimum (Equity with Loan Value, Previous Day Equity with Loan Value) – Initial Margin \*4.
- » **SMA:** SMA (Special Memorandum Account) is a line of credit created when the market value of securities in a Margin account increases in value and maintained for the purpose of applying Federal Regulation T initial margin requirements at the end of the trading day. If the SMA balance at the end of the trading day is negative, your account is subject to liquidation.

## Functions Available From Every Screen

There are several functions available throughout Account Management. On a desktop, these functions are represented by the icons at the top of the screen and summarized below. Click the links for more details.

	Open/Close Menu - Click this icon to hide or show the main menu.
	Opens a drop-down menu that provides access to the following functions:

	<ul style="list-style-type: none"> <li>» <a href="#">Pending Items</a> - 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 icon.</li> <li>» <a href="#">Corporate Actions</a> - 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 icon.</li> <li>» <a href="#">Messages</a> - Displays all current Client 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 Messages icon.</li> </ul>
	Chat - Chat live with a Client Services representative.
	<a href="#">Language Selector</a> - Lets you change the display language.
	User Menu - Gives you access to user-level settings (as opposed to account-level settings) and the Log Out function.
	<a href="#">Account Selector</a> - If you have multiple accounts and account partitions, the Account Selector lets you quickly select a different account to perform Account Management tasks in that account. Many functions in Account Management require you to select an account before you can do anything.

## 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.

### Types of Pending Items

- » **Agreements** - These are agreements that you must sign (type your electronic signature). The pending item is considered complete when you successfully sign and submit the agreement. Agreements include account-specific agreements and the Futures Arbitration Agreement.

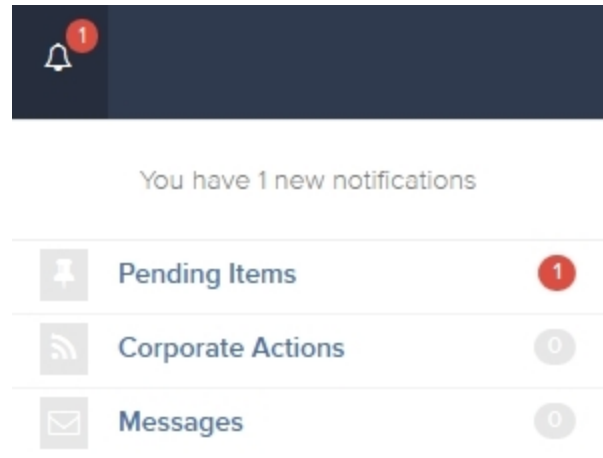
- » **Document Submission** - You are required to submit a document to us, usually by uploading the document from the pending item. This pending item is considered complete after you have uploaded the document and we have approved it.
- » **Request Confirmation** - You have submitted a request but the request requires you to confirm the action. Funding requests such as withdrawals are request confirmations. Once you confirm your request, the pending item is considered complete.
- » **Request Authorization** - You must authorize an action performed by another user on the same account. You will see this pending item only if you have been designated an [Authorizer](#) for an account. The pending item is considered complete when you approve or reject the request.
- » **Client Linkage Requests** - You must accept or reject another customer's request to become your client. You will see this pending item only if you are the master account holder in a multiple account or institution account structure that accepts client link requests (for example, an advisor). The pending item is considered complete once you accept or reject the request.
- » **Pending Additional Account** - You have requested an additional account, but did not complete the application. Open this pending item to continue the application where you left off. This pending item is considered complete when you finish and submit the application.
- » **Investor Category** - The [Investor Category](#) screen 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. This pending item appears if you have not answered all of the Investor Category questions. Open this pending item to go directly to the Investor Category screen and finish answering the questions. This pending item is considered complete when you answer all of the Investor Category questions.

## Opening Pending Items

### To open pending items

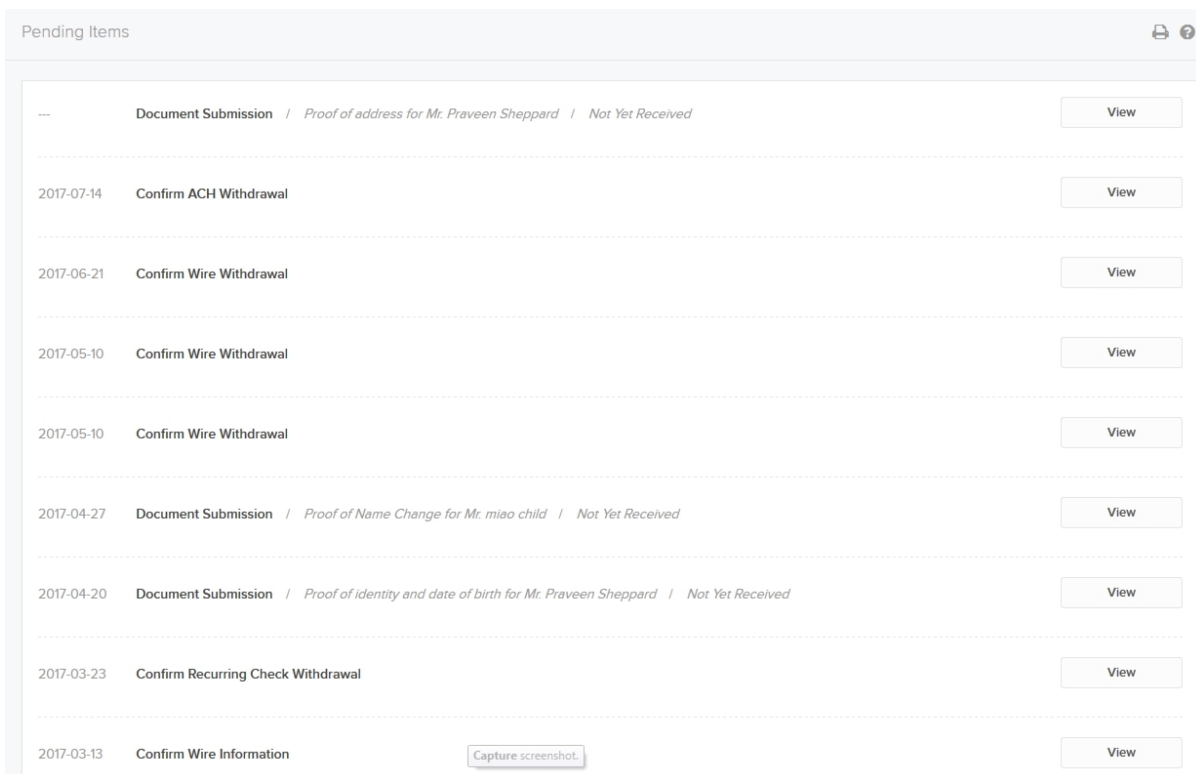
1. From any screen in Account Management, click the Notifications (bell) icon. The number on the icon shows you how many total unread notifications you have.

A drop-down opens, showing how many unread Pending Items, Corporate Actions and Message you have.



2. Click **Pending Items**.

The Pending Items screen opens.



3. You can open and view any pending item to see the details of the item. Click the **View** button for the pending item you want to view.
4. Click **CONTINUE** when you have completed the action that clears the pending item.

Here is an example of a pending withdrawal that needs to be confirmed.

Your **ACH Withdrawal** for **USD 123.00** needs to be confirmed.

You have requested to perform the transaction shown below. You must confirm your identity by submitting the required fields before the transaction will be processed.

Reference Number	38610725
Account ID	U
Transaction Information	
Amount	USD 123.00
Bank Name	Citibank, N.A.
ABA Routing Number	
Bank Account Number	
Bank Account Type	Checking
Confirm Your Identity	
Username	<input type="text" value="Required"/>
Password	<input type="text" value="Required"/>
We have emailed a confirmation number to you at the following email address: <code>acesops@mail</code>	
Confirmation Number	<input type="text" value="Required"/>

## Corporate Actions

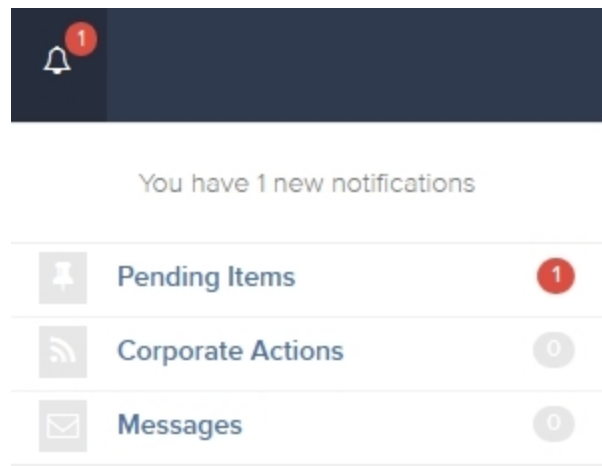
The Corporate Actions tab displays notifications of all upcoming corporate actions that may affect your account or, for multiple account structures, for the selected account, based on the positions held in the account. This means for example, that regardless of whether you hold a stock, option, bond, 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.

### To open corporate actions

1. From any screen in Account Management, click the Notifications (bell) icon. The number on the icon shows you how many total unread notifications you have.

A drop-down opens, showing how many unread Pending Items, Corporate Actions and Message you have.



2. Click **Corporate Actions**.

The Corporate Actions screen opens.

3. You can open and view any corporate action to view the details of the item. Click the **View** button for the corporate action you want to view.
4. Click **CONTINUE** when you are done.

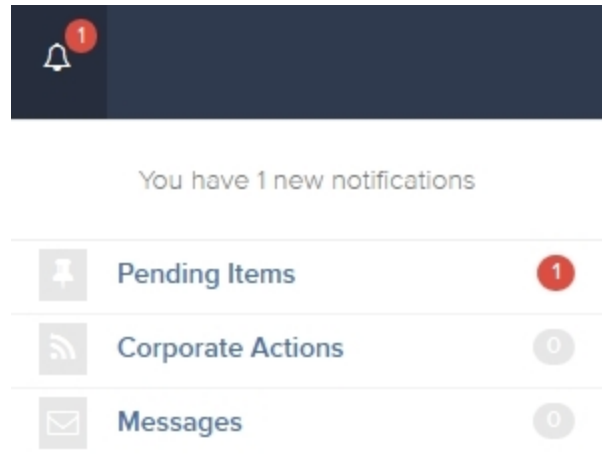
## Messages

The Messages tab displays pending Client Services messages for your account or, for multiple account structures, for the selected account. Pending Client Service inquiries include messages from Client Services in response to inquiry tickets. You can also view your messages in the [Message Center](#), available from the Support screen.

### To open messages

1. From any screen in Account Management, click the Notifications (bell) icon. The number on the icon shows you how many total unread notifications you have.

A drop-down opens, showing how many unread Pending Items, Corporate Actions and Message you have.



2. Click **Messages**.

The Messages screen opens.

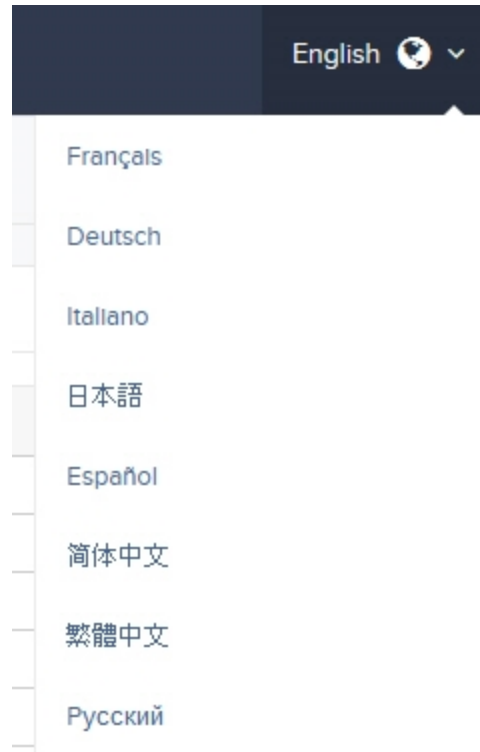
3. You can open and view any message to view the details of the item. Click the **View** button for the message you want to view.
4. Click **CONTINUE** when you are done.

## 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 of the screen.

### To change the display language

1. Log into Account Management.
2. Click the language menu at the top of the screen. This is the menu with the current language next to a globe icon.






The language settings drop-down opens, showing all possible languages for Account Management.

3. Click the language you want to change.










The display language in Account Management changes to your selected language.



## Account Management Icon Reference

Account Management includes a number of icons to help you access functions quickly.

Icon	Description
	Opens the User Menu, where you can log out of Account Management.
	Opens and closes the main menu.
	Gives you access to Pending Items, Corporate Actions and Mes-



Icon	Description
	sages.
	Opens the Account Selector so you can switch to a different account or account partition.
	In PortfolioAnalyst, Search (magnifying glass): Click this icon to search for a specific description, name, quantity, symbol or transaction type in your IB account(s) and external accounts.
	Display additional information, usually in a popup window. For example, click this icon to view information and access rights for a user that you've added to your account.
	Help.
	Configure. <ul style="list-style-type: none"> <li>» Click this icon to access configuration settings.</li> <li>» In the Account Selector, click this to display additional information, such as Alias or Status.</li> </ul>
	Run, as in reports.
	Add, as in users or reports.
	Filter. <ul style="list-style-type: none"> <li>» In PortfolioAnalyst, click this to filter positions by Ending Quantity, Ending Price or Change.</li> <li>» In the Account Selector, filter the list of accounts by account type.</li> </ul>
	Edit, as in reports or users.

Icon	Description
	Delete.
	In PortfolioAnalyst, on the Custom Reports and Add-Ons screen, click this to view the details of a saved custom benchmark or a saved synopsis.

## Using the Account Selector

If you have multiple linked accounts or account partitions, or you manage multiple accounts, you will be prompted to select one or more accounts after you log in to Account Management. You select accounts in the Account Selector, which displays the account ID and customer type of all of your IB accounts. On a desktop, the Account Selector slides in from the right side of the screen.

If you want to view account balances and Net Asset Value for all of your IB accounts on one screen, you would select those accounts in the Account Selector.

This topic shows you how to use the Account Selector to:

- » [Select an account](#)
- » [Select a different account](#)
- » [Search for accounts](#)
- » [Filter by Customer Type](#)
- » [Display additional account information](#)

### To select an account:

1. Click the Account Selector icon located in the top right corner of Account Management.  
If you do not see the Account Selector icon, then you do not have multiple accounts or partitions.

The Account Selector opens.

### Accounts ✕

search accounts ✕ Q ⌵ ⚙️

Select one or more accounts.

<input type="checkbox"/>	Account	Customer Type	Title	Status
<input type="checkbox"/>	U [REDACTED]	Individual	Applicant [REDACTED]	Open
<input type="checkbox"/>	U [REDACTED]	Joint	Applicant [REDACTED]	Open
<input type="checkbox"/>	U [REDACTED]	IRA	Applicant [REDACTED]	Open
<input type="checkbox"/>	U [REDACTED]	Individual	Applicant [REDACTED]	Open

Reset Continue

2. Click the check box that corresponds to the account(s) you want to use in Portfolio Analyst. If you want to choose a different account, clear your selections by clicking **RESET**.
3. Click **CONTINUE**.

The Portfolio Analyst Summary screen opens and displays data for the selected account(s).

**To select a different account:**

If you have multiple accounts and have already logged in with one account, you can switch account easily using the Account Selector.

1. Click the Account Selector icon on the top right of the screen.
2. Click the check box that corresponds to the account(s) you want to use. If you want to choose a different account, clear your selections by clicking **Reset**
3. Click **CONTINUE**.

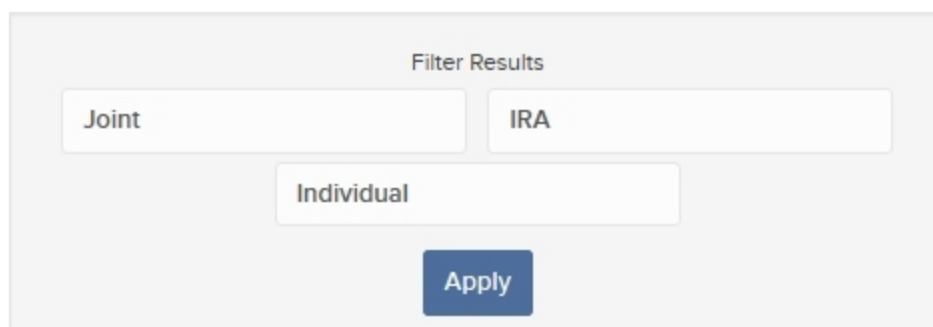
The Home screen reloads and displays data for the selected account(s).

**To search for accounts:**

In the Account Selector, type part of the account title or customer type in the *search accounts* field, and then click the magnifying glass icon. Click the **X** to clear the search field and the search results.

**To filter accounts by Customer Type:**

1. In the Account Selector, click the filter icon located above the list of accounts (this is the second icon from the right).
2. Select the desired customer type buttons (for example, INDIVIDUAL or JOINT) and then click **Apply**.

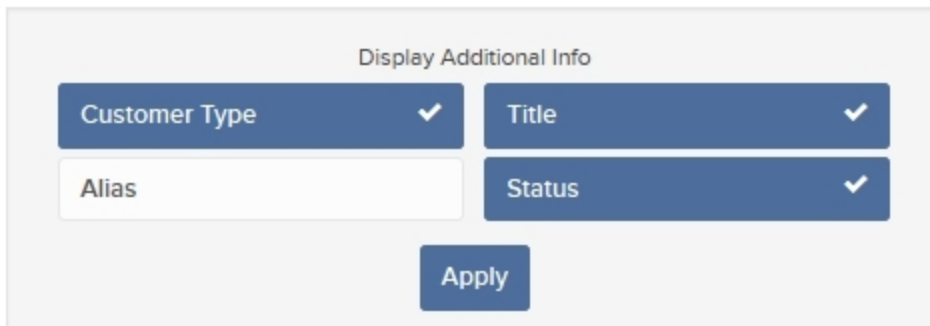


The list of accounts updates to display your accounts that match the selected customer type.

**To display additional account information:**

By default, the Account Selector displays the account ID and customer type of all of your IB accounts, but you can display additional information such as account alias or account status.

1. In the Account Selector, click the gear icon located above the list of accounts (this is the last icon on the right).
2. Select the desired information you want to add to the list of accounts. For example, you might want to display your account title and account alias (if you have one).
3. Click **Apply**.



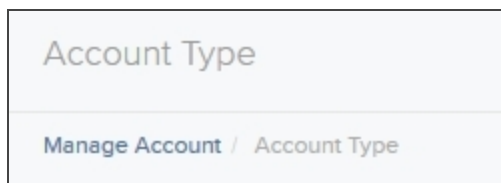
The screenshot shows a dialog box titled "Display Additional Info". It contains four selection controls arranged in a 2x2 grid. The top row has "Customer Type" and "Title", both with checkmarks. The bottom row has "Alias" and "Status", both without checkmarks. Below the grid is an "Apply" button.

The list of accounts updates and resizes to display the additional information that you selected.

## Navigating Between Screens

Account Management provides breadcrumb links near the top left of many screens that let you quickly return to the previous screen. Just click the screen name displayed in the breadcrumbs.

For example, suppose you are on the Account Type screen to upgrade your Cash account to a Margin account. If you change your mind, you can quickly return to the main Manage Account screen by clicking Manage Account in the breadcrumbs.



## Getting Help

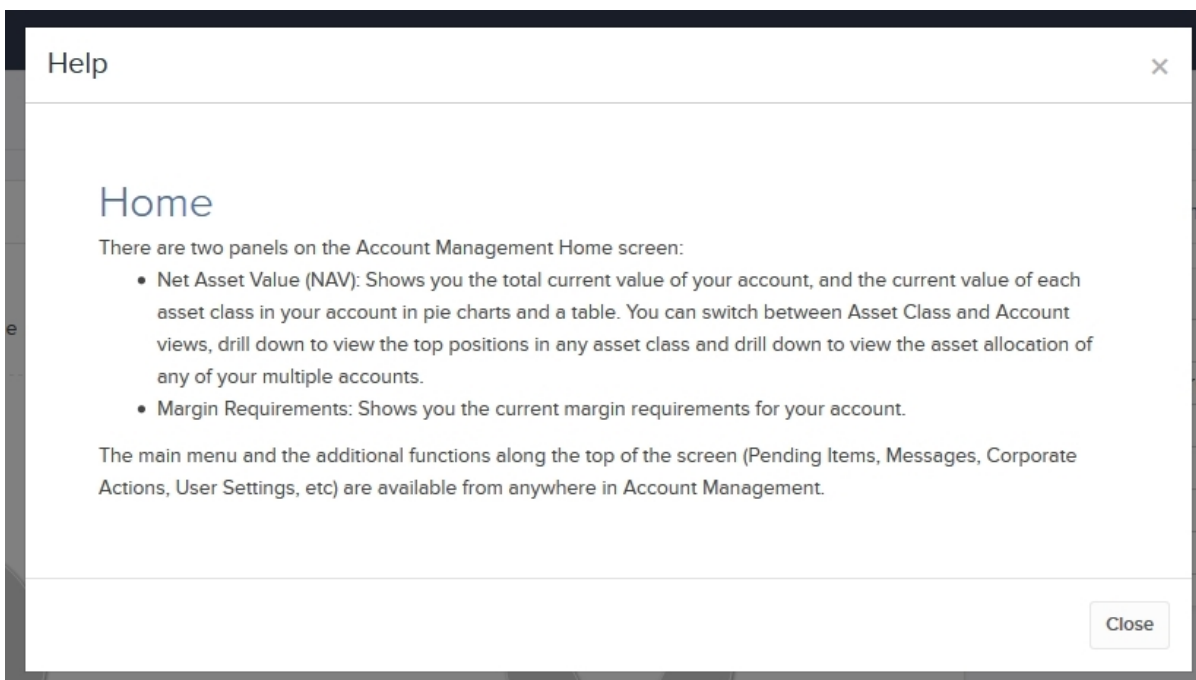
You can get additional information about Account Management in the following ways:

- » Contextual Help
- » Users' Guide

## Contextual Help

Contextual help is designed to give you quick answers while working in Account Management. Every panel in Account Management includes a help icon (question mark) in its title bar. View help for any panel by clicking the help icon.

To close the help window, click the Close button at the bottom of the window or click the X at the top of the window.



## 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 contextual help windows, or from the Support screen, or from the Documentation page in the Traders' University on our website.

## 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.

## Settings

This chapter describes the functions available from the Settings menu, which let you configure your account-level and user-level settings.

Topics included:

- » [Account Settings](#)
- » [User Settings](#)

### The Difference Between Account Settings and User Settings

Account Settings are configurable settings associated with your account rather than your username. These include your profile, financial information, trading permissions, account alias, base currency and many more. You can have multiple users for one account, but the settings associated with the account will apply to all users.

User Settings are configurable settings associated with you and your username, rather than with your account. These include security-related settings such as password and email address and the Secure Login System, as well as market data and research subscriptions. When you have multiple users set up for your account, each user (username) will have his or her own user settings.

## Account Settings

Account settings are configurable settings associated with your account, rather than with you and your username. All account settings are accessible from a single Account Settings screen, available from the Manage menu.

Account settings are grouped as follows on the Account Settings screen:

- » [Profile](#) - Modify personal information such as name and address for individual or entity account holders.
- » [Financial Information](#) - Update your net worth and income information, investment objectives and investment experience.
- » [Trading Permissions](#) - Specify the products you can trade where you can trade them.

### [Configuration](#)

The Configuration section also displays your Customer Type (Individual, Joint, etc.), and your legal residence (state/province and country).

### [Users & Access Rights](#)

- » Displays a list of existing users, lets you add users and set their Account Management access rights, and create user roles. Security Officers can view account-level access rights and configure the number of authorizers.

## Profile

The Profile(s) panel on the Account Settings screen shows a list of all user profiles for the current account. Profiles let you modify information for individuals or entities associated with your account. You can modify the following information:

- » Name
- » Date and country of birth
- » Country of citizenship
- » Marital status
- » Number of dependents
- » Account association
- » Residential address and mailing address, if different
- » Phone numbers
- » Employment information
- » Tax Identification Number



**Note:** User profiles are different from users that you add to your account through the Users and Access Rights process.



The Profile(s) panel lets you:

- » [View a user profile](#)
- » [Edit a user profile](#)
- » [Delete a user profile](#)

## Who can access Profiles?

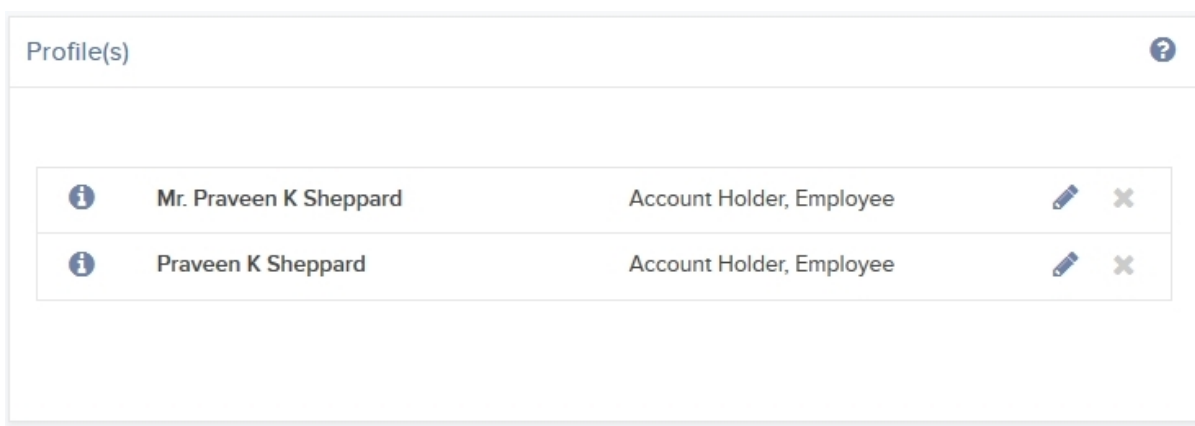
You can access Profiles if you are a(n):

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

## To view a profile

1. Click **Settings > Account Settings**.

The Account Settings screen opens. The Profile(s) panel appears at the top of the screen.



2. In the Profile panel, click the **i** icon next to the profile you want to view.

The profile opens in a popup window.

Mr. Praveen K Sheppard
×

---

Name	Mr. Praveen K Sheppard
Residential Address	-----
	United States
Mailing Address	890 Sheppard Ridge San Gabriel, California 91776 United States
Email Address	
Phone (Fax)	
Phone (Mobile)	
Phone (Work)	
Tax ID United States	*****0000
Date Of Birth	1953-11-19
Country of Citizenship	United States
Marital Status	Married
Number of Dependents	1
Employment Type	Self-Employed
Occupation	Insurance Broker
Employer Name	New Angel Insurance Agency Inc
Nature of Employer's Business	Insurance Services
Employer Address	
	United States

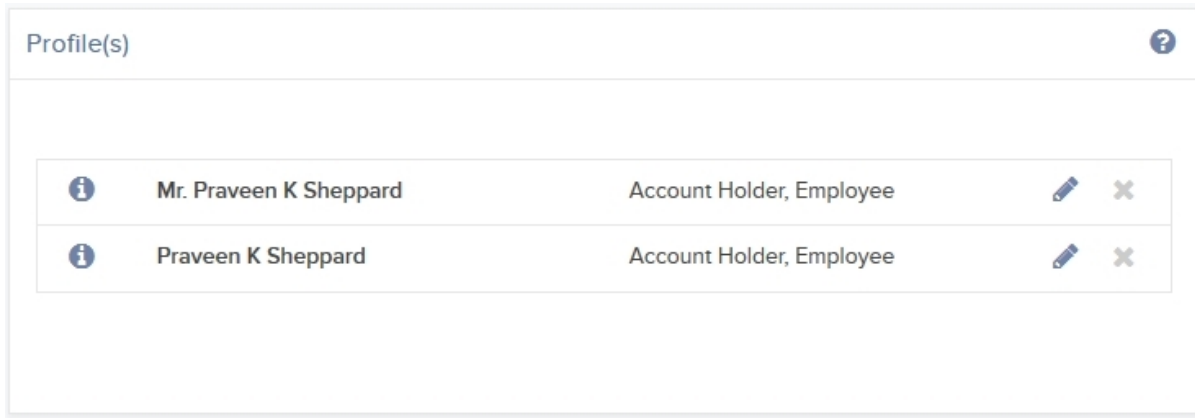
Close

3. Click **Close** to close the popup.

## To edit a profile

1. Click **Settings > Account Settings**.

The Account Settings screen opens. The Profile(s) panel appears at the top of the screen.



2. Click the Edit (pencil) icon for the profile you want to modify.
3. Profile information appears on a series of screens. Modify information as required, clicking **CONTINUE** to advance through the screens.
4. Verify your information, and then click **CONTINUE**.  
If you need to make changes, click **Back**, then make your changes.
5. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
6. Click **Ok**.

### To delete a profile

1. Click **Settings > Account Settings**.

The Account Settings screen opens. The Profile(s) panel appears at the top of the screen.

2. In the Profile panel, click the **X** next to the profile you want to delete.
3. Click **Yes** to confirm.

## Financial Information

The Financial Information page lets you change the following financial information for your account, which you originally entered into your account application:

- » Income and net worth
- » Additional sources of income
- » Investment objectives
- » Investment experience

The products you are allowed to trade depend on your income and net worth and your investment objectives and experience. For detailed requirements for each product that you want to trade, see the [Trading Requirements](#) page on our website.

### **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
  - » Advisor Master User
  - » Advisor Client
  - » Proprietary Trading Group Master User
  - » Broker Master User (master account only)
  - » Broker Fully Disclosed Client
  - » Investment Manager Master User
  - » Fund
- 

### **To change your financial information**

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose financial information you want to change.
3. On the Manage Account screen, view your current financial information displayed in the Financial Information panel.

Financial Information	
Annual Net Income	150,000 - 249,999 USD
Net Worth	500,000 - 999,999 USD
Liquid Net Worth	500,000 - 999,999 USD
Investment Objectives	Growth, Hedging, Speculation, Trading Profits
Stocks	2 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Options	3 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Futures	3 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Bonds	2 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Forex	3 Years of Experience - 26 - 50 Trades per Year - Extensive Knowledge

- Click the Configure (gear) icon.



- In the Income and Worth section, update the information as required.

#### Configure Financial Information

Use this page to update your financial information, investment objectives and investment experience.

#### Income and Worth

Annual Net Income in USD	150,000 - 249,999
Net Worth in USD (exclusive of residence)	500,000 - 999,999
Liquid Net Worth in USD	500,000 - 999,999
Total Assets in USD	1,000,000 - 4,999,999

- In the Additional Source of Income section, click the **+Add** button and select an additional source of income, then enter the annual percentage of income and a description for the new source. Repeat for each additional source of income.

#### Additional Sources of Income

Provide one or more additional sources of income, the annual percentage from each source, and an optional description. All sources of income must add up to 100%.

Other	100 %	Savings/Investments
<input type="button" value="+ Add"/>		

- In the Investment Objectives and Intended Purpose of Trading section, update your selections as required by clicking the boxes.

Investment Objectives and Intended Purpose of Trading

<input checked="" type="checkbox"/> Growth	<input checked="" type="checkbox"/> Hedging	<input type="checkbox"/> Income
<input type="checkbox"/> Preservation of Capital	<input checked="" type="checkbox"/> Speculation	<input checked="" type="checkbox"/> Trading Profits

- In the Investment Experience section, update your selections as required. Remember, different products require different levels of experience.

Investment Experience

Stocks	2 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Options	3 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Futures	3 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Bonds	2 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Forex	3 Years of Experience	26 - 50 Trades per Year	Extensive Knowledge

- Click **CONTINUE**.
- Verify the updated information and then click **CONTINUE**.
- If you need to make further changes, click **Back**, then make corrections before submitting.
- If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
- Click **Ok**.

## Trading Permissions

Trading permissions specify the products you can trade where you can trade them. You modify existing trade permissions or subscribe to new permissions on the Trading Permissions screen. When specifying permissions, you will be asked to sign any risk disclosures required by local regulatory authority.

On the Trading Permissions screen, you can:

» Join trading programs:

- Stock Yield Enhancement Program - This program offers participating accounts the opportunity to earn additional income from fully paid shares by allowing us to borrow those shares from you in exchange for cash collateral, and then lend the shares to traders who want to sell them short and are willing pay interest borrow them. Note that if you leave this program, you must wait 90 days before you can re-enroll in the program.
- Pre-Borrow Program - Portfolio Margin customers can sign up for this 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.

For more information on both of these programs, see the [Securities Financing](#) page on our website.

» Request trading permissions:

- Trading permissions are organized by product and then by country.
- Use the drop-downs at the top of the section to select which countries and products you want to see, or view all countries and products.
- Request trading permissions in all countries and products with a single click.
- In many cases, you will be asked to modify your financial information, including net income, investment objectives and trading experience. Different products require different combinations of income, objectives and experience requirements. For detailed information about these requirements, see the [Trading Requirements](#) page on our website.

» Request limited options trading permissions: If you want to trade options but do not have enough experience, you can select Limited Option Trading on the Trading Permission screen. Limited option trading is available with any investment objective that you select on the Configure Financial Information screen. Limited option trading lets you trade these option strategies:

- Long Call or Put
- Covered Calls
- Short Naked Put: Only if covered by cash
- Call Spread: Only European-style cash-settled
- Put Spread: Only European-style cash-settled
- Long Butterfly: Only European-style cash settled

- Iron Condor: Only European-style cash settled
- Long Call and Put
- » Request the following trading permissions if you are eligible:
  - Clients can trade United Kingdom CFDs and/or Metals if they meet the eligibility requirements. See [Trading UK CFDs and Metals](#) for more information.
  - Clients can trade Cash Forex if they meet the eligibility requirements. See [Trading Cash Forex](#) for more information.

### Who can access the Trading Permissions screen?

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
  - » Advisor Master User (can only view)
  - » Advisor Client
  - » Proprietary Trading Group Master User
  - » Broker Master User
  - » Broker Fully Disclosed Client
  - » Investment Manager Master User (can only view)
  - » Fund
- 

### To configure trading permissions

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose trading permissions you want to change.

The Account Settings screen opens. The Trading Permissions panel displays your current trading permissions.



Trading Permissions	
<b>Stocks</b>	Australia, Austria, Belgium, Hong Kong, Italy, Japan, Mexico, Netherlands, Spain, Sweden, Switzerland, United Kingdom, United States, United States (Algorithmic Execution Venue), United States (T+2 Settlement Program)
<b>Bonds</b>	Europe, Hong Kong, United States
<b>Options</b>	United States
<b>Futures</b>	Australia, France, Germany, Italy, Japan, Republic of Korea, Mexico, Netherlands, Norway, Singapore, Spain, Sweden, Switzerland, United Kingdom, United States, United States (Floor Based Exchanges)
<b>Futures Options</b>	Australia, France, Germany, Japan, Singapore, Spain, United Kingdom, United States, United States (Floor Based Exchanges)
<b>Single Stock Futures</b>	United States
<b>Stock and Index CFDs</b>	Global
<b>Mutual Funds</b>	United States
<b>Cash Forex</b>	Global
<b>Currency Conversion</b>	Global
<b>Metals</b>	Global

3. In the Trading Permissions panel, click the **Configure** (gear) icon.

The Trading Permissions screen opens.

Trading Permissions (U1817569)

Account Settings / Trading Permissions

Configure Trading Permissions and Programs  
Use this page to view or modify existing trading permissions and programs or subscribe to new ones.

**Trading Programs**  
Participate in any program listed below by checking the box.

Stock Yield Enhancement Program

Pre-Borrow Program

**Trading Permissions**  
Check the products that you want to trade and the countries in which you want to trade them. Select regions or products in any order.

All Regions  All Products

**Stocks**

Australia	Austria	Belgium
Canada	France	Germany
Hong Kong	Hong Kong (allows stock short selling)	Italy
Japan	Mexico	Netherlands
Norway	Singapore	Spain
Sweden	Switzerland	United Kingdom
United States <input checked="" type="checkbox"/>	United States (Penny Stocks)	United States (Algorithmic Execution Venue)
United States (T+2 Settlement Program)		

**Bonds**

4. In the Trading Programs section of the page, sign up for a trading program by selecting the box next to it. If you do not have a Portfolio Margin account, you will not see the Pre-Borrow Program. Leave a program by deselecting the box next to it.

### Trading Programs

Participate in any program listed below by checking the box.

<input type="checkbox"/>	Stock Yield Enhancement Program
<input type="checkbox"/>	Pre-Borrow Program

5. 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 with a check mark next to them.

For example, the following image shows an account with stocks and options trading permissions in the United States.

## Trading Permissions

Check the products that you want to trade and the countries in which you want to trade them. Select regions or products in any order.

## Stocks

Australia	Austria	Belgium
Canada	France	Germany
Hong Kong	Hong Kong (allows stock short selling)	Italy
Japan	Mexico	Netherlands
Norway	Singapore	Spain
Sweden	Switzerland	United Kingdom
United States <input checked="" type="checkbox"/>	United States (Penny Stocks)	United States (Algorithmic Execution Venue)
United States (T+2 Settlement Program)		

## Bonds

## Options

Use the filter drop-downs at the top of the section to change the countries and products that are displayed:

## Trading Permissions

Check the products that you want to trade and the countries in which you want to trade them. Select regions or products in any order.

- Select a specific country to display (for example, United States), or select *All Regions* to display all countries.
- Select a specific product to display (for example, stocks), or select *All Products* to display all products.
- Click **Select All** to request trading permissions for all products in all available countries.

6. To request specific products to trade in specific countries, click each country in each product section to place a check mark next to them.

For example, the following image shows a request for stock trading permissions in the United States and several European countries.

**Stocks**

Australia	Austria	Belgium
Canada	France ✓	Germany ✓
Hong Kong	Hong Kong (allows stock short selling)	Italy
Japan	Mexico ✓	Netherlands ✓
Norway	Singapore	Spain ✓
Sweden	Switzerland	United Kingdom ✓
United States ✓	United States (Penny Stocks)	United States (Algorithmic Execution Venue)
United States (T+2 Settlement Program)		

7. Click **CONTINUE**.
8. If you selected Cash Forex trading permissions, you are prompted to answer a few questions to determine your eligibility. Click **CONTINUE**.

Cash Forex Qualification

Are you a dealer (i.e., someone that regularly enters into, makes a market in or holds itself out as a dealer in forex or retail commodity transactions) as defined in NFA Financial Requirement section 11(e)?  YES  NO

[Back](#) [Continue](#)

The Configure Financial Information page opens.

## Configure Financial Information

Your requested changes require you to update your financial information, investment objectives and/or investment experience for the reasons listed below.

- Your investment objectives are not consistent with the type of account you have applied for. Please re-check your selected objectives or re-apply later if your objectives change.
- We require our customers to have executed at least 100 prior trades for any product type (e.g. Stock, Option, Futures, etc) in order to qualify as a customer. Please check the number of years and number of trades information entered, and if incorrect, change and click the continue button. If correct, we encourage you to apply again when you have gained additional trading experience.
- Insufficient knowledge level for Options.
- Insufficient knowledge level for Futures.
- Insufficient knowledge level for Bonds.

## Income and Worth

Annual Net Income in USD	50,000 - 99,999
Net Worth in USD (exclusive of residence)	500,000 - 999,999
Liquid Net Worth in USD	100,000 - 249,999
Total Assets in USD	500,000 - 999,999

## Additional Sources of Income

Provide one or more additional sources of income, the annual percentage from each source, and an optional description. All sources of income must add up to 100%.

Do you have any additional sources of income?

YES

Other	50 %	N/A	✕
Inheritance	50 %	Rich uncle	
+ Add			

## Investment Objectives and Intended Purpose of Trading

<input checked="" type="checkbox"/> Growth	<input type="checkbox"/> Hedging	<input type="checkbox"/> Income
<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Speculation	<input type="checkbox"/> Trading Profits

## Investment Experience

Stocks	5 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Options	2 Years of Experience	11 - 25 Trades per Year	Good Knowledge
Futures	3 Years of Experience	1 - 10 Trades per Year	Good Knowledge
Bonds	5 Years of Experience	11 - 25 Trades per Year	Good Knowledge
Forex	2 Years of Experience	11 - 25 Trades per Year	Good Knowledge

Back

Continue

9. Modify the information on this screen as required and then click **CONTINUE**.

- Update your income and net worth by selecting the appropriate range of values from the drop-downs.
- Update source of additional income by clicking YES and then completing all fields for the source of income. Click the **+ Add** button to add more sources of income.

- Select the box next to each applicable investment objective. Remember, different products require different investment objectives.
- For each product you want to trade, select years of experience, number of trades per year and knowledge level from the drop-downs.

Some products require specific investment experience, which you can also modify on this page.

10. Depending on the products that you have requested permission to trade, you are prompted to sign risk disclosures and/or agreements, as required by law. Read each disclosure and agreement and indicate your agreement by typing your name in the Signature field. Click **CONTINUE** after signing each disclosure or agreement.
11. Review your changes on the next screen and then click **CONTINUE**.

#### Review Trading Permission Changes

##### Stocks

Australia (Upgrade Pending)	Austria (Upgrade Pending)	Belgium (Upgrade Pending)
Canada (Upgrade Pending)	France (Upgrade Pending)	Germany (Upgrade Pending)
Hong Kong (Upgrade Pending)	Hong Kong (allows stock short selling) (Upgrade Pending)	Italy (Upgrade Pending)
Mexico (Upgrade Pending)	Netherlands (Upgrade Pending)	Japan (Upgrade Pending)
Singapore (Upgrade Pending)	Spain (Upgrade Pending)	Norway (Upgrade Pending)
Switzerland (Upgrade Pending)	United Kingdom (Upgrade Pending)	Sweden (Upgrade Pending)
United States (Algorithmic Execution Venue) (Upgrade Pending)	United States (T+2 Settlement Program) (Upgrade Pending)	United States (Upgrade Pending)

##### Bonds

Europe (Upgrade Pending)	Hong Kong (Upgrade Pending)	United States (Upgrade Pending)
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##### Options

United States (Upgrade Pending)
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##### Futures

Australia (Upgrade Pending)	Belgium (Upgrade Pending)	Canada (Upgrade Pending)
France (Upgrade Pending)	Germany (Upgrade Pending)	Hong Kong (Upgrade Pending)
Italy (Upgrade Pending)	Japan (Upgrade Pending)	Republic of Korea (Upgrade Pending)
Mexico (Upgrade Pending)	Netherlands (Upgrade Pending)	Norway (Upgrade Pending)
Singapore (Upgrade Pending)	Spain (Upgrade Pending)	Sweden (Upgrade Pending)

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 , Broker Client 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 cli-	Yes

Customer	Eligible to trade UK CFDs
Customers whose Master Account satisfies all other eligibility rules	
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 Indian 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



Customer	Eligible to trade Metals
Fully-disclosed Broker Clients of US and Canadian Brokers	No

### To trade UK CFDs and/or Metals if You are an Advisor Client, Broker Client 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 **Back**, 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.

## Trading Cash Forex

Cash Forex lets you borrow to establish a Forex position (i.e., trade Forex on a leveraged basis). If you meet the eligibility requirements listed below, you can request permission to trade Cash Forex.

## Cash Forex Eligibility Requirements

In order to be eligible to trade Cash Forex, you must be an Eligible Contract Participant (ECP).

-  **Note:** An Eligible Contract Participant is generally an individual or organization with assets of over \$10 MM (or \$5 MM if trades are hedging). The complete definition is located in Section 1a(18) of the Commodity Exchange Act. For more information about the Commodity Exchange Act, see the [U.S. Commodity Futures Trading Commission website](#), or read the complete definition [here](#).

### Cash Forex Eligibility Requirements

Customer	ECP Required to Trade Cash Forex
IB LLC customers	Yes
IB-UK customers introduced by IB LLC on a fully disclosed basis	Yes
Customer accounts handled solely by IB UK (with no involvement by IB LLC)	No
All IB Canada customers	No
All IB Hong Kong customers	No
All IB Japan customers	No
All IB India customers	No
Fully-disclosed Broker clients	Yes
All Non-disclosed and Omnibus Broker clients	No

## To request permission to trade Cash Forex

1. Click **Settings > Trade Configuration > Permissions**. The Trading Permissions page appears by default.
2. Request permission to trade Cash Forex by selecting the appropriate check box(es).
3. Click **CONTINUE**.
4. Review and your investment objectives, investment experience and financial information, modifying information where required, and then click **CONTINUE**.
5. If you are not already an Eligible Contract Participant (ECP), you are prompted to complete a brief questionnaire to become an ECP.
6. We will review your request. Once approved as an ECP, you will be able to trade Cash Forex.

## Configuration

The Configuration panel on the Account Settings screen lets you configure the following account settings:

- » [Account Alias](#) - Define an alternate name for your account that is easier to remember than your Account ID.
- » [Account Type](#) - Upgrade your Cash account to a Margin account, or upgrade your Margin account to a Portfolio Margin account
- » [Base Currency](#) - Modify the base currency for your account.
- » [Commissions Pricing Structure](#) - Modify your commission plan.
- » [Dividend Reinvestment](#) - Sign up to automatically invest cash dividends from common and preferred stocks in the underlying stock.
- » [Excess Funds Sweep](#) - Configure how you want us to handle the transfer of excess funds between the Securities and Commodities segments of your account.
- » [Paper Trading Account](#) - Sign up for a paper trading account, which lets you trade in a simulated environment.
- » [Institutional Services](#) - Sign up our clearing, prime broker and execution services.
- » [Investor Category](#) - Answer a series of questions to determine if you qualify to trade a wider range of trading products.
- » [Large Trader ID](#) - Configure your account to use your SEC Large Trader ID number(s).
- » [Regulatory Information](#) - Update the regulatory information for your account.

- » [Bank Insured Deposit Program](#) - Enroll your account in the FDIC Bank Insured Deposit Sweep Program.
- » [IB FYI](#) - Configure automatic actions in your trading account.
- » [IRA Activity](#) - View your IRA contributions and distributions by tax year.
- » [Create, Move, Link or Partition an Account](#) - Create a new linked account, link existing accounts, move your account to an Advisor- or Broker-managed account, or divide your account into multiple partitions.

Your Customer Type and Legal Residence are displayed at the top of the Configuration panel.

### **Account Alias**

Account Alias 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 you are an Advisor Master, the account aliases will also be reflected in our trading platform.

### **Who can access Account Alias?**

You can access this function 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 **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Account Alias.

### Account Alias ×

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An account alias can be anything that is easier to remember than your Account ID; for example, your first name or a nickname.

Account Alias

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**Save**


4. Type the account alias in the Account Alias field, then click **Save**.

The popup window displays a confirmation message.

5. Click **Close**. Your new Base Currency is now displayed in the Configuration panel.

### Account Type

Use the Account Type screen to upgrade your Cash account to a Margin account, or upgrade your Margin account to a Portfolio Margin account.

 **Note:** Before you can upgrade to a margin account, you must meet the eligibility requirements of those accounts.

### Who can access the Account Type screen?

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 (master user cannot change the Account Type of the master account)
- » Advisor Client
- » Proprietary Trading Group Master User
- » Broker Master User (can also change the Account Type of Non-Disclosed client accounts)

- » Broker Fully Disclosed Client
- » Fund

### To change your account type

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account type you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Account Type.

Configure Account Type

Upgrade your Cash account to a Margin account, or your Margin account to Portfolio Margin account. You must be approved for options trading to qualify for a Portfolio Margin account.

Account Type

Would you like to change your trading permissions?  NO

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 Customer Service Help Ticket and may respond accordingly. Thank you for your patience.

Continue

4. In the Account Type drop-down, select the type of margin account to which you want to upgrade.
  - Cash accounts can upgrade to a Margin account.
  - To upgrade to a Portfolio Margin account, you must be approved to trade options and your account must have at least USD 110,000 (or USD equivalent) in Net Liquidation Value.
  - To change your trading permissions as part of this process, select **YES**.
5. Click **CONTINUE**.
6. If you chose to change your trading permissions, the Configure Trading Permissions screen opens. Configure trading permissions and trading programs on this screen and then click **CONTINUE**.
7. Answer the questions on the next screen by selecting YES or NO, and then click **CONTINUE**.

8. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Enter the confirmation number in the field provided and then click **CONTINUE**.
9. Type your name in the Signature field on any risk disclosures that open, and then click **CONTINUE**.
10. Your request is submitted. Click **Ok**.

## Base Currency

Base Currency 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 Base Currency?

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

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master User
- » Advisor Client
- » 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
- » Investment Manager Master User
- » Fund

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## To modify the base currency for an account

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose base currency you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Base Currency.

## Base Currency ×

Your base currency determines the currency of translation for your statements and the currency used for the determination of margin requirements. In addition, charges related to market data and research, inactivity fees and commission on Forex trades are also charged in your base currency.

Base currency changes will not take effect until the next trading day.

Base Currency

United States Dollar (USD)

Save

4. Select your desired base base currency from the drop-down, and then click **Save**.
5. Verify your selection, then click **CONTINUE** to submit your currency change request.  
Note that base currency changes do not take effect until the next trading day. Once your change takes effect, you will see your new base currency displayed in the Configuration panel.

### Commissions Pricing Structure

Pricing Structure lets you modify your commission plan structure for stocks, warrants and ETFs; and for futures.

#### Who can access Pricing Structure?

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

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master User
- » 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 **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose base currency you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Commissions Pricing Structure. A popup window opens.

Commissions Pricing Structure ×

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Select your pricing structure for Stocks(ETFs, Warrants) and Futures.

Stocks (ETFs, Warrants) Pricing Structure

Futures Pricing Structure

[Save](#)

4. In the popup window, select **Fixed** or **Tiered** for all stocks, ETFs and warrants.
5. Select **Fixed** or **Tiered** for futures, then click **Save**.
6. Click **Close**.

### For more information

» [Commissions](#)

### 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 and IB UK clients only.
- » Only US-listed common and preferred stocks are eligible for Dividend Reinvestment.
- » 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. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Dividend Reinvestment.

The Dividend Reinvestment screen opens in a popup window.

## Dividend Reinvestment



You are currently unsubscribed from Dividend Reinvestment Plan.  
If you want to subscribe, please sign below and click on Subscribe.

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 US 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

Username:

Account Title: ,

Dated: 2017-06-01

**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.

Signature:

[Capture screenshot.](#)[Subscribe](#)

2. Type your signature in the field provided, and then click **Subscribe**.
3. Click **Close**.

Automatic dividend reinvestment is effective the next day.

4. To disable dividend reinvestment, in the Configuration panel on the Account Settings screen, click the Configure (gear) icon for Dividend Reinvestment. Click **Unsubscribe** in the popup window.

#### Dividend Reinvestment



You are currently **subscribed** to Dividend Reinvestment Plan.  
If you want to **Unsubscribe**, please click on Unsubscribe button below.

Unsubscribe

### 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 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 Excess Funds Sweep screen?**

All accounts can access this screen EXCEPT:

- » Advisor Master User
  - » Investment Manager Master User
- 

### **To set your excess funds sweep method**

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Excess Funds Sweep.
4. Read the important information on the page, then select a sweep method from the drop-down menu:
  - o Do not sweep excess funds
  - o Sweep excess funds into my securities account
  - o Sweep excess funds into my commodities account
3. Click **Save**. Your setting is saved immediately.

### **Paper Trading Account**

Paper trading lets you use the full range of trading facilities in a simulated environment using real market conditions. Use this page to request a Paper Trading Account. 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.

All new clients automatically receive a paper trading account with 1,000,000 USD of paper trading Equity with Loan Value, and this equity will fluctuate as if the trades had executed in the real market. Older accounts may not have paper trading accounts.

For more information about paper trading accounts, see [About Paper Trading Accounts](#).

The Paper Trading Account screen lets you:

- » Configure your existing paper trading account;
- » Request a paper trading account if you do not already have one.

### **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
  - » Advisor Master User
  - » Advisor Client
  - » Proprietary Trading Group Master User
  - » Proprietary Trading Group Sub User
  - » Broker Master User (master account only)
  - » Broker Fully Disclosed Client
  - » Broker Non-Disclosed Client
  - » Investment Manager Master User
  - » Fund
- 

### **To configure your paper trading account**

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose paper trading account you want to configure.
3. In the Configuration panel, click the Configure (gear) icon for Paper Trading Account.

### **To open a new paper trading account**



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

Topic includes:

- » [How Paper Trading Accounts Work](#)
- » [Limitations](#)

## How Paper Trading Accounts Work

- » It works just like your production account. You can use most order types, trade all instruments available through IB TWSour trading platform, 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.
- » New individual account holders automatically receive a paper trading account. Existing account holders with a paper trading account can log in to TWS with their production account and select either production or paper trading account without having to use their paper trading account login credentials. Note that Advisors, Brokers, Advisor and Broker clients, Hedge Funds, Administrators, Referrers and residents of India and Japan will still have to log in to their paper trading accounts with their paper trading account credentials.
- » 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 paper trading accounts 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.

## 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:

- » **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.
- » **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. Access statements from Reporting > Statements.

- » **Model Statements:** Models provide an efficient method for advisors to manage multiple trading strategies for their clients without requiring them to open multiple accounts. 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. Access model statements from Reporting > Statements.
- » **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. Access flex queries from Reporting > Statements.
- » **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. Access flex queries from Reporting > Statements.
- » **Change 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). Access Change Password from Settings > User Settings.

## 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 **Back**. A page verifying your request appear.

Reset requests received by 1600 hours ET are processed by the next day.

## Paper Trading Activity Statements and Model Statements

### To run a paper trading activity statement

1. Log into Account Management with your paper trading account username and password.
2. Click **Reporting > Statements**.
3. In the Run a Statement panel, make selections in all fields (select *Activity* or *Model* as the Standard Statement Type), and then click **Run Statement**.

## Activity Flex Queries and Trade Confirmation 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 format, TEXT or XML, of the report.

### To run a flex query

1. Log into Account Management with your paper trading account username and password.
2. Click **Reporting > Statements**.
3. In the Custom Statements panel, click the Run icon for the flex query you want to run.

You are prompted to save the flex query.

For instructions on how to create a new flex query, see [Flex Query Templates](#).

## Change Password

### To change your paper trading account password

1. Log into Account Management with your paper trading account username and password.
2. Click **Settings > User Settings**. The User Settings screen opens.
3. In the Login panel, click the Configure (gear) icon for Change Password.
4. 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.
5. Retype the new password and then click **CONTINUE**.
6. In the Confirmation Number field, type the confirmation number from the email you received.
7. Click **CONTINUE**. The password change is effective immediately.

## 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 transactions 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.

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
  - » Advisor Master User
  - » Proprietary Trading Group Master User (STL accounts)
  - » Broker Master User (Fully Disclosed and Non-Disclosed)
  - » Broker Fully Disclosed Client
  - » Investment Manager Master User (Multiple Fund Account)
- 

## To add a Large Trader ID Number to your account

1. Click **Settings > Account Settings > Account Information > Large Trader ID**.

If you have not yet added a Large Trader ID to your account, a page with general information about Large Trader IDs appears.

If you have already added Large Trader ID's to your account, a page appears with all of your Large Trader IDs displayed.

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.
4. 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.
5. 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.

1. Click **Settings > Account Settings > Account Information > Large Trader ID**.
2. Click the blue pen icon next to the ID you want to add a suffix to.
3. In the Edit Large Trader ID dialog, type the suffix then click **Save**.

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

1. Click **Settings > Account Information > Large Trader ID**.
2. Click the blue pen icon next to the Large Trader ID that you want to deactivate or reactivate.
3. Click the appropriate toggle button, then click **Save**.
4. Click the "x" icon next to the Large Trader ID that you want to deactivate, then click **Yes** in the dialog to confirm.

Active IDs give you the choice of Deactivate or Terminate. Inactive IDs give you the choice of Activate or Terminate.

### Regulatory Information

The Regulatory Information page lets you update the regulatory information for your account. You originally provided this information in your account application.

### Who can access the Regulatory Information page?

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

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- » Individual, Joint or Trust Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master Individual
- » Advisor Client Individual
- » Fully Disclosed Broker Client

## To update your regulatory information

1. Click **Settings Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Regulatory Information.

Regulatory Information U74958

Account Settings / Regulatory Information

### Configure Regulatory Information

Update the regulatory information associated with your account by answering the following questions

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?  YES  NO

Is the account holder a member, employee, associated or affiliated person of a regulatory or a self-regulatory organization or exchange?  YES  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?  YES  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?  YES  NO

Is the account holder a director, a 10% shareholder or a policy-making officer of any publicly traded company?  YES  NO

Capture screenshot

CONTINUE

 **Note:** Depending on where you are located, the actual questions that appear may be different from those shown in the image above.

3. Update your regulatory information as required, and then click **CONTINUE**. For each question on the page, answer Yes or No using YES/NO toggle switch. Depending on your answers, some

questions will require you to enter additional information.

4. Verify your changes, then click **CONTINUE**.
5. Click **OK**.

## IRA

The IRA functions on the Manage Account screen include:

- » [IRA Activity](#) - View IRA contributions and distributions for each tax year going back to 2016.
- » [IRA Conversion](#) - Perform a full conversion from your Traditional, Rollover or SEP IRA account to a Roth IRA account.
- » IRA Recharacterization - Perform a recharacterization from your Roth account to an Traditional, Rollover or SEP IRA account.

For more information about our IRA accounts, see the [IRA Information](#) page on our web site.

### IRA Activity

The IRA Activity screen lets IRA account holders view their IRA contributions and distributions for each tax year going back to 2016. For each tax year, you can view all individual contributions and distributions by clicking the View button in the History column.

### Who can access the IRA Activity page?

You can access this page if you are an IRA account holder.

---

### To view your IRA activity

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for IRA Activity. The IRA Activity screen opens.

## Contribution Activity by Tax Year

Tax Year	IRA Contribution Limit	YTD Total	History
2017	USD 5,500.00	USD 0.00	<a href="#">View</a>
2016	USD 5,500.00	USD 0.00	<a href="#">View</a>

## Distribution Activity by Tax Year

Tax Year	Required Minimum Distribution	YTD Total	History
2017	USD 0.00	USD 0.00	<a href="#">View</a>
2016	USD 0.00	USD 0.00	<a href="#">View</a>

- For each tax year going back to 2016, contribution activity shows the contribution limit and year-to-date total contribution.
  - For each tax year going back to 2016, distribution activity shows the required minimum distribution and year-to-date total distributions.
4. For each tax year, view all individual contributions and distributions by clicking the **View** button in the History column.

NEED SCREENSHOT OF HISTORY

### For more information

» [IRA Information](#)

### IRA Conversion

The IRA Conversion screen lets IRA account holders convert a Traditional, Rollover or SEP IRA account to an Roth IRA account. This is a full conversion in which all assets in the source IRA account are transferred to the destination Roth IRA account.

## IRA Conversion Rules

The following rules and procedures apply to IRA conversions:



- » For IRA Conversions from another Custodian/Trustee, you must open a 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.
- » If you request a full conversion, your existing Traditional/SEP IRA account will be closed upon completion of the transfer.
- » The state of legal residence in which you live must be the same for both the source IRA account and the destination Roth IRA account.
- » The trading permissions must be the same in both the source IRA account and the destination Roth IRA account.
- » 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.

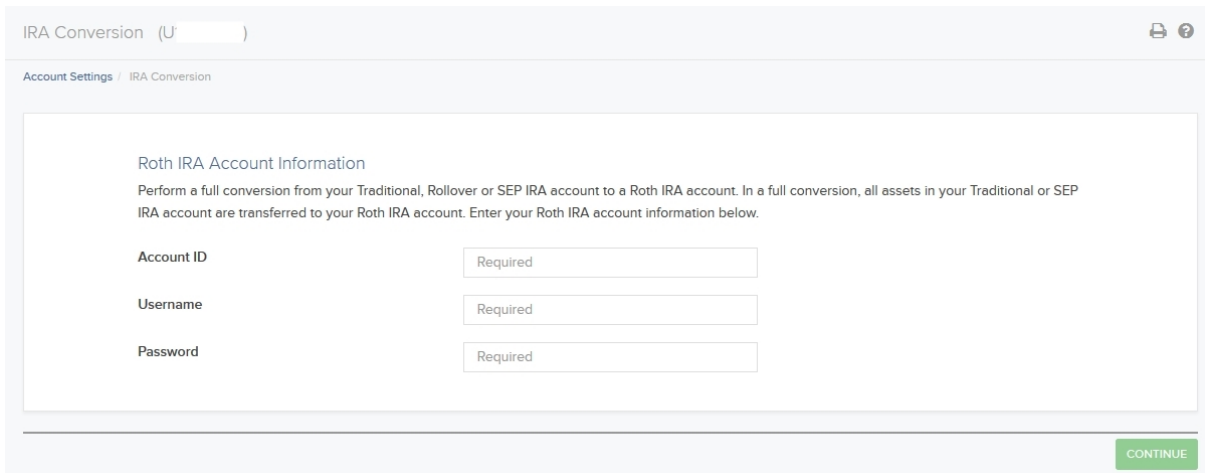
### **Who can access the IRA Conversion to a Roth Account page?**

You can access this page if you are an IRA User with a Traditional, Rollover or SEP IRA account.

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### **To perform an IRA conversion to an IB Roth IRA account**

1. Log into Account Management with the IRA account that you want to convert to a Roth IRA.
2. Click **Settings > Account Settings**.
3. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
4. In the Configuration panel, click the Configure (gear) icon for IRA Conversion. The IRA Conversion screen opens.



The screenshot shows the 'IRA Conversion' screen within the 'Account Settings' section. The page title is 'IRA Conversion (U...)' and the breadcrumb is 'Account Settings / IRA Conversion'. The main content area is titled 'Roth IRA Account Information' and contains the following text: 'Perform a full conversion from your Traditional, Rollover or SEP IRA account to a Roth IRA account. In a full conversion, all assets in your Traditional or SEP IRA account are transferred to your Roth IRA account. Enter your Roth IRA account information below.' Below this text are three input fields, each labeled with a required field: 'Account ID', 'Username', and 'Password'. Each field has a 'Required' label to its right. At the bottom right of the form, there is a green 'CONTINUE' button.

5. Enter the Account ID, Username and Password for the destination Roth IRA account, and then click **CONTINUE**.

IRA Conversion (U...)

Account Settings / IRA Conversion

### Roth IRA Conversion Rules

- When converting to a Roth IRA, you are required to pay taxes on any converted amount. If total withholding is not adequate, you may be subject to estimated tax payments and/or tax penalties.
- If you elect to withhold from the conversion, the net conversion amount will be the gross amount requested minus the tax withheld.
- You may choose to pay any tax due from another source of funds. We strongly suggest you consult your tax advisor prior to conversion of IRA assets.
- You must have a sufficient cash balance in your Traditional IRA account to cover the specified withholding amount. If you do not have a sufficient cash balance, you must complete the conversion when your cash balance is sufficient to cover the specified withholding amount.
- Cash Available for Withdrawal should be greater than the total withholding amount by 2% since the Cash Available for Withdrawal is the value from the previous business day.
- Refer to IRS Publication 590, Individual Retirement Arrangements (IRAs) and consult your tax advisor before deciding to convert your IRA.

### IRA Account Values

Total Equity	USD 28,127.04
Cash Available for Withdrawal	USD 13,134.22

### Federal Income Tax Withholding Election

You can optionally withhold federal income tax.  
If withheld, the minimum amount is 10 percent of your total distribution.

Withhold federal income tax?  YES

Percentage of Distribution to Withhold

Total Federal Withholding USD 2,812.70

### State Income Tax Withholding Election

New York residents can optionally withhold state income tax.

Withhold state income tax?  NO

Percentage of Distribution to Withhold

Total State Withholding USD 0.00

BACK CONTINUE

- This screen displays rules for converting your IRA to a Roth IRA as well as your current IRA account Total Equity and Cash Available for Withdrawal. You also have the opportunity to withhold federal and, if applicable, state income taxes.
  - Optionally withhold federal income tax by selecting YES and then entering the percentage of the distribution to withhold. We calculate and display the amount of Total Federal Withholding for you.
  - If you live in a state that has a state income tax, optionally withhold that state income tax by selecting YES and then entering the percentage of the distribution to withhold.

7. Review your IRA conversion information and then click **CONTINUE**.
8. Click **Ok** to return to the Account Settings screen.

### **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.

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	A retirement savings plan that allows an individual taxpayer to contribute earnings until they are withdrawn.	<ul style="list-style-type: none"> <li>» Contribution</li> <li>» Rollover</li> <li>» Direct</li> </ul>

IRA Type	Description	Applicable Transfer Method
	<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"> <li>» Rollover</li> <li>» Trustee-to-Trustee</li> <li>» IRA Conversion</li> </ul>
Traditional Rollover	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	<ul style="list-style-type: none"> <li>» Contribution</li> <li>» Rollover</li> <li>» Trustee-to-Trustee</li> <li>» IRA Conversion</li> </ul>

IRA Type	Description	Applicable Transfer Method
	rollover IRA is commonly used if you are changing jobs or retiring.	
Traditional Inherited	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.	» Trustee-to-Trustee
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"> <li>» Contribution</li> <li>» Rollover</li> <li>» Trustee-to-Trustee</li> <li>» IRA Recharacterization</li> </ul>
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.	» 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	<ul style="list-style-type: none"> <li>» Contribution</li> <li>» Rollover</li> <li>» Trustee-to-Trustee</li> </ul>



IRA Type	Description	Applicable Transfer Method
	<p>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.</p>	<p>» IRA Conversion</p>
Simplified Employee Pension (SEP) Inherited	<p>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.</p>	<p>» Trustee-to-Trustee</p>

# 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.

## 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. You configure FYI automatic actions on the IB FYI screen in Account Management. You configure FYI notifications in TWS.

FYIs are intended as a convenience; do not rely on them as a comprehensive or primary source of information.

## FYI Automatic Actions in Account Management

- » **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.

### FYI Notifications in TWS

You cannot configure FYI notifications in Account Management. You must log into TWS to configure them.

### Who can access the IB FYI screen?

All accounts except Advisor Clients.

### To set FYI options

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for IB FYIs.

The IB FYI screen opens.

Configure 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. To configure FYI notifications, log into TWS.

Dividends  
Automatically exercise my options early.

Economic Event Order Suspension  
20 seconds before major economic calendar events\*, suspend my active orders for 40 seconds. \*GDP, Nonfarm payrolls, PPI, CPI, etc.

Continue

4. Click the check box next to the automatic action you want to enable. Deselect a check box to disable an automatic action.
5. Click **CONTINUE**.

6. Read the disclosures and agreements that appear, type your signature in the field provided and click **CONTINUE**.
7. Click **Ok** to return to the Account Settings screen.

### **Institutional Services**

We give institutional clients the flexibility to execute and/or clear trades on our platform or with numerous third-party brokers via the following services:

- » **IBClear** - Clients requiring the lowest transaction costs, real-time risk management and efficient trade processing can both execute, clear, and hold custody of their trades here. This service is available to Canadian clients.
- » **IB Prime** - Clients execute and clear with Interactive Brokers here, and also take in trades executed with other third-party brokers. This service is available to Canadian clients. IBPrime requires that you have at least 1,000,000 USD in equity and have an existing account at another executing broker.
- » **IBExecution** - Trades are executed at Interactive Brokers here using our superior price execution technology, and then given up to a third-party broker. This service is not available to Canadian clients. IBExecution requires that you have at least 150,000 USD in equity and have an existing account at another clearing firm.

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, or Trust Account User
  - » Small Business Account User
  - » Friends and Family Group Group Master or Client (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
-

- » Proprietary Trading Group Master User
- » Broker Master User (can also change the Account Type of Non-Disclosed client accounts)
- » Broker Fully Disclosed Client
- » 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 **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Institutional Services.

The first Investor Category screen opens.

Configure Institutional Services

Select any of the institutional services listed below.

<input checked="" type="checkbox"/>	<b>IBCleared</b> For those institutions that want to execute and clear their trades with Interactive Brokers.
<input type="checkbox"/>	<b>IBPrime</b> For those institutions that want to execute trades away from Interactive Brokers and transfer these trades to Interactive Brokers for clearing and custody.
<input type="checkbox"/>	<b>IBExecution</b> For those institutions that want to execute trades with Interactive Brokers and transfer these trades to another broker for clearing and custody.

Continue

4. Select the check box next to the Institutional Service to which you want to subscribe.
5. Depending on the services that you have requested, you are prompted to sign a risk disclosure, as required by law. Read the online Disclosure Form(s) and type your name in the Signature field. Click **CONTINUE**.
6. Click **Ok** to return to the Account Settings screen.

### Investor Category

Investor Category 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 on a series of screens:

- » Eligible Contract Participant
- » Accredited Investor
- » Qualified Purchaser
- » Qualified Institutional Buyer

Each screen contains questions that helps us determine whether you qualify to trade additional products. If you answer Yes to some questions, additional questions appear.

### Who can access the Investor Category page?

ALL account structures can access this page EXCEPT:

IB Canada customers, IB India customers, IBSJ Japan customers, and all Non-Disclosed and Omnibus Broker Client accounts.

### To use the Investor Category page

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Investor Category.

The first Investor Category screen opens.

Eligible Contract Participant

United States regulations impose restrictions on customers who are not Eligible Contract Participants (ECPs) (as defined in Section 1a(12) of the Commodity Exchange Act), which may limit your trading. [Click here to learn more about the benefits of being an ECP.](#) The answers you provided in your account application indicate that you may qualify as an ECP.

Would you like to answer a few questions so Interactive Brokers can determine if you may qualify as an ECP?

YES  NO

**Additional Questions**

Are you an individual, acting for your own account, who has more than \$10,000,000 invested on a discretionary basis?

YES  NO

Are you an individual, acting for your own account, who has invested more than \$5,000,000 on a discretionary basis and your transaction activity is intended to hedge the risk of other assets you have (or that you are reasonably likely to have)?

YES  NO

[Continue](#)

4. Answer each question by clicking YES or NO. If you answer YES, additional questions may appear which vary based on your account structure and financial information.



5. Click **CONTINUE** after completing the questions on each successive screen (Accredited Investor, Qualified Purchaser, Qualified Institutional Buyer). Note that there may be no questions on some screens, based on your answers to questions on previous screens.
6. The Investor Category Summary screen shows you the investment categories in which you have been qualified, based on your answers to the previous questions.

Investor Category Summary

Expand the lines below to see the answers you have provided, which you are confirming by signing below.

- > Eligible Contract Participant ( Yes )
- > Accredited Investor ( Yes )
- > Qualified Purchaser ( Yes )

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 authorized Interactive Brokers to confirm the accuracy of the information as it deems necessary.

Username: [REDACTED]  
Account Title: Applicant [REDACTED]  
Dated: 2017-07-27

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.

Signature: Person Sheppard

Back Ok

Type your signature in the field provided and then click **Ok**.

### Create, Move, Link or Partition an Account

We offer several different ways that you can link your accounts from the Create, Move, Link or Partition screen:

- » Create a new linked account that will be managed by an Advisor or Broker. The new Advisor- or Broker-managed account will be linked to your existing account.
- » Link all of your existing accounts under a single username and password.
- » Move your existing account, including all cash and positions, to an Advisor- or Broker- managed 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 screen also appears when you link directly to an Advisor or Broker using the Investors' Marketplace.

### **Who can access the Create, Move, Link or Partition an Account screen?**

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 (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 move your entire account to a Broker, you will keep the ability to log in to Trader Workstation, and your current trading permissions will remain in effect.
- » 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 account.
- » Client trading in a linked account managed by an Advisor or a Multiple Hedge Fund Investment Manager cannot be enabled.
- » 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.
- » When you choose to link your existing account to an Advisor/Broker-managed account, the Advisor or Broker must confirm the link request.

### For more information

- » [Rules for Linking to and Delinking from an Advisor or Multiple Hedge Fund](#)

### Create a New Linked Account Managed By an Advisor or Broker

You can create a new account that will be managed by an Advisor or Broker and that will be linked to your existing account.

In this topic:

- » [Rules for creating a new linked account managed by an Advisor or Broker](#)
- » [Creating a new linked account managed by an Advisor or Broker](#)
- » [Creating the linked account from the Investors' Marketplace](#)

## Rules for Creating a New Linked Account Managed By an Advisor or Broker

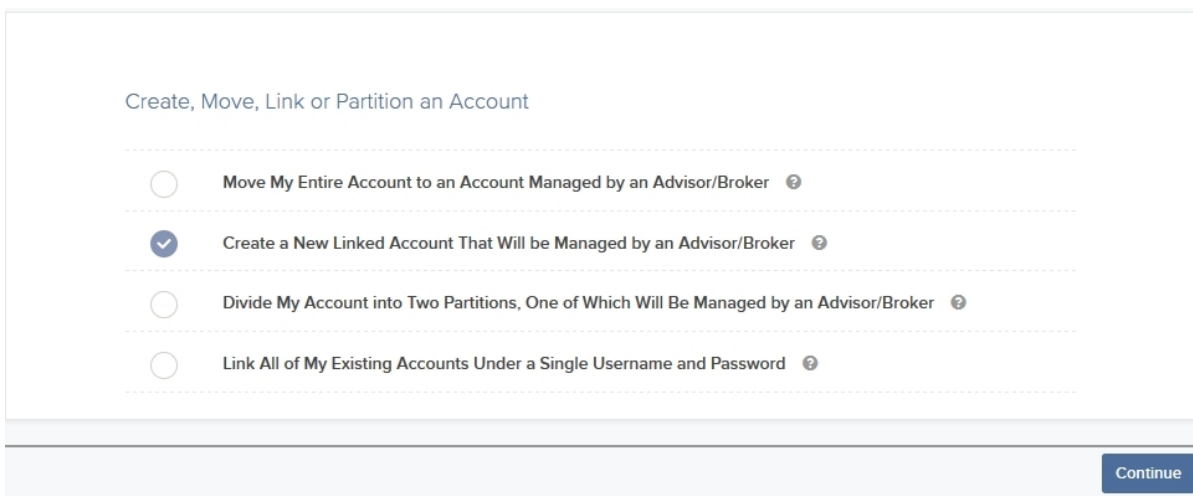
The following rules apply to this type of linking:

- » You will have two linked accounts that you can access using a single username and password. One account will be managed by an Advisor or Broker.
- » 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.
- » The Advisor or Broker will not be able to enable trading for me in the accounts he or she manages, and you will still be able to trade in your existing standalone account.
- » Once your account has been linked, fees may be debited from your account as specified by the Advisor or Broker.
- » The selected Advisor or Broker must approve your 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.

## Creating a new linked account managed by an Advisor or Broker

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.



Create, Move, Link or Partition an Account

Move My Entire Account to an Account Managed by an Advisor/Broker ?

Create a New Linked Account That Will be Managed by an Advisor/Broker ?

Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?

Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Create a new linked account that will be managed by an Advisor or Broker**, and then click **CONTINUE**.

### Advisor/Broker Information

**Advisor/Broker Account ID:**

**Advisor/Broker Account Title:**

4. Enter the account ID and title of the Advisor or Broker account to which you want to link in the fields provided.
5. Click **CONTINUE**.

6. Type your signature in the field provided in each of the agreements that appear. Click **I Agree** after signing each agreement.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before your new linked account is open.

## Creating the linked account from the Investors' Marketplace

You can also create a new linked account to an Advisor or Broker from the Advisor or Broker Marketplaces, both part of the Investors' Marketplace.

### To create the link from Investors' Marketplace

You can use Investors' Marketplace to identify the Advisor or Broker, and then can access the Create, Move, Link or Partition an Account screen from the Marketplace.

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.
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 Account Title of the Advisor or Broker account to which you want to link in the fields provided. Since you already selected the Advisor or Broker in the Investors' Marketplace, these fields will be filled in already.
5. Click **CONTINUE**.
6. Sign each of the two required agreements and click **I Agree** after signing each one.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before your new linked account is open.

# Rules for Linking to and Delinking from an Advisor

If your account is linked to an Advisor-managed account, you may decide to delink that account and/or link to a different Advisor (relink). Before doing so, familiarize yourself with the following restrictions on linking and relinking.

## Restrictions

- » You can link to a Multiple Fund Hedge Fund Investment Manager as well as to an Advisor.
- » Trading Sub accounts cannot be delinked or relinked.
- » Proprietary Accounts for Broker-Dealers cannot be delinked or relinked.
- » Client accounts with Money Manager-attached accounts cannot be delinked or relinked.
- » Client accounts with a UKL segment cannot relink to a Financial Advisor without a UKL segment.
- » Client accounts cannot relink from a Financial Advisor or Friends and Family Advisor to a Hedge Fund.
- » Only Fund accounts can be relinked from a Multiple Fund Investment Manager to another Multiple Fund Investment Manager.
- » When delinking accounts from or relinking accounts to a Financial Advisor, you can delink or relink all accounts or one or more accounts.
- » Partitioned accounts cannot be delinked or relinked.
- » Hedge Fund clients of a Multiple Hedge Fund account cannot be delinked.

## Move Your Account to an Advisor or Broker

You can move your entire account to an Advisor or a Broker.

In this topic:

- » [Rules for Moving Your Account to an Advisor or Broker](#)
- » [Moving Your Account](#)

## Rules for Moving Your Account to an Advisor or Broker

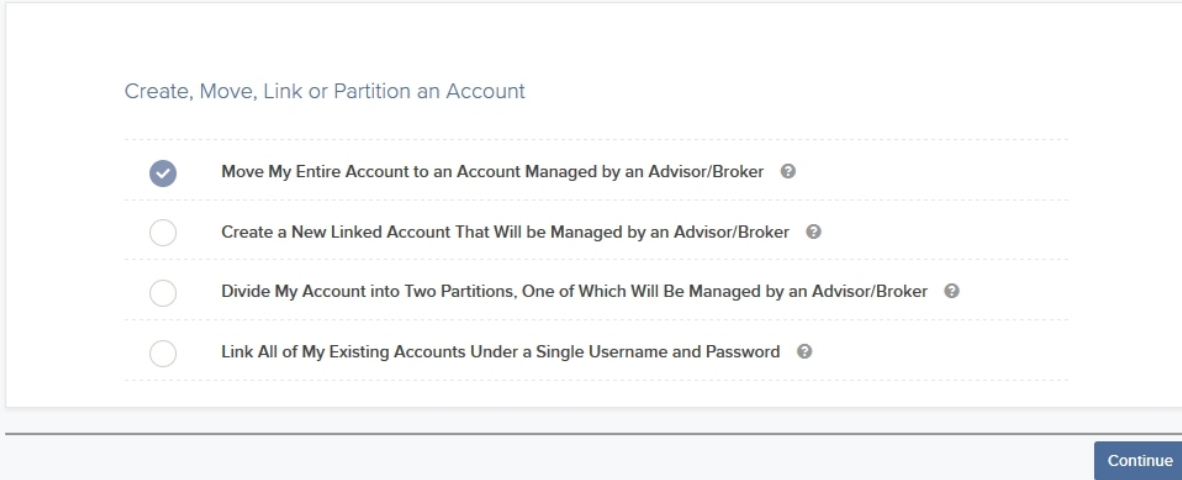
The following rules apply to this type of linking:

- » You will transfer all of your cash and positions to an Advisor/Broker-managed account.
- » If 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.
- » If you move your entire account to a Broker, you will still be able to log into Trader Workstation, and your current market data subscriptions will not be canceled.
- » Once your account has been moved, fees may be debited from my account as specified by the Advisor or Broker.
- » Accounts are moved every Friday 2:00 PM.

## Moving Your Account

### To move your entire account to an Advisor or Broker

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.



Create, Move, Link or Partition an Account

Move My Entire Account to an Account Managed by an Advisor/Broker ?

Create a New Linked Account That Will be Managed by an Advisor/Broker ?

Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?

Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Move my Entire Account to an Account Managed by an Advisor or Broker**, and then click **CONTINUE**.

### Advisor/Broker Information

Advisor/Broker Account ID:

Advisor/Broker Account Title:

4. Enter the account ID and title of the Advisor or Broker account to which you want to move your account in the fields provided.
5. Click **CONTINUE**.
6. Type your signature in the field provided in each of the agreements that appear. Click **I Agree** after signing each agreement.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before your account is moved.

#### Link Existing Account

You can link your multiple accounts under a single username and password, including accounts that are managed by an Advisor or a Broker. 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 subscriptions are charged once for linked accounts rather than charged separately for each linked account (market data subscriptions are charged per terminal/computer).

In this topic:

- » [Rules for Linking Existing Accounts](#)
- » [Link Existing Accounts](#)

## Rules for Linking Existing Accounts

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.
- » The email addresses, account titles, tax IDs and physical addresses associated with the accounts you want to link must be the same.
- » 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.

Advisors and fully disclosed brokers can link existing individual and joint client accounts on the [Manage Clients > Accounts > Link Existing Accounts](#) page.

## Link Existing Accounts

### To link your account to an existing account

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.

Create, Move, Link or Partition an Account

- Move My Entire Account to an Account Managed by an Advisor/Broker ?
- Create a New Linked Account That Will be Managed by an Advisor/Broker ?
- Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?
- Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Link All of My Existing Account Under a Single Username and Password**, and then click **CONTINUE**.

The Select Username screen opens.

Select Username

Use this screen to link your multiple accounts under a single username and password.

**Guidelines**

- To request a link to an existing account, you must have an IB Secure Login System security device.
- The email addresses, account titles, tax IDs, legal IDs and physical addresses associated with the accounts you want to link must be the same.
- 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.
- We will link these accounts on Fridays.
- If you begin a new account application for an existing matching account, you will be asked to link the accounts.

Here are the accounts we detected that can be linked: U82648,U115367

Which username do you want to keep: Choose a username

Back Continue

4. The screen shows all of your accounts that can be linked under a single username and password. Select which username you want to keep. Once your accounts are linked, you will use the selected username to log in to any of the linked accounts.
5. The screen updates to display the security device for the selected username. Click **CONTINUE**.
6. 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.
7. Enter the username, password and authentication values for each account to be linked on the next screens, clicking **CONTINUE** to advance to the next screen.
8. We aggregate the financial information and trading experience info for all accounts to be linked. Verify your financial information and trading experience for the accounts to be linked, and then click

**CONTINUE.**

10. Verify your account information and click **CONTINUE**.
  - If you need to update your financial information, trading experience or account information, wait for those updates to be approved and then restart this linking procedure.
11. Verify any saved bank information you may have and click **CONTINUE**.
12. Click **CONTINUE**.
13. Click **Ok**.

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.

To cancel your request, see [Canceling a Pending Link Request](#).

# 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 Selector.

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.
4. To de-link a linked account, you must close the linked account. Select **Settings > Account Settings** and then click Close Account from the Configuration window and following the instructions on the screen.

## Partition Your Account

You can choose to create a new account partition that will be managed by an Advisor or Broker. When you do this, 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."

In this topic:

- » [Rules About Partitions](#)
- » [Partition Your Account](#)

## Rules 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

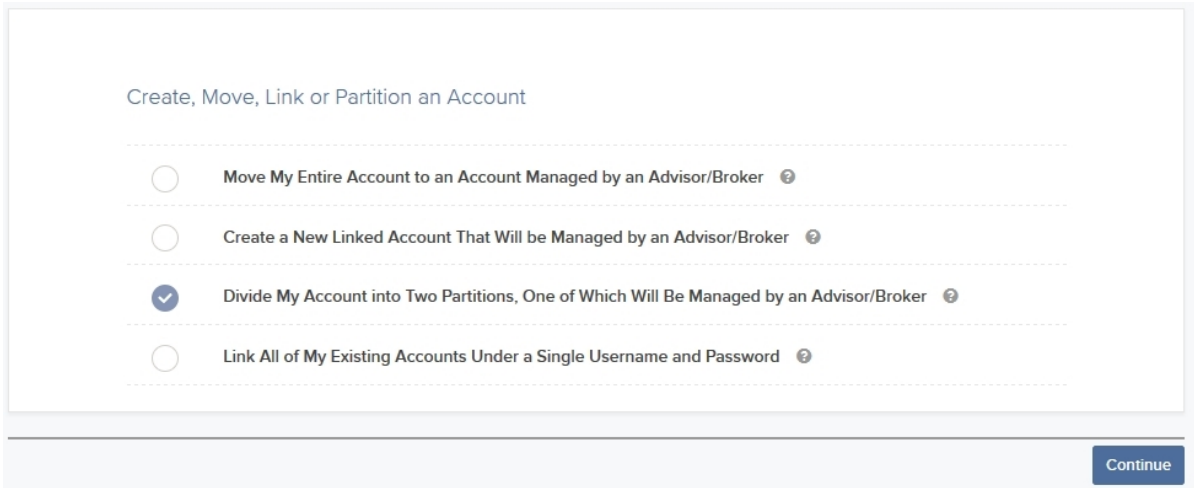
partition" and your new Advisor- or Broker-managed partition becomes the "child partition." The following guidelines apply to these partitions:

- » 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 the 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.
- » Client trading in partitions managed by an Advisor or a Multiple Hedge Fund Investment Manager cannot be enabled .
- » 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.

## Partition Your Account

### To partition your account

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.



Create, Move, Link or Partition an Account

Move My Entire Account to an Account Managed by an Advisor/Broker ?

Create a New Linked Account That Will be Managed by an Advisor/Broker ?

Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?

Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker**, and then click **CONTINUE**.

### Advisor/Broker Information

**Advisor/Broker Account ID:**

**Advisor/Broker Account Title:**

4. Enter the account ID and title of the Advisor or Broker account to which you want to move your account in the fields provided.
5. Click **CONTINUE**.
6. Type your signature in the field provided in each of the agreements that appear. Click **I Agree** after signing each agreement.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before your new account partition is created. Once the Advisor or Broker approves your request, the new partition should be ready to be funded

by 6:00 PM on the same business day. If you submitted your request for this 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.

### **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 Selector.

Account Management reloads with the selected linked account as the new active account.

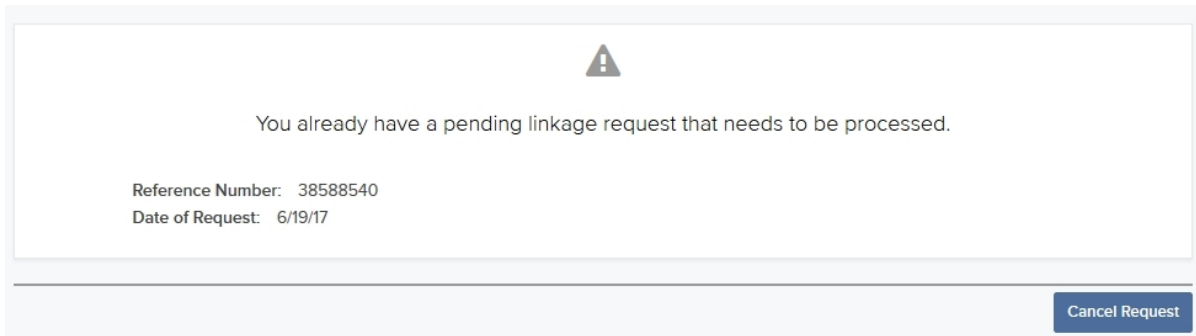
3. Perform any action you wish for the selected account by selecting an item from the Account Management menus.
4. To de-link a linked account, you must close the linked account. Select **Settings > Account Settings** and then click Close Account from the Configuration window and following the instructions on the screen.

#### **Canceling a Pending Link Request**

You can cancel any link request that is still pending. That is, the request has not yet been processed.

#### **To cancel a pending link request**

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.
3. Instead of the usual Create, Move, Link or Partition an Account screen, the following screen opens:



4. Click **Cancel Request**. Your request is canceled immediately.

## Users and Access Rights

We give our clients the ability to create users through our User Access Rights system.

This section includes:

- » [Overview](#)
- » [Security Officers](#)
- » [Users](#)
- » [User Roles](#)
- » [Additional Security Officer Approvals](#)

### Access Rights Overview

We give our clients 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:

- » Registered 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:

- » User Settings Access
- » Trading Access
- » Reporting Access
- » Funding Access
- » Account Settings Access
- » Client Management Access

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 Settings > Settings access group (User Information and Change Email Address).

Individual account holders cannot grant Funding rights to new users that they add. Security Officers for institution accounts CAN however grant Funding rights.

[Add new users and assign access rights](#) to them on the **Settings > Account Settings** screen.

## 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 **Settings > Account Settings** screen.

## 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. 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. 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.

## 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.

For more information, see [Authorizers](#).

## User Access Rights Summary for Organizations

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.

## Users

The Users page lets you:

- » [View information about existing users](#)
- » [Add users](#) to an account.
- » [Modify](#) Account Management access rights for existing users.
- » [Add usernames to the primary account holder](#).
- » [Delete users](#) from an account.

## Who can access the Users & Access Rights screen?

All users and Security Officers can access this functionality except Broker Non-Disclosed Clients and Broker Omnibus Clients.

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## 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.

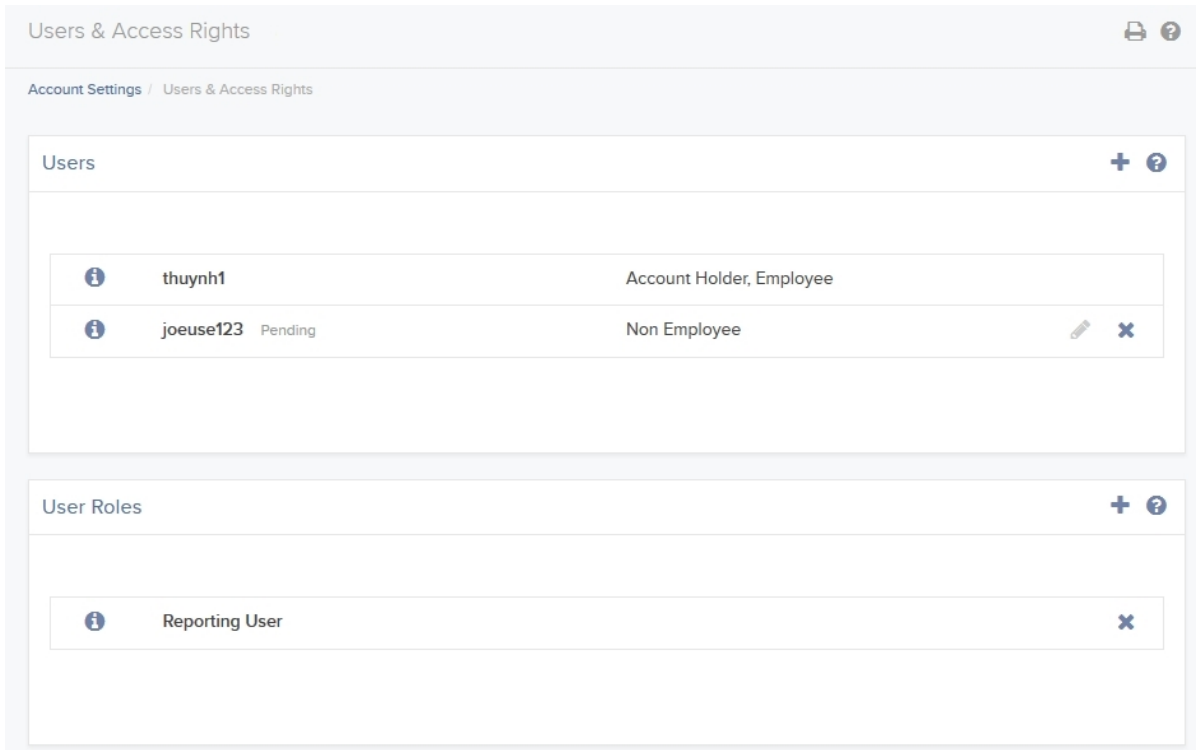
### Viewing Information About Existing Users

You can view information for any user role that you've added to your account on the Users & Access Rights screen.

### To view user role information

1. Click **Settings > Account Settings**.
2. In the Users & Access Rights panel, click the Configure (gear) icon.

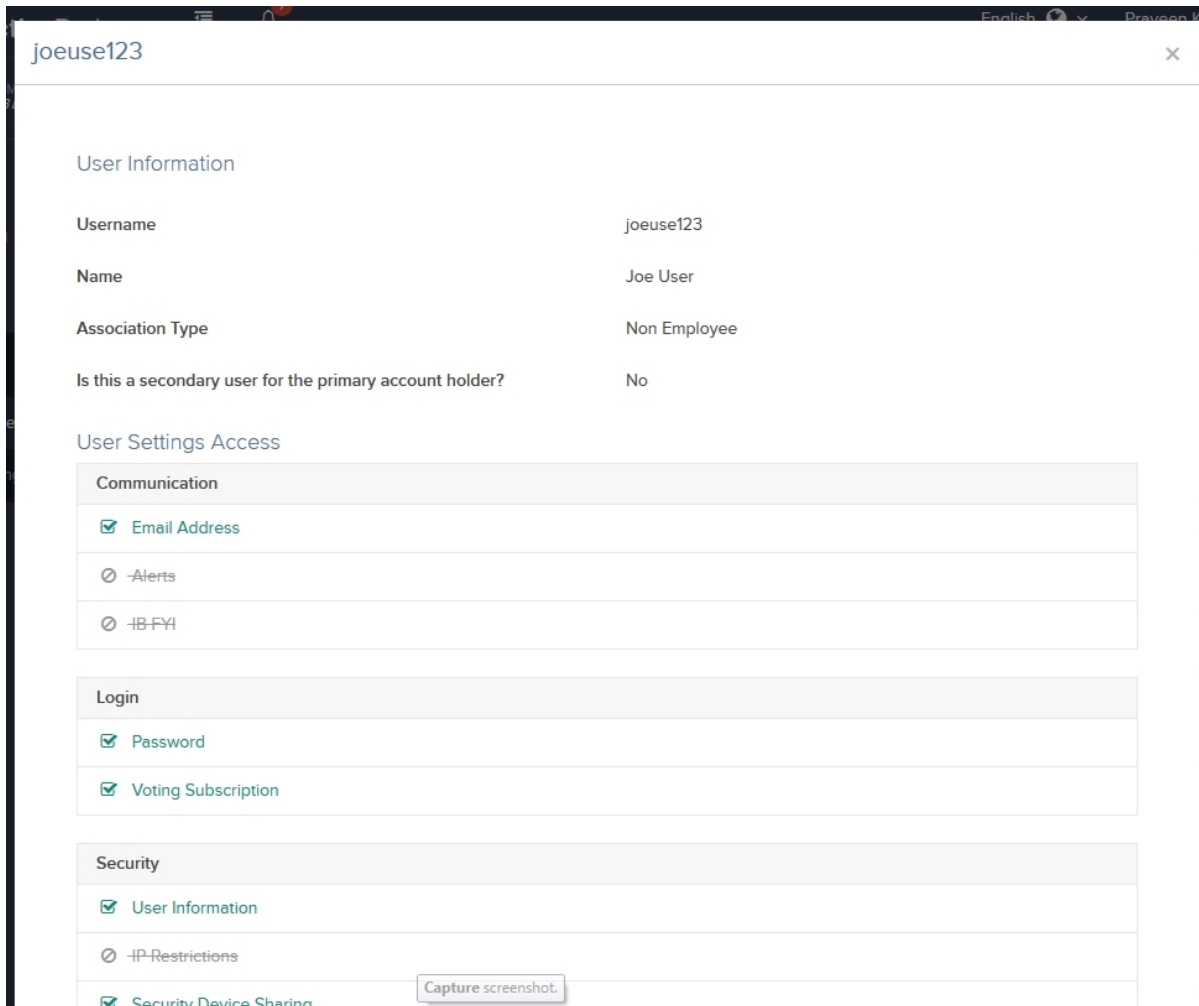
The Users & Access Rights screen opens.



3. The Users panel shows all of the users that you have added to the account. Click the *i* icon to view information for any user listed.

The information and complete list of access rights granted to the user appears in a popup window. Granted access rights appear with a checked box while access rights NOT granted appear crossed out. Scroll down to view more information.

To close the popup, click the **X** in the upper right corner or click anywhere outside the popup.



## 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:

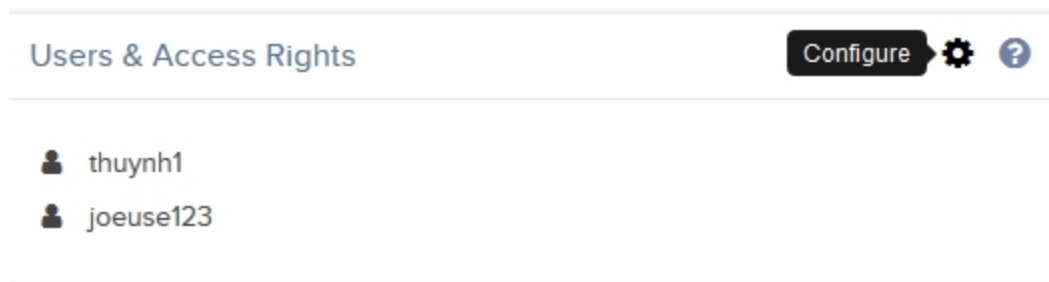
- » Username - This is the username that the user will enter to log in to Account Management.
- » Name - This is the full name of the user.
- » Association Type - This is how the user is associated with the account holder.
- » Is this a secondary user for the primary account holder? - This indicates whether or not the user is only a second username for the primary account holder.

## Adding a User

You can add users to your account after it is approved and funded and grant them access to a subset of Account Management functions, including granting access to functions for one or more sub accounts. New users log in to Account Management with their own username and password.

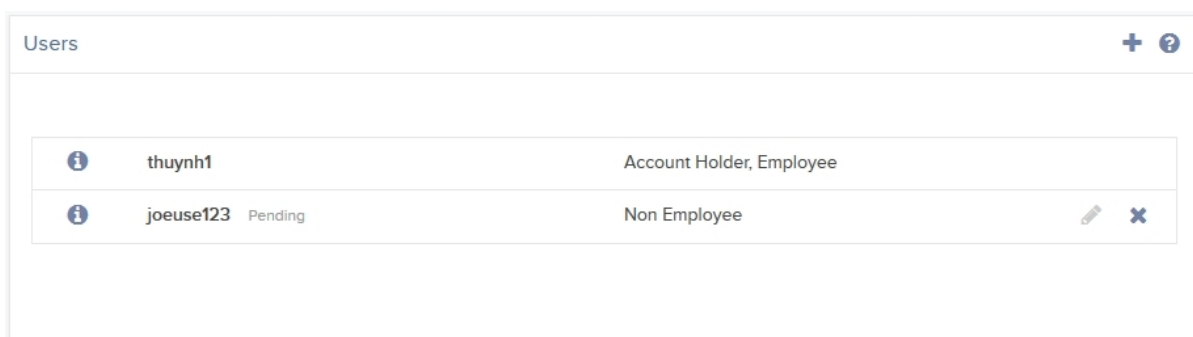
### To add a user and assign access rights

1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created. Institution accounts will see additional panels for Authorizers and Additional Security Officer Approvals.



3. Click the Add (+) icon in the Users panel title bar.

The Add User screen opens.

The screenshot displays a web form for adding a user, divided into two main sections: "User Information" and "Contact Information".

**User Information**

- Username:** Required (text input field)
- Password:** Required (text input field)
- Confirm Password:** Required (text input field)
- Is this a secondary user for the primary account holder?:** Radio button selection with "NO" selected.

**Contact Information**

- Salutation:** Choose One (dropdown menu)
- First Name:** Required (text input field)
- Middle Initial:** Optional (text input field)
- Last Name:** Required (text input field)
- Suffix:** Optional (text input field)
- Relationship to Account Holder:** Required (text input field)
- Email Address:** Required (text input field)
- Confirm Email Address:** (text input field, partially visible)

4. The process of adding a user and assigning access rights is divided into several screens. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
  - On the first screen, enter information about the user, including the username, password, name, relationship to the primary account holder and email address.
  - On the next screen, select a user role, if you have saved any. User roles automatically apply a set of previously configured access rights to the new user. If you do this, you can skip any additional screens and continue to the review screen.



**User Roles**

A user role contains a set of access rights to the functions in Account Management that you can apply to new users without having to grant individual access rights across several screens. If you have created any user roles, you can apply one to the new user below.

Would you like to assign a user role?

User Role

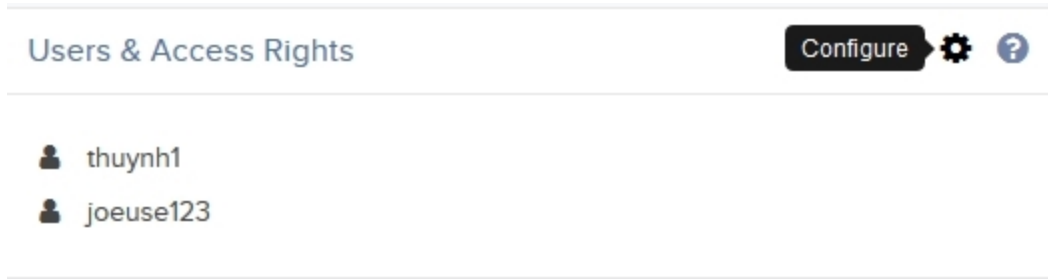
- Each screen that follows lets you give the new user rights to access a specific group of functions, organized to match the main menu of Account Management: User Settings, Trading, Reporting, Funding and Account Settings. On each screen, grant access to functions by clicking the box next to each one.
5. The last screen in the process lets you review all of the information about the new user, including access rights. Rights that have been assigned to the new user are shown checked and in green; rights that have not been assigned to the new user are shown crossed out. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
  6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
  7. Click **Ok** to save the new user, which will appear in the Users panel on the Users & Access Rights screen and in the Users & Access Rights panel of the Account Settings screen.

### 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

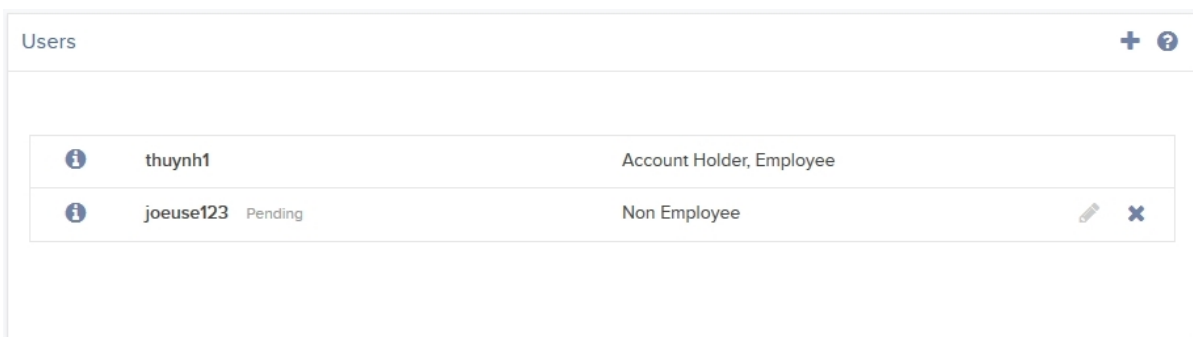
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users panel, click the Edit (pencil) icon for the user you want to modify.



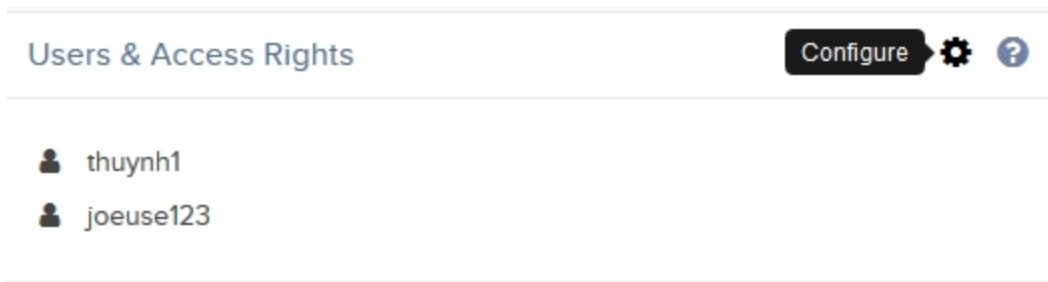
4. The process of modifying a user and his or her access rights is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
5. The last screen in the process lets you review your changes. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
7. Click **Ok** to save your changes.

### Adding Usernames to the Primary Account Holder

Account Management lets you assign up to two usernames for the primary account holder. 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. You use the same process for adding a username to the primary account holder that you use for adding a new user.

#### To add a username for a user

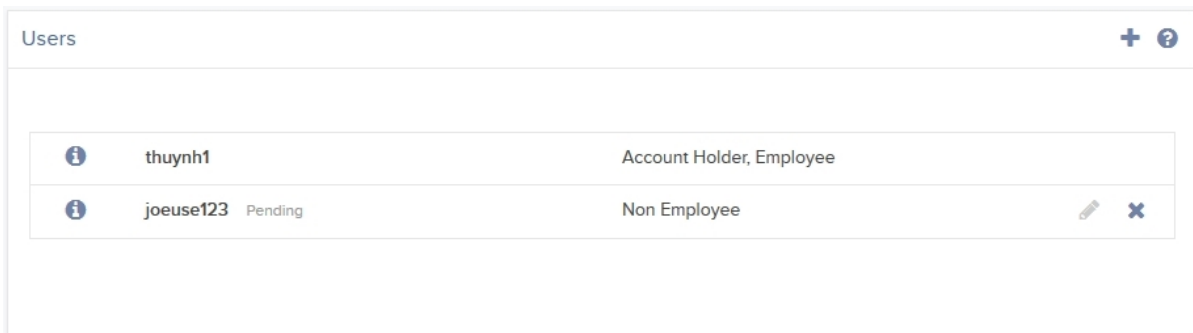
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users Panel, click the Add (+) icon.



4. Enter the new username and password.
5. Select **YES** for secondary user, since you are creating this user as a secondary username.

User Information

Username

Username Requirements

- ✓ Lower case only, no spaces, no special characters
- ✓ Must begin with a letter
- ✓ Must contain a minimum of 3 letters and 3 numbers
- ✓ Must be 8 or 9 characters

Password

Confirm Password

Is this a secondary user for the primary account holder?  YES

Contact Information

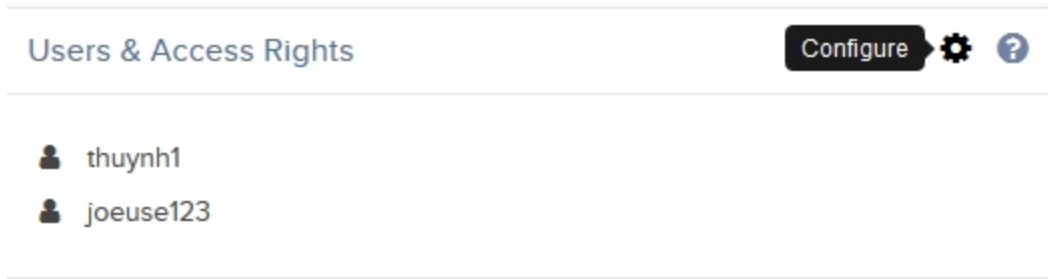
www

- For Joint and Trust accounts, select the account holder or trustee for whom you want to add a username.
6. Click **CONTINUE**.
  7. Review the information about the new user. Click **CONTINUE** if everything is correct.
  8. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
  9. Click **Ok** to save the new user, which the primary account holder can now use as a secondary user-name.

## Deleting a User

### To delete a user from the account

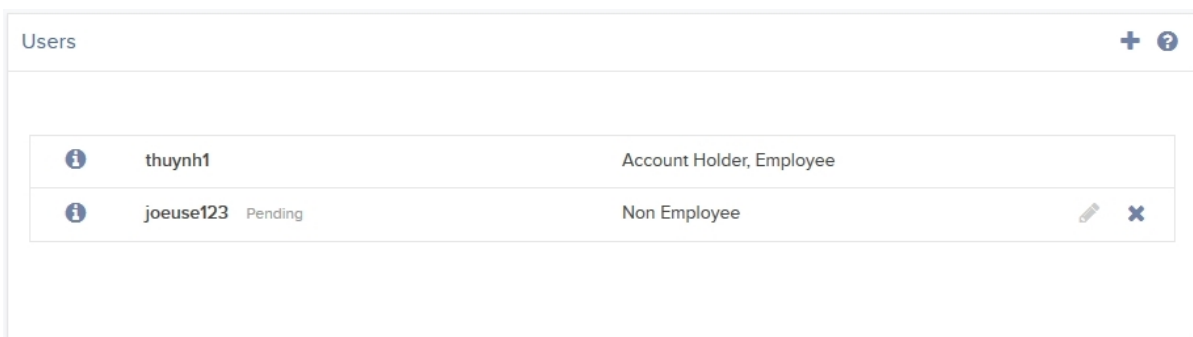
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users panel, click the Delete (X) icon for the user you want to delete.



4. Click **Yes** in the popup window.

The user is deleted immediately.

## 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:

- » [View user role details](#)
- » [Add a new user role](#)
- » [Modify a user role](#)
- » [Delete a user role](#)

## Who can access the Users & Access Rights screen?

All users and Security Officers can access this functionality except Broker Non-Disclosed Clients and Broker Omnibus Clients.

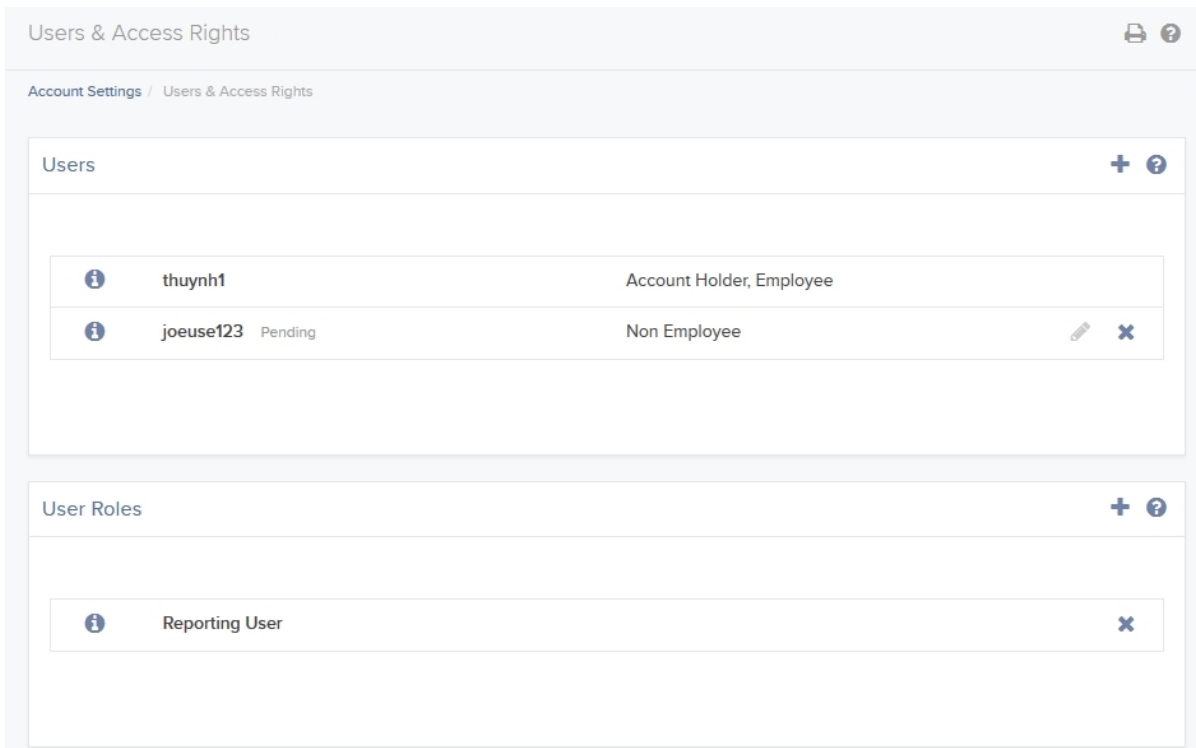
### View User Role Details

You can view the details of any saved user role on the Users & Access Rights screen.

### To view user role details

1. Click **Settings > Account Settings**.
2. In the Users & Access Rights panel, click the Configure (gear) icon.

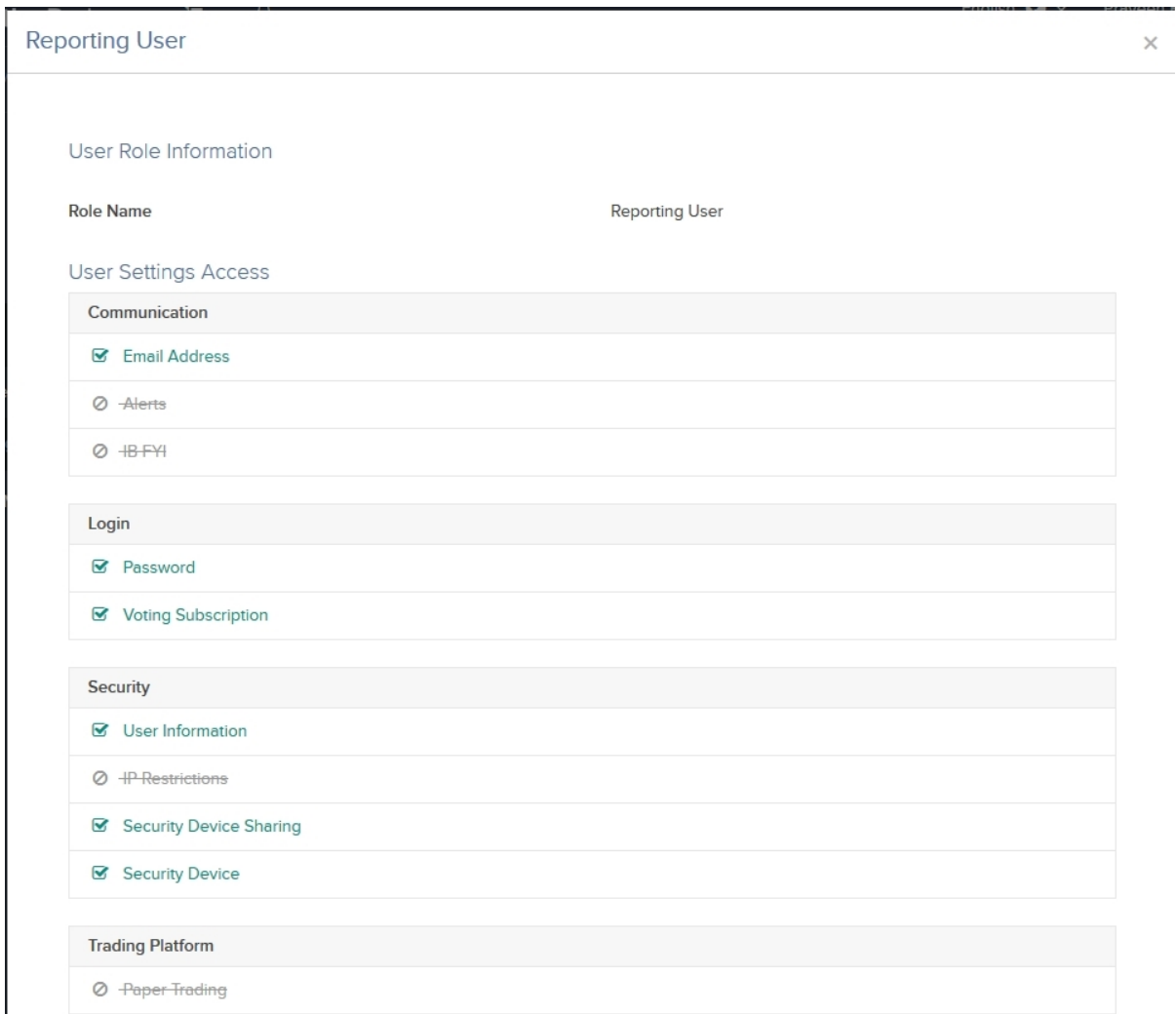
The Users & Access Rights screen opens.



3. The User Roles panel shows all of the user roles that you have added to the account. Click the *i* icon to view information for any user role listed.

The complete list of access rights granted to the user role appears in a popup window. Granted access rights appear with a checked box while access rights NOT granted appear crossed out. Scroll down to view more information.

To close the popup, click the **X** in the upper right corner or click anywhere outside the popup.



The screenshot shows a popup window titled "Reporting User" with a close button (X) in the top right corner. The window is divided into several sections:

- User Role Information:** Shows "Role Name" as "Reporting User".
- User Settings Access:** A table listing various settings with checkboxes indicating their status (checked for granted, crossed out for not granted):

Communication
<input checked="" type="checkbox"/> Email Address
<input type="checkbox"/> Alerts
<input type="checkbox"/> B-FYI

Login
<input checked="" type="checkbox"/> Password
<input checked="" type="checkbox"/> Voting Subscription

Security
<input checked="" type="checkbox"/> User Information
<input type="checkbox"/> IP Restrictions
<input checked="" type="checkbox"/> Security Device Sharing
<input checked="" type="checkbox"/> Security Device

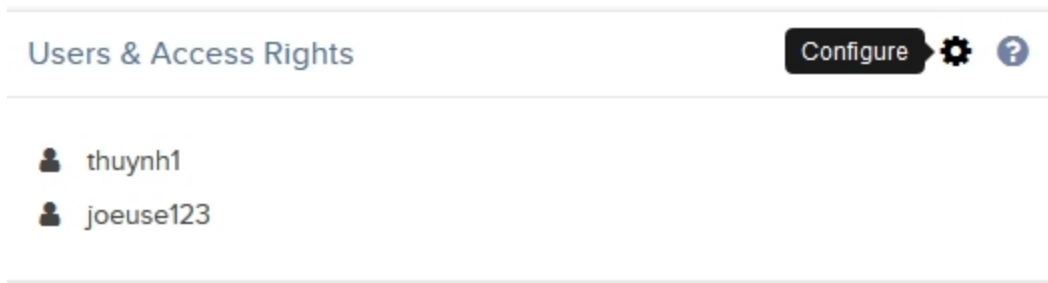
Trading Platform
<input type="checkbox"/> Paper Trading

### Adding a User Role

You can add user roles to your account that define access rights to different groups of Account Management functions. When you add new users, you just have to select a user role to quickly assign access rights to the new user.

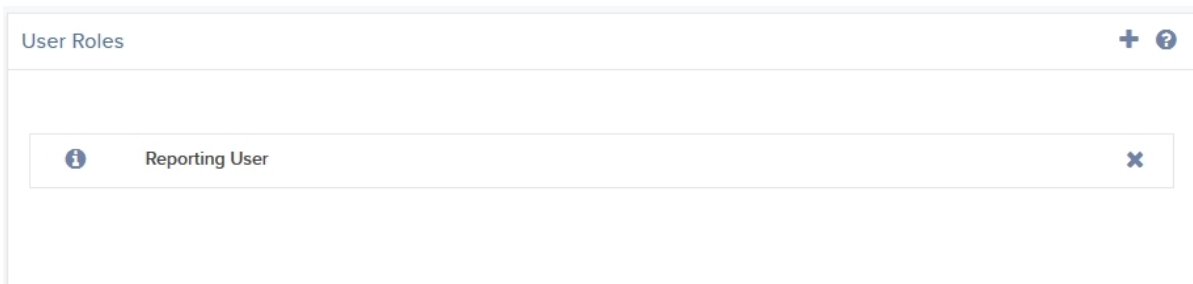
### To add a user and assign access rights

1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created. Institution accounts will see additional panels for Authorizers and Additional Security Officer Approvals.



3. Click the Add (+) icon in the User Roles panel title bar.

The Add User Role screen opens.



Add User Role

Account Settings / Users & Access Rights / Add User Role

**User Role Information**

A user role contains a set of access rights to the functions in Account Management that you can apply to new users without having to grant individual access rights across several screens. Enter the name of the new user role below and click continue.

Role Name  Required

Continue

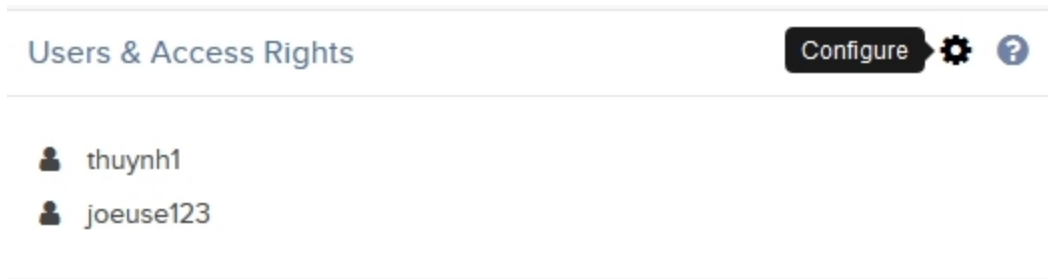
4. The process of adding a user role and assigning access rights is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
  - On the first screen, enter the name of the user role.
  - Each screen that follows lets you give the new user role rights to access a specific group of functions, organized to match the main menu of Account Management: User Settings, Trading, Reporting, Funding and Account Settings.
5. The last screen in the process lets you review all of the information about the new user, including access rights. Rights that have been assigned to the new user role are shown checked and in green; rights that have not been assigned to the new user role are shown crossed out. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
7. Click **Ok** to save the new user role, which will appear in the User Roles panel on the Users & Access Rights screen.

## Modifying a User Role

You can modify any saved user role.

### To modify a user role

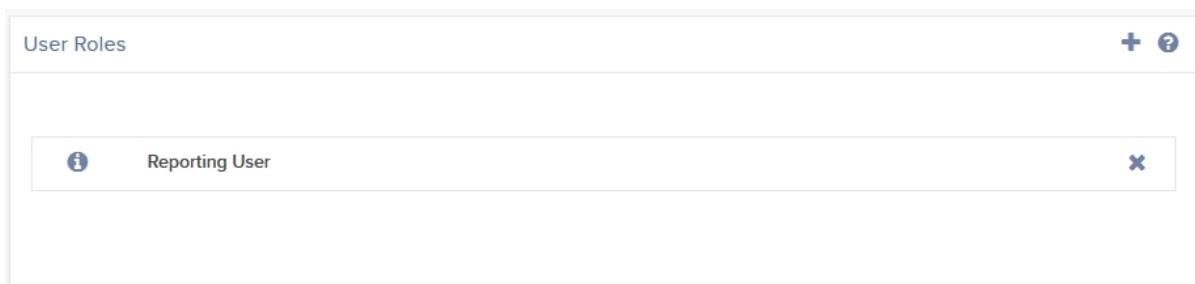
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created.

3. In the User Roles panel, click the Edit (pencil) icon for the user role you want to modify.



4. The process of modifying a user role is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
5. The last screen in the process lets you review your changes. Click **CONTINUE** if everything is correct. Click **Back** to make changes.

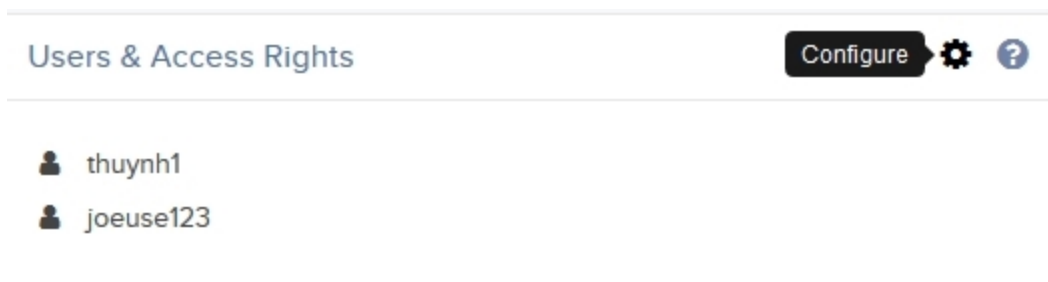
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Enter the confirmation number sent to you via email, then click **CONTINUE**. If you have not received a confirmation number, click **Request Confirmation Number** to have a new confirmation number sent to your email address.
7. Click **Ok** to save your changes.

### Deleting a User Role

You can delete a user role when it is no longer needed.

#### To delete a user role

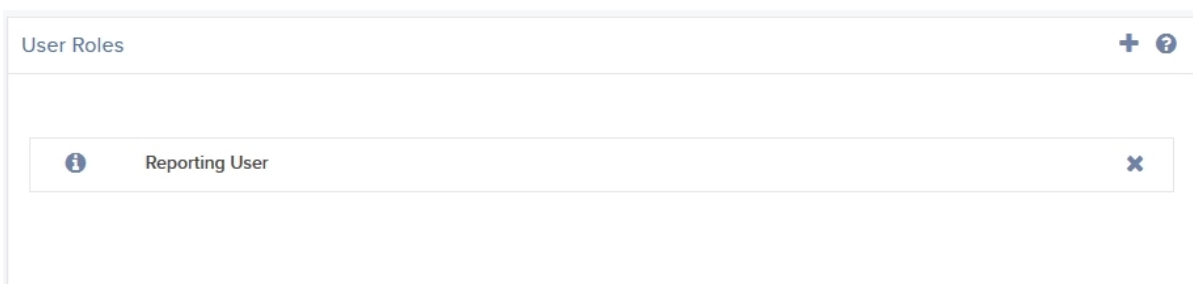
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the User Roles panel, click the Delete (X) icon for the user role you want to delete.



4. Click **Yes** in the popup window.  
The user is deleted immediately.

## User Settings

User settings are configurable settings associated with you and your username, rather than with your account. All user settings are accessible from a single User Settings screen, available from the Manage menu.

User settings are grouped as follows on the User Settings screen:

### Login Settings

- » [Password](#) - Change your account password.
- » [Voting Subscription](#) - Sign up to vote in our online voting forums.

### Communication Settings

- » [Email Address](#) - Change your email address.
- » [SMS Address](#) - Enter an SMS address to receive alerts on your cell phone.
- » [Alert Notification](#) - Select your default method of receiving alerts.

### Security Settings

- » [IP Restrictions](#) - Restrict user access to IB TWS by IP address.
- » [Change Security Questions](#) - Change your security questions.

### Trading Platform Settings

- » [Read-Only Access](#) - Enable or disable read-only access to trading platforms
- » [Market Data Subscriptions](#) - Subscribe to market data.
- » [Research Subscriptions](#) - Subscribe to news and research.

### Change Password

This screen lets you change your account password.

#### Who can access the Change Password screen?

All users.

---

#### To change your account password

1. Click **Settings > User Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose password you want to change.
3. In the Login panel, click the Configure (gear) icon for Change Password.



The Password screen opens.

Change Password	
Username	<input type="text" value="indiv75"/>
Password	<input type="password" value="Required"/>
New Password	<input type="password" value="Required"/>
Confirm New Password	<input type="password" value="Required"/>

4. Type your current password in the field provided.
5. 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.
6. Click **CONTINUE**.
7. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
8. Click **Ok**.

The password change is effective immediately.

### 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 screen?

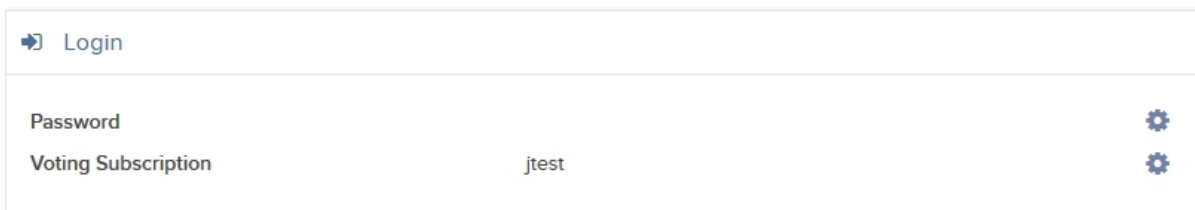
You can access this screen if you are a(n):

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

---

## To subscribe to IB Voting

1. Click **Settings > User Settings**.
2. In the Login panel, click the Configure (gear) icon for Voting Subscription.



The Voting Subscription screen opens in a popup window.

## Configure Voting Subscription



Create a voting username and password for access to the Features Poll and Traders' Chat on our website.

Voting usernames and passwords must be between 4 - 8 characters in length and may only contain letters or numbers.

Voting Username	<input type="text"/>
Voting Password	<input type="password" value="Required"/>
Username	<input type="password" value="Required"/>
Password	<input type="password" value="Required"/>

Save

3. 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.

4. Enter your account username and password in the fields provided.
5. Click **Save**.

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.

### Change Email Address

The Change Email Address screen lets you change your email address.

### Who can access the Email Address screen?

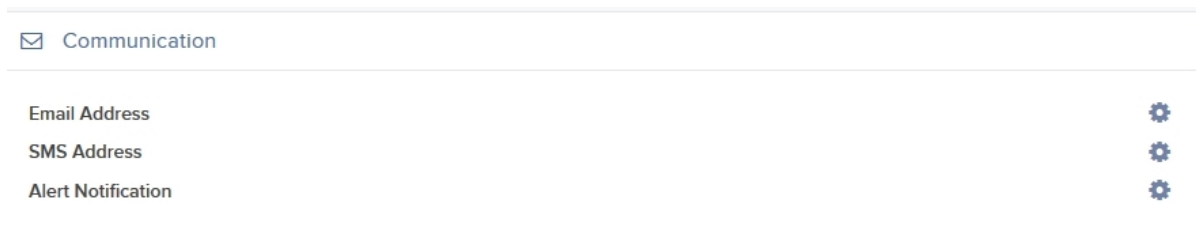
You can access this screen if you are a(n):

---

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master
- » Advisor Client
- » Proprietary Trading Group Master User
- » Proprietary Trading Group Sub Account User
- » Broker Master User
- » Broker Fully Disclosed Client
- » Investment Manager Master User
- » Fund

### To change your email address

1. Click **Settings > User Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose email address you want to change.
3. In the Communications panel, click the Configure (gear) icon for Change Email Address.



The Configure Email Address screen opens.

Email Address Change

Current Email Address james@mail.biz

New Email Address

Confirm New Email Address

4. If you are enrolled in our Secure Login System, enter your new email address in both fields, and then click **CONTINUE**.



- Verify your identity by entering your username and password, and then click **CONTINUE**.
- Enter the security code from your Secure Login security device, and then click **CONTINUE**.
- Enter the confirmation number we sent to your new email address, and then click **CONTINUE**.
- Click **Ok**.

Your request is submitted.

5. If you are NOT enrolled in our Secure Login System, you must first tell us if you still have access to your old (current) email address.

#### Email Address Change

Current Email Address	ac@corp@mail
Do you still have access to this email address?	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
New Email Address	<input type="text" value="Required"/>
Confirm New Email Address	<input type="text" value="Required"/>

- If you still have access to this email address, click **YES** in the toggle switch.
- If you no longer have access to this email address, click **NO** in the toggle switch.
- Enter your new email address in both fields, and then click **CONTINUE**.
- If you selected **YES**, we send the confirmation number to your existing email address. Enter the confirmation number and then click **CONTINUE**.
- If you selected **NO**, you are prompted to enter your current password and your new email address. Click **CONTINUE**, and then enter the confirmation number we sent to your new email address. Click **CONTINUE** again, and then click **Ok**.

After you submit your request, it must undergo an internal review at IB before the email change takes effect.

#### If you leave the screen before you confirm your new email address:

- » The email change will become a pending item that can be completed later. Open [Pending Items](#) to find the pending request.
- » If you come back to the Change Email Address screen, you will see the confirmation screen for your new email address.

## SMS Address

This page lets you enable delivery of alerts via SMS (Short Message Service) on your mobile device. Once you set up an SMS Address, you can select it as your default destination for [alert notifications](#).

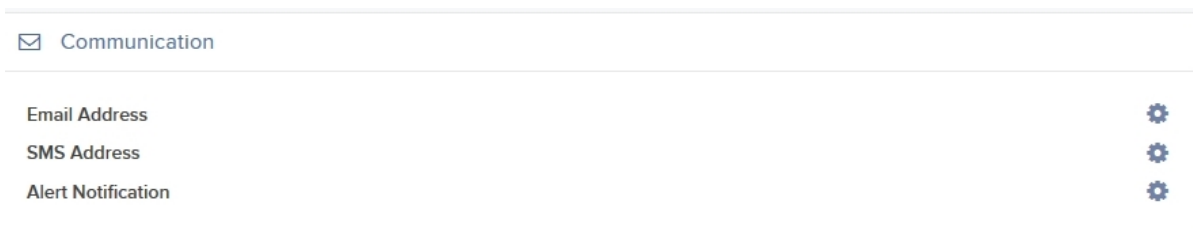
### Who can access the SMS Address screen?

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

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

### To configure your SMS address

1. Click **Settings > User Settings**.
2. In the Communication panel, click the Configure (gear) icon for SMS Address.



The SMS Alerts screen opens.

### Configure SMS Address

We use your SMS (Short Message Service) Address to send you alerts as text messages on your cell phone. Your SMS address is the email address associated with your cell phone and is determined using your mobile phone number and mobile service provider. For example, if your mobile phone number is 555-123-4567 and your mobile service provider is AT&T, your SMS address would be 5551234567@txt.att.net.

Enter SMS Address

Confirm SMS Address

If you don't know your SMS address, contact your service provider. For non US residents, the SMS address must start with the country code.

[Continue](#)

3. Your SMS address is the email address associated with your cell phone and is determined using your mobile phone number and mobile service provider.

For example, if your mobile phone number is 555-123-4567 and your mobile service provider is AT&T, your SMS address would be 5551234567@txt.att.net. For non-US residents, the address must begin with your country code.

Enter and re-enter your SMS address in the fields provided, and then **CONTINUE**.

4. We send a confirmation number to the SMS address you entered. This will appear as a text message on that mobile device. Enter the Confirmation Number in the field provided, and then click **CONTINUE**.
5. Click **Ok**.

### Alert Notification

Alert Notifications let you select your default method of receiving alerts. You can select your default email address, set an SMS (Short Message Service) address to receive SMS text message alerts on your mobile telephone device, or choose to not receive alerts at all.

### Who can access the Alert Notification screen?

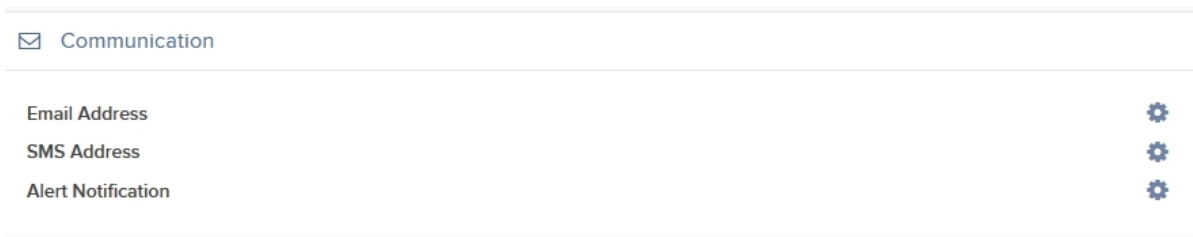
You can access this screen if you are a(n):

---

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

### To configure your alert notification

1. Click **Settings > User Settings**.
2. In the Communication panel, click the Configure (gear) icon for Alert Notification.



The Configure Alert Notification screen opens in a popup window.

### Configure Alert Notification ×

Select your default method of receiving alerts. If you select SMS Address to receive alerts on your mobile telephone device, you must provide SMS address.

Destination

3. Select your default method of receiving alerts from the Destination drop-down. Select your No Alerts if you do not want to receive alerts, your default email address or, if you have already configured one, your SMS address.
  - If you have not yet created an SMS address for your account but would like to create one and select that as your default destination for alerts, click the **Configure SMS Alerts** button, [configure your SMS Address](#), and then return to the Configure Alert Notification screen to select that SMS Address.
4. Click **Save** to save your changes.

### IP Restrictions

This screen lets you restrict user access to IB TWS our desktop trading platform 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 our desktop trading platform from any IP address.

This topic includes:

- » [Add an IP restriction](#)
- » [Modify an IP restriction](#)
- » [Remove an IP restriction](#)
- » [Confirm or cancel a pending IP restriction](#) (these are IP restrictions that you have submitted but not yet confirmed)

### Who can access the IP Restrictions screen?

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

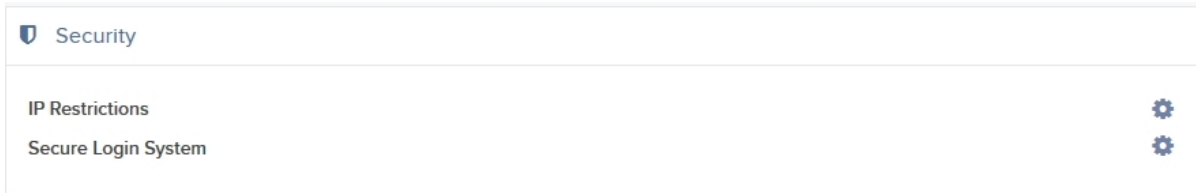
- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master User
- » Proprietary Trading Group Master User
- » Broker Master
- » Broker Fully Disclosed Client

- » Investment Manager Master
- » Fund

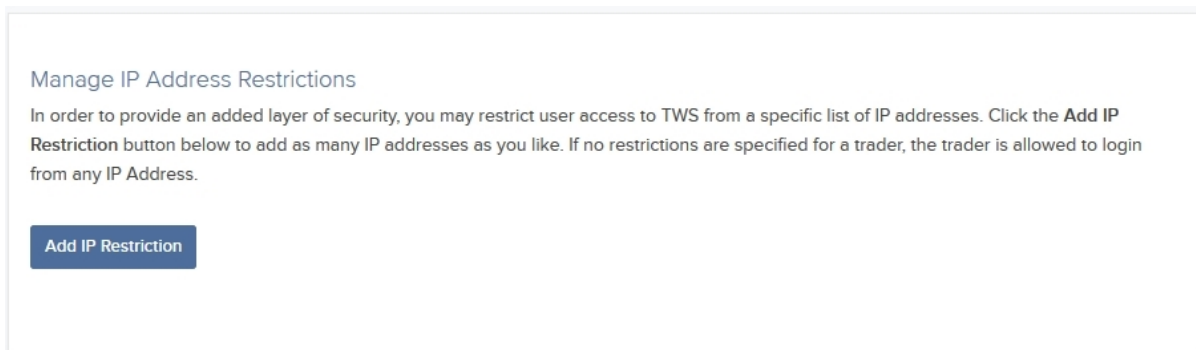
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### To add IP restrictions

1. Click **Settings > User Settings**.
2. In the Security panel, click the Configure (gear) icon for IP Restrictions.



The IP Restrictions screen opens.



This screen displays a list of all your pending IP restrictions for account users and a list of all active IP restrictions. Click any user row to view that user's IP restrictions.

3. Click **Add IP Restriction**.

The Add IP Restriction screen opens.

**Add IP Restriction**

Select a trader, enter an IP address and click the **Continue** button. You will receive an email with a confirmation token that must be entered to confirm this request. Once you have confirmed the request by entering the token the trader will only be allowed to trade from the specified IP address. Requests confirmed by 16:00 ET will take effect on the next business day.

Trader

Enter IP Address

**Continue**

4. In the Trader drop-down, select a trader. You can select any user that you have added to your account, including yourself.
5. 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 TWS.
6. Click **CONTINUE**.
7. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email containing a confirmation number. Enter the confirmation number and then click **CONTINUE**.
8. Click **Ok**.

### To modify IP restrictions

You may want to modify IP restrictions for existing users, first remove the existing IP restriction and then add a new IP restriction.

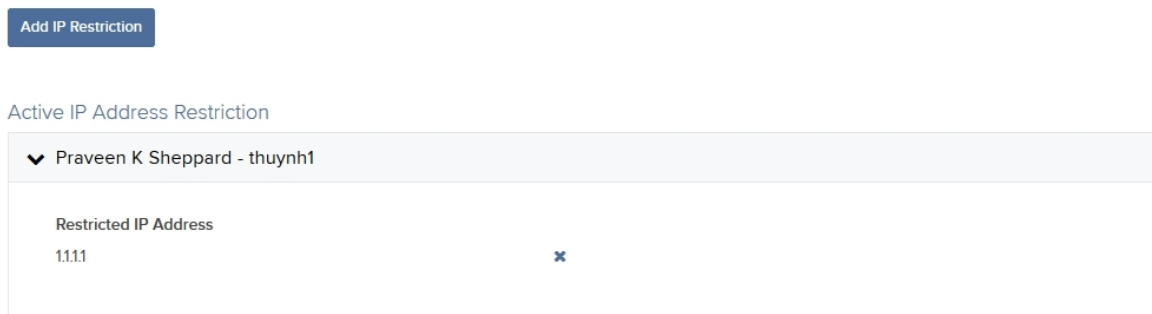
### To remove IP restrictions

You may want to remove IP restrictions from existing users.

1. Click **Settings > User Settings**.
2. In the Security panel, click the Configure (gear) icon for IP Restrictions.
3. Each user with IP restrictions is displayed on an expanding/collapsing row in the Active section. Click to expand the row for the user whose IP restriction you want to remove.

### Manage IP Address Restrictions

In order to provide an added layer of security, you may restrict user access to TWS from 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.



4. Click the **X** to remove the restriction.

The trader will no longer be restricted to that IP address.

### To confirm or cancel pending IP restriction requests

This procedure applies only to users who do not participate in the Secure Login System for two-factor authentication.

1. Click **Settings > User Settings**.
2. In the Security panel, click the Configure (gear) icon for IP Restrictions.
3. Each user with pending IP restrictions is displayed on an expanding/collapsing row in the Pending section.
  - To confirm a pending IP restriction, click the row to expand it, and then enter the confirmation number we sent to your email address and click **CONTINUE**. If you have not yet received the confirmation number or you lost the email, click **Resend Confirmation Number** to receive a new one.  
Click **Ok** on the last screen.
  - To cancel a pending IP restriction, click the row to expand it and then click X icon.

### Secure Login System

We provide 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:

- » [Secure Login System Functions](#) - 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](#) - Partially opt out of the Secure Login System.

For detailed instructions on using IB Key instead of a physical security device, refer to the [IB Key Users' Guide](#).

### **Secure Login System Functions**

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:

- » [Apply](#) for a security device.
- » [Activate](#) your security device.
- » [Share](#) your security device.
- » [Request a temporary digital security device.](#)
- » [Request/upgrade a physical 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
  - » Advisor Master User
  - » Advisor Client
  - » Proprietary Trading Group Master User
  - » Proprietary Trading Group Sub User
-

- » Broker Master User (master account only)
- » Broker Fully Disclosed Client
- » Investment Manager Master User
- » Fund

## To apply for a Security Device in the Secure Login System

1. Click **Settings > User Settings > Security > Secure Login System > Security Device**. The Request Security Device page appears by default.

Secure Login Device Enrollment

User Settings / Secure Login Device Enrollment

Secure Login Device Enrollment

The Secure Login System offers an additional layer of security to customers. Security devices include digital cards and mobile applications at no charge or a nominal fee. Having physical possession of your security device protects you from being compromised by online hackers or identity thieves.

Interactive Brokers STRONGLY recommends that customers participate in the Secure Login System. If you choose NOT to accept a security device and NOT to participate in the Secure Login System, you understand and acknowledge that we will NOT compensate you or credit your account in the event it is compromised.

I would like to install IB Key and use my smart phone as my Secure Login Device.

I would like to enroll in the Secure Login System without installing IB Key.

I already have access to a Secure Login Device under a different username.

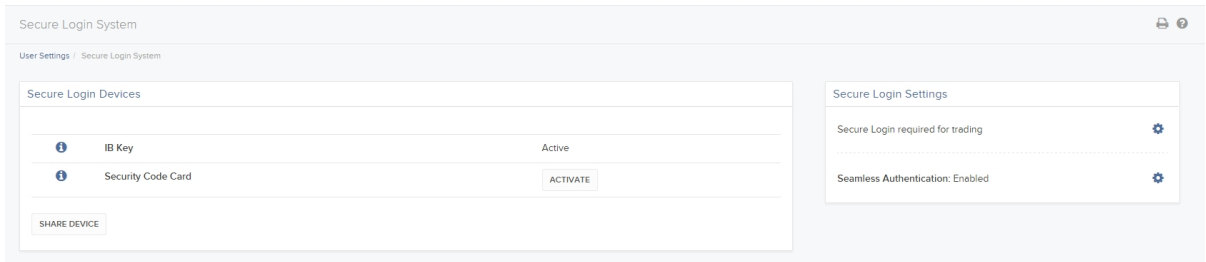
CONTINUE

2. Do one of the following:
  - » Select the first option to enroll into the IB Key authenticator application.
  - » Select the second option if you do not want to use IB Key.
  - » Select the third option if you have a security device with a different username.

After you receive the security device, log into Account Management, click **Settings > Security > Secure Login System > Security Device** and follow the instructions on the screen to activate your security device.

## To activate your Security Device in Account Management

1. Click **Settings > User Settings > Security > Secure Login System**. The Secure Login System page appears by default.



2. Click the **Activate** button next to the Secure Login Device you want to activate.
3. Follow the instructions on the screen to complete the activation process.

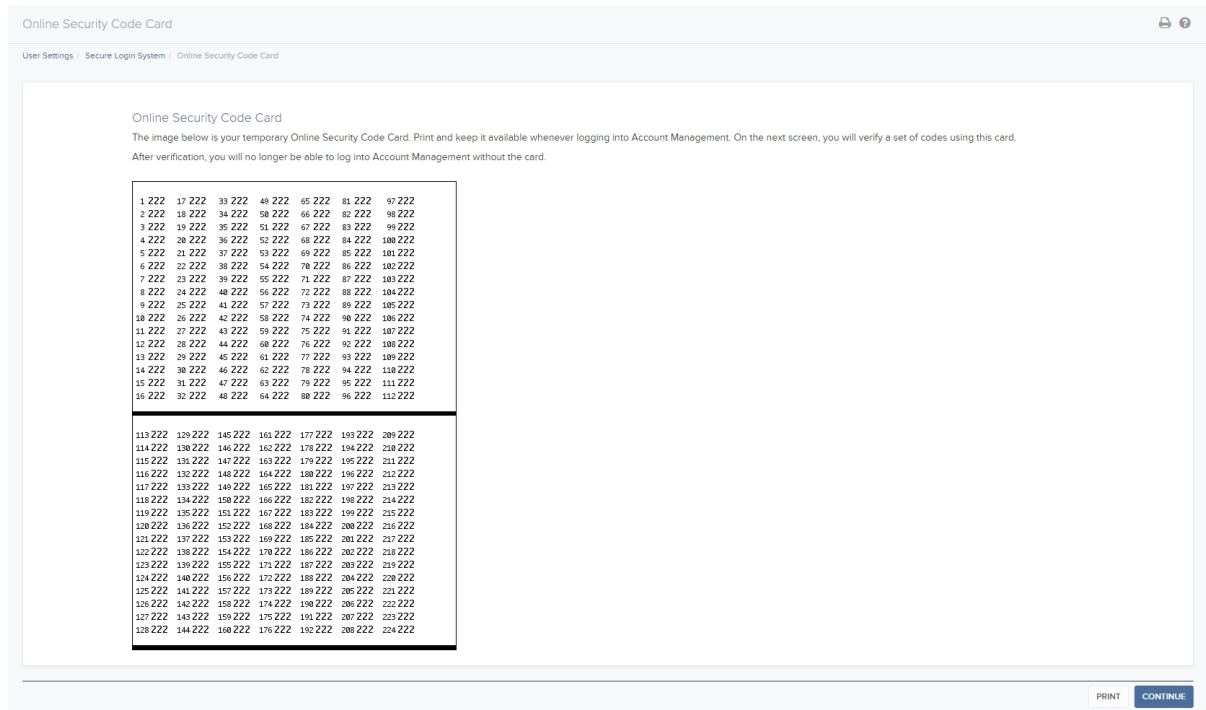
You have 14 days from the day we mail you your Security Device to activate the device in Account Management. After 14 days, you are required to use the device to log into Account Management and Trader Workstation. If you receive the device before 14 days, you can access Account Management and our desktop 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.

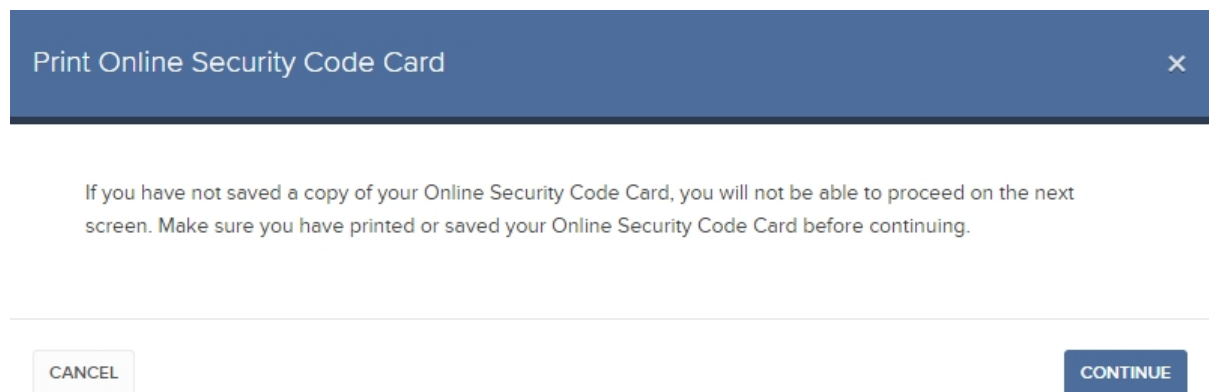
### To Request A Temporary Virtual Device

1. Click **Settings > User Settings > Security > Secure Login System** . The Secure Login System page appears by default.
2. Click Request Online (Temporary) Security Code Card.

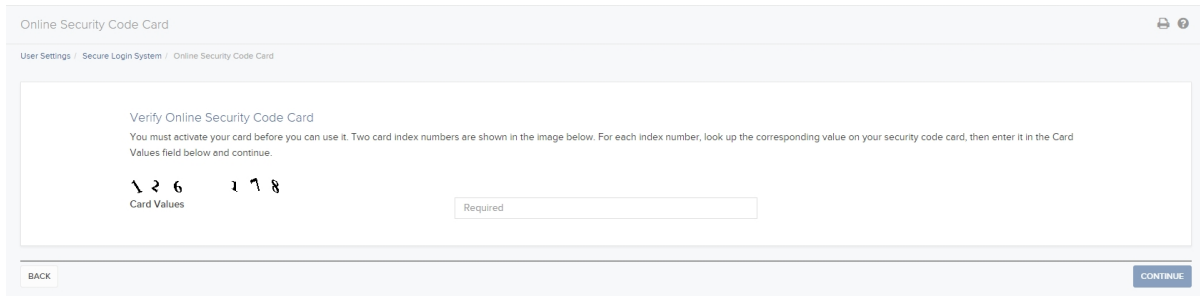


The Online Security Code Card appears.

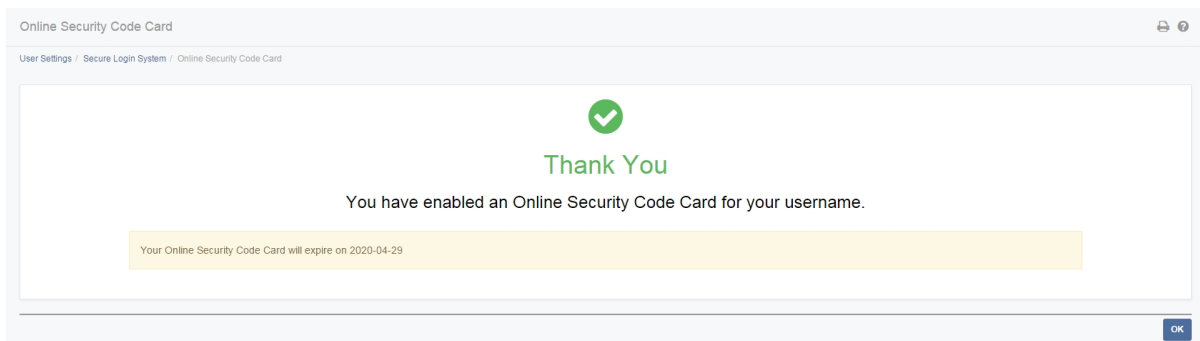
3. Print the image of the virtual device and keep it to authenticate your account.



4. Click **Continue**.
5. Use the virtual security device by matching the challenge code on the screen to the corresponding number on the Online Security Code Card.



6. A confirmation screen will appear. Click **Ok**.

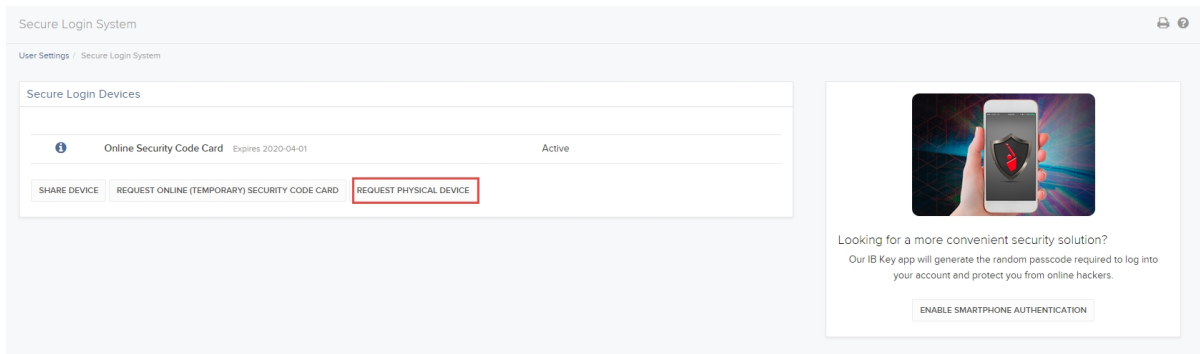


### To share your Security Device

1. Click **Settings > User Settings > Security > Secure Login System** . The Secure Login System page appears by default.
2. Click **Share Device** .
3. Enter the username and password of the user with whom you want to share the security device in the fields provided.
  - o 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.
  - o 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 Request a Physical Device

1. Click **Request Physical Device**.



2. Click **Change Address** if you need to update the shipping address.
3. Review your request then click **Continue** to confirm.
4. Requests sent by 9:30 AM local time will be shipped the same day.

## 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.

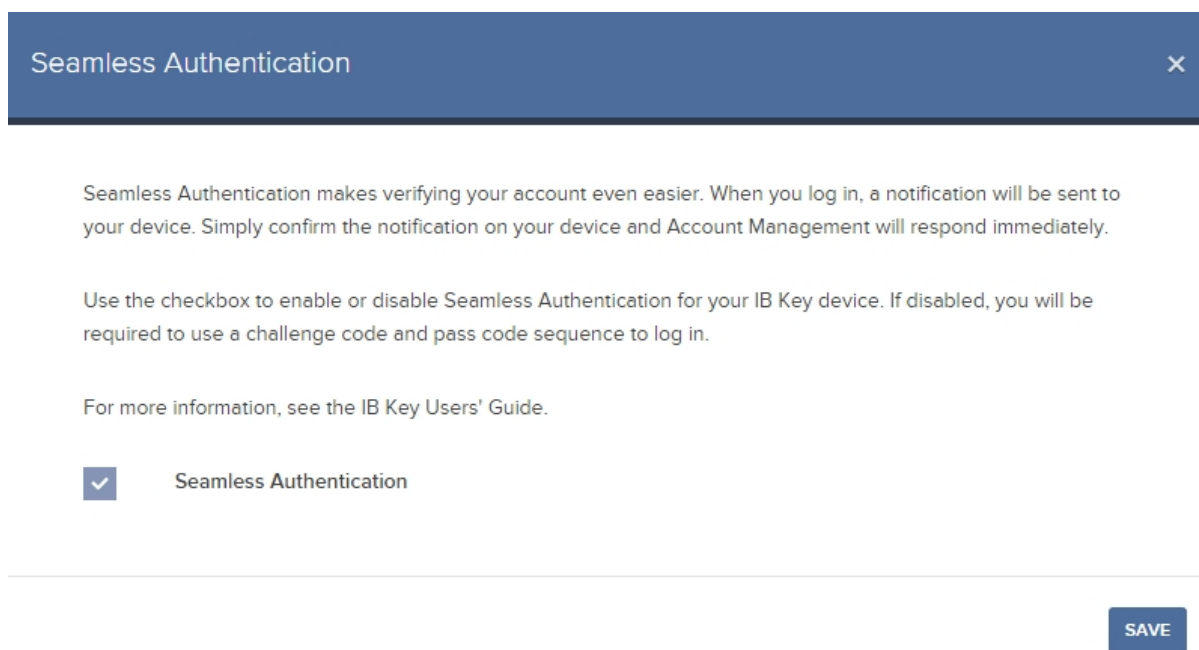
Depending upon your location and the capabilities of the shipper, a delivery tracking number will be made available after 18:00 ET on the shipping date. You can view this tracking number by clicking **Settings > Security > Secure Login System** in Account Management after that time or by calling technical assistance at 1-877-442-2757, Option 2, then 6.

# Seamless Authentication

Seamless Authentication simplifies the process of logging in with IB Key. When you log in to Account Management, a notification is sent to your mobile device. Simply confirm the notification on your device and Account Management will respond immediately and log you in.

## To enable Seamless Authentication in Secure Login System

1. Go to **Settings > User Settings > Security > Secure Login System > Seamless Authentication**.



2. Use the check box to enable or disable Seamless Authentication for your mobile device with IB Key.
3. If disabled, you will be required to use a challenge code and pass code sequence to log in.

## 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.



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?

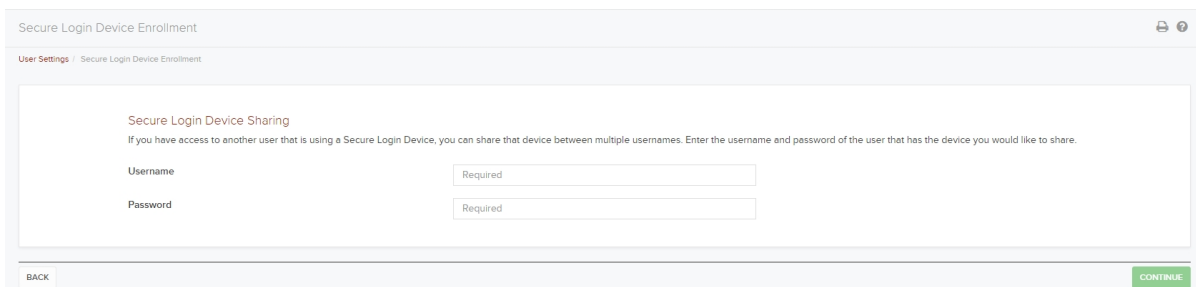
You can access this page if you are a(n):

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

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## To share a security device with multiple accounts

1. Click **Settings > User Settings > Security > Secure Login System > Security Device Sharing**.



The screenshot shows a web interface titled "Secure Login Device Enrollment". Below the title, there is a breadcrumb trail: "User Settings > Secure Login Device Enrollment". The main content area is titled "Secure Login Device Sharing" and contains the following text: "If you have access to another user that is using a Secure Login Device, you can share that device between multiple usernames. Enter the username and password of the user that has the device you would like to share." Below this text are two input fields: "Username" and "Password", both labeled "Required". At the bottom of the form, there are two buttons: "BACK" on the left and "CONTINUE" on the right.

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 500,000 USD. This is a credit card-like device with 224 alpha-numeric codes.
- » [IB Key](#) - Provides two-factor authentication for your IB account via an app downloaded to your Android or iOS mobile device. IB Key is available to accounts with a balance up to 1,000,000 USD and requires a PIN code or fingerprint to operate.
- » [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.
- » [Withdrawal Limits](#)

# 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."

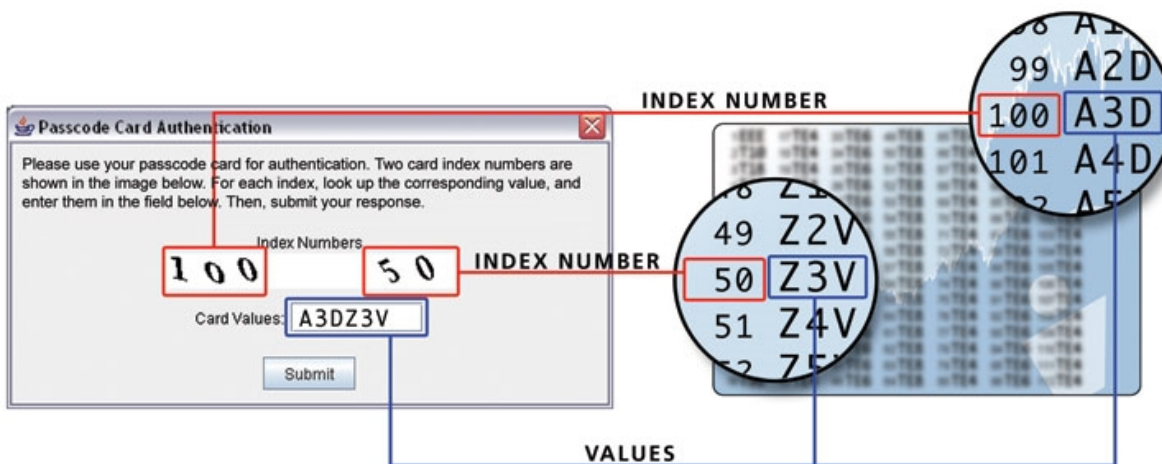
3. Using your Security Code Card, locate that Index number, and look immediately to the right to find its corresponding card value.

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.



# IB Key

IB is committed to protecting your account from fraudulent activities. A critical part of account protection is two-factor authentication, which adds an extra layer of security to your username and password. IB Key provides two-factor authentication for your IB account in a convenient app for your mobile phone.

For more information, see the [IB Key Users' Guide](#).

# 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

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.

# 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

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
IB Key	200,000 USD	600,000 USD
Digital Security Card <sup>1</sup>	1,000,000 USD	1,500,000 USD
Alpine Device <sup>1</sup>	500,000 USD	1,500,000 USD
Digital Security Card+	Unlimited	Unlimited
Platinum/Gold <sup>1</sup>	Unlimited	Unlimited

<sup>1</sup> 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.

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 a partial opt-out only.** Once you partially opt out, a Secure Login device is required to log into Account Management only. You will be able to use your username and password without a security device to log into 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

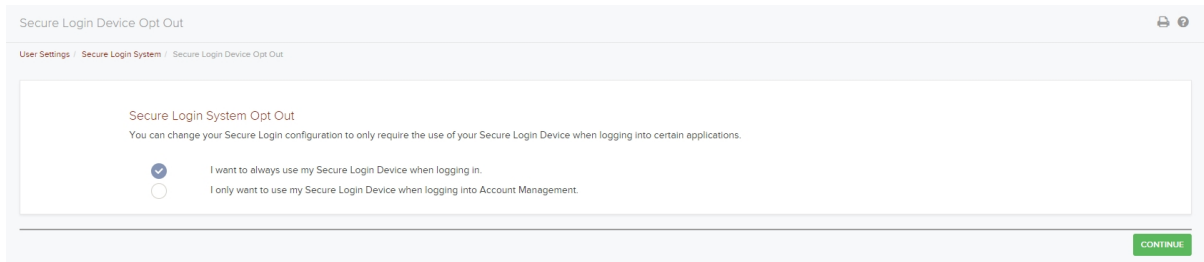
You will not be allowed to request a partial opt out if any of the following conditions is true:

- » 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.

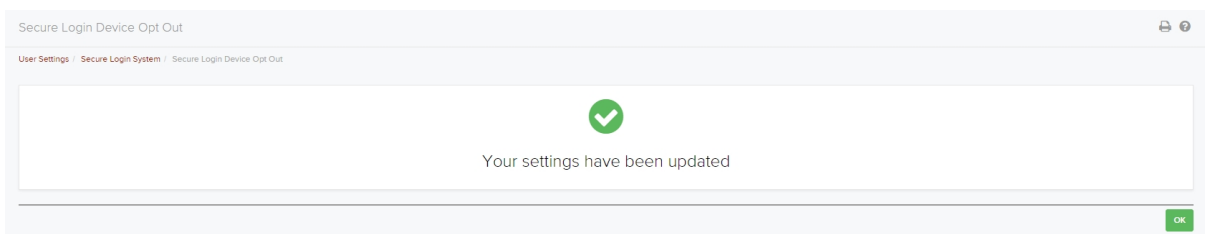
### To request that an account user opt out of the Secure Login System

1. Click **Settings > User Settings > Security > Secure Login System > Secure Login required for trading.**
2. Check the radio button **"I Only want to use my Secure Login Device When logging in".**



3. Read the SLS trading opt agreement and sign in the field provided.

4. Click **CONTINUE**.



## Change Security Questions

In some cases, we ask our clients to identify themselves by answering the security questions that they provided in their account application. If you have forgotten these questions and answers, you can use the Change Security Questions page to change them.

### Who can access the Change Security Questions page?

You can access this page if you:


- » Have an Individual account (not Joint or IRA);
- » Are not an Advisor or Broker client;
- » Are using a Secure Login device (except a temporary device) or IB Key for two-factor authentication;
- » The Net Liquidation Value of your account is less than 1 million USD.

### To change the security questions

1. Click **Settings > Security > Change Security Questions**.



2. Select three different security questions and enter three answers in the fields provided.
3. Click **Submit**.

 **Note:** There may be cases where your account is eligible to change the security questions online but you receive the message "User is not allowed to use this functionality. Please call customer service". If this happens, it means that you probably launched Account Management from TWS rather than logging in directly. Try logging into Account Management directly (from our website, select LOG IN > Account Management), and then try changing the questions.

### Read-Only Access

This screen 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.**

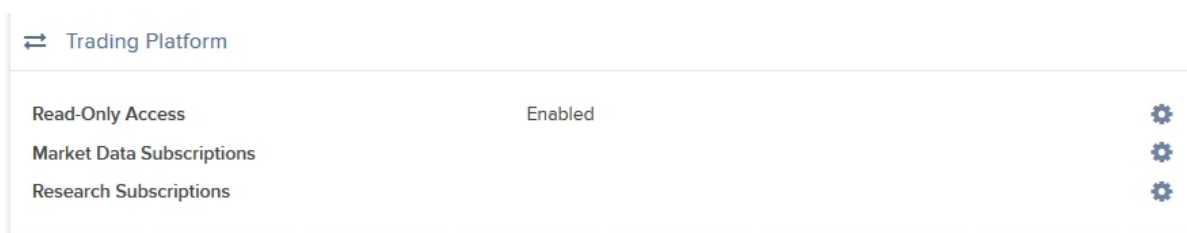
When read-only access is enabled, it can be activated and deactivated from the Configuration screen. When disabled, the feature is not accessible.

### Who can access the Trading Platforms Read-Only Access screen?

You can access this screen if you have Trader Workstation access rights.

### To enable or disable Read-Only Access

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Read-Only Access.



The Configure Read-Only Access screen opens in a popup window.

## Configure 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.

Trading Platforms Read-Only Access

When read-only access is enabled in Account Management, it can be activated and deactivated from the Configuration page in your trading platform. When disabled, the feature is not accessible.

Save

3. Click the check box to enable read-only access, and then click **Save**.

To disable read-only access, click the check box to uncheck it.

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.

### Subscribing to Market Data

We provide real-time streaming market data for free or at the price we are charged by the exchange. The Market Data Subscriptions screen displays your current market data subscriptions, lets you sign up for additional market data subscriptions such as NASDAQ TotalView and NYSE Open Book, and lets you unsubscribe from market data. Note that market data subscriptions are terminated if you have not logged into Trader Workstation for 60 days.

Included in this topic:

- » [View your current market data subscriptions and subscribe to market data.](#)
- » [Market data and research subscription termination rules](#)

In addition, on the Market Data Subscription screen, you can:

- » [View and modify your market data subscriber status.](#)
- » [If you have additional linked, duplicate or consolidated accounts, change the billable account.](#)

For important information about market data fees, see the [Market Data Fees](#) page on our website.

## Who can access the Market Data Subscriptions screen?

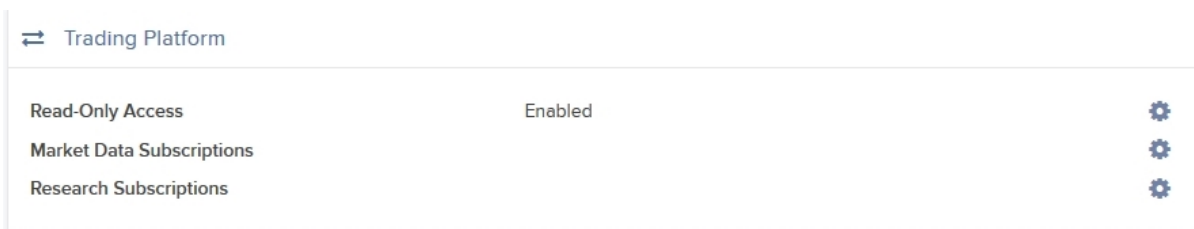
You can access this screen if you are a(n):

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

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## To view your current market data subscriptions and subscribe to market data

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Market Data Subscriptions.



The Market Data Subscription screen opens.

The screenshot displays two panels. The 'Current Subscriptions' panel on the left has a gear icon in the top right corner. It contains two sections: 'North America' and 'Global'. Under 'North America', there are two rows: 'IDEAL FX' with 'Free' and 'US Bond Quotes' with 'Free'. Under 'Global', there is one row: 'IDEAL FX' with 'Free'. The 'Market Data Subscriber Status' panel on the right also has a gear icon and displays the text: 'Your current market data subscriber status is Non-Professional'. Below it, the 'Billable Account' panel displays: 'Your subscriptions are currently being billed from U74958'.

This screen displays your current subscriptions, your market data subscriber status (Non-Professional or Professional) and the Account ID of the billable account (where your subscriptions are being billed).

3. Click the Configure (gear) icon in the Current Subscriptions panel title bar.  
The Configure Market Data screen opens.

The screenshot shows the 'Configure Your Market Data Subscriptions' screen. At the top, it says 'Configure Your Market Data Subscriptions' and provides a brief explanation: 'We provide real-time streaming market data for the prices described below. 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.' Below this, it instructs: 'To find your market data subscription, click your region below.' There are four buttons for regions: 'North America', 'Asia Pacific', 'Europe', and 'Global', each with a checkmark icon. A message box states: 'This account is currently entitled to 100 Level I (NBBO) simultaneous quotes at no additional charge.' Underneath, it says 'Quote Booster: Simultaneous Real Time Quote Limits' and lists four bullet points:

- Each booster pack provides an additional 100 simultaneous Level I quotes.
- Quotes are available via the desktop systems and in the API.
- Limit of 10 booster packs per account.
- Once subscribed, quotes are available immediately and will display the next time you log into the application.
- Data from a cancelled booster pack subscription remains available through the end of the current billing cycle.

To the right of the list, it says 'USD 30.00 /pack' and there is a dropdown menu showing '0'. At the bottom right, there is a 'Continue' button.

4. Click the region for which you want market data. A popup window opens with all available market data subscriptions for that region along with their prices. Scroll down to see all subscriptions.

## Market Data Subscriptions: North America

x

## Quote Bundles

## US Equity and Options Add-On Streaming Bundle (Pending)

USD 4.25 /pack 

Includes streaming realtime quotes for NYSE (CTA/Network A), AMEX (CTA/Network B), NASDAQ (UTP/Network C), and OPRA (US Options). US Securities Snapshot and Futures Value Bundle will be subscribed by default if not already selected with this service.

## US Value Bundle (Pending)

Waiver 

A BBO alternative that will deliver aggregated quote, trade, volume, and optional depth information for all four US equity exchange books operated by BATS (BATS, BYX, EDGX, EDGEA). Includes Dow Jones Industrial Average and S&P 500 Indices and top of book GLOBEX quotes for CBOT, CME, COMEX, and NYMEX

A monthly 10.00 fee will be waived whenever the monthly commissions generated in the account reach 30.00 USD.

## US Value Bundle PLUS (Pending)

USD 5.00 /pack 

Includes depth on CBOT, CME, COMEX, and NYMEX

## Indexes

## CBOE Market Data Express Indices (Pending)

USD 2.25 /pack 

CBOE Market Data Express Indices. Includes several S&P Indices.

## CME S&amp;P Indices (Pending)

USD 4.25 /pack 

CME S&P Indices.

## DJ Global Indices (Pending)

USD 1.00 /pack 

Standard fees for the Dow Jones Global Index, Standard & Poor's Global 100, and DJ Global

5. Select **YES** for each market data subscription you want to select.
6. To unsubscribe from market data, select **NO**.
7. When you are done, scroll all the way to the bottom of the popup window and click **Save**.
8. CONTINUE selecting regions and subscribing to market data until you are done subscribing.
9. Click **CONTINUE**.
10. Review your market data subscriptions. If they are correct, click **CONTINUE**.  
If you want to make changes, click **Back** and subscribe/unsubscribe as desired.
11. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
12. Click **Ok**.

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.

### **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 screen 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 Subscriptions](#) page.

### **Who can access the Market Data Subscriber Status screen?**

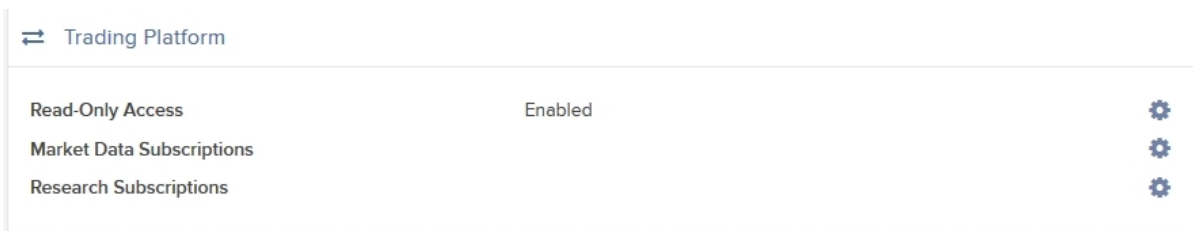
You can access this page if you are a(n):

- » Individual, Joint, Trust or IRA Account User
  - » Small Business Account User
  - » Friends and Family Group Master or Client
-

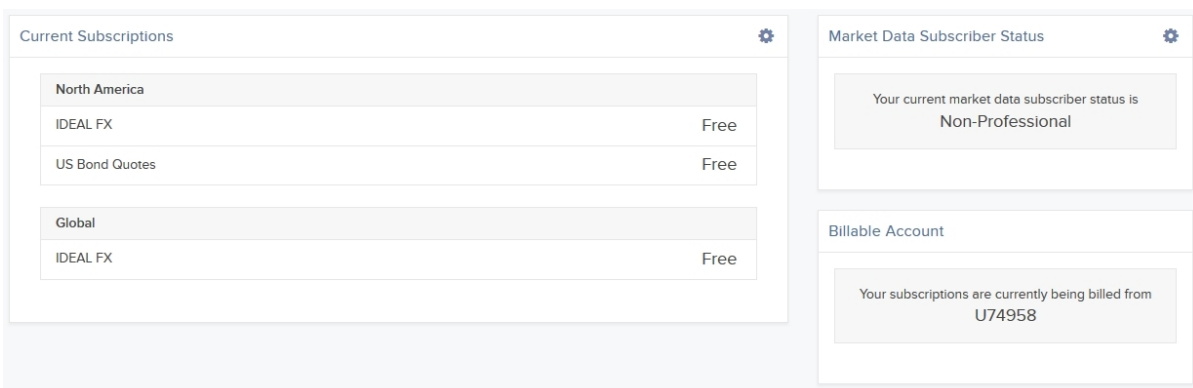
- » Advisor Master
- » Broker Fully Disclosed Client
- » Broker Non-Disclosed Client
- » Broker Omnibus Client User

### To change your market data subscriber professional status

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Market Data Subscriptions.



The Market Data Subscription screen opens.



3. Click the Configure (gear) icon in the Market Data Subscriber Status panel. The Market Data Subscriber Status screen opens.

Market Data Subscriber Status

Use this page to change your market data subscriber status.

Current Market Data Subscriber Status

Do you agree that if you the Subscriber is a Non-Professional Subscriber, he or she shall receive Market Data Solely for his or her personal, non-business use.  YES

Do you agree that 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.  YES

4. Select your desired subscriber status from the drop-down. If you change from Professional to Non-Professional, you must answer YES to the two questions that appear.
5. Click **CONTINUE**.
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
7. Click **Ok**.

### 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).

Market Data Assistant

To find the exact market data subscription, enter the desired stock symbol and exchange (or use an ISIN). The search results will show which IB market data subscription(s) provide the real-time market data for all combinations of professional/non-professional, top-of-book, and deep-book data. A full description of all of IB's market data services and usage policies can be found here: [Market Data, Fundamentals and News](#)

Search

Market Data Assistant

Symbol  or   Exchange  Type  Currency  Asset Type



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
<b>ABC @ TSE (Currency: CAD) Asia Bio-Chem Group Corp</b>		
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 (P,L2)	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 (P,L1)	Pro	15 CAD
Toronto Stk Exch (P,L1)	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
<b>ABC @ NYSE (Currency: USD) AmerisourceBergen Corp</b>		
NYSE OpenBook (P,L2)	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
110 Circle 60, Ed. (NY) (Echostar)	NonPro	6 USD

## Change Your Billable Account

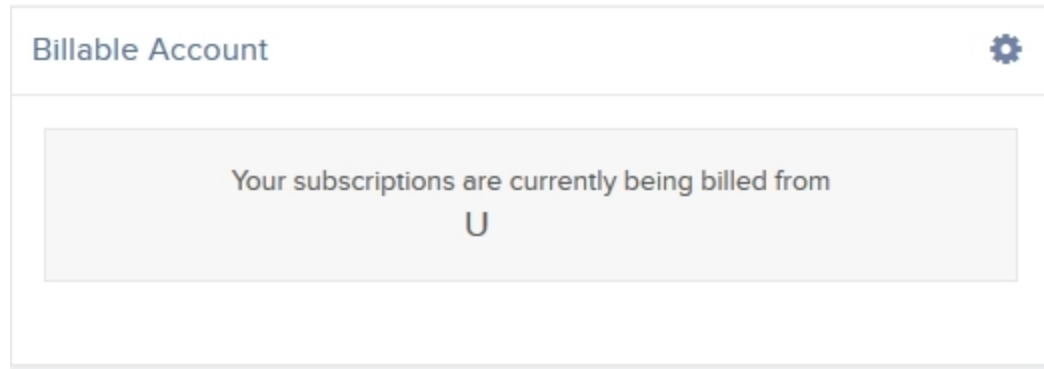
If you have additional linked, duplicate or consolidated accounts, the Billable Account section appears on the [Market Data Subscriptions screen](#). Use the Billable Accounts panel to change the account that is currently being billed for market data.

### To change your billable account

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Market Data Subscriptions.

Trading Platform	
Read-Only Access	Enabled
Market Data Subscriptions	
Research Subscriptions	

The Market Data Subscription screen opens.



3. Click the Configure (gear) icon in the Billable Account panel.
4. Select the account you want to be billed for market data, then click **Save**.

Beginning with the next billing cycle, your market data subscriptions will be billed to the account you selected.

## Research

The Research Subscription screen lets you sign up for news, information and research services.

Research subscriptions are terminated if you have not logged into Trader Workstation for 60 days. [Click here for more information.](#)

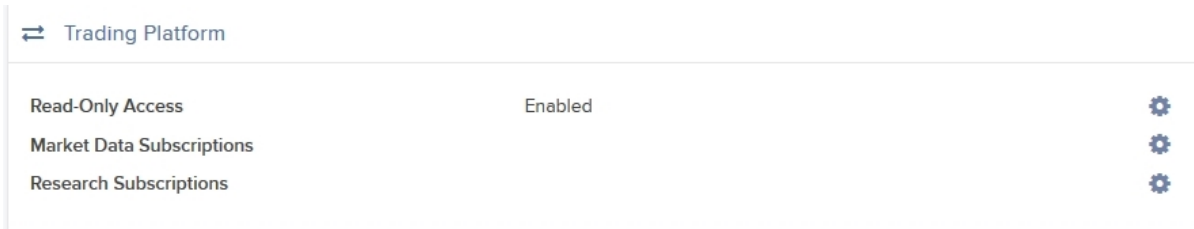
## Who can access the Research Subscriptions screen?

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

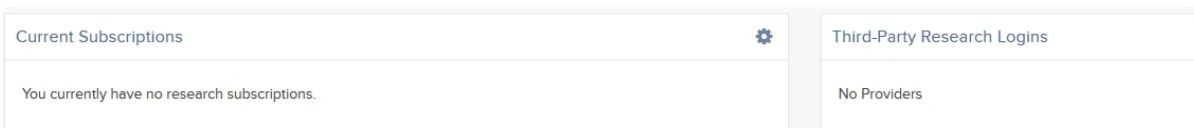
- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master (master account only)
- » Proprietary Trading Group Master
- » Proprietary Trading Group Sub Account User
- » Broker Master
- » Broker Fully Disclosed Client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

## To subscribe to news, information and research

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Research Subscriptions.



The Research Subscription screen opens.



The screen shows all of your current news and research subscriptions as well as any [third-party research logins](#).

3. Click the Configure (gear) icon in the Current Subscriptions panel.

The Configure Research screen opens.

## Research Add On for Trading Platform

IBIS is a suite of research tool that are powered by research subscriptions, listed below for the low cost of \$69/month. We recommend the heavily discounted "Research Essentials" subscription bundle. One month free trials are available for all research subscriptions!

- **News:** Dow Jones, Reuters, Briefing.com, theyflyonthewall.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

### Base IBIS Research Platform

FREE for Brokerage Clients, IBIS is a \$69/month suite of research tools that are powered by research subscriptions, listed below. We recommend the heavily discounted "Research Essentials" subscription bundle. Note that one month free trials are available for all research subscriptions!

Would you like to subscribe to the Base IBIS Research Platform? - Free

 YES

## Discounted Content Packages

IBIS 'Research Essentials' Subscription Bundle - 5 Heavily Discounted Key Subscriptions Including:

1. **Reuters StreetEvents Calendars**
  - o LIVE Corporate Earnings calendar
  - o LIVE Economic Events calendar
  - o IPO, Secondary, and Industry Event calendars
2. **Dow Jones Trader News**
3. **Reuters Global Newswire**
4. **Reuters Worldwide Fundamentals**
  - o Financial Statements, Ratios, and Dividend Calendars
  - o Sell side analyst ratings summaries and financial forecasts
  - o Comparable company listings
5. **Recognia**
  - o Global technical alerts by security
  - o Covers stocks, options, ETFs, indices, forex, commodities and futures

Would you like to subscribe to this IBIS Research Essentials Subscription Bundle?

 NO

USD \$33.00-North America

Free Trial

This screen shows all available news, information and research and their subscription prices.

4. Select **YES** for each subscription you want to select.
5. To unsubscribe from news and research, select **NO**.
6. When you are done, scroll all the way to the bottom of the screen window and click **CONTINUE**.
7. Review your subscriptions. If they are correct, click **CONTINUE**.

If you want to make changes, click **Back** and subscribe/unsubscribe as desired.

8. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
9. Click **Ok**.

News and research subscription updates take effect immediately under normal circumstances.

## Research Website Logins

This page lets you get access to research provider websites in order to get more services. You use your IB account email address but a unique password to access provider websites.

### To use this page

1. Click **Settings > Research Services > Research Website Login**.
2. Select a research provider from the drop-down list.
3. Type a unique password in the field provided. You will use this password along with your IB account email address to access the selected research provider's website.
  - The password must be unique; it cannot be the same as your IB account password.
  - The password should be between 6 and 20 characters.
4. Click **Submit**. It takes one business day to process your request.

## Support Information for Third-Party Research Logins

If you have technical problems logging into third-party research websites, use the information below to contact the research provider directly. For any provider who is not listed below, contact them directly according to the instructions on their website.



**Note:** Do not contact IB Client Services for problems with these logins.

Research Provider	Phone	Email Address
Accern	646.603.3821	support@accern.com
EOTPro	604-974-5101	support@eotpro.com
New Constructs	N/A	support@newconstructs.com
Social Alpha	866.980.9473	support@social-alpha.com
Wall Street Horizon	781-994-3500 x234	enchops@wallstreethorizon.com
XTF	800-XTF-ETFS	support@xtf.com

## Reports

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

Topics included:

- » [PortfolioAnalyst](#) - Our online performance analysis and reporting tool.
- » [Statements and Trade Confirmations](#) - Create, save and run your own custom statements, including Trade Confirmation reports.
- » [Flex Queries](#) - Create, save and run Activity and Trade Confirmation Flex Queries, which are text- or XML-formatted statement files that you can customize down to the field level.
- » [Other Reports](#) - Run supplement reports, including Margin and VAR reports as well as Transaction Cost Analysis.
- » [Tax Reporting and Tools](#)

## PortfolioAnalyst

PortfolioAnalyst is our online performance analysis and reporting tool that lets you analyze 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. You can also view the performance of your IB account and accounts held at financial institutions other than Interactive Brokers, including investment and non-investment accounts, and drill down to see accounts, asset classes, positions and transactions.

For detailed instructions about using PortfolioAnalyst, see our [PortfolioAnalyst Users' Guide](#).

## Statements and Trade Confirmations

The Reports > Statements screen gives you access to the following reporting functions:

- » [Run a Statement or Trade Confirmation Report](#) - Run different kinds of statements, including your own saved custom statements, trade confirmations and third-party downloads.
- » [Batch Reports](#) - View and run very large statements that have been placed in a queue for batch processing.

- » [Create Custom Statements](#) - Create and save custom Activity Statements.
- » [Delivered Statements](#) - Configure custom statements and flex queries for delivery.

### **Who can access the Statements screen?**

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
- » Advisor Master and Client
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed and Non-Disclosed Client
- » Investment Manager Master User
- » Fund

and have been granted Reports access rights.

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In this topic:

- » [About Activity Statements](#)
- » [Statement Cut-off Times](#)
- » [Activity by Account Type](#)
- » [Activity Statement Archive Policy](#)

### **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 Statements in Mobile Account Management include information about your account activity, which can be generated on a daily or monthly basis and for a custom date range for all accounts.

- » Prices in statements are displayed with a minimum of four decimal places to a maximum of seven decimal places. Sections that display price include Trades and Open Positions.

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 (yearly) statements are available by January 31 under normal circumstances.

### **Statement Cutoff Times**

The statement cutoff time for commodities is generally 5:15 PM EST, and the statement cutoff time for securities is generally 8:20 PM EST. This means that any trades executed for those asset classes before the cutoff times will be reflected in your statement for the day.

IB-JP clients have a statement cutoff time of around 6:00 AM ET.

### **Activity by 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.

## How to Run a Statement

There are two ways to run a statement in Account Management:

- » [Set up and run a statement with additional options](#), including [Trade Confirmation Reports](#) and [Third-Party Downloads](#).
- » [Run your own saved customized statements](#).

In addition, you can run highly customized, text- or XML-formatted statements called Flex Queries:

- » [Run a saved Activity Flex Query](#).
- » [Run a saved Trade Confirmation Flex Query](#).

### Set Up and Run a Statement with Additional Options

The Run a Statement panel on the Statements screen lets you quickly configure and run an Activity Statement or Trade Confirmation Report.

#### To set up and run a statement with additional options

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

Statements ( )

**Run a Statement**

Statement Type: Default Statements

Default Statement Type: Activity

Period: Daily

Date: August 01, 2017

Format: HTML/WEB

Options: Optional

Language: English

**RUN STATEMENT** **RESET**

**Custom Statements**

- daily
- monthly
- traweta

**Statements Delivery**

- Daily Activity Statement
- Monthly Activity Statement
- Daily Trade Report

3. In the Run a Statement panel, select a Statement Type.

**Run a Statement**

Statement Type: Default Statements

Default Statement Type: Activity

Period: Daily

Date: August 01, 2017

Format: HTML/WEB

Language: English

**RUN STATEMENT** **RESET**

4. Select a Default Statement Type, a Custom Statement Type or a Third-Party Download Type from the drop-down. The selections available here depend on the Statement Type you selected.
5. Select the Period you want the report to cover. Select Daily, Custom Date Range, Monthly, Quarterly or Year to Date.

6. Select a date. If you selected Custom Date Range, enter From and To Dates.
7. Select the format for the generated statement: HTML/Web, PDF or CVS (comma-separated values). A CVS file is compatible with Microsoft Excel and similar programs.
8. In the Options drop-down, select how you want the statement to be configured for multiple selected accounts and/or partitions. Consolidated statements combine the data for multiple accounts into a single statement.
9. Select the language you want for the report.
10. Click **Run Statement**.  
Click **Reset** to clear all the fields.
11. If you selected PDF or CVS as the Format, you will be prompted to save the file to your computer. If you selected HTML as the Format, the statement will open inside Account Management.

### Run a Saved Custom Statement

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

Statements ( )

Run a Statement

Statement Type: Default Statements

Default Statement Type: Activity

Period: Daily

Date: August 01, 2017

Format: HTML/WEB

Options: Optional

Language: English

RUN STATEMENT RESET

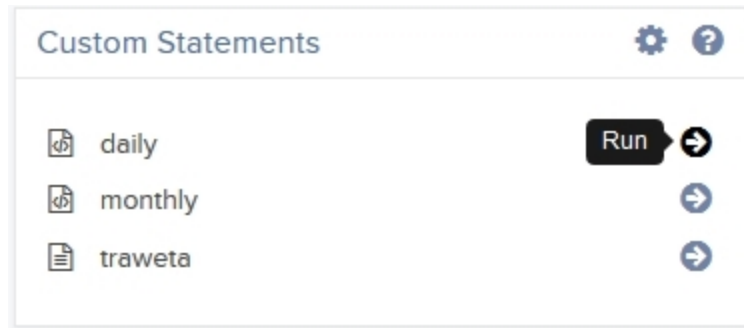
Custom Statements

- daily
- monthly
- traweta

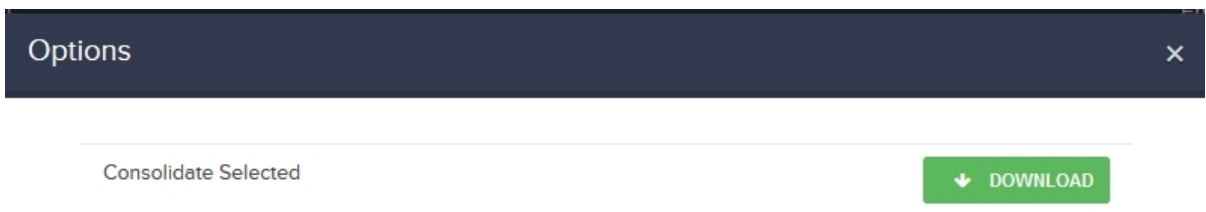
Statements Delivery

- Daily Activity Statement
- Monthly Activity Statement
- Daily Trade Report

3. In the Custom Statements panel, click the Run icon next to the saved custom statement you want to run.



- If you selected multiple accounts in the Account Selector, a popup opens to allow you to download a consolidated statement.



Click the **DOWNLOAD** button to download the statement to your computer.

- You are prompted to save the file to your computer.

## Types of Statements

From the Run a Statement panel on the Statements screen, you can run any of the following types of statements:

### Standard Statements

- » [Model Statements](#) - Advisors and their clients can view these statements provided models have been created in Trader Workstation. Model Statements include additional information about the selected model in the Account Information section.
- » 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.
- » Multi-Account Summary - Available for clients who manage or maintain multiple accounts.

- » 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.
- » [Trade Confirmation Report](#) - 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.

### **Custom Statements**

- » Saved Custom Activity Statements

### **Flex Queries**

- » Activity Flex Queries
- » Trade Confirmation Flex Queries.

### **Third-Party Downloads**

Download daily and monthly statements into a variety of different software programs.

#### **Third-Party Downloads**

On the Reports > Statements screen, you can download statements into any one of the following software:

- » Microsoft Word
- » Microsoft Money
- » Quicken
- » Tradelog
- » GainsKeeper
- » Capttools (Legacy)

In addition, the following downloads are available upon request:

- » Daily Capttools Downloads - Daily Capttools downloads are available for customers upon request. Send your request to enable Capttools downloads to [reportingintegration@interactivebrokers.com](mailto:reportingintegration@interactivebrokers.com). Note that Capttools downloads are not available to Non-Disclosed Broker Clients. If you request Daily Capttools Downloads, the Activity Downloads page will contain an additional section for Daily Capttools

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.

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.

### To download statements to third-party software

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Run a Statement panel, select *Third-Party Downloads* as the Statement Type.
4. Select the Period and Date using the drop-downs provided.
5. Select the third-party software from the Format drop-down.
6. Click **Run Statement**.
7. Open the generated report with the appropriate application, or download the report to your computer.

### Model Statements

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 Model Statements?

You can access Model Statements if you are an 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.

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### To view a Model statement

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Run a Statement panel, select *Standard Statements* as the Statement Type.
4. In the Standard Statement Type drop-down, select *Models*.
5. Select the Period, Date and Format in the drop-downs provided.
6. In the Options drop-down select one of the following:
  - *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.
  - *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.
  - *Summary* - View a Model Summary statement that summarizes data for all models for one or more accounts.
7. Select a language.
8. Click **Run Statement**.

## Create a Custom Statement

You create and save your own custom statement templates that let you choose which sections to include in an Activity Statements, as well as select additional statement options on the Custom Statements screen.

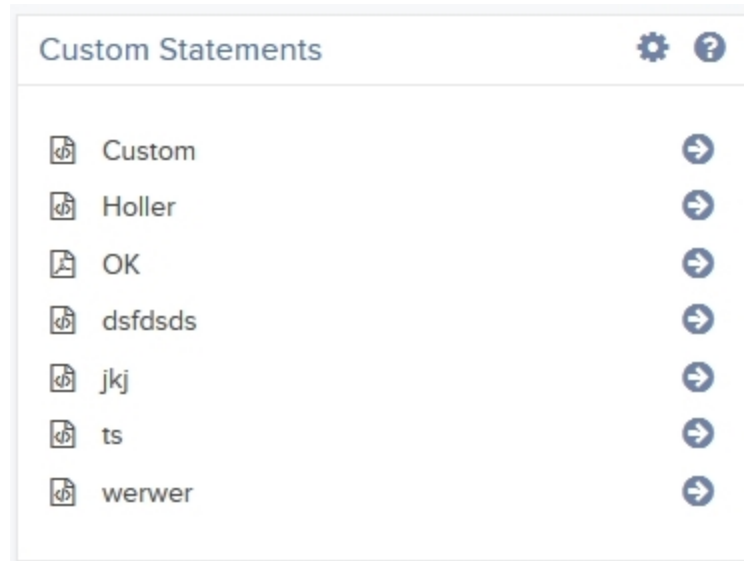
You can also [view, edit and delete saved custom statement templates](#) on the Statements > Custom Statements screen.

When you create a custom statement template, you do not save the period or date with the template. You select these options when you run the statement from the Statements screen.

### To create a customized statement

1. Click **Reports > Statements**.  
The Statements screen opens.

2. In the Custom Statements panel, click the Configure (gear) icon.



The Create an Activity Statement screen opens.



3. Click the + icon to open a new statement template.
4. In Activity Statement Details, enter the name of the custom statement, and select an output format and language.



### Activity Statement Details

**Statement Name**

Required

**Format**

HTML/Web



**Language**

English



5. In Sections, click each section that you want to appear in your custom statement. Select sections appear with a check mark.

## Sections (Select Multiple)

All	Corporate Actions	Options Distribution by Expiration
Account Information ✓	Daily Conversion Rates	Other Fees
Adjustments	Deposits and Withdrawals	Outgoing Trade Transfers
Advisor Fees	Dividends	Payment in Lieu of Dividends
Bond Interest	Realized & Unrealized P/L Summary	Pending Exercises
Borrows/Loans	Financial Instrument Information	Positions and Mark-to-Market
Borrow/Loan Fees	Forex Balances	Routing Commissions
Broker Interest	Forex P/L Details	Soft Dollar Activity
Cash Report	Incoming Trade Transfers	Statement of Funds
CFD Charges	Interest Accruals	Trade Summary by Asset Class
Change in Dividend Accruals	Month & Year to Date Summary	Trade Summary by Symbol
Change in Position Value	MTM P/L on Prior Period Positions	Transaction Codes
Client Fees	MTM Performance Summary	Transaction Fees
Combined Deposits/Withdrawals	Net Asset Value	Trades
Combined Dividends	Net Asset Value Time Series	Transfers
Combined Fees	Open Dividend Accruals	Unbooked Trades
Combined Interest	Open Positions	Unsettled Transfers
Commission Details	Option Cash Settlements	Withholding Tax
Complex Positions	Option Exercises/Assignments	

Capture screenshot.

6. In Section Configurations, select YES for each option that you want to turn on in your custom statement.
  - For Profit and Loss, select the profit and loss format for the statement. Select *MTM and Realized P/L*, *Realized P/L Only*, *MTM Only*, or *None*.  
For more information about profit and loss on statements, see [Profit and Loss Selection](#).

7. Click **CONTINUE**.
8. Review your statement template and click **Create**.

You can now run your new custom statement from the Run a Statement panel on the Statements screen.

### View, Edit and Delete Statement Templates

The Custom Statements screen displays all of your saved custom Activity Statement templates. Custom statements are saved as templates. On the Custom Statements screen, you can:

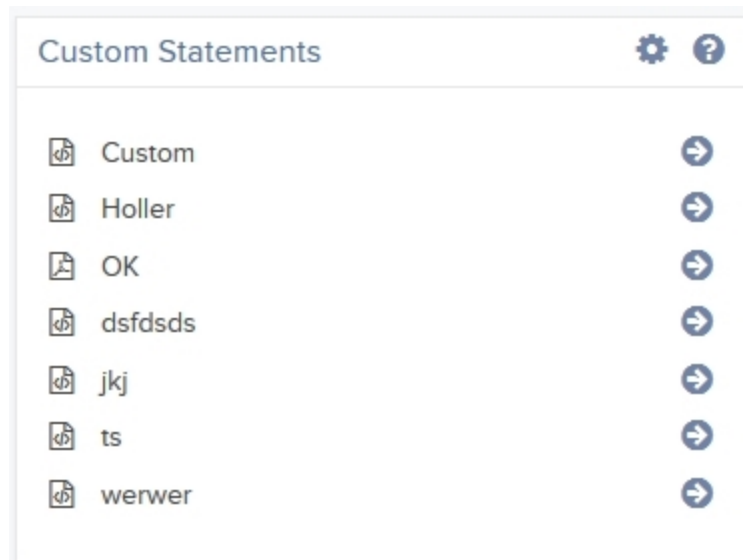
- » View all of your saved Activity Statement templates.
- » Edit an existing template.
- » Delete an existing template.
- » Create a new [Activity Statement template](#).

### To view, edit or delete saved statement templates

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Custom Statements panel, click the Configure (gear) icon.



The Custom Statements screen opens. Custom statement and flex query templates are displayed in their own separate panels.



4. Each saved custom statement template is displayed on its own expanding and collapsing row. Click an individual template to expand it and display all of the details about the statement.
5. To edit an existing template, click the Edit (pencil) icon for the template. Make changes as required.
6. To delete an existing template, click the X icon for the template. Once you delete a template, you can no longer run that statement.

### Customized Statements 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
<b>Mark-to-Market Performance Summary in Base</b>	Included	Not included.	Included	Not included.
<b>Realized &amp; Unrealized Performance Summary in Base</b>	Included	Included	Not included.	Not included.
<b>Month &amp; Year to Date Performance Summary in Base</b>	Included	Not included.	Not included.	Not included.
<b>Change in Position Value</b>	Included	Included	Not included.	Not included.
<b>Long Open Positions<sup>1</sup></b>	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.
<b>Short Open Positions<sup>1</sup></b>	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.
<b>Trades</b>	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.

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

## Trade Confirmations

Real-time trade confirmations are generated for all executions. On the Reports > Statements screen, you can run any of the following types of trade confirmation reports:

- » [Trade Confirmation Reports](#) - Shows your trade confirmations separately by asset class for a specific day or range of dates.

On the Reports > Flex Queries screen, you can also create [Trade Confirmation Flex Queries](#) - which are highly customized trade confirmation report templates in text or XML format.

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

### Trade Confirmation Reports

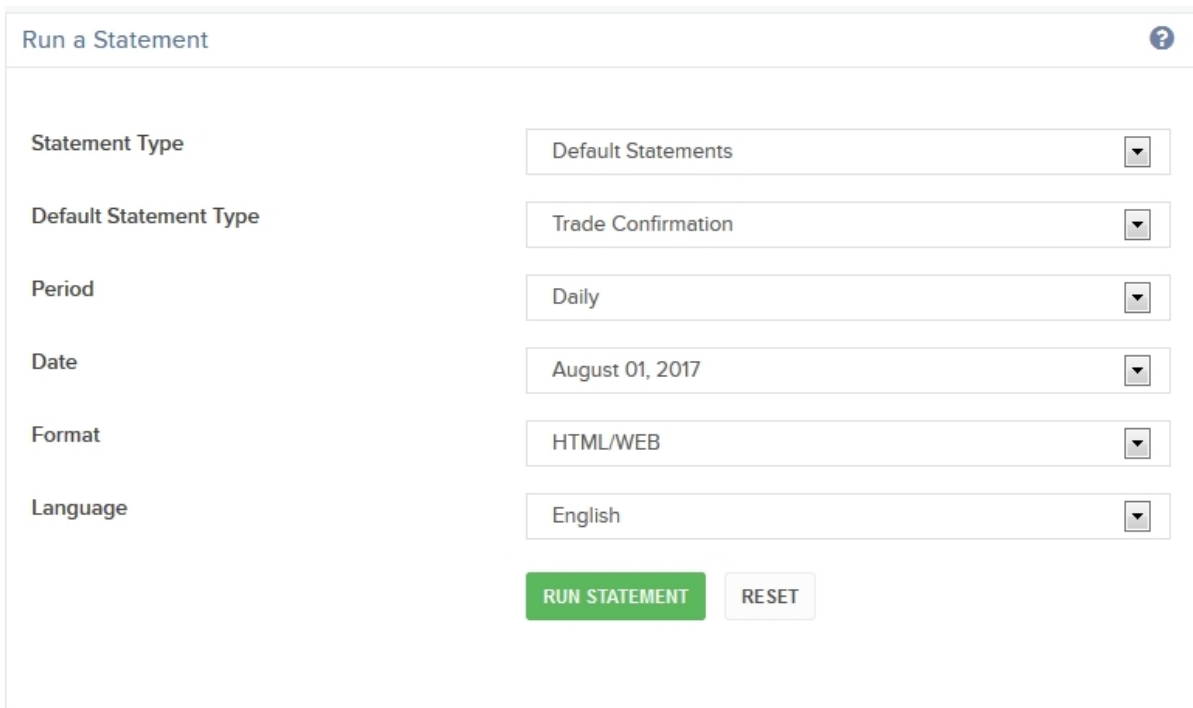
Run Trade Confirmation reports from the Run a Statement panel on the Statements screen.

#### To run a Trade Confirmation report

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Run a Statement panel, select *Default Statements* as the Statement Type.




The screenshot shows a panel titled "Run a Statement" with a help icon in the top right corner. The panel contains several dropdown menus and two buttons. The dropdown menus are labeled "Statement Type", "Default Statement Type", "Period", "Date", "Format", and "Language". The "Statement Type" dropdown is set to "Default Statements", "Default Statement Type" is set to "Trade Confirmation", "Period" is set to "Daily", "Date" is set to "August 01, 2017", "Format" is set to "HTML/WEB", and "Language" is set to "English". At the bottom of the panel, there are two buttons: a green "RUN STATEMENT" button and a grey "RESET" button.

4. Select *Trade Confirmation* as the Standard Statement Type.
5. Select the Period you want the report to cover. Select Daily or Custom Date Range.
6. Select a date. If you selected Custom Date Range, enter From and To Dates.
7. Select the output format: HTML/Web or PDF.
8. Select the language you want for the report.
9. Click **Run Statement**.  
Click **Reset** to clear all the fields.
10. If you selected PDF as the Format, you will be prompted to save the file to your computer.

## 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.

 **Note:** We no longer batch-process statements that are larger than 100 MB due to problems that this causes on our web server. You can request that your account be configured for FTP delivery of such statements by contacting us at [reportingintegration@interactivebrokers.com](mailto:reportingintegration@interactivebrokers.com).

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.

### To view the status of reports queued for batch processing

1. Click **Reports > Statements**.
2. If there are any reports that have been submitted for batch processing, they will be displayed in the Batch Reports panel.
3. Any report with a status of **Completed** can be viewed and/or downloaded immediately. Click the Run icon to view an HTML or PDF report or download a PDF report or Flex Query.
4. If a batch report has a status of **Failed**, try running the report again. If it fails again, contact [Client Services](#).

## Delivered Statements

You can configure the default method of notification for daily and monthly Activity Statements and Daily Trade Reports, and enable and configure delivery for your saved daily and monthly Activity Statements.

The Statements Delivery screen lets you set up notification and delivery preferences.

In this topic:

- » [Delivery Guidelines](#)
- » [Configure Notification Defaults and Delivery Settings](#)

### **Delivery 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.

### **Configure Notification Defaults and Delivery Settings**

#### **To configure notification defaults and delivery settings**

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

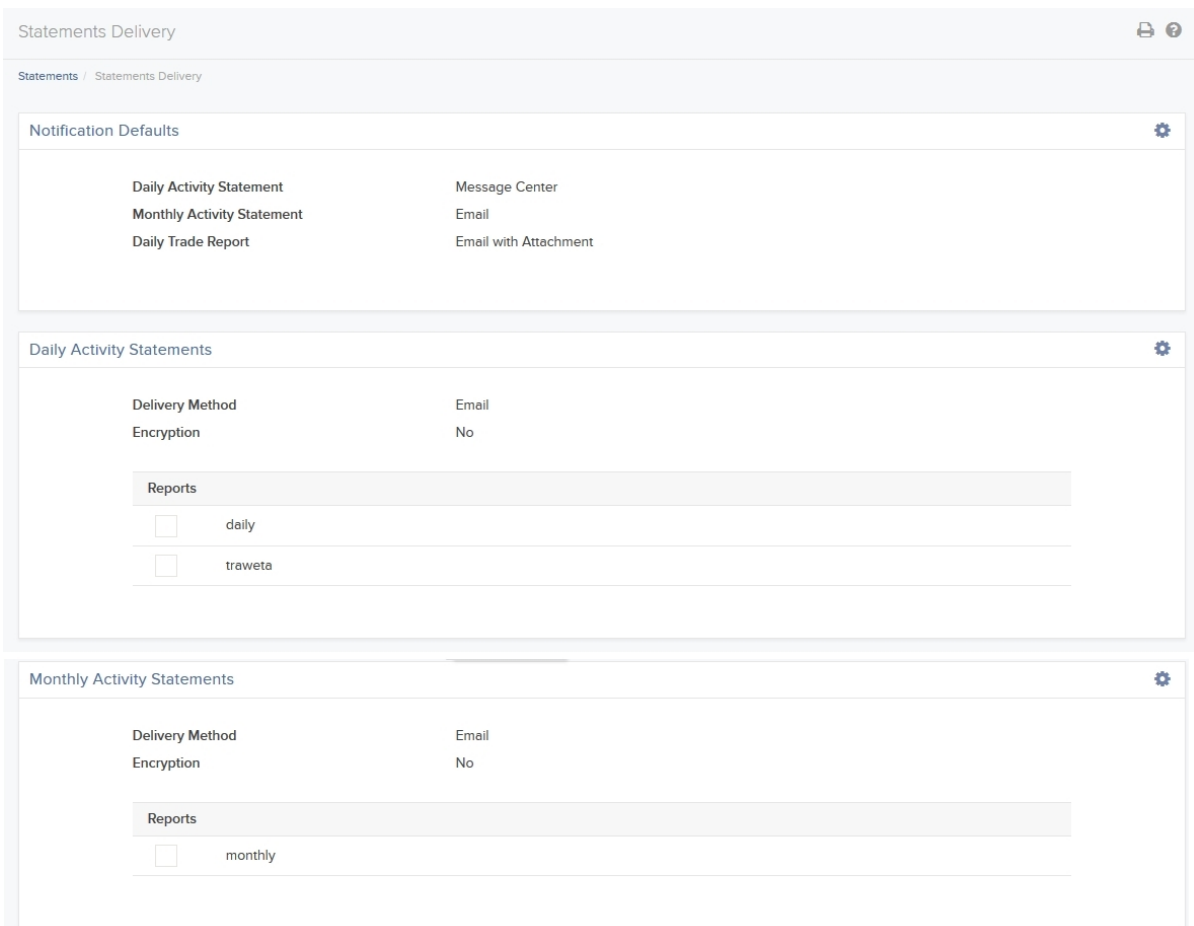
The Statements screen opens.

3. In the Delivered Statements panel, click the Configure (gear) icon.





The Statements Delivery screen shows your notification defaults, and delivery settings for all of your saved daily statements, monthly statements, Activity Flex Queries and Trade Confirmation Flex Queries in separate panels.



- To set notification defaults:
  - Click the Configure (gear) icon in the Notification Defaults panel.

Set your Activity Statement and Daily Trade Report notification preferences below.

Daily Activity Statement	Message Center	▼
Monthly Activity Statement	Email	▼
Daily Trade Report	Choose One	▼

Continue

- For Daily and Monthly Activity Statements, choose how you want to be notified: *Email with Attachment* (the statement will be attached to the email), *Email* (with no statement attached; you will have to run the statement yourself in Account Management), *Message Center* or *Disable* (for no notification).
  - For Daily Trade Reports, choose how you want to be notified: *Email with Attachment*, or *Disable* (no notification).
  - Click **CONTINUE**.
  - Confirm your selections by clicking **CONTINUE** again.
  - Click **Ok** to return to the Delivered Statements screen.
5. To enable and configure delivery for daily and monthly statements and for your saved Flex Queries (the procedure is the same for all):
- On the Delivered Statements screen, click the Configure (gear) icon in the panel.

**Configure Delivery Method**

FTP Delivery is available by request only. Encryption is available for both Email and FTP delivery methods by request only. Contact your Sales Representative or Client Services to enable these options.

**Delivery Method**

**Encryption**  NO

Reports	
<input type="checkbox"/>	daily <input type="button" value="Add/Edit Account(s)"/>
<input type="checkbox"/>	traweta <input type="button" value="Add/Edit Account(s)"/>

- Select your preferred delivery method from the drop-down. This will apply to ALL reports enabled for delivery. *FTP* is available by request only; if you do not request FTP delivery (contact Client Services), then *Email* is the only delivery method you can choose.
- If you requested Encryption, select YES for Encryption. Encryption is available by request only and applies to both email and FTP delivery.
- Click the check box next to each report that you want delivered.
- If you maintain or manage multiple accounts, you can configure reports to be delivered to them. Click the **Add/Edit Account(s)** button, and then select desired accounts in the Account Selector and click **CONTINUE** to close the Account Selector. The selected accounts now appear next to the report enabled for delivery.

Reports	
<input checked="" type="checkbox"/>	daily U U <input type="button" value="Add/Edit Account(s)"/> <input type="text" value="Consolidate Selected"/> Zip

- Once you select multiple accounts for report delivery, you can choose how you want those reports delivered. Choose *Consolidate Selected* to consolidate the data for all accounts in a single report. Choose *Zip* to delivery separate reports for each account in a single zipped file.
- Click **CONTINUE**.

- Confirm your selections by clicking **CONTINUE** again.
- Click **Ok** to return to the Delivered Statements screen.

## Flex Queries

The Reports > Flex Queries screen gives you access to the following reporting functions:

- » [Run a Flex Query](#)
- » [Create a Custom Activity Flex Query](#)
- » [Create a Custom Trade Confirmation Flex Query](#)
- » [View, create, edit and delete Custom Flex Queries.](#)

### Who can access the Flex Queries screen?

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
- » Advisor Master and Client
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed and Non-Disclosed Client
- » Investment Manager Master User
- » Fund

and have been granted Reports access rights.

---

### About Flex Queries

Flex Queries are highly customized report templates for Activity Statements and Trade Confirmation Reports. Flex Queries let you specify exactly which fields you want to view, the time period you want the report to cover, the order in which you want the fields to appear, and the output format, TEXT or XML, in which you want to save your report data for viewing in a program such as Microsoft Excel.

You can create multiple Flex Queries with different fields for each report. A Flex Query is different from an Activity Statement or a Trade Confirmation Report in that you can customize a Flex Query at the field level,

allowing you to include and exclude detailed field information. Customized Activity Statements only let you include and exclude sections, while you cannot customize a Trade Confirmation Report.

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

## How to Run a Flex Query

Once you create a custom Flex Query, you can run it in Account Management using one of two methods:

- » [Quickly run a saved Activity or Trade Confirmation Flex Query](#) from the Run a Flex Query panel on the Flex Queries screen.
- » [Run a Custom Activity or Trade Confirmation Flex Query](#) from the Custom Flex Queries panel on the Flex Queries screen.

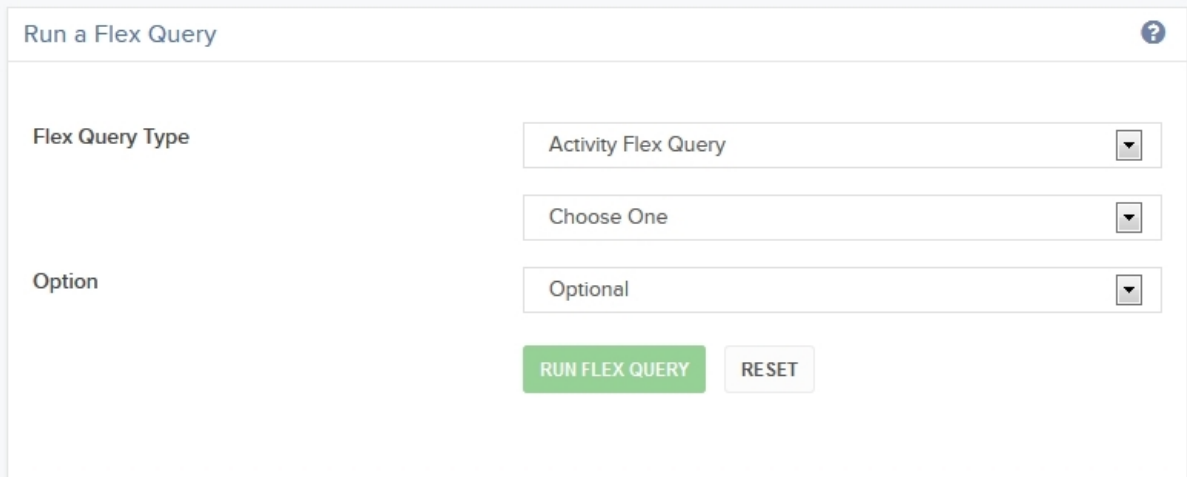
### Quickly Run a Saved Flex Query

#### To quickly run a saved Flex Query

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

The Flex Queries screen opens.

2. In the Run a Flex Query panel, select a Flex Query type. Select Activity Flex Query or Trade Confirmation Flex Query.



Run a Flex Query

Flex Query Type: Activity Flex Query

Choose One

Option: Optional

RUN FLEX QUERY RESET

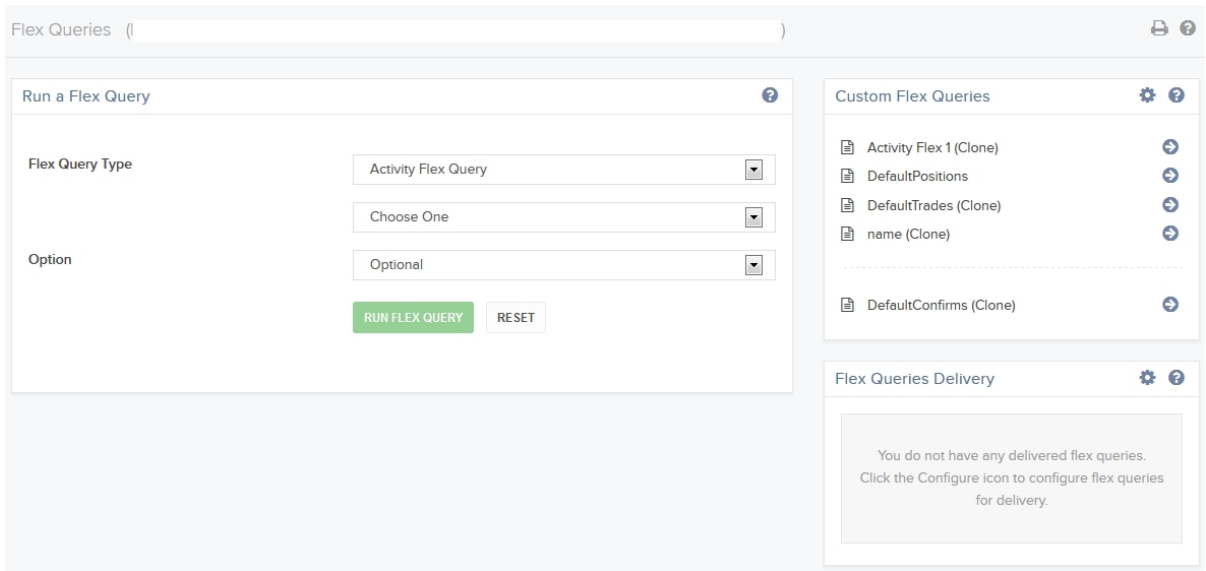
3. Select the saved Flex Query that you want to run.
4. In the Options drop-down, .select how you want the Flex Query to be configured for multiple selected accounts and/or partitions. Consolidated statements combine the data for multiple accounts into a single statement, while ZIP saves separate Flex Queries for selected accounts in a single zipped file.
5. Click **Run Flex Query**.
6. When prompted, save the Flex Query or zipped file to your computer.  
You can open your Flex Queries in a program that can read text or XML files.

### Run a Custom Flex Query

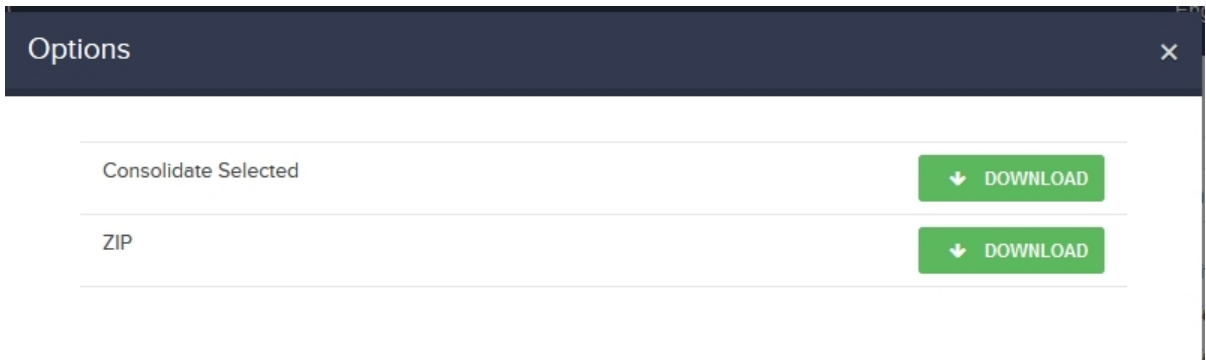
#### To run a custom Flex Query

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

The Flex Queries screen opens.



2. In the Custom Flex Queries panel, click the Run icon for the saved Flex Query that you want to run.
3. If you selected multiple accounts in the Account Selector, a popup opens to allow you to download a single consolidated Flex Query for all selected accounts or a .zipped file containing separate Flex Queries for selected accounts.



Click the **DOWNLOAD** button next to the desired option.

4. You are prompted to save the file to your computer.

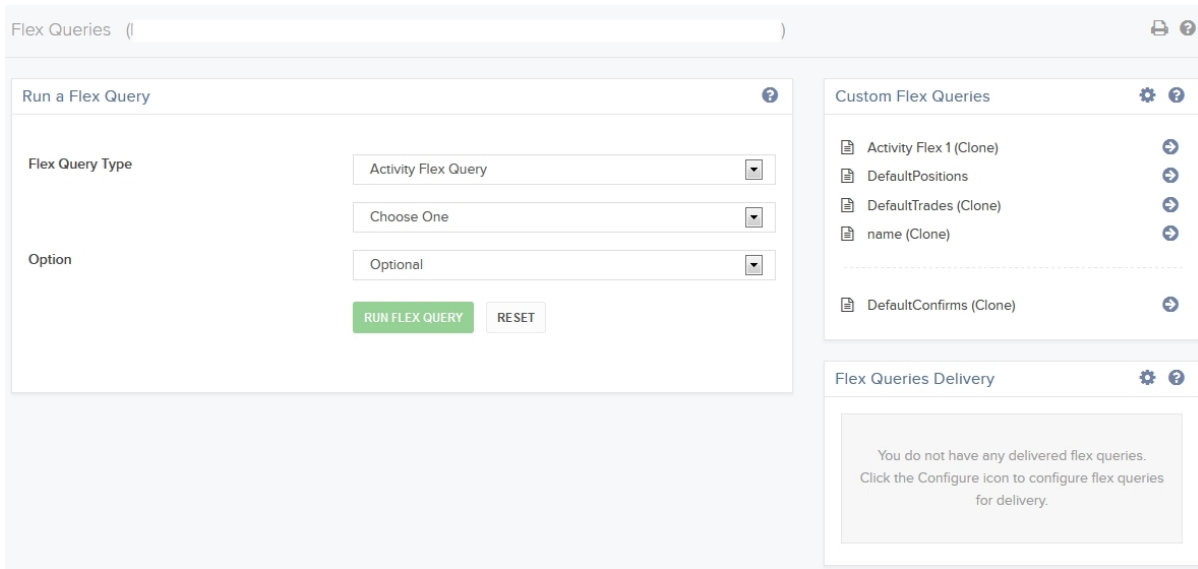
## Create an Activity Flex Query

You create Activity Flex Queries on the Custom Flex Queries screen.

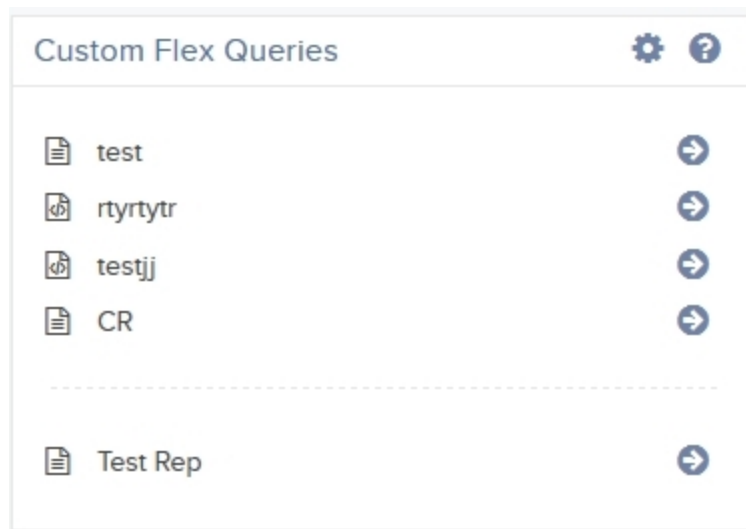
### To create an Activity Flex Query

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

The Flex Queries screen opens.



2. In the Custom Flex Queries panel, click the Configure (gear) icon.



The Custom Flex Queries screen opens.





3. Click + icon in the Activity Flex Query Templates section.
4. In Activity Flex Query Details, enter the name of the Flex Query and select the output format (XML or Text).

If you select *Text* as the format, select additional options. Also select options to include canceled trades, include currency rates and display your account alias.

### Activity Flex Query Details

<b>Query Name</b>	<input type="text" value="Required"/>
<b>Format</b>	<input type="text" value="XML"/> ▼
<b>Include Canceled Trades?</b>	<input type="checkbox"/> NO
<b>Include Currency Rates?</b>	<input type="checkbox"/> NO
<b>Display Account Alias in Place of Account ID?</b>	<input type="checkbox"/> NO

5. In Date Configuration, enter the period, date and time format and date/time separator.

## Date Configuration

Date Period	Last Business Day	▼
Date Format	yyyyMMdd	▼
Time Format	HHmmss	▼
Date/Time Separator	; (semi-colon)	▼

6. In Sections, click each section that you want to appear in your Flex Query.

## Sections (Select Multiple)

Account Information ✓	Non-Direct Hard to Borrow Markup Details
Cash Report	Open Dividend Accruals
Cash Transactions	Open Positions
CFD Charges	Option Exercises, Assignments and Expirations
Change in Dividend Accruals	Pending Exercises
Change in NAV	Prior Period Positions
Change in Position Value Summary	Realized and Unrealized Performance Summary in Base
Commission Details	Routing Commissions
Complex Positions	Securities Borrowed/Lent
Corporate Actions	Securities Borrowed/Lent Activity
FDIC-Insured Deposits by Bank	Securities Borrowed/Lent Fee Details
Financial Instrument Information	Statement of Funds
Forex Balances	Trades
Forex P/L Details	Transaction Fees
IBG Notes	Transfers (ACAT, Internal)
Incoming/Outgoing Trade Transfers	Unbooked Trades
Interest Accruals	Unsettled Transfers
Interest Details (Tiers)	
Mark-to-Market Performance Summary in Base	
Month & Year to Date Performance Summary in Base	
Net Asset Value (NAV) in Base	
Net Stock Position Summary	
Non-Direct Hard to Borrow Details	

7. As you select each section, a popup .opens with all possible fields in the selected section.
  - Click each field that you want to appear in the Flex Query.
  - Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
  - Click **Save**.

### Account Information ×

<input checked="" type="checkbox"/>	Account ID	≡
<input checked="" type="checkbox"/>	Account Alias	≡
<input checked="" type="checkbox"/>	Model	≡
<input type="checkbox"/>	Currency	≡
<input type="checkbox"/>	Name	≡
<input type="checkbox"/>	Account Type	≡
<input type="checkbox"/>	Customer Type	≡
<input type="checkbox"/>	Account Capabilities	≡
<input type="checkbox"/>	Trading Permissions	≡
<input type="checkbox"/>	Registered Rep Name	≡
<input type="checkbox"/>	Registered Rep Phone	≡
<input type="checkbox"/>	Date Opened	≡
<input type="checkbox"/>	Date Funded	≡
<input type="checkbox"/>	Date Closed	≡
<input type="checkbox"/>	Street (Mailing Address)	≡
<input type="checkbox"/>	Street2 (Mailing Address)	≡
<input type="checkbox"/>	City (Mailing Address)	≡
<input type="checkbox"/>	State (Mailing Address)	≡
<input type="checkbox"/>	Country (Mailing Address)	≡
<input type="checkbox"/>	Postal Code (Mailing Address)	≡
<input type="checkbox"/>	Street (Residential Address)	≡
<input type="checkbox"/>	Street2 (Residential Address)	≡
<input type="checkbox"/>	City (Residential Address)	≡
<input type="checkbox"/>	State (Residential Address)	≡
<input type="checkbox"/>	Country (Residential Address)	≡
<input type="checkbox"/>	Postal Code (Residential Address)	≡

7. In Account Configuration, select the accounts and applicable [trading models](#), then choose if you want multiple accounts consolidate into one statement or delivered separately as a ZIP file.

Account Configuration [Applicable for delivery and Flex Web Service]

Account(s)

U

Models

Select a Model ▼

Independent ▼

8. Click **Continue**.
9. Review your Flex Query and click **Create**.

You can now run your new Flex Query.

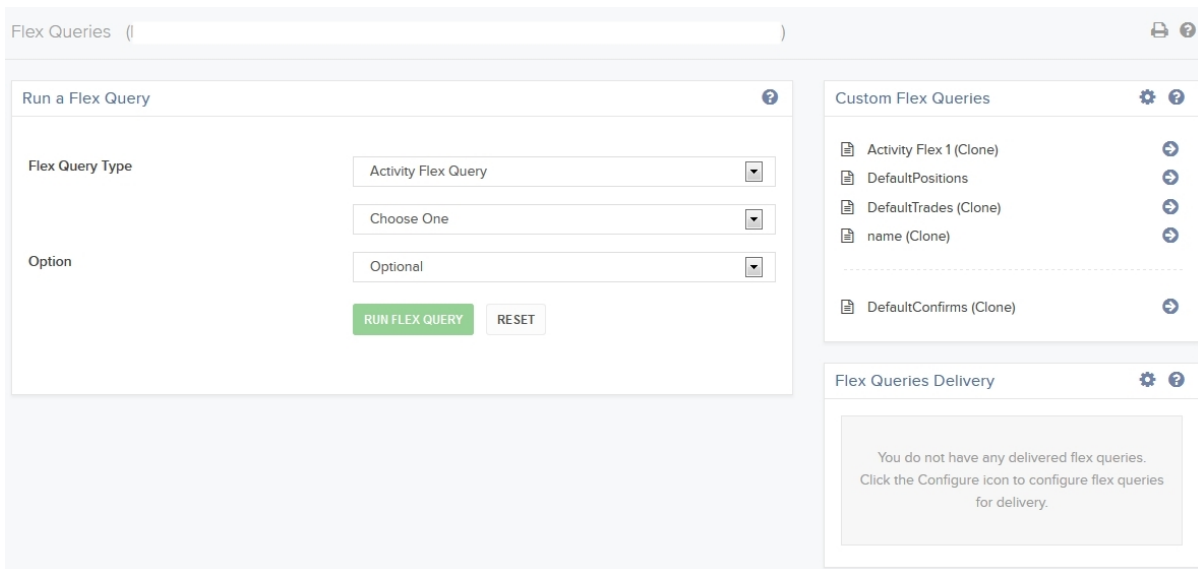
## Trade Confirmation Flex Queries

You create Trade Confirmation Flex Queries on the Custom Flex Queries screen.

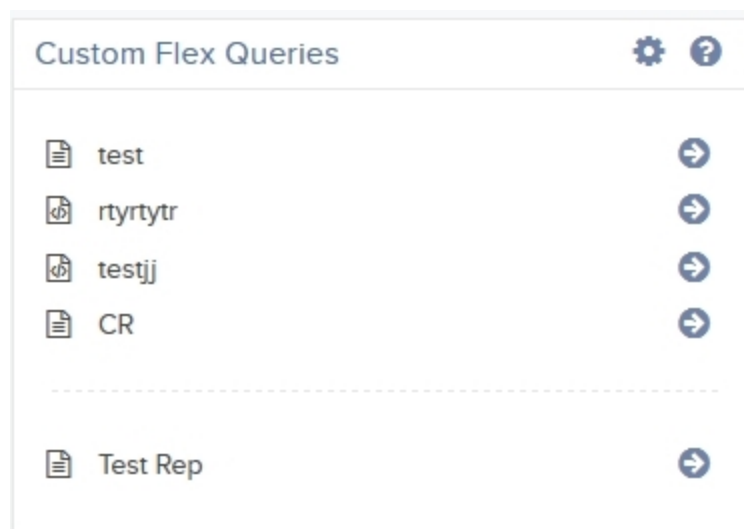
## To create a trade confirmation flex query

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

The Flex Queries screen opens.



2. In the Custom Flex Queries panel, click the Configure (gear) icon.



The Custom Flex Queries screen opens.



3. Click + icon in the Trade Confirmation Flex Query Templates section.
4. In Trade Confirmation Flex Query Details, enter the name of the Flex Query and select the output format (XML or Text).  
If you select *Text* as the format, select additional options. Also select options to include canceled trades and display your account alias.

### Trade Confirmation Flex Query Details

<b>Query Name</b>	<input type="text" value="Required"/>
<b>Format</b>	<input type="text" value="XML"/> ▼
<b>Include Canceled Trades?</b>	<input type="checkbox"/> NO
<b>Display Account Alias in Place of Account ID?</b>	<input type="checkbox"/> NO

5. In Date Configuration, enter the period, date and time format and date/time separator.

## Date Configuration

Date Period	Today	▼
Date Format	yyyyMMdd	▼
Time Format	HHmmss	▼
Date/Time Separator	; (semi-colon)	▼

6. In Sections, click each section that you want to appear in your Flex Query.

## Sections

Trade Confirmation	✓
--------------------	---

7. As you select each section, a popup .opens with all possible fields in the selected section.

- Select level of detail options at the top of the popup.
- Click each field that you want to appear in the Flex Query.
- Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
- Click **Save**.



## Trade Confirmation



## Options

Symbol Summary	Executions <input checked="" type="checkbox"/>
Orders	
<input checked="" type="checkbox"/> Account ID	<input type="checkbox"/>
<input checked="" type="checkbox"/> Account Alias	<input type="checkbox"/>
<input type="checkbox"/> Model	<input type="checkbox"/>
<input checked="" type="checkbox"/> Currency	<input type="checkbox"/>
<input checked="" type="checkbox"/> Asset Class	<input type="checkbox"/>
<input type="checkbox"/> Symbol	<input type="checkbox"/>
<input type="checkbox"/> Description	<input type="checkbox"/>
<input type="checkbox"/> Conid	<input type="checkbox"/>
<input type="checkbox"/> Security ID	<input type="checkbox"/>
<input type="checkbox"/> Security ID Type	<input type="checkbox"/>
<input type="checkbox"/> CUSIP	<input type="checkbox"/>
<input type="checkbox"/> ISIN	<input type="checkbox"/>
<input type="checkbox"/> Underlying Conid	<input type="checkbox"/>
<input type="checkbox"/> Underlying Symbol	<input type="checkbox"/>
<input type="checkbox"/> Issuer	<input type="checkbox"/>

7. Click **CONTINUE**.
8. Review your Flex Query and click **Create**.

You can now run your new Flex Query.

## View, Edit and Delete Flex Query Templates

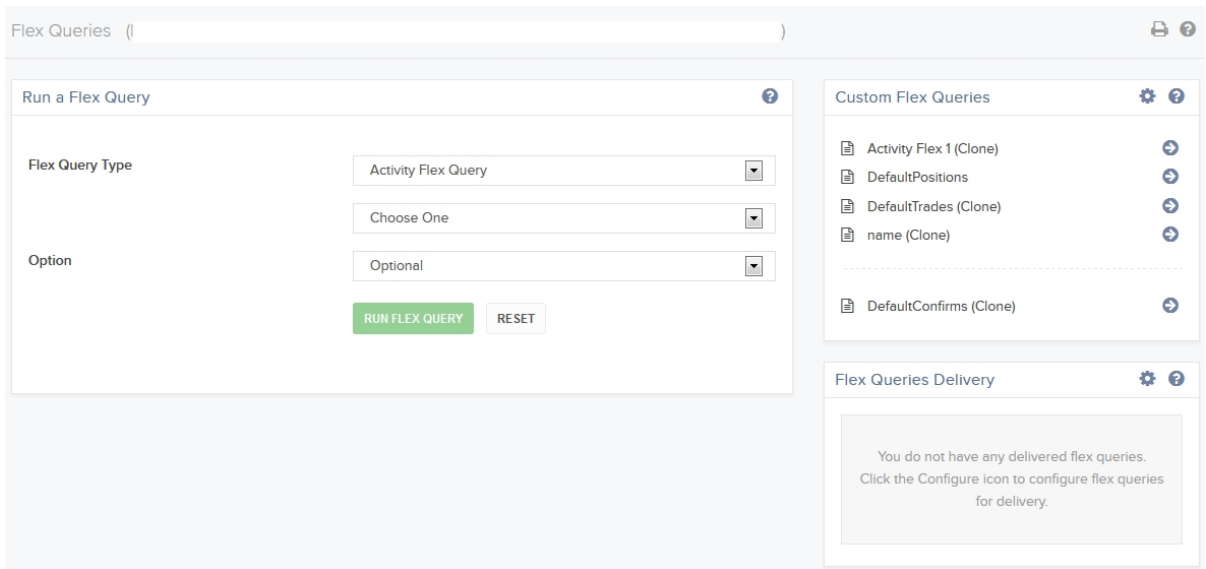
The Custom Flex Query screen displays all of your saved custom Activity and Trade Confirmation Flex Queries. Custom Flex Queries are saved as templates. On the Custom Flex Queries screen, you can:

- » View all of your saved Activity and Trade Confirmation Flex Query templates.
- » Edit an existing template.
- » Delete an existing template.
- » Create a new [Activity Flex Query](#) or [Trade Confirmation Flex Query](#) template.

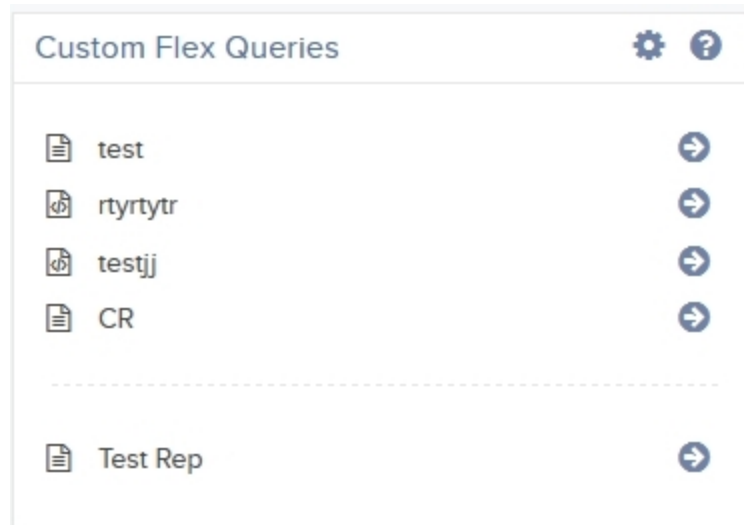
### To view, edit or delete saved Flex Query templates

1. Click **Reports > Flex Queries**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Flex Queries screen opens.



3. In the Custom Flex Queries panel, click the Configure (gear) icon.



The Custom Flex Queries screen opens. Activity Flex Query and Trade Confirmation Flex Query templates are displayed in their own separate panels.



4. Each saved custom statement template is displayed on its own expanding and collapsing row. Click an individual template to expand it and display all of the details about the statement.
5. To edit an existing template, click the Edit (pencil) icon for the template. Make changes as required.
6. To delete an existing template, click the **X** icon for the template. Once you delete a template, you can no longer run that statement.

## Delivered Flex Queries

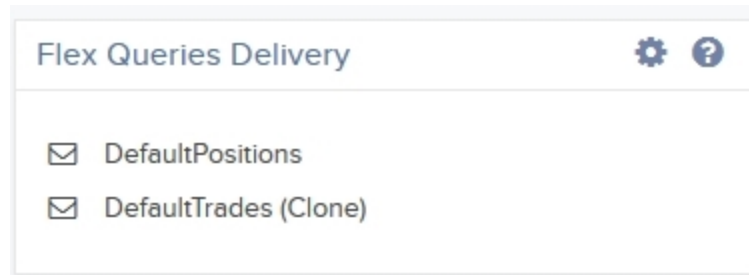
You can set your preferred delivery method for your saved Activity Flex Queries and Trade Confirmation Flex Queries.

### To configure delivery settings for saved Flex Queries

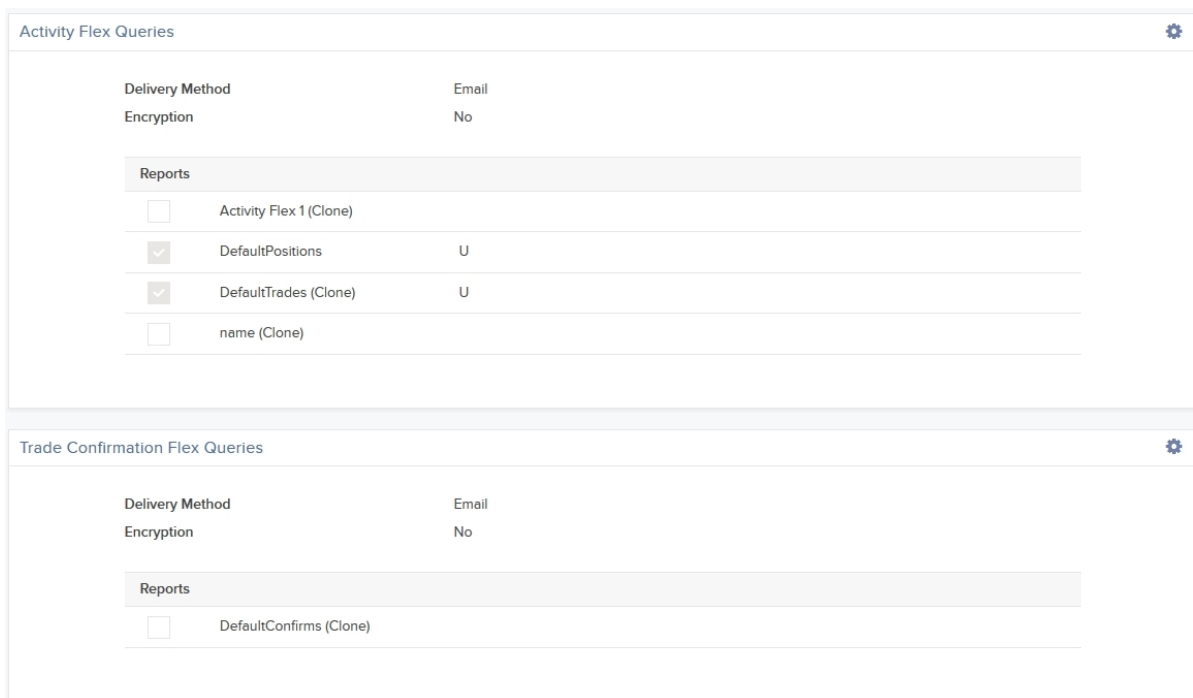
1. Click **Reports > Flex Queries**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Delivered Flex Queries panel, click the Configure (gear) icon.



The Flex Queries Delivery screen shows your delivery settings for all of your saved Activity Flex Queries and Trade Confirmation Flex Queries in separate panels.



4. You enable and configure delivery for your saved Activity Flex Queries and Trade Confirmation Flex Queries separately (the procedure is the same for both):
  - On the Flex Queries Delivery screen, click the Configure (gear) icon in the appropriate panel. The Configure Delivery Method screen opens.

Configure Delivery Method

FTP Delivery is available by request only. Encryption is available for both Email and FTP delivery methods by request only. Contact your Sales Representative or Client Services to enable these options.

Delivery Method

Encryption  YES  NO

Reports		
<input type="checkbox"/>	Activity Flex 1 (Clone)	U
<input checked="" type="checkbox"/>	DefaultPositions	U
<input checked="" type="checkbox"/>	DefaultTrades (Clone)	U
<input type="checkbox"/>	name (Clone)	U

**CONTINUE**

- Select your preferred delivery method from the drop-down. This will apply to ALL reports enabled for delivery. *FTP* is available by request only; if you do not request *FTP* delivery (contact Client Services), then *Email* is the only delivery method you can choose.
- If you requested Encryption, select YES for Encryption. Encryption is available by request only and applies to both email and *FTP* delivery.
- Click the check box next to each Flex Query that you want delivered.
- Click **CONTINUE**.
- Confirm your selections by clicking **CONTINUE** again.
- Click **Ok** to return to the Flex Queries Delivery screen.

## Other Reports

The Reports > Other Reports screen gives you access to the following reports:

- » [Transaction Cost Analysis](#) - A dynamic and interactive analysis of your trades marked to various benchmarks grouped in different categories or on a per-order basis.

### Risk Reports

- » [Margin Reports](#) - View your margin requirements for all open single and combination positions.
- » [Stress Test Reports](#) - View the change in the Profit and Loss (PNL) of your positions if the underlying price of each of your positions declines and increases by predetermined percentages.

- » [Value At Risk Reports](#) - View 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).

## 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 (gear) icon.

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 screen?

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

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### To run a Transaction Cost Analysis

1. Click **Reports > Other Reports**.
2. Select *Transaction Cost Analysis* from the Report Type drop-down.

Report Type	Transaction Cost Analysis 
From Date	August 09, 2017 
To Date	August 14, 2017 

3. Select a start date and an end date from the From Date and To Date drop-down lists, then click **RUN REPORT** 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.

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

Summary Analysis 											
By Instrument Type and Marketability											
	Orders	Trades	Qty	vs Trade +10 min	vs Close	vs Trade +1 min	Total Premium	Price Improvement	Arrival Price	vs VWAP	vs Daily VWAP
+STK(Marketable)	2,422	6,572	1,116,255	(6.9)	(103.1)	(3.7)	5,359,721	25.0	(3.7)	0.9	(31.8)
+STK(NonMarketable)	4,417	7,669	1,125,450	(14.6)	(146.3)	(0.5)	9,911,835	-	(22.5)	11.5	(56.2)

4. 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 Order Type
  - By Adaptive Order Priority/Urgency
  - By AlgoType
  - By Exchange

- By Order Size
- By Trade Size
- By Trade Price
- By Order Live Time in Seconds
- By Underlying

Summary Analysis																
By Instrument Type and Marketability																
	Orders	Trades	Qty	vs Trade -10 min	vs Close	vs Trade -1 min	Total Premium	Price Improvement	Arrival Price	vs VWAP	vs Daily VWAP					
STK(Marketable)	2,422	6,572	1,116,255	(6.9)	(103.1)	(3.7)	5,359,721	25.0	(3.7)	0.9	(31.8)					
Details for: Marketable STK Trades																
By Trade Date																
	Orders	Trades	Qty	vs Trade -10 min	Premium Total%	Order Total%	vs Close	vs Trade -1 min	Qty Total%	Total Premium	Price Improvement	Arrival Price	Trades Total%	vs VWAP	vs Daily VWAP	
-20170821	296	923	209,086	2.4	19.3	12.2	(1.3)	(0.6)	18.7	1,035,242	17.1	(18.5)	14.0	(4.1)	(6.8)	
-20170822	640	1,855	287,677	(21.2)	30.7	26.4	(243.3)	(3.6)	25.8	1,646,210	42.4	20.9	28.2	8.3	(112.5)	
-20170823	319	830	136,516	(1.0)	14.5	13.2	(49.9)	(1.4)	12.2	774,863	11.6	(14.9)	12.6	(2.7)	(11.7)	
-20170824	501	1,313	170,382	7.8	18.1	20.7	(54.7)	0.3	15.3	969,604	13.2	(17.1)	20.0	(2.2)	1.0	
-20170825	309	820	139,960	(11.1)	11.4	12.8	(55.9)	(14.4)	12.5	611,675	29.8	(3.8)	12.5	4.2	43.6	
-20170828	357	831	172,634	(14.6)	6.0	14.7	(77.8)	(12.1)	15.5	322,126	20.5	(13.9)	12.6	(8.4)	9.4	
<b>Total</b>	<b>2,422</b>	<b>6,572</b>	<b>1,116,255</b>	<b>(6.9)</b>	<b>100.0</b>	<b>100.0</b>	<b>(103.1)</b>	<b>(3.7)</b>	<b>100.0</b>	<b>5,359,721</b>	<b>25.0</b>	<b>(3.7)</b>	<b>100.0</b>	<b>0.9</b>	<b>(31.8)</b>	
By Trade Side																
	Orders	Trades	Qty	vs Trade -10 min	Premium Total%	Order Total%	vs Close	vs Trade -1 min	Qty Total%	Total Premium	Price Improvement	Arrival Price	Trades Total%	vs VWAP	vs Daily VWAP	
-Buy	518	1,347	204,642	12.3	19.5	21.4	65.8	(0.8)	18.3	1,042,565	14.2	(33.9)	20.5	(7.1)	3.5	
-Sell	1,904	5,225	911,613	(11.6)	80.5	78.6	(143.9)	(4.4)	81.7	4,317,156	27.6	3.6	79.5	2.9	(40.4)	
<b>Total</b>	<b>2,422</b>	<b>6,572</b>	<b>1,116,255</b>	<b>(6.9)</b>	<b>100.0</b>	<b>100.0</b>	<b>(103.1)</b>	<b>(3.7)</b>	<b>100.0</b>	<b>5,359,721</b>	<b>25.0</b>	<b>(3.7)</b>	<b>100.0</b>	<b>0.9</b>	<b>(31.8)</b>	
By Order Type																
	Orders	Trades	Qty	vs Trade	Premium	Order	vs	vs Trade -1	Qty	Total	Price	Arrival	Trades	vs	vs Daily	

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:



Active Filters: ✕ Remove All ✕ STK(Marketable) ✕ 20170821 ✕ BATS ✕ Sell

You remove the *Sell* 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):

Active Filters: ✕ Remove All ✕ STK(Marketable) ✕ 20170821 ✕ BATS

- 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.
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.

Order Details ⚙

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Order Details

	Submit Date	Submit Time	Live Time	Type	Side	Order Qty	Trades	Trade Qty	Arrival Price	vs VWAP	Time Zone	vs Trade -1 min	vs Trade +10 min	vs Daily VWAP	Average Price	Price Improvement	Feasible Fill Rate	vs Daily Range	vs Close	Filled/Total Qty
ARQL	22-Aug-2017	14:15:58	0.0	Limit	Buy	200	2	200	(25.3)	0.1	US/Eastern	5.1	252.5	125.5	0.9900	0.0	100.0	66.0	101.0	100.0
ARQL	22-Aug-2017	14:15:59	0.0	Limit	Buy	200	1	200	(55.2)	0.0	US/Eastern	(55.2)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
ARQL	22-Aug-2017	14:15:59	201.4	Limit	Buy	10,000	15	6,000	(55.6)	(2.3)	US/Eastern	(54.3)	196.7	64.1	0.9948	(0.4)	100.0	56.1	39.8	60.0
ARQL	22-Aug-2017	14:16:17	0.0	Limit	Buy	4,400	2	4,400	(54.7)	0.0	US/Eastern	(55.2)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
ARQL	22-Aug-2017	14:16:44	0.0	Limit	Buy	5,000	1	5,000	(55.2)	0.0	US/Eastern	(55.2)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
ARQL	22-Aug-2017	14:17:18	0.0	Limit	Buy	4,000	1	4,000	(55.2)	0.0	US/Eastern	(71.8)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
BPMC	21-Aug-2017	15:30:15	0.0	Limit	Buy	200	1	200	(10.7)	0.0	US/Eastern	(3.6)	(37.9)	33.7	42.1900	2.4	100.0	69.0	(54.5)	100.0
BPMC	21-Aug-2017	15:30:22	0.0	Limit	Sell	108	2	108	(10.8)	0.0	US/Eastern	(7.3)	(40.5)	31.2	42.1793	2.2	100.0	67.9	(57.1)	100.0
BPMC	22-Aug-2017	09:30:50	0.0	Limit	Sell	200	2	200	0.0	0.1	US/Eastern	(23.3)	(91.0)	(772.1)	42.8500	7.0	50.0	5.0	(1148.2)	100.0
BPMC	22-Aug-2017	09:30:51	0.0	Limit	Sell	200	1	200	0.0	0.1	US/Eastern	(23.3)	(91.0)	(772.1)	42.8500	7.0	50.0	5.0	(1148.2)	100.0
BPMC	22-Aug-2017	09:30:58	0.0	Limit	Sell	200	2	200	(3.0)	(3.0)	US/Eastern	(26.4)	(105.7)	(775.3)	42.8371	4.0	50.0	4.5	(1151.5)	100.0
BPMC	22-Aug-2017	09:48:01	0.0	Limit	Sell	200	2	200	(4.6)	(1.1)	US/Eastern	(50.8)	(286.3)	(658.9)	43.3050	1.2	100.0	13.0	(1,031.1)	100.0
BPMC	22-Aug-2017	09:51:26	0.0	Limit	Sell	200	2	200	(10.1)	(6.1)	US/Eastern	(30.6)	(60.1)	(485.6)	44.0204	0.1	100.0	26.0	(851.8)	100.0
BPMC	22-Aug-2017	09:51:31	0.1	Limit	Sell	200	2	200	(1.1)	(4.3)	US/Eastern	(36.4)	(65.9)	(491.7)	43.9950	3.4	100.0	25.0	(858.1)	100.0
BPMC	22-Aug-2017	09:51:32	0.0	Limit	Sell	200	1	200	(37.5)	0.0	US/Eastern	(30.7)	(60.2)	(485.7)	44.0200	6.8	100.0	26.0	(851.9)	100.0
BPMC	22-Aug-2017	10:40:27	0.0	Limit	Sell	200	2	200	(8.8)	0.0	US/Eastern	0.1	42.3	(255.0)	45.0104	0.1	50.0	43.0	(613.1)	100.0
BPMC	22-Aug-2017	10:41:52	0.0	Limit	Sell	200	1	200	(15.3)	0.0	US/Eastern	(29.0)	(42.3)	(284.8)	44.8800	4.5	100.0	41.0	(643.9)	100.0

7. 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 (gear) icon link located above and to the right of each configurable table.

Configure Columns: Summary Analysis	
<input type="checkbox"/> Category	
<input type="checkbox"/> Orders	
<input type="checkbox"/> Trades	
<input type="checkbox"/> Qty	
<input checked="" type="checkbox"/> vs Trade +10 min	☰
<input checked="" type="checkbox"/> Premium Total%	☰
<input checked="" type="checkbox"/> Order Total%	☰
<input checked="" type="checkbox"/> vs Close	☰
<input checked="" type="checkbox"/> vs Trade +1 min	☰
<input checked="" type="checkbox"/> Qty Total%	☰
<input checked="" type="checkbox"/> Total Premium	☰
<input checked="" type="checkbox"/> Price Improvement	☰
<input checked="" type="checkbox"/> Arrival Price	☰
<input checked="" type="checkbox"/> Trades Total%	☰
<input checked="" type="checkbox"/> Price Improvement (NM)	☰
<input checked="" type="checkbox"/> Qty Eligible for PI	☰
<input checked="" type="checkbox"/> vs VWAP	☰
<input checked="" type="checkbox"/> vs Daily VWAP	☰
<input type="checkbox"/> vs Daily Range	☰
<input type="checkbox"/> Filled/Total Qty	☰

- All available columns are shown and currently visible columns have a check mark next to them.
- To add a column to the table, click the box next to it.
- To remove a column from the table, click the box next to it to remove the check mark.
- Change the order in which the columns will appear by clicking and dragging a column by the three-bar icon to a new position.
- Click **SAVE** at the bottom of the dialog to update the table with the modified columns. You may have to scroll down to see the SAVE button.

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 icon in the upper right corner of the screen.

### **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 to the filter. Detailed tables show data for the following:

- » By Trade Date
- » By Trade Side
- » By Order Type
- » By Adaptive Order Priority/Urgency
- » By AlgoType
- » By Exchange
- » By Order Size

- » By Trade Size
- » By Trade Price
- » By Order Live Time in Seconds
- » By Underlying

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.
<b>Performance Benchmarks</b>	
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: $(\text{Execution Price} - \text{Daily Low}) / (\text{Daily High} - \text{Daily Low})$

<b>Fill Rates</b>	
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.
<b>Commissions</b>	
Commission	Sum of commissions for all included orders.
Commission/Share	Average commission per share/contract.
<b>Order Details</b>	
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.



## Margin Report

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 report?

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

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### To generate a Margin report

1. Click **Reports > Other Reports**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.

The Other Reports screen opens.

Report Type

3. Select *Margin* from the Report Type drop-down. Margin report settings appear.

Report Type

Sub Type

Date

Format

Language

- In the Sub Type field, select *Default* or *Commodities Regulatory Margin Report*. 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 Date field, select the date for the report.
  - In the Format field, select HTML/WEB, PDF or CSV (for a comma-separated values file).
  - In the Language field, select your language.
4. Click **Run Report** to generate the report. Click **Reset** to return to the Other Reports screen.  
If you selected PDF or CVS as the Format, you will be prompted to save the file to your computer

#### For more information

» [Margin Report Reference](#)

## 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%.

For more information on the Stress Test Report, see [Using the Stress Test Report](#).

### Who can access the Stress Test report?

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

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### To generate a Stress Test report

1. Click **Reports > Other Reports**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.

The Other Reports screen opens.

Report Type

Choose One



Run Report

Reset

3. Select *Stress Test* from the Report Type drop-down. Stress Test report settings appear.

Report Type	Stress Test
Date	May 24, 2017
	<input type="button" value="Run Report"/> <input type="button" value="Reset"/>

4. In the Date field, select the date for the report.
5. Click **Run Report**. Click **Reset** to return to the Other Reports screen.

### 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.

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.

### 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.

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?

- » Individual, Joint, Trust or IRA Account User
  - » Small Business Account User
  - » Friends and Family Group Master or Client
-

- » Advisor Master User
- » Advisor Client
- » Proprietary Trading Group Master
- » Proprietary Trading Group Sub Account User
- » Broker Master (master account only)
- » Broker Fully Disclosed Client
- » Investment Manager Master
- » Fund
- » Administrator who is subscribed (linked) to a client account.

### To generate a Value at Risk Summary report

1. Click **Reports > Other Reports**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.

The Other Reports screen opens.

Report Type	Choose One <span style="float: right;">▼</span>
	<input type="button" value="Run Report"/> <input type="button" value="Reset"/>

3. Select *Value at Risk* from the Report Type drop-down. Value at Risk report settings appear.

Report Type	Value at Risk <span style="float: right;">▼</span>
Date	Current <span style="float: right;">▼</span>
Format	HTML/WEB <span style="float: right;">▼</span>
Language	English <span style="float: right;">▼</span>
	<input type="button" value="Run Report"/> <input type="button" value="Reset"/>

4. Select a date, report format and language.
5. Click **Run Report**. Click **Reset** to return to the Other Reports screen.

### For more information

- » [Value At Risk Report Reference](#)

## Tax Reporting and Tools

The Reports > Tax Reports screen gives you access to the following tax-related reporting functions:

- » [Tax Forms](#) - View and download annual tax forms for the last five years.
- » [Tax Optimizer](#) - Change tax-lot-matching methods and see the impact of those changes on your profit and loss.

Cost Basis:

- » [Position Transfer Basis](#) - Specify cost basis for positions transferred into your account using ACATS, ATON or FOP position transfer methods.
- » [Forex Cost Basis](#) - Update cost basis for your Forex balances as of December 31, 2009.

## Tax Forms

You can view and print annual tax forms for the last five years on the Tax screen. 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.

### Notes for Some Canadian Accounts

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, open the Account Selector and select the other account.

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 Tax Forms?

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

### To view and print tax forms

1. Click **Reports > Tax**. The Tax Reporting screen opens.
2. 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.
3. Select the tax year for which you want to view tax forms. A list of available forms appears.
4. Each form is available in different output formats (HTML, Excel or PDF). Select the appropriate format for the tax form you want to view and print.
5. If prompted, save the form to your computer.

### For more information

- » [Tax Reporting](#)

### 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?

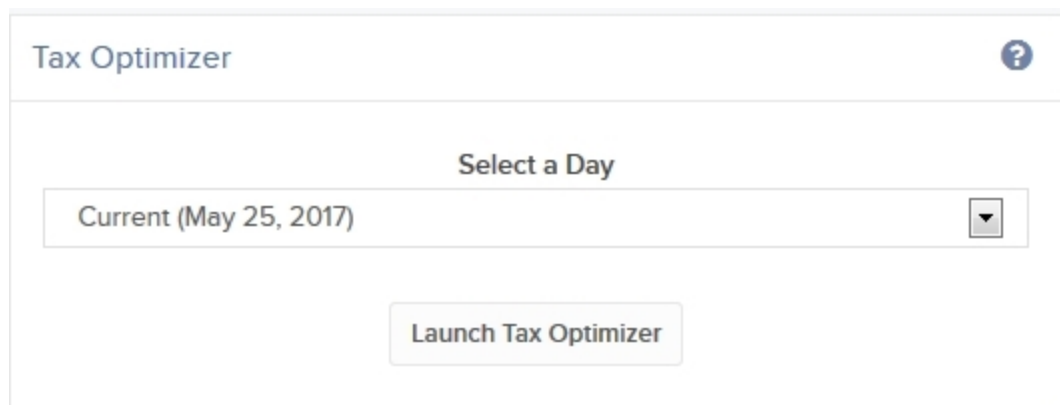
All users can access the Tax Optimizer except Canadian customers, whose accounts are automatically assigned to our IB Canada (IB-CA) entity.

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### To run the Tax Optimizer


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**. The Tax Reports screen opens.
2. In the Tax Optimizer panel, select either the current or prior trading day from the Trading Day dropdown.



3. Click **Launch Tax Optimizer**.
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.

-  **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](#).

## Cost Basis

Cost basis is the original value of an asset and is generally used to determine the capital gain from a sale of securities. The Cost Basis panel lets you access these cost basis functions:

- » [Position Transfer Cost Basis](#): Specify cost basis for positions transferred into your account using ACATS, ATON or FOP position transfer methods.
- » [Forex Cost Basis](#): Update cost basis for your Forex balances as of December 31, 2009.

### 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.

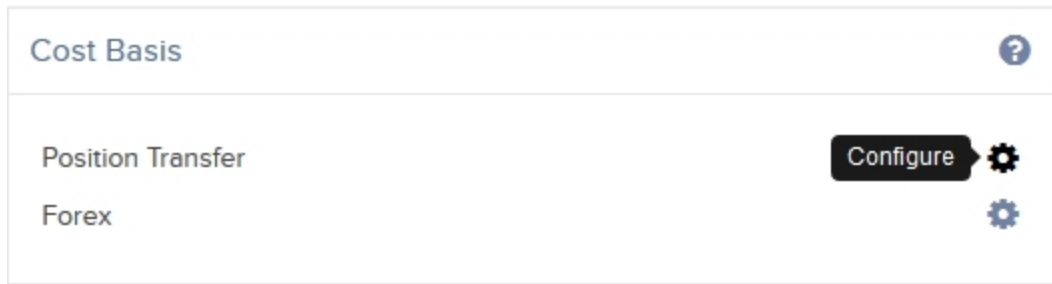
### Who can access the Position Transfer Basis screen?

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

## » Fund

**To specify the position transfer basis for an ACATS, ATON or FOP transfer**

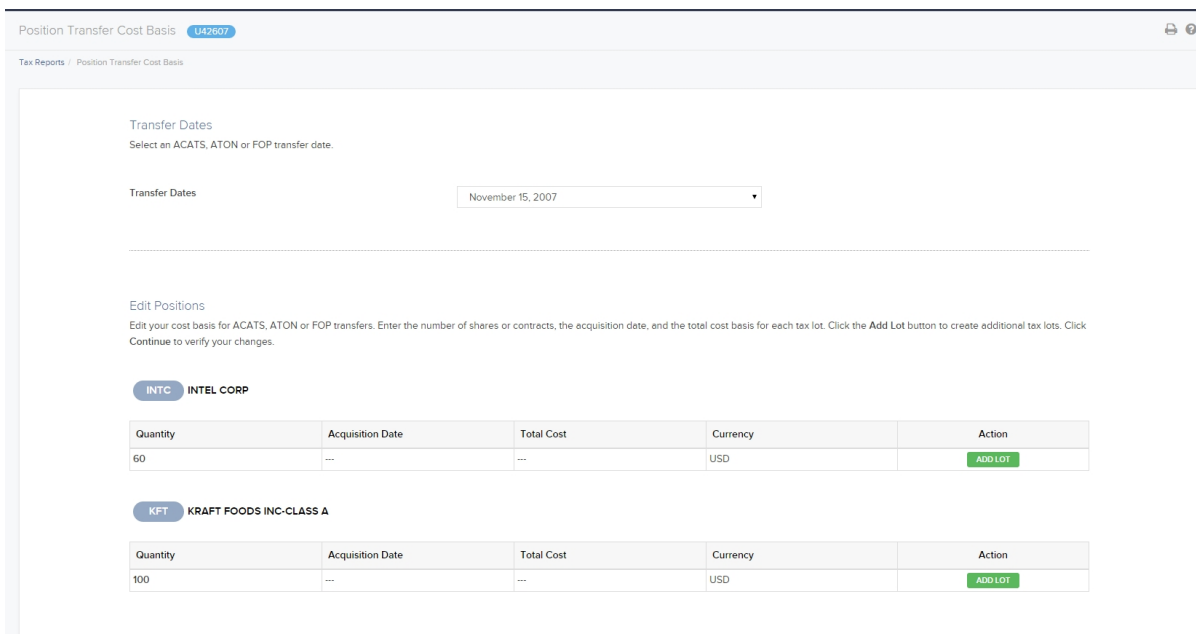
1. Click **Reports > Tax**. The Tax Reports screen opens.
2. In the Cost Basis Panel, click the Configure (gear) icon for Position Transfer.



The Position Transfer Cost Basis screen opens.

If there are no eligible transactions, there is nothing for you to do and you can exit this screen using the menu or breadcrumbs.

3. If there are eligible transactions, select a transfer date.



4. In the Edit Positions section, update the cost basis for ACATS, ATON or FOP transfers as described below:

- Enter the number of shares or contracts for the position in the Quantity field.
  - Enter the date of purchase for the position in the Acquisition Date field.
  - Enter the total cost basis for the entire position in the Total Cost field.
  - Select a currency for the position. 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 add a new tax lot by clicking **Add Lot** in the Action column.
  - Optionally delete a tax lot by clicking **Delete** in the Action column.
5. Click **CONTINUE** to submit your cost basis update.

### **Forex Cost Basis**

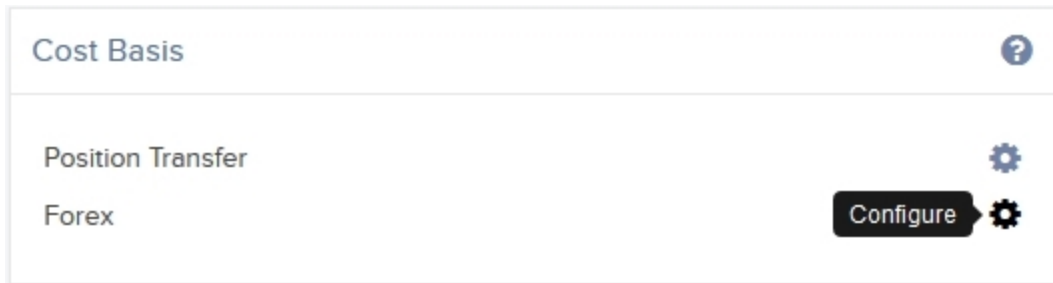
This page lets you update the cost basis for your Forex balances as of December 31, 2009.

### **Who Can Access the Forex Cost Basis screen?**

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

### **To update your Forex cost basis**

1. Click **Reports > Tax**. The Tax Reports screen opens.
2. In the Cost Basis Panel, click the Configure (gear) icon for Forex.



The Forex Cost Basis screen opens.

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 screen. Exit the screen using the menu or breadcrumbs.

If you do have eligible Forex balances, screen shows the currency and quantity of your Forex balances as of December 31, 2009. They appear in a table with each row representing a different currency.

#### NEED IMAGE SHOWING TRANSACTIONS

3. Enter the cost basis for each Forex balance in the Cost Basis field. 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 **CONTINUE**.

## Transfer & Pay

This chapter describes how to use the funding functions in the Account Management system. Transfer & Pay 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 apply for and manage IB Debit Mastercards.

Topics included:

- » [Viewing Transaction History](#)
- » [Transfer Funds](#)
- » [Transfer Positions](#)

- » [Saved Information](#)
- » [Debit Mastercard](#)

## 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:](#)
  - Summary information includes the date, amount, positions and status of each transaction.
  - Adjust the time period for which you want to view transactions from the past 10 days to the past 90 days using a slider.
  - Sort the list of transactions by clicking any column heading.
  - Search for any transaction by Account ID, transaction type, transaction method or status.
  - Filter the list of transactions by transaction type, method and/or status.
  - Print the transaction history.
  - Export the transaction history to Microsoft Excel.
  - Configure the Transaction History screen to display additional information.
- » [View additional details about each transaction in a popup window:](#)
  - Cancel a transaction from the details popup window.
  - Print transaction details.
  - Modify a pending deposit notification.
  - Elect to [stop payment](#) on a check withdrawal.
- » [View Debit Mastercard transaction history.](#)

### Who can access the Transaction History screen?

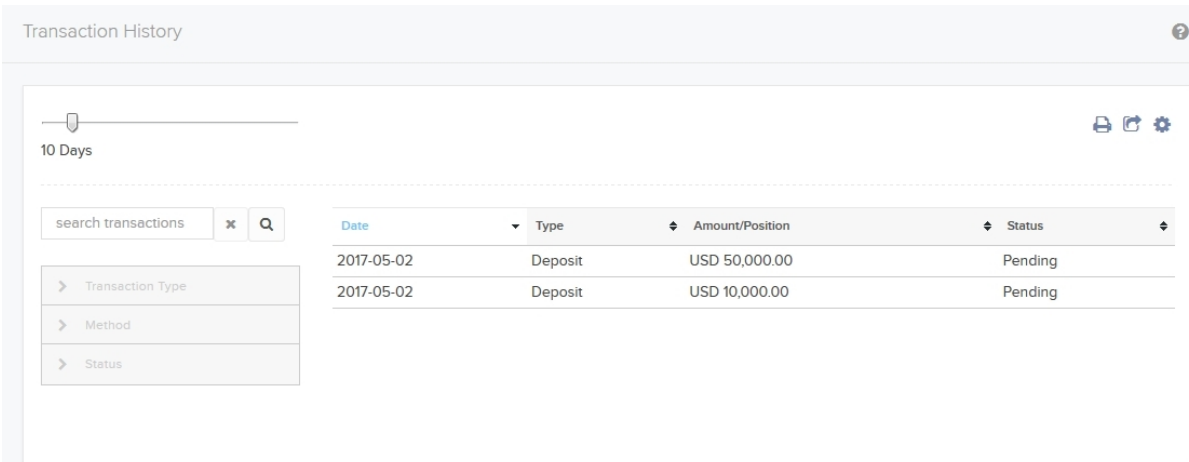
You can access this page if you are a(n):

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client

- » Advisor Master User
- » Advisor Client
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed Client
- » Investment Manager Master User
- » Fund

## To view your transaction history

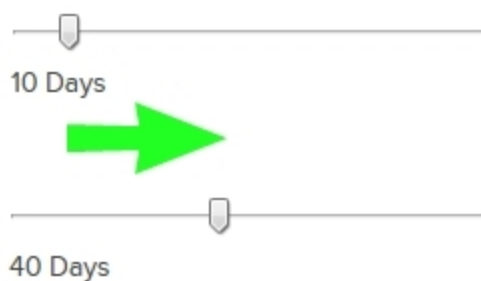
1. Click **Transfer & Pay > Transaction History**.



The screenshot shows the 'Transaction History' interface. At the top, there is a title bar with a help icon. Below it is a time slider set to '10 Days' with a help icon. A search bar labeled 'search transactions' is on the left. The main area contains a table with the following data:

Date	Type	Amount/Position	Status
2017-05-02	Deposit	USD 50,000.00	Pending
2017-05-02	Deposit	USD 10,000.00	Pending

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 slider right or left to change the time. The page updates to display all of your funding transactions for the selected period.



- 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.

- Search for a specific transaction by Account ID, Account Title, Transaction Type (deposit, withdrawal, etc.), Transaction Method (check, wire, etc.), or Status by typing the search criteria in the Search field, and then clicking the **Search** (magnifying glass) icon. Search words are *not* case-sensitive.

For example, if you just want to view Bill Pay transactions, type "Bill pay" in the Search field and then click the **Search** icon.

Date	Type	Method	Amount/Position	Status
2017-05-02	Deposit	Bill Pay	AUD 1,000.00	Pending

- Filter the transaction history by Transaction Type, Method or Status.
  - Click the filter button on the left. For example, click **Method**.
  - Click the filter criteria as required. A check mark appears next to your selected criteria. For example, to filter the transaction history by Wire transactions, click **Wire** under the Method filter.

Date	Type	Method	Amount/Position	Status
2017-05-02	Deposit	Bill Pay	AUD 1,000.00	Pending
2017-05-02	Deposit	Wire	USD 50,000.00	Pending
2017-05-02	Deposit	Wire	USD 10,000.00	Pending
2017-04-04	Deposit	Wire	USD 10,000.00	Pending
2017-03-09	Deposit	Check	USD 4,000.00	Pending

- Click **Apply**.



The screen updates to display only those transactions for the selected period that match your search criteria.

✕ 🔍

> Transaction Type

▼ Method

Bill Pay

Check

Wire ✓

Apply

> Status

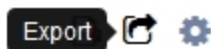
Date	Type	Method	Amount/Position	Status
2017-05-02	Deposit	Wire	USD 50,000.00	Pending
2017-05-02	Deposit	Wire	USD 10,000.00	Pending
2017-04-04	Deposit	Wire	USD 10,000.00	Pending

To undo your filter, click the filter criteria again to remove the check mark, and then click **Apply**.

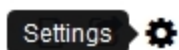
- To print the transaction history as currently displayed, click the **Print** icon located in the upper right corner of the screen.



- To export your transaction history to an XLS file (Microsoft Excel-compatible), click the **Export** icon located in the upper right corner 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.



- Click the **Configure** (gear) icon to configure the transaction history to display additional information, including Account ID, Account Title and Method.



- Select the additional fields you want to display.
- Click **Apply**.

Display Additional Info

Account ID

Account Title

Method ✓

Apply

The screen updates to display the additional column(s) of information.

### To view transaction details

1. Click anywhere on a transaction row. Details for the transaction appear in a popup window.

Deposit - Wire

Your notification of a **Wire** deposit of **USD 50,000.00** has been received and IB is awaiting receipt of your funds.

Reference Number 38538851

Status Pending

Request Date 2017-05-02

Account ID

Account Title

Transaction Information

Amount USD 50,000.00

Sending Institution

Bank Name Chase

**INSTRUCTIONS**

Provide the following information to your bank to initiate the wire transfer.

Receiving Bank

Bank Name Citibank N.A.

Bank Address New York, United States

ABA Routing Number

SWIFT/BIC Code

Bank Account Title

Bank Account Number

For further benefit to

Print Cancel

2. From the transaction detail popup window, you can perform any of the following operations:
  - Cancel any transaction that has a status of *Pending* by clicking **Cancel**. Click **Yes** to confirm the cancellation.
  - 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.
  - Print the transaction details by clicking **Print**.
  - [Stop payment](#) on a check withdrawal.

Close the popup window by clicking the **X** icon in the upper corner.



**Note:**

**DO NOT CLICK THE CANCEL BUTTON UNLESS YOU WANT TO CANCEL THE TRANSACTION.**

## Canceling a Transaction

You can cancel the transactions with a status of *Pending* on the Transaction History screen.

### To cancel a transaction

1. Click **Transfer & Pay > Transaction History**.
2. Click anywhere on the row for the transaction you want to cancel. Details for the transaction appear in a popup window.
3. Click **Cancel**.
4. Click **Yes** to confirm the cancellation.

The status of the transaction changes to *Cancelled*.

## Stop Payment Requests

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 screen, 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

1. Click **Transfer & Pay > Transaction History**.
2. Click a Check withdrawal transaction that meets the criteria listed above.
3. Click **Stop Payment**.
4. A confirmation message appears. Click OK to continue with your stop payment request.
5. Select a reason for the stop payment, then click CONTINUE. Available reasons include:
  - » Non-receipt
  - » Incorrect address
  - » Lost/stolen/damage
  - » I did not request
6. 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.
7. Enter the confirmation number from the email, then click **Continue** to complete the stop payment request process and return to the View Transaction History page.

## Transferring Funds

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.
- » [Deposit funds](#)
- » [Withdraw 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 screen?

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
  - » Advisor Master User
  - » Advisor Client
  - » Proprietary Trading Group Master User
  - » Broker Master User (master account only)
  - » Broker Fully Disclosed or Non-Disclosed Client
  - » 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 **Transfer & Pay > Fund Transfers**.
2. If you have multiple accounts, account partitions or you manage one or more client or sub accounts, the Account Selector automatically opens. Select the account or partition whose fund status you want to view, or search for accounts or partitions by Account ID, Account Title or Account Alias, then select the desired account. For more information, see [Using the Account Selector](#).

Funds status for the selected account appears at the top of the page.

### Funds Status

The Fund Transfers page displays the following fund status information:

Field	Description	Notes
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.
Cash Available for Withdrawal (without margin loan)	The total amount of cash in your account that may be withdrawn, without a margin loan. Shown in your account's base currency.	The Cash Available for Withdrawal (without margin loan) is the maximum amount that you can withdraw without incurring a debit interest charge.
Recent Activity	Shows any information for pending deposits.	For example, you might see a message about a deposit notification being received and await-

Field	Description	Notes
		ing the receipt of funds.

## Depositing Funds

The Fund Transfers page lets you:

- » [Notify us of a deposit of funds into your account.](#)
- » [Deposit funds into your account](#)

## Deposit Notifications

A deposit notification does not actually move funds; you must make arrangements with your bank or broker to deposit the funds.

Our Secure Login System provides two-factor authentication through the use of a physical security device or our IB Key security app on your mobile phone. Accounts that are not enrolled in our Secure Login System can create deposit notifications only. Deposits that move money into your account are available only to accounts that are enrolled in the Secure Login System.

We support the following types of deposit notifications:

- » Wire/ACH Notification
- » Check Notification
- » Bill Pay Notification (online bill payment check)
- » BPAY Notification - Online bill payment for Australian dollars only
- » Wire Notification (CNH) - Chinese Renminbi only
- » Wire/SEPA Notification - Euros 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.

## Deposits

Unlike deposit notifications, deposits actually move money into your account. Deposits that move money into your account are available if you are enrolled in the Secure Login System.

- » Wire
- » Check (all checks, including retirement checks)
- » [Automated Clearing House \(ACH\) transfer initiated by us](#)
- » ACH transfer initiated by your bank
- » [Canadian Electronic Funds Transfer \(EFT\) - Canada only](#)
- » BPAY - Online bill payment for Australian Dollars only
- » Direct Rollover - IRA accounts only
- » Trustee-to-Trustee IRA accounts only

### For more information

- » [Funding Reference](#)

### Entering Deposits

A deposit notification does not actually move funds; you must make arrangements with your bank or broker to deposit the funds. Unlike deposit notifications, deposits actually move money into your account. Deposits that move money into your account are only available if you are enrolled in the Secure Login System.

The steps below describe how to enter a deposit or deposit notification for most deposit methods. ACH and Canadian EFT deposits are a little different and require a few extra steps. [Click here](#) for detailed instructions for these types of transactions.

### To enter a deposit or notify us of a deposit

1. Click **Transfer & Pay > Transfer Funds**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.



Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

- In the Transaction Type list, select *Deposit*.
- In the Currency list, select the currency of your deposit.
- In the Method list, select a deposit or deposit notification method.

Transaction Type	Currency	Method
Deposit	United States Dollar (USD)	Choose Method

- You can save your bank information for use in future deposit requests. In the Bank Information section, do one of the following:

- Select **YES** if you have previously saved bank information and you would like to use it for this deposit notification.

### Bank Information

Would you like to use previously saved bank information?	<input checked="" type="checkbox"/> YES <input type="checkbox"/>
Information to use	<div style="border: 1px solid #ccc; padding: 2px; display: inline-block;">Bank Info 1 <span style="float: right;">▼</span></div>
<h4 style="margin: 0;">Sending Institution</h4>	
Bank Name	Citibank
ABA Routing Number	123

- Select **NO** to create and save new bank information for this transaction. If you do not have any saved bank information, NO will be preselected for you.
- If you selected NO, enter a name for the bank information (it will be saved under this name), and then complete the rest of the fields in the Bank Information section. The fields vary depending on your previous selections.

### Bank Information ?

Would you like to use previously saved bank information?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
<hr style="border-top: 1px dashed #ccc;"/>	
<h4 style="margin: 0;">Enter Bank Information</h4>	
Bank Information Name	<input type="text" value="Required (5-25 characters)"/>
Sending Institution	<input type="text" value="Required"/>
ABA Routing Number	<input type="text" value="9 Digit Routing Number"/>
Account Number	<input type="text" value="Optional"/>
<p style="font-size: small; margin: 0;">While some of the fields above are marked optional, we recommend that you enter them if possible. This helps us match your deposit notification to the actual deposited funds.</p>	

7. In the Transaction Information section, type the amount of your intended deposit in the Amount field.
8. In the Recurring Transaction section, decide if you want to save this deposit or deposit notification as a recurring transaction.
  - If you would like to save this deposit notification as a recurring transaction, select **YES**, then complete all the fields and selections in that section, including a name for the recurring transaction, the frequency of recurrence (Monthly, Quarterly or Annually), and a Start Date. If you want the deposit notification to recur indefinitely (no end date), select **YES**. Otherwise, select **NO** and then enter an End Date.


### Recurring Transaction

Would you like to make this a recurring notification?	<input checked="" type="checkbox"/> YES
Recurring Transaction Name	<input type="text" value="Required"/>
Frequency	<input type="text" value="Choose Frequency"/> ▾
Start Date	<input type="text" value="2017-05-02"/>
No End Date?	<input checked="" type="checkbox"/> YES

- If you do not want to save this transaction as a recurring transaction, select **NO**.

### Recurring Transaction

Would you like to make this a recurring notification?	<input type="checkbox"/> NO
---	-----------------------------

 **Note:** You can view all of your saved bank information and recurring transactions on the Saved Information page.

9. 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.

10. Click **View Transaction History** to view the status of your deposit notification, or click **Start Another Transfer** to initiate another fund transfer.

## 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
- » ACH - US ACH transfer initiated at IB (US accounts only).
- » Check - Available for US currency only; your mailing address must be in the US.
- » Canadian EFT transfer - Canadian accounts only
- » SEPA (Single Euro Payments Area) Initiated at IB

For important information about ACH Initiated at IB and Canadian EFT withdrawals, see [ACH Initiated at IB and Canadian EFT Transactions](#).

### Rules for Withdrawals

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. Account holders 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.

### For more information

- » [Funding Reference](#)

### Entering Withdrawals

The steps below describe how to enter a withdrawal for most withdrawal methods. ACH and Canadian EFT withdrawals are a little different and require a few extra steps. [Click here](#) for detailed instructions for these types of transactions.

### To enter a withdrawal

1. Click **Transfer & Pay > Transfer Funds**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

- In the Transaction Type list, select *Withdraw*.
- In the Currency list, select the currency of your withdrawal.
- In the Method list, select a withdrawal method.

Transaction Type      Currency      Method

Withdrawal      United States Dollar (USD)      Choose Method

- You can save your bank information for use in future deposit requests. In the Bank Information section, do one of the following:

- Select **YES** if you have previously saved bank information and you would like to use it for this withdrawal.

### Bank Information

Would you like to use previously saved bank information?	<input checked="" type="checkbox"/> YES <input type="checkbox"/>
Information to use	Chase <input type="button" value="v"/>
Bank Name	Savings and Loan
ABA Routing Number	000000000
Bank Account Number	000000000
Bank Account Type	Checking

- Select **NO** to create and save new bank information for this withdrawal. If you do not have any saved bank information, NO will be preselected for you.
- If you selected NO, enter a name for the bank information (it will be saved under this name), and then complete the rest of the fields in the Bank Information section.

The following image shows the Bank Information fields for a Wire withdrawal. The fields vary depending on your selected withdrawal method.

### Bank Information

#### Enter Bank Information

Bank Information Name	<input type="text" value="Required (5-25 characters)"/>
Are you sending these funds to a bank?	<input checked="" type="checkbox"/> YES <input type="checkbox"/>
Bank Country	Choose One <input type="button" value="v"/>

- As soon as you select the Bank Country, the Receiving Bank section appears. If you do not know your bank's routing number, click **Search** in this section.
- In the Bank Search popup, you can search by ABA (routing) number or by bank name. By default, Search by bank name? is set to **NO**, which allows you to enter a routing number and search for your bank that way. Select **YES** to search by bank name, and then complete the form and click **Search**.

#### Searching by ABA Routing Number:

The screenshot shows a 'Bank Search' popup window. At the top left is the title 'Bank Search' and a close button 'x'. Below the title is a section with two items: 'Search by bank name?' with a toggle switch set to 'NO', and 'ABA Routing Number' with a text input field containing the placeholder text '9 Digit Routing Number'. At the bottom right of the popup is a blue 'Search' button.


#### Searching by Bank Name:

The screenshot shows a 'Bank Search' popup window. At the top left is the title 'Bank Search' and a close button 'x'. Below the title is a section with two items: 'Search by bank name?' with a toggle switch set to 'YES', and a large text input field with the placeholder text 'Enter the Bank Name; the Bank City is optional.'. Below this is a section with three items: 'Bank Country' with a dropdown menu set to 'United States', 'Bank Name' with a text input field containing the placeholder 'Required', 'Bank City' with a text input field containing the placeholder 'Optional', and 'Bank State' with a dropdown menu set to 'Choose State'. At the bottom right of the popup is a blue 'Search' button.

A list of all banks along with their routing numbers appears. Select your specific bank. Information for the bank you select will be entered into the Bank Information section of the Fund Transfers screen for your transaction.

7. To withdraw funds to a third-party recipient, set Is the recipient someone other than the account holder? to **YES**, and then complete the fields that appear.



 **Note:** For complete details on third-party withdrawals, including important rules governing these transactions, see [Withdrawing Funds to a Third Party](#).

8. In the Transaction Information section, type the amount of your withdrawal in the Amount field.
9. In the Recurring Transaction section, decide if you want to save this withdrawal as a recurring transaction.
  - If you would like to save this transaction as a recurring transaction, select **YES**, then complete all the fields and selections in that section, including a name for the recurring transaction, the frequency of recurrence (Monthly, Quarterly or Annually), and a Start Date. If you want the deposit notification to recur indefinitely (no end date), select **YES**. Otherwise, select **NO** and then enter and End Date.

### Recurring Transaction

---

Would you like to make this a recurring notification?  YES

Recurring Transaction Name

Frequency  ▼

Start Date


No End Date?  YES

- If you do not want to save this transaction as a recurring transaction, select **NO**.

### Recurring Transaction

---

Would you like to make this a recurring notification?   NO

 **Note:** You can view all of your saved bank information and recurring transactions on the Saved Information page.

10. If prompted, confirm your identity and type confirmation number we emailed to you.
11. Click **CONTINUE** to submit your withdrawal request.  
Or click **Cancel** to cancel the transaction.

Depending on the withdrawal method you selected, a page appears with additional instructions.

12. Click **View Transaction History** to view the status of your deposit notification, or click **Start Another Transfer** to initiate another fund transfer.

### 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

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
IB Key	200,000 USD	600,000 USD
Digital Security Card <sup>1</sup>	1,000,000 USD	1,500,000 USD

Security Device	Maximum Withdrawal Per Day	Maximum Withdrawal in Five Business Days
Alpine Device <sup>1</sup>	500,000 USD	1,500,000 USD
Digital Security Card+	Unlimited	Unlimited
Platinum/Gold <sup>1</sup>	Unlimited	Unlimited

<sup>1</sup> 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.

### 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 **Transfer & Pay > Transfer Funds**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Withdraw*.
4. In the Currency list, select the currency of your withdrawal.
5. *In the Method list, select Wire.*
6. Complete the fields in the Bank Information section:
  - Enter a name for the bank information (it will be saved under this name).
  - If you are sending the funds to a bank, select the country where the bank is located (Bank Country), and then enter your account number at the bank twice.
  - If you are not sending the funds to a bank, select **NO**, and then complete all of the fields.

7. As soon as you select the Bank Country, the Receiving Bank section appears. Click **Search** in this section to search for your bank.
  - In the Bank Search popup, you can search by ABA (routing) number or by bank name. By default, Search by bank name? is set to **NO**, which allows you to enter a routing number and search for your bank that way. Select **YES** to search by bank name, and then complete the form and click **Search**.
  - A list of all banks along with their routing numbers appears. Select your specific bank. Information for the bank you select will be entered into the Bank Information section of the Fund Transfers screen for your transaction.

 **Note:** Note that for third-party withdrawals that are intended for the bank of a third party payee, you will want to enter information about that bank, NOT your bank.

8. In the Third-Party Recipient section, set Is the recipient someone other than the account holder? to **YES**, and then enter information about the third-party payee in the fields that appear.
9. 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

Once we approve your third-party payee, [use these instructions](#) to enter the actual wire withdrawal request.

## 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 internal fund transfers:

- » Internal fund transfer to another IB account (all account structures) with matching Account Name, Account Title and Tax ID.

- » Linked accounts can use this type of transfer. However, multiple accounts that are eligible to be linked but are not currently linked cannot use this type of transfer; these account holders 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 enter an internal funds transfer**

1. Click **Transfer & Pay > Transfer Funds**.
2. The Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts



search accounts



Select an account.

Account	Customer Type	Title	Status
<input type="radio"/>	Individual	Applicant 68546	Open
<input type="radio"/>	Individual	Applicant 68546	Open
<input type="radio"/>	Individual	John Adams	Open
<input type="radio"/>	Individual	pjhixg xxafxm	Open
<input type="radio"/>	Individual	John Adams	Open
<input type="radio"/>	Individual	John Adams	Open
<input type="radio"/>	! Individual	akpdce qnqphk	Open
<input checked="" type="radio"/> U	Individual	Applicant 143917	Open
<input type="radio"/> U	Individual	Applicant 68546	Open
<input type="radio"/> U	Individual	Applicant 87716	Open

10 Rows

Page 1 of 2

Selected Accounts  
U

2. In the Transaction list, select *Internal Transfer*.
3. In the Currency list, select the currency of your deposit.
4. The Method list is automatically set to *Fund Transfer*.

Transaction Type	Currency	Method
Internal Transfer	United States Dollar (USD)	Funds Transfer

5. In the Transaction Information section, select the account to which you want to transfer funds, and enter the amount to transfer.

Transaction Information	
Destination Account	Choose Destination Account
Amount	Required

6. Click **CONTINUE**.
  - Click **Cancel** at any time to cancel the transaction.
7. If prompted, enter your username and password.
8. 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](#)

## ACH and Canadian EFT Transactions

The process of requesting ACH and Canadian EFT deposits and withdrawals is somewhat different from other transaction methods.



The process for these transactions is described below:

1. On the **Transfer & Pay > 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 deposit or withdrawal method. Note that you do not enter an amount.
2. For ACH withdrawals, as part of the bank information you enter, you are asked to select the Bank Information Usage. This selection tells us if you would like the ability to reuse this bank information for both withdrawals and deposits (Debit & Credit), or only withdrawals (Credit).
3. You will be asked to verify your bank in one two ways:
  - » **Traditional:** 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.
  - » **Instant:** You will be asked to select your bank and enter your username and password to verify your credentials immediately.

 **Note:** Instant ACH verification uses a **third-party service**.

Bank Information

Would you like to use previously saved bank information?  NO

---

[Enter Bank Information](#)

**Bank Information Name**

Choose an option below to verify your bank account for fund transfers:

<p><b>Traditional Verification</b></p> <p>Two random deposits will temporarily be made to your bank. Enter the exact credit amounts made to your account to complete the verification process (typically 1-2 business days).</p>	<p><b>Instant Verification</b></p> <p>Enter your online banking username and password to verify your credentials instantly. You will then be able to immediately submit a transfer request.</p>
--	---

4. Now that the verification process has been completed, you can submit an ACH or Canadian EFT deposit or withdrawal request on the Transfer Funds screen using the bank information that you've already saved. This request will include the actual amount and will move your funds.

## Position Transfers

The Transfer Positions screen lets you transfer positions to and from your account. We support the following types of position transfers in Account Management:

- » Inbound position transfers:
  - [Automated Customer Account Transfer Service \(ACATS\)](#)
  - [Account Transfer on Notification \(ATON\) for Canadian securities](#)
  - [DRS - Direct Registration System](#)
  - [DWAC - Deposit/Withdraw at Custodian](#)
  - [Free of Payment \(FOP\) for US stocks](#)
  - [International Asset Transfer](#)
- » Outbound position transfers:
  - [DWAC](#)
  - [FOP](#)
- » [Internal position transfers](#)

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 Transfer Positions screen?

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
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed Client
- » Broker Non-Disclosed Client
- » Investment Manager Master User
- » Fund

## For more information

» [Funding Reference](#)

## ACATS Transfers

The Transfer Positions screen 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). A full ACATS transfer moves all of your assets from a third-party broker to your IB account. A partial ACATS transfer moves only those assets that you select.

When you select ACATS as the transfer method on the Transfer Positions page, you can:

- » [Enter an ACATS transfer](#), in which all of your assets are transferred from a third-party broker to your account.
- » [Save new broker information](#), which lets you save and reuse third-party broker information for future ACATS transfers.

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.

### About Saved Broker Information

If you want to use your third-party broker for an ACATS transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ACATS transfer, but choose to save the new broker information. No transfer is performed in this step.
2. Initiate a new ACATS transfer using the saved broker information. This is where you select the assets to transfer.



**Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

## For more information

» [Funding Reference](#)

### Entering an ACATS Position Transfer

A full ACATS transfer moves all of your assets from a third-party broker to your IB account. A partial ACATS transfer moves only those assets that you select.

If you want to use your third-party broker for an ACATS transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ACATS transfer, but choose to [save the new broker information](#). No transfer is performed in this step.
2. Initiate a new ACATS transfer using the saved broker information. This is where you select the assets to transfer.



**Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### To request an ACATS transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **Continue** to submit your account selection and close the Account Selector.

Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open


Reset Continue

Selected Accounts  
U

- In the Transaction Type list, select *Inbound Position*.
- In the Method list, select *ACATS*.

Transaction Type	Method
Inbound Position	ACATS

- In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
- To continue with ACATS transfer, select **NO** for Save Broker Information.

 **Note:** If you want to save the Broker Information in our system, select **YES**, then click **Continue**. Once your new broker information is confirmed, you can initiate a new ACATS transfer using the new broker information.

7. In the Transaction Information section, indicate that you want to transfer all assets from the selected broker (a full ACATS transfer) by selecting **YES**, and then select **YES** to the authorization option.

Transaction Information

---

Assets

Transfer all assets?  YES

I authorize IB to remove certain mutual funds (that are not supported by IB) from this transfer.  YES

8. To transfer only some assets from your third-party broker (a partial ACATS transfer), select **NO**, and then click **Add Asset**.

Transaction Information

---

Assets

Transfer all assets?   NO

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Select **YES** to transfer your entire position of the selected symbol.

Asset Search ×

---

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
Quantity	<input type="text" value="Required"/>

9. Click **Add**. The assets are added to the list of assets to transfer.



Transaction Information

Assets

Transfer all assets?  NO

Add Asset

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.
9. Click **Continue**.
  10. On the page that appears, type your signature in the Signature field, and then click **Continue**.  
Click **Back** to modify the transfer request.
  11. Click **Continue**.

### For more information

» [Funding Reference](#)

### Saving Broker Information for Position Transfers

You can save third-party broker information for re-use in the following types of position transfers:

- » Inbound ACATS
- » Inbound ATON
- » Inbound and Outbound FOP
- » Inbound International Asset Transfer

See [Saved Information](#) for information about viewing and deleting saved broker information.

### To save new broker information

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account.  
Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Inbound Position* or *Outbound Position*.
4. In the Method list, select one of the transfer methods listed at the top of this topic.

5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ACATS transfer, set Save Broker Information to **YES**.
7. Enter the name of the saved broker information. This is the name you will use when you apply this information to a future position transfer.
9. Click **CONTINUE**.
10. If prompted, confirm your identity and enter the confirmation number we emailed you in the fields provided.

Your new broker information has been created. Now you can return to the Transfer & Pay > Transfer Position screen and initiate a new transfer using the newly-created broker information.

## ATON Transfers

The Transfer Positions screen lets you transfer US or Canadian stocks, options and cash held at another brokerage firm to us through Account Transfer on Notification (ATON), the Canadian equivalent of ACATS.

When you select ACATS as the transfer method on the Transfer Positions page, you can:

- » [Enter an ATON transfer](#), in which all of your assets are transferred from a third-party broker to your account.
- » [Save new broker information](#), which lets you save and reuse third-party broker information for future ATON transfers.


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.

### About Saved Broker Information

If you want to use your third-party broker for an ATON transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ATON transfer, but choose to save the new broker information. No transfer is performed in this step.

2. Initiate a new ATON transfer using the saved broker information. This is where you select the assets to transfer.

 **Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### For more information


» [Funding Reference](#)

### Entering an ATON Position Transfer

A full ATON transfer moves all of your assets from a third-party Canadian broker to your IB account. A partial ATON transfer moves only those assets that you select.

If you want to use your third-party broker for an ATON transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ATON transfer, but choose to [save the new broker information](#). No transfer is performed in this step.
2. Initiate a new ATON transfer using the saved broker information. This is where you select the assets to transfer.

 **Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### To enter an ATON transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts x

search accounts x Q ⌵ ⚙

Select an account.

Account	Customer Type	Status
<input checked="" type="radio"/> U	Individual	Open
<input type="radio"/> U	Partition	Open


**Selected Accounts**

U

3. In the Transaction Type list, select *Inbound Position*.
4. In the Method list, select *ATON*.

<p>Transaction Type</p> <div style="border: 1px solid #ccc; padding: 2px;"> <span style="float: left;">Inbound Position</span> <span style="float: right;">▾</span> </div>	<p>Method</p> <div style="border: 1px solid #ccc; padding: 2px;"> <span style="float: left;">ATON</span> <span style="float: right;">▾</span> </div>
--	--

5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ATON transfer, select **NO** for Save Broker Information.

 **Note:** If you want to save the Broker Information in our system, select **YES**, then click **CONTINUE**. Once your new broker information is confirmed, you can initiate a new ATON transfer using the new broker information.

7. In the Transaction Information section, indicate that you want to transfer all assets from the selected broker (a full ATON transfer) by selecting **YES**, and then select **YES** for the authorization option.

Transaction Information

---

Assets

Transfer all assets?  YES

I authorize IB to remove certain mutual funds (that are not supported by IB) from this transfer.  YES

8. To transfer only some assets from your third-party broker (a partial ATON transfer), select **NO**, and then click **Add Asset**.

Transaction Information

---

Assets

Transfer all assets?   NO

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Select **YES** to transfer your entire position of the selected symbol.

Asset Search ×

---

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
Quantity	<input type="text" value="Required"/>

9. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

[Add Asset](#)

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.
9. Click **CONTINUE**.
  10. On the page that appears, type your signature in the Signature field, and then click **CONTINUE**.  
Click **Back** to modify the transfer request.
  11. Click **CONTINUE**.

### For more information

» [Funding Reference](#)

### Saving Broker Information for Position Transfers

You can save third-party broker information for re-use in the following types of position transfers:

- » Inbound ACATS
- » Inbound ATON
- » Inbound and Outbound FOP
- » Inbound International Asset Transfer

See [Saved Information](#) for information about viewing and deleting saved broker information.

### To save new broker information

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account.  
Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Inbound Position* or *Outbound Position*.
4. In the Method list, select one of the transfer methods listed at the top of this topic.



5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ACATS transfer, set Save Broker Information to **YES**.
7. Enter the name of the saved broker information. This is the name you will use when you apply this information to a future position transfer.
9. Click **CONTINUE**.
10. If prompted, confirm your identity and enter the confirmation number we emailed you in the fields provided.

Your new broker information has been created. Now you can return to the Transfer & Pay > Transfer Position screen and initiate a new transfer using the newly-created broker information.

## Entering a DRS Position Transfer

The Transfer Positions screen 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..

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 enter a DRS transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **Continue** to submit your account selection and close the Account Selector.

Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="radio"/> U	Individual	Open
<input type="radio"/> U	Partition	Open

Reset Continue

Selected Accounts

U

- In the Transaction Type list, select *Inbound Position*.
- In the Method list, select *DRS*.

Transaction Type	Method
Inbound Position	DRS

- In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Enter your account number at the broker, and select your Tax ID number or None from the drop-down list.

---

Broker Information

---

Enter Broker Information

Account Number at Broker

Account Title Applicant :

Tax Identification Number

6. In the Transaction Information section, click **Add Asset**.

---

## Transaction Information

---

### Assets

**Add Asset**

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

---

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

Specify the details about the asset that you would like to add.

Asset Type	Stock
Search Type	Search by Symbol
Symbol	AAPL
Exchange	Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

[Search Again](#)

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.

Asset Search
✕

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> NO
Quantity	<input type="text" value="Required"/>

Back
Add

9. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	✕

- You can remove assets from the transfer by clicking the **X** in the asset list.

9. Click **Continue**.
10. On the page that appears, type your signature in the Signature field, and then click **Continue**.  
Click **Back** to modify the transfer request.
11. Click **Continue**.


### For more information

» [Funding Reference](#)

## Entering a DWAC Position Transfer

The Transfer Positions screen 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.

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.

 **Note:** The cut-off time for submitting a DWAC transfer request is 3:45 PM EST. Any requests submitted after that time will be processed on the next business day.

### To enter a DWAC transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **Continue** to submit your account selection and close the Account Selector.

Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

3. In the Transaction Type list, select one of the following:
  - *Inbound Position* - Transfer assets from a Transfer Agent to your account.
  - *Outbound Position* - Transfer assets from your account to a Transfer Agent.
4. In the Method list, select *DWAC*.

Transaction Type	Method
<input type="text" value="Inbound Position"/>	<input type="text" value="DWAC"/>
Transaction Type	Method
<input type="text" value="Outbound Position"/>	<input type="text" value="DWAC"/>

5. In the Broker Information section, verify that the information is displayed correctly. If the Tax Identification Number field is a drop-down list, select your Tax ID from the list.
6. In the Transaction Information section, click **Add Asset**.

---

### Transaction Information

---

#### Assets

Add Asset

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

---

### Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.



### Asset Search

Specify the details about the asset that you would like to add.

<b>Asset Type</b>	<input type="text" value="Stock"/>
<b>Search Type</b>	<input type="text" value="Search by Symbol"/>
<b>Symbol</b>	<input type="text" value="AAPL"/>
<b>Exchange</b>	<input type="text" value="Optional"/>

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.

Asset Search
✕

---

Specify the quantity of the selected asset that you would like to add.

Asset Type: Stock

Description: APPLE INC / NMS

ISIN:

Symbol: AAPL

CUSIP:

Quantity Type:

Transfer All?:  NO

Quantity:

Back
Add

7. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	✕

- You can remove assets from the transfer by clicking the **X** in the asset list.
8. Click **CONTINUE**.
  9. On the page that appears, type your signature in the Signature field, and then click **Continue**.  
Click **Back** to modify the transfer request.
  10. Click **Continue**.

### For more information

» [Funding Reference](#)

## Enter an International Asset Transfer

The Transfer Positions screen lets you transfer assets from Asia and Europe into your account. You can requests inbound international transfers only. As part of this request process, you must use previously-saved broker information or create new broker information.

Inbound International Asset Transfers are notifications only. You must instruct your third-party broker to transfer the assets to your IB account using the authorization form we provide at the end of the international asset transfer request procedure.

Advisors and Fully Disclosed Brokers can request inbound international asset transfers for a client account but the client must create a position transfer instruction first and the Advisor or Broker must use those instructions.

### To request an inbound transfer of Asian or European positions

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts x

search accounts x Q ⌵ ⚙

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

3. In the Transaction Type list, select *Inbound Position*.
4. In the Method list, select *International Asset Transfer*.

Transaction Type	Method
<input type="text" value="Inbound Position"/>	<input type="text" value="International Asset Transfer"/>

5. In the Broker Information section, you can use previously saved broker information, enter new broker information without saving it, or enter new broker information and save it for future use:
  - To use previously saved broker information, click the toggle switch to **YES**, and select the saved information from the Information to use drop-down list. The saved broker information is displayed

for you.

Broker Information

Would you like to use previously saved broker information?	<input checked="" type="checkbox"/>
Information to use	gdfgfg <input type="button" value="v"/>
Contra Broker	
Broker Name	ABN AMRO CLEARING BANK N.V.
Broker Address	gfgfg fdgfd, fdgfdg, fdgfdg, United States
Account Number at Broker	1234567
Account Title	Test Test Test
Account Type	Individual

- To enter new broker information without saving it, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets. When prompted at the bottom of the section to save your broker information, click the toggle switch to **NO**.
- To enter new broker information AND save it for future use, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets. When prompted at the bottom of the section to save your broker information, click the toggle switch to **YES** and then enter the name of the broker information.

Broker Information

Would you like to use previously saved broker information?  NO

---

Enter Broker Information

Broker	Choose Broker
Account Number at Broker	Required
Account Title	Required
Account Type	Choose Account Type
Country	Choose Country
Street	Required
Street 2 (Apt, Suite, Floor, etc.)	Optional
City	Required
State/Province	N/A
Postal Code	Required
Contact Name	Required
Contact Email	Required
Contact Phone	Required
Contact Fax	Required
Save Broker Information?	YES
Broker Information Name	Required

6. In the Transaction Information section, click **Add Asset**.

---

### Transaction Information

---

#### Assets

Add Asset

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.

Asset Search ×

---

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
Quantity	<input type="text" value="Required"/>

7. Click **Add**. The assets are added to the list of assets to transfer.



Transaction Information

Assets

Transfer all assets?  NO

[Add Asset](#)

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.
8. Click **CONTINUE**.
  9. On the page that appears, type your signature in the Signature field, and then click **CONTINUE**.  
Click **Back** to modify the transfer request.
  10. On the Confirmation screen, click **View Form** to access and print the Customer Account Transfer - Letter of Authorization.
  11. Sign the Letter of Authorization and send it to your third-party (carrying) broker.
  12. Instruct your third-party (carrying) broker using the procedure that they have defined. IB will not be able to expedite transfers that are not properly instructed at your third-party broker.

### For more information

» [Funding Reference](#)

## FOP Transfers

The Transfer Positions screen 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, (inbound transfer) or from your account to another US bank or broker that is a member of the DTC (outbound transfer).

Inbound FOP transfers are notifications only. You must instruct your third-party broker to transfer the assets to your IB account using the authorization form we provide at the end of the FOP transfer request procedure.

When you select FOP as the transfer method on the Position Transfers page, you can:

- » [Enter an FOP transfer](#), in which all of your assets are transferred from a third-party broker to your account (inbound), or from your IB account to a third-party broker.
- » [Save new broker information](#), which lets you save and reuse third-party broker information for future FOP transfers.

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.

### **About Saved Broker Information**

If you want to use your third-party broker for an FOP transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new FOP transfer, but choose to save the new broker information. No transfer is performed in this step.
2. Initiate a new FOP transfer using the saved broker information. This is where you select the assets to transfer.



**Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.


### **For more information**

- » [Funding Reference](#)

### **Entering an FOP Position Transfer**

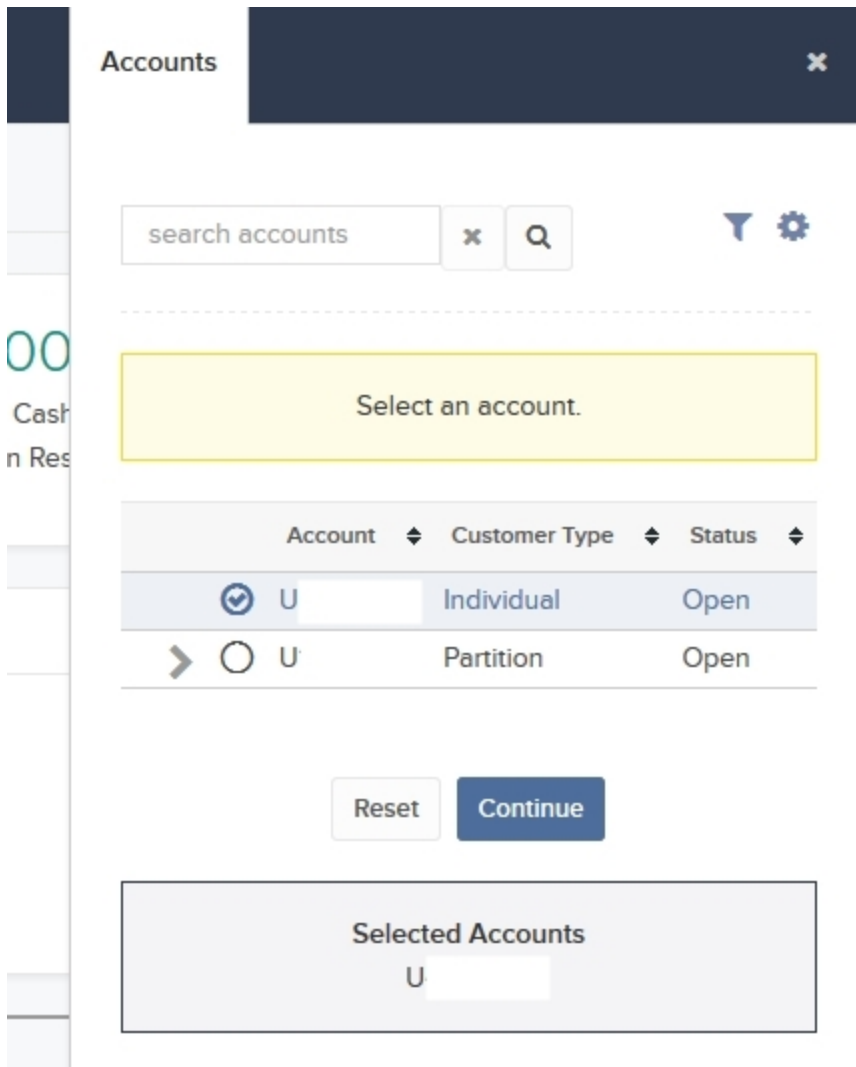
If you want to use your third-party broker for an FOP transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new FOP transfer, but choose to save the new broker information. No transfer is performed in this step.
2. Initiate a new FOP transfer using the saved broker information. This is where you select the assets to transfer.

 **Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### To enter an FOP transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.



Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="radio"/> U	Individual	Open
<input type="radio"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

3. In the Transaction Type list, select one of the following:
- *Inbound Position* - Notify us of your intention to transfer assets from another bank or broker to your IB account.
  - *Outbound Position* - Transfer assets to another bank or broker from your IB account.

Transaction Type	Method
Inbound Position	FOP
Transaction Type	Method
Outbound Position	FOP

4. In the Broker Information section, you can use previously saved broker information for this FOP asset transfer, enter new broker information without saving it, or enter new broker information and save it for future use. In this last case, you cannot transfer assets; you must first save the broker information and then enter a new FOP transfer request using the saved broker information.
- To use previously saved broker information, click the toggle switch to **YES**, and select the saved information from the Information to use drop-down list. The saved broker information is displayed for you.

Broker Information

Would you like to use previously saved broker information?	<input checked="" type="checkbox"/> YES
Information to use	Responsive FOP
Contra Broker	
Broker Name	ALASKA USA FEDERAL CREDIT UNION (#2223)
Account Number at Broker	
Account Title	Applicant
Tax Identification Number	****0000

- To enter new broker information without saving it, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets. When prompted at the bottom of the section to save your broker information, click the toggle switch to **NO**.
- To enter new broker information AND save it for future use, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets.

When prompted at the bottom of the section to save your broker information, click the toggle switch to **YES** and then enter the name of the broker information.

Broker Information

---

Would you like to use previously saved broker information?  NO

---

Enter Broker Information

Broker

Account Number at Broker

Account Title

Tax Identification Number

Save Broker Information?  NO



**Note:** If you want to save new Broker Information in our system, click the toggle switch to **YES**, then click **CONTINUE**. Once your new broker information is confirmed, you can initiate a new FOP transfer using the new broker information.

5. To continue with your FOP transfer without saving new broker information, in the Transaction Information section, click **Add Asset**.

---

## Transaction Information

---

### Assets

Add Asset

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.

Asset Search ×

---

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <b>NO</b>
Quantity	<input type="text" value="Required"/>

6. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Add Asset

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.

7. Click **CONTINUE**.

8. Type your signature in the Signature field, and then click **CONTINUE**. For outbound FOP transfers, this completes the procedure.

Click **Back** to modify the transfer request.

9. For inbound FOP notifications, after you type your signature and click **CONTINUE**, a Confirmation screen appears:

- Instruct your third-party broker to send the assets you have specified. IB will not be able to expedite transfers that are not properly instructed at your third-party broker.
- If your third-party broker requires an authorization form, click **View Form** to access and print the Authorization Form.
- Sign the Letter of Authorization and send it to your third-party broker.

FOP transfers are generally completed within 3-5 business days, depending on your third-party broker.

FOP notifications are valid for five business days before they expire. Once this FOP notification has expired, IB will not accept the shares.

### Saving Broker Information for Position Transfers

You can save third-party broker information for re-use in the following types of position transfers:

- » Inbound ACATS
- » Inbound ATON
- » Inbound and Outbound FOP
- » Inbound International Asset Transfer

See [Saved Information](#) for information about viewing and deleting saved broker information.



### To save new broker information

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Inbound Position* or *Outbound Position*.
4. In the Method list, select one of the transfer methods listed at the top of this topic.
5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ACATS transfer, set Save Broker Information to **YES**.
7. Enter the name of the saved broker information. This is the name you will use when you apply this information to a future position transfer.
9. Click **CONTINUE**.
10. If prompted, confirm your identity and enter the confirmation number we emailed you in the fields provided.

Your new broker information has been created. Now you can return to the Transfer & Pay > Transfer Position screen and initiate a new transfer using the newly-created broker information.

## Internal Position Transfers

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 account holders, the US tax ID (Social Security number) of both accounts must match.
- » For non-US Individual account holders, the ID number, ID type (passport, driver's license, national ID, or alien ID) and ID-issuing country must match. For joint non-US account holders, the IDs of both first and second holder must match.

- » For non-US Organization account holders, 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 enter an internal position transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. In the Transaction list, select *Internal Transfer* The Method is automatically set to *Position Transfer*.

Transaction Type	Method
<input type="text" value="Internal Transfer"/>	<input type="text" value="Position Transfer"/>

3. The Transaction Information section shows the available destination account (the account to which you want to transfer assets) and all available assets in the source account.

Assets

Destination Account

Quantity	Available Quantity	Asset Type	Identifiers
<input type="checkbox"/> 0	/ 2220	Stock	Symbol: AAPL
<input type="checkbox"/> 0	/ -2	Option	Symbol: AAPL MAY2017 145 C [AAPL
<input type="checkbox"/> 0	/ -2	Option	Symbol: AAPL MAY2017 152.5 C [AAPL
<input type="checkbox"/> 0	/ -2	Option	Symbol: AAPL JUN2017 145 C [AAPL
<input type="checkbox"/> 0	/ -2	Option	Symbol: AAPL JUN2017 155 C [AAPL
<input type="checkbox"/> 0	/ 3700	Stock	Symbol: BMW
<input type="checkbox"/> 0	/ 31000	Stock	Symbol: BP
<input type="checkbox"/> 0	/ 1200	Stock	Symbol: COP
<input type="checkbox"/> 0	/ -4	Option	Symbol: COP MAY2017 50 C
<input type="checkbox"/> 0	/ 900	Stock	Symbol: CVX
<input type="checkbox"/> 0	/ 500	Stock	Symbol: F
<input type="checkbox"/> 0	/ 500	Stock	Symbol: FB

4. Select assets to transfer by clicking the box on the left side of an asset row, then entering the number of shares or contracts to transfer in the Quantity field.
5. Click **CONTINUE**.

6. If prompted on the next screen, verify your identity and enter the confirmation number we emailed to you.
7. Click **CONTINUE**.

Position transfer requests are processed during regular business hours. Requests submitted at other times will be processed on the next business day.

## Saved Information

Saved information contains information about the financial institution involved in a funding transaction in your account that you can reuse in future transactions. When you set up a deposit/withdrawal notification or withdrawal on the Fund Transfers page, you are prompted to save the information about your financial institution. This bank information is saved under a name you enter, and you can view all of your saved bank information on the Transfer & Pay > Saved Information screen.

This topic includes:

- » [About Saved Information](#)
- » [Using the Saved Information Screen](#)

### Who can access the Saved Information screen?

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
  - » Proprietary Trading Group Master User
  - » Broker Master User (master account only)
  - » Broker Fully Disclosed Client
  - » Broker Non-Disclosed Client
  - » Investment Manager Master User
  - » Fund
-

## About Saved Information

You can save the following types of information about financial institutions used in transactions:

- » Pending - Lists all current requests for new bank, recurring or broker information that are either under review or require that you take some action before they can be approved.
- » Bank Information - Used for deposits, deposit notifications and withdrawals.
- » Recurring Transactions - Used to repeat a transaction.
- » Broker Information - Used for position transfers.

## Bank Information

All deposit and withdrawal types EXCEPT check withdrawals require that you enter your bank information, including a name for the bank information, before you submit the transaction.

When you enter a deposit, deposit notification or withdrawal on the Transfer Funds screen, you have the option of creating new bank information or using saved bank information.

Once your transaction request has been submitted, the bank information you entered is saved in our system. The next time you enter a transaction, you will be prompted to use a saved bank information or create new bank information.

The following image shows the Bank Information section in a deposit transaction.

**Bank Information**

Would you like to use previously saved bank information?	<input checked="" type="checkbox"/> YES
Information to use	Bank Info 1 <input type="button" value="v"/>
<b>Sending Institution</b>	
Bank Name	Citibank
ABA Routing Number	123

## Recurring Transactions

The last step in setting up a deposit/withdrawal notification or withdrawal transaction before you submit the transaction request is the option to turn your transaction request into a recurring transaction.

- » You can view and delete existing recurring transactions on the Saved Information screen.
- » 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. If you select NO, you can submit the transaction request and no recurring transaction will be created. If you answer YES, the recurring transaction fields appear.

### Recurring Transaction

Would you like to make this a recurring notification?	<input checked="" type="checkbox"/>
Recurring Transaction Name	<input type="text" value="Required"/>
Frequency	<input type="text" value="Choose Frequency"/> ▼
Start Date	<input type="text" value="2017-05-02"/>
No End Date?	<input checked="" type="checkbox"/>

To set up a recurring transaction, you specify the following information:

- » Recurring Transaction 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.
- » Start Date - Entered in the format mm/dd/yyyy, this indicates the first date that the recurring transaction should be processed.

- » No End Date? - The End Date indicates the last date that the recurring transaction should be processed. If you answer YES, the transaction will recur indefinitely or until you cancel it. If you answer NO, enter the end date in the format mm/dd/yyyy.
- » 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.

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.

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 even this processing leads to multiple withdrawals during the same month, the account holder will be assessed withdrawal fees.

To cancel a recurring transaction, [delete](#) the recurring transaction from the Saved Information screen.

### **Broker Information (for certain position transfers)**

Broker information is a set of optional instructions that you can create and use for certain types of position transfers.

- » You can view and delete existing broker information on the Saved Information screen.
- » You can only create broker information on the Transfer Positions page as part of ACATS, FOP or ATON transfer.

Broker information is a convenient way to reuse 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 screen, you have the option of creating new broker information or using saved broker information. However, you cannot save new broker information and perform a position transfer at the same time. You have to submit the position transfer without saving the broker information, or first save the broker information and then enter the position transfer using the saved broker information.

## Using the Saved Information Screen

On the Saved Information screen, you can:

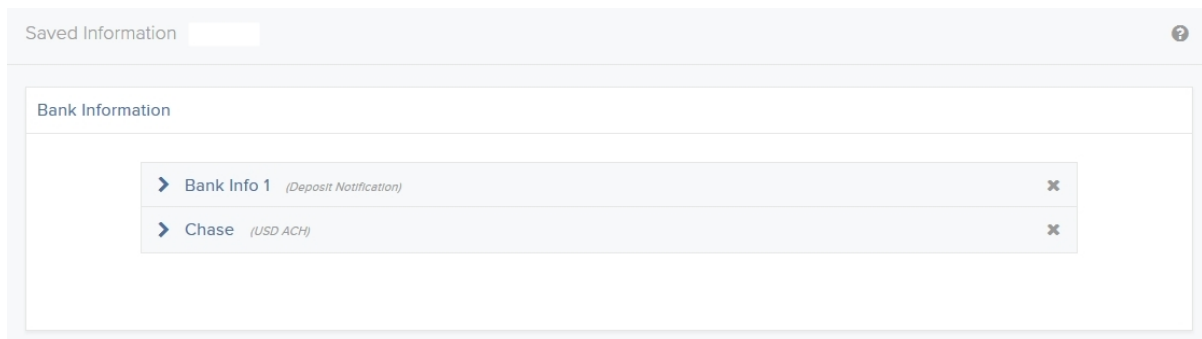
- » [View the details](#) of any saved Bank Information, Recurring Transaction or Position Instruction.
- » [Delete](#) saved Bank Information, Recurring Transactions or Position Instructions.

### View Saved Information Details

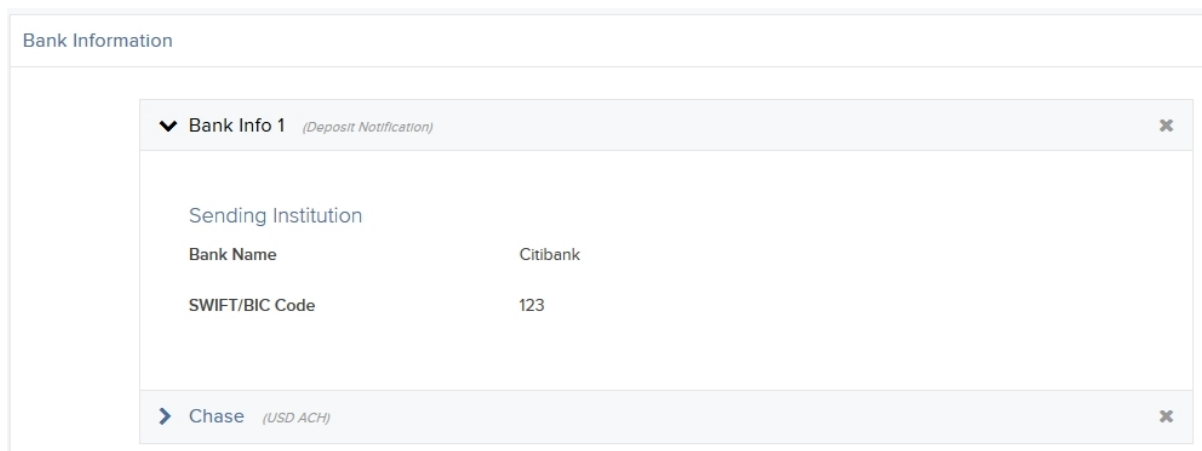
You cannot edit saved information. If you want to change saved information, first delete it from the Saved Information screen, and then create new information as part of your next transaction request.

### To view saved information

1. Click **Transfer & Pay > Saved Information**.



2. Click any saved information to open it.



## Delete Saved Information

You can delete saved information you no longer need to use.

### To delete saved information

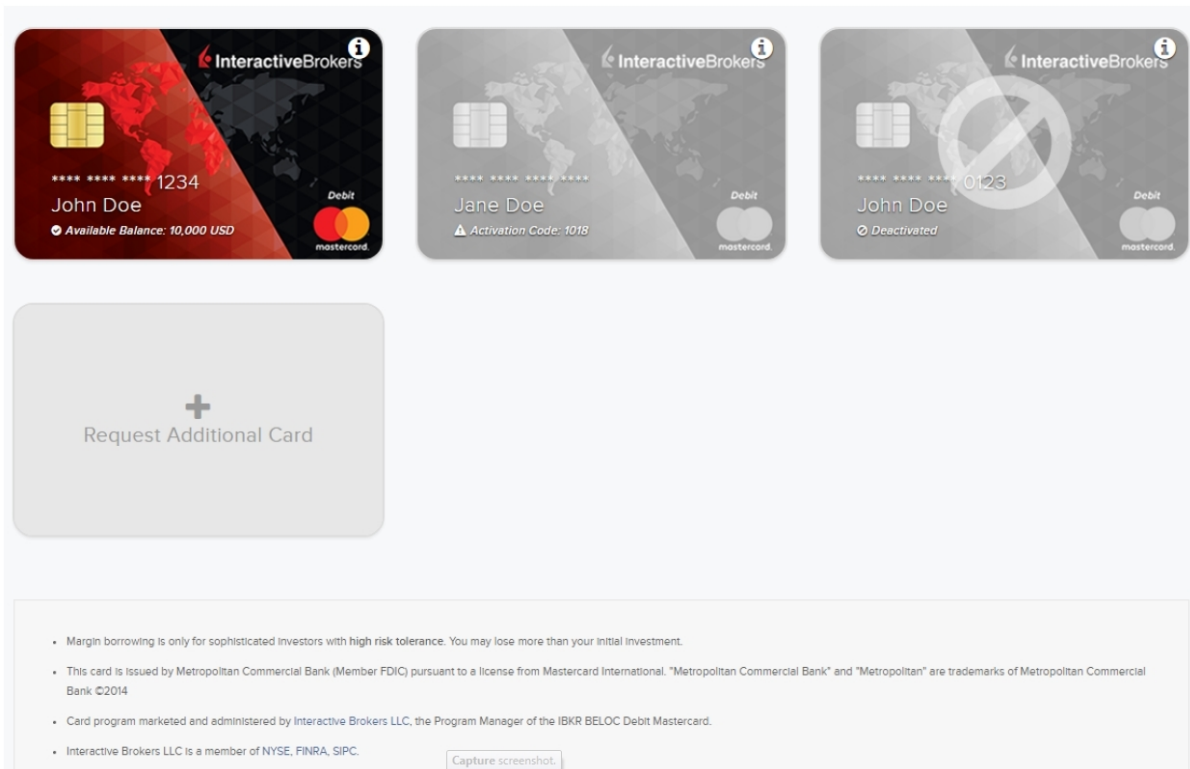
1. Click **Transfer & Pay > Saved Information**.
2. Click the **X** for the saved information you want to delete.
3. Click **Yes** to complete the operation.

## Debit Mastercard

The Interactive Brokers Debit Mastercard<sup>®</sup> lets you borrow against your account to spend anywhere Mastercard<sup>®</sup> is accepted around the world. Use the Debit Card screen to:

- » [Apply for the card](#) - initial screen (Apply Now button) sign agreement, review cardholder info
- » [Manage your card\(s\)](#) - including active primary card and possible secondary cards, Active Card Details popup (view card details, link to transaction history), secondary cards not activated yet popup (activation instructions)
- » [Report your card lost or stolen](#)
- » [Cancel your card](#)
- » [Request an additional card](#)
- » [Make large purchases with your Card](#)





Active cards appear in full color. Pending cards (cards that have not been activated yet) appear in gray with the activation code. Canceled cards appear in gray with a circle with a line through it.

### Apply for a Debit Mastercard

1. Click **Transfer & Pay > Debit Card**.
2. Read the Cardholder Agreement, type your signature in the field provided, and click **CONTINUE**.
3. Review your cardholder information and click **Continue**.
4. Record your card activation instructions and save it in a secure place. You will need this information to activate your Debit Mastercard when it arrives in the mail in 7-10 business days.

### Manage your card(s)

1. Click **Transfer & Pay > Debit Card**.
2. Click the full-color picture of your active card. If you have more than one active card (for example, you have a secondary or supplemental card), click the card you want to manage.
3. In the popup window:

- View your card details in the popup, including your cardholder information and available balance.
  - Under Card Actions, report the card lost or stolen, or cancel your card.
  - Click **Continue** or click the **X** in the upper right corner to close the popup.
4. [View your Debit Mastercard transactions](#) on the **Transfer & Pay > Transaction History** screen.
  5. Click a pending card on the Debit Card screen to view the activation instructions for that card.

### Report your card lost or stolen

1. Call us immediately at 866-532-4654. A replacement card will be mailed to your address on file immediately.
2. You can also report your card lost or stolen from within Account Management:
  - Click **Transfer & Pay > Debit Card**.
  - Click the full-color picture of your active card. If you have more than one active card (for example, you have a secondary or supplemental card), click the card you want to manage.
  - In the popup, click **Report this Card as Lost or Stolen** in the Card Actions section.
  - Select an option from the drop-down.
  - Your card will be deactivated and a replacement card will be mailed to your address on file immediately.
  - Click **Continue**.

### Cancel your card

1. Click **Transfer & Pay > Debit Card**.

### Make large purchases with your card

In order to make purchases for large amounts (over \$1,000) with your Debit Mastercard<sup>®</sup>, you must pre-authorize such purchases using IB Key, our mobile two-factor authentication security app for iOS and Android phones. For more information about IB Key including installation, activation and operation instructions, see our [IB Key Knowledge Base article](#).

- » Pre-authorizing is easy and only takes a few seconds in the IB Key app and helps you avoid having your large amount purchase declined.
- » If your purchase is declined, you can authorize the purchase in IB Key and then ask the merchant to put the charge through again.

For more details about the Debit Mastercard, see our [FAQ page](#).

## Requesting Additional Cards

This screen lets you request a secondary Debit Mastercard for joint account holders or a supplemental card for somebody who is not an account holder.

### Rules for Additional Cards

- » Secondary cards are intended only for second account holders in a joint account.
- » Supplemental cards are intended for people who are not account holders (for example, additional family members).
- » In a joint account, the primary card is reserved for the first account holder and the secondary card is reserved for the second account holder.
- » In a joint account, the first account holder must have a primary debit card before the second account holder can apply for a secondary card.
- » In Account Management, the second account holder in a joint account has access to the secondary card only.

### To request an additional card

1. Click **Transfer & Pay > Debit Card**.
2. Click **Request Additional Card**.

**Request Additional Card**  
Use this page to request a secondary card for joint account holders or a supplemental card for somebody who is not an account holders.

**Type of Card**

Choose One ▼

---

**Cardholder Information**

**First Name**

Required

**Middle Name**

Optional

**Last Name**

Required

**Taxpayer ID**

Required

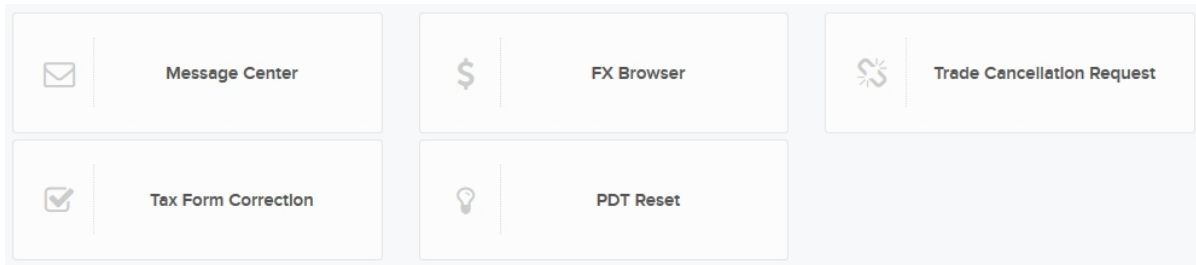
3. Select the type of additional card you want:
  - *Secondary* - For joint account holders
  - *Supplemental* For people who are not account holders
3. Enter the cardholder information in the fields provided. You can use the person's Social Security number for Taxpayer ID.
4. Click **Continue**, review the information, and then click **Continue** again.
5. Record your card activation instructions and save it in a secure place. You will need this information to activate your Debit Mastercard when it arrives in the mail in 7-10 business days.

## Support

The Support menu gives you quick access to Client Services.

Topics included:

- » [Message Center](#)
- » [Trade Cancellation Request](#)
- » [Tax Form Correction](#)



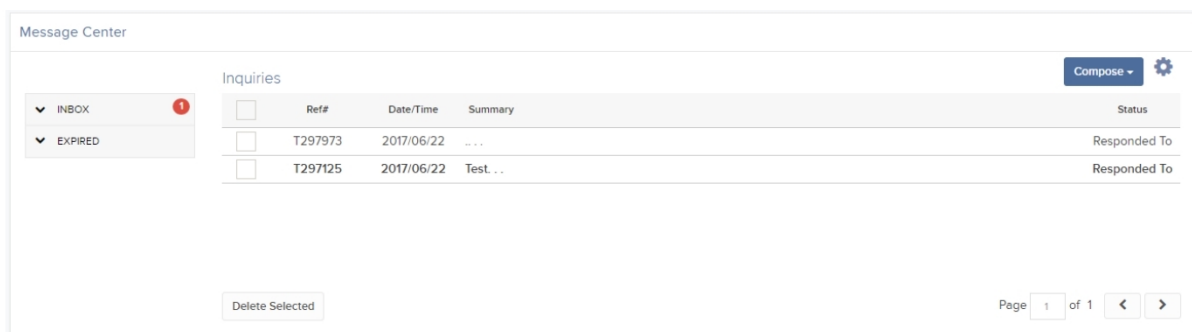
## How to Contact Client Services

You can contact Client Services using any of these methods:

- » Submit a new support inquiry from the Message Center.  
From within Account Management, first click **Support**, and then click **Message Center**. In the Message Center, click **Compose > New Ticket**.
- » For information about contacting us via phone, email or other methods, see [Client Services](#) on our website. The Client Services page includes a list of contact phone numbers, quick tips and other information about contacting us.

## Message Center

The Message Center lets you submit questions directly to Client Services using inquiry tickets and track the status of your inquiries.



Use the Message Center to:

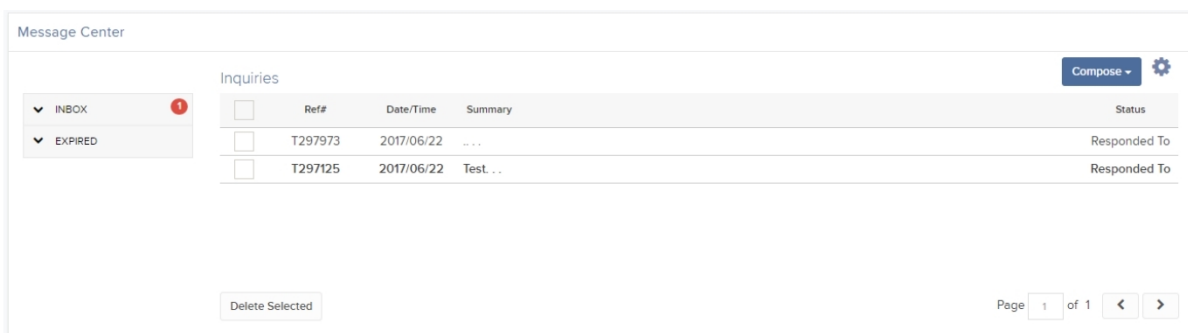
- » [Create an inquiry ticket](#)
- » [View corporate actions](#)
- » [View expired inquiry tickets](#)
- » [Submit a Tax Correction Form](#)
- » [Submit a Trade Cancellation request](#)
- » [Submit a Pattern Day Trader Reset request.](#)

The 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 a 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 a 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.

## Message Center Screen

When you click **Support > Message Center**, the Message Center appears.



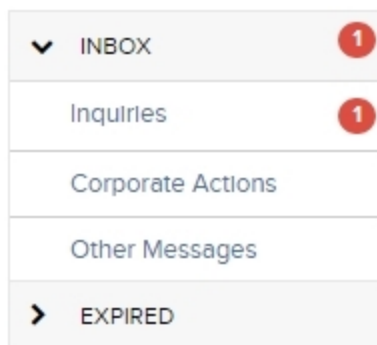
### Parts of the Message Center

- » By default, the Message Center shows your current Inquiries.
- » For each ticket or message in the list, the Message Center displays the Ref# (unique for each message), the date/time, a summary of the ticket or message, 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.

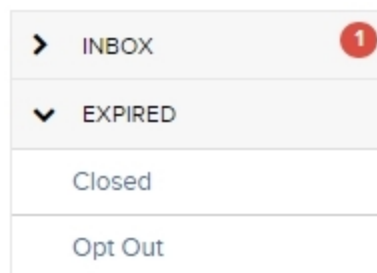
Inquiries

<input type="checkbox"/>	Ref#	Date/Time	Summary	Status
<input type="checkbox"/>	T297973	2017/06/22	...	Responded To
<input type="checkbox"/>	T297125	2017/06/22	Test...	Responded To

- » The INBOX menu on the left displays the number of unread messages you have in a circle.
- » Click the INBOX menu to expand it to access Inquiries, [Corporate Actions](#) and Other Messages. Click any of those items to view them.

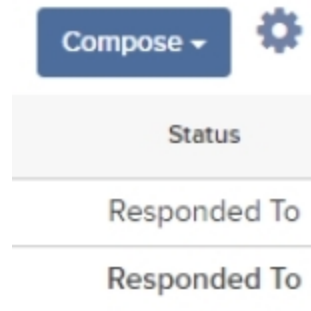


- » Expand the EXPIRED menu on the left to [view expired messages](#).



- » Click the Compose button to [create a new inquiry](#), or to submit a [Tax Correction Form](#), [Trade Cancellation Request](#) or [Pattern Day Trader Reset request](#).

- » Click the Preferences (gear) icon to access Message Center Preferences.



- » If you have more messages in your inbox than can be displayed on a single screen, use the page controls on the lower right of the Message Center to quickly navigate to another page of messages.



- » 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.

### Inquiries

<input type="checkbox"/>	Ref#	Date/Time	Summary
<input type="checkbox"/>	T297973	2017/06/22	...
<input checked="" type="checkbox"/>	T297125	2017/06/22	Test...

Delete Selected

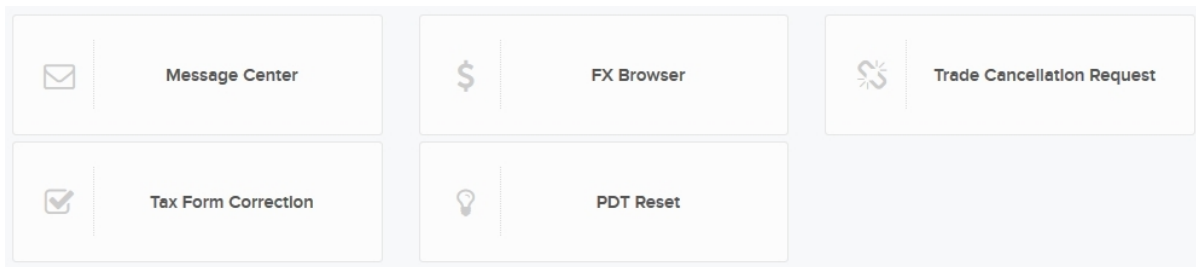


## Creating a New Ticket

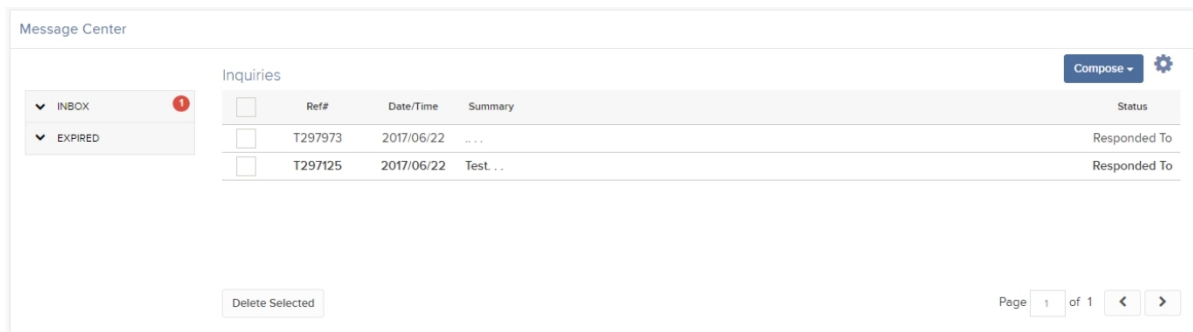
You create a new ticket in the Message Center. Before you create a new ticket, make sure that pop-ups are allowed in your web browser.

### To create a new inquiry ticket

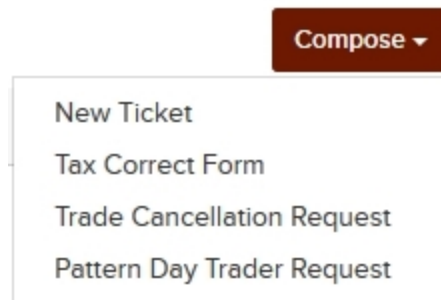
1. Click **Support**.



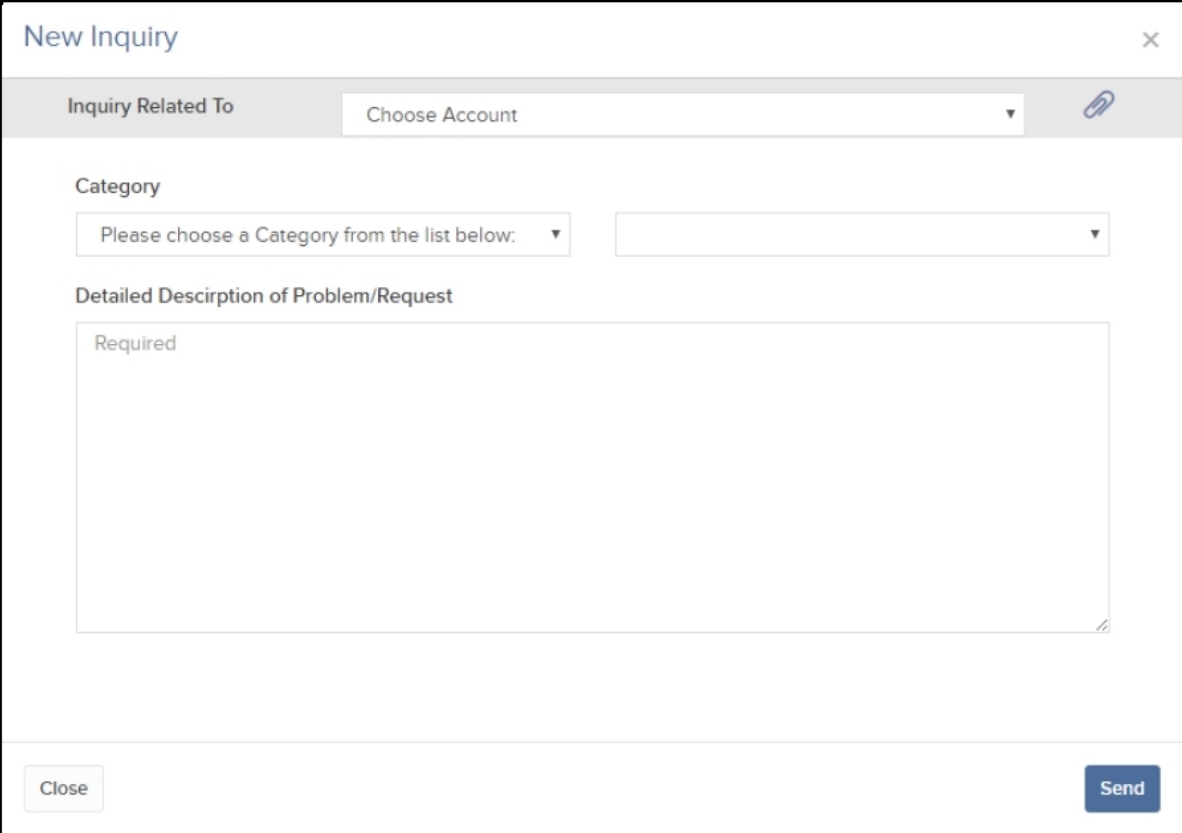
2. Click **Message Center**.



3. Click **Compose** and then click **New Ticket**.



The New Ticket window opens.



The screenshot shows a web form titled "New Inquiry" with a close button (X) in the top right corner. The form is divided into several sections:

- Inquiry Related To:** A header section containing a dropdown menu labeled "Choose Account" and a paperclip icon for attachments.
- Category:** A section with two dropdown menus. The first dropdown is labeled "Please choose a Category from the list below:" and the second is empty.
- Detailed Description of Problem/Request:** A large text area with a "Required" label in the top left corner.
- Buttons:** A "Close" button in the bottom left and a "Send" button in the bottom right.

4. Select the account for which you are submitting a ticket.
5. 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.

## Category

Please choose a Category from the list below: ▼

- Please choose a Category from the list below:
- Account Security & Protection
- Account Services
- Funds & Banking
- How to Use
- Products
- Technical Assistance
- Trade Issues
- Activity & Tax Statements
- Commissions, Fees & Interest
- Application Assistance

For example, if you select Account Services as the Category, the following subcategories are available:

Category

Account Services ▼

Detailed Description of Problem/Request

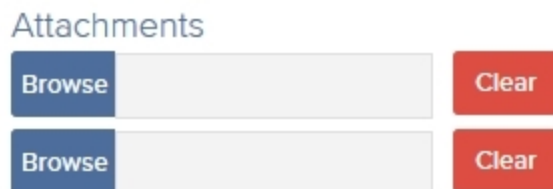
Required

Please choose the appropriate topic for 'Account Services' ▼

- Please choose the appropriate topic for 'Account Services'
- Tax Forms
- Close Account
- Corporate Actions/Dividends
- Account Configuration/Permissions
- Regulatory
- Commissions/Fees/Interest
- Complaints
- Market Data

6. In the Detailed Description field, enter the description of your inquiry. 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.

- Optionally attach up to two files to your inquiry. Click the paper clip icon, and then 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. Click **Clear** to remove an attachment from your ticket.



- 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.
- Your new inquiry is listed on the Tickets tab in the Message Center, along with the ticket reference number and a status of NEW.

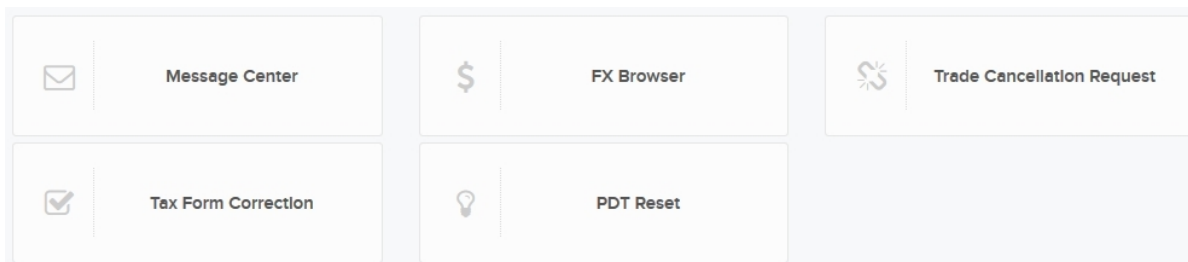
## Viewing Corporate Actions

You can view and participate in corporate actions in the Message Center.

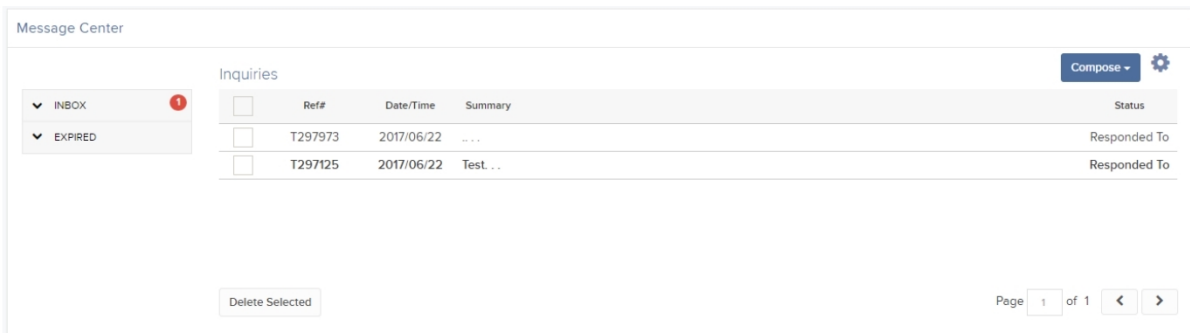
You can view notification of all upcoming corporate actions that may affect you, based on the positions you hold. This means for example, that regardless of whether you hold a stock, option, bond, or SSF position in ABC company, you will receive notification of any and all upcoming corporate actions 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

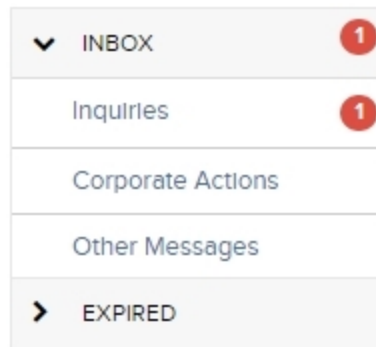
- Click **Support**.



## 2. Click **Message Center**.



## 3. Click INBOX on the left to expand it.



## 4. Click **Corporate Actions**. The list of messages updates to display available corporate actions.

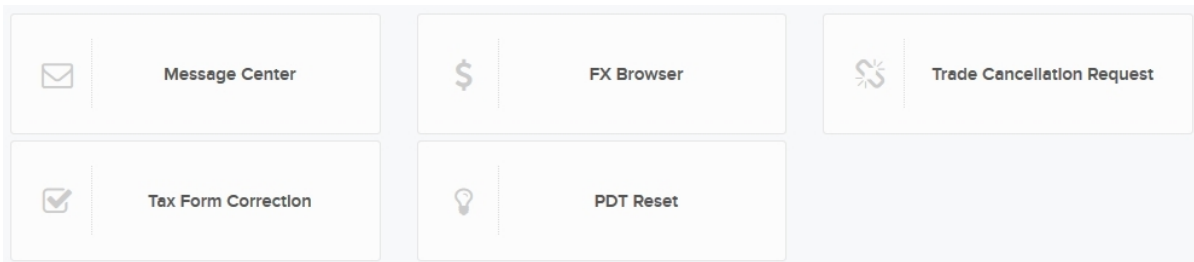
NEED THE REST OF THIS PROCEDURE!

## Viewing Expired Inquiry Tickets

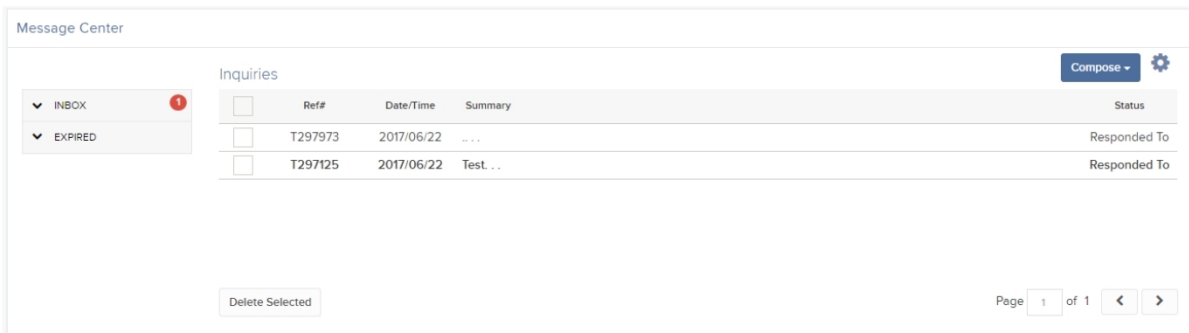
You can view closed inquiry tickets in the Message Center.

### To view expired tickets or messages

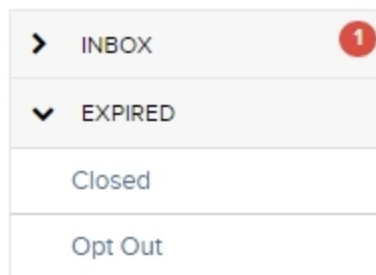
#### 1. Click **Support**.



## 2. Click **Message Center**.



## 3. Click EXPIRED on the left to expand it.



## 4. Click **Closed** to view inquiry tickets that have been closed. The list of messages updates accordingly.

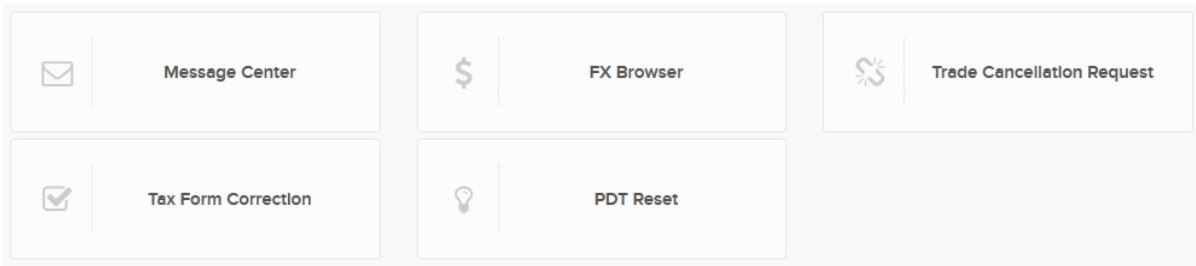
## Message Center Preferences

You can configure the following Message Center preferences:

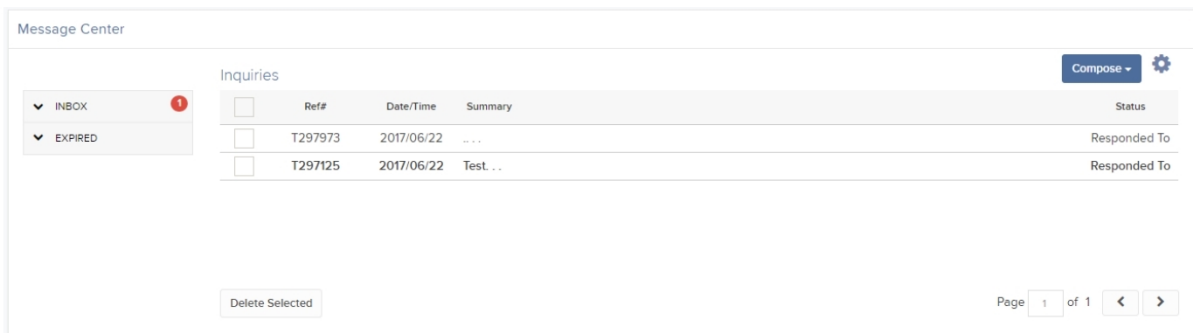
- » Set your preferred and secondary languages for message.
- » Tell us how to deliver inquiry ticket updates and general notices.
- » Set your email security level.

### To configure Message Center preferences

#### 1. Click **Support**.



2. Click **Message Center**.



3. Click the Preferences (gear) icon on the right side of the Message Center.

The Message Preferences window appears.

The screenshot shows a 'Preferences' dialog box with a close button (X) in the top right corner. The dialog is organized into several sections:

- Preferred Language:** Two dropdown menus. The 'Primary' dropdown is set to 'English' and the 'Secondary' dropdown is also set to 'English'.
- Ticket Inquiry Delivery Method:** Four toggle switches. 'Message Center' and 'E-mail' are turned on (blue), while 'Trader Workstation' and 'SMS / Text Message' are turned off (grey).
- General Notices Delivery Method:** Four toggle switches. 'Message Center' and 'E-mail' are turned on (blue), while 'Trader Workstation' and 'SMS / Text Message' are turned off (grey).
- E-mail Security level:** A horizontal toggle switch currently set to 'SECURE'.

At the bottom of the dialog, there is a 'Close' button on the left and a 'Save' button on the right.

4. Select a Preferred and Secondary Language for messages using the drop-downs.
5. For ticket inquiries, select one or more notification methods:
  - Message Center
  - Trader Workstation
  - Email
  - SMS/Text Message
5. General notices, set select one or more notification methods.
6. Set your email security level using the toggle switch:
  - SECURE- You will be send a generic notification that contains no private information.
  - NON-SECURE - You will receive the actual reply content. Note that this option may result in the content being viewable by an unauthorized third party.
7. Click **Save** to save your changes.

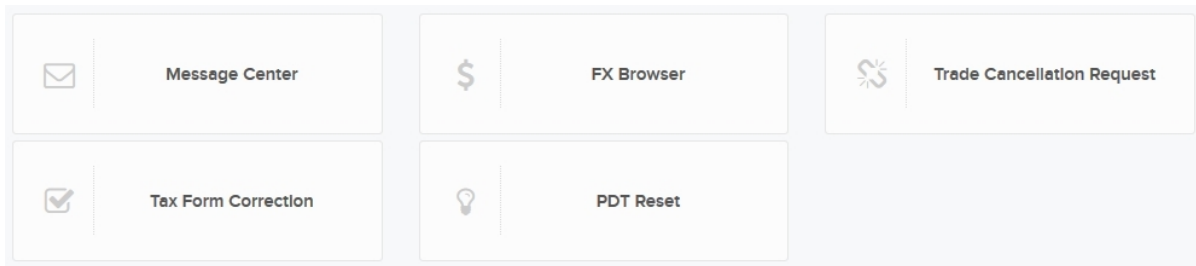


## Submitting a Tax Correction Form

You can submit a Tax Correction Form. 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.


### To submit a Tax Reporting Correction Form

1. Click **Support**.



2. Click **Tax Form Correction**.

The Tax Correction Form opens.

 **Note:** You can also access the Tax Correction Form by clicking the **Compose** button in the Message Center.

**Tax Information**

Tax Year: 2017

Indicate Your Tax Payer Status: U.S. Tax Payer

Reason for Correction: Optional  
(Add any extra information here)

**Type of Correction**

- > 1099-B Proceeds Stock/Equity Transactions
- > 1099-B for Futures Profit and Loss
- > 1099-DIV Dividends and Distributions
- > 1099-INT Securities Account Interest Income
- > 1099-MISC Miscellaneous Income
- > 1099-OID Original Issue Discount
- > 1099-R Distributions from IRAs
- > 5498 IRA Contribution Information
- > Tax Identification Number / Tax Payer Status

Close Submit

3. Select the tax year for which you wish to report a correction from tax year list.
4. Select your taxpayer status from the drop-down:
  - o U.S Taxpayer
  - o Canadian Taxpayer
  - o Non-U.S. Taxpayer

All available tax forms for your selected taxpayer status display in the Type of Correction section.

5. Optionally, type the reason for the correction.
6. Click the tax form you want to correct. The section expands to display the parts of the selected tax form that can be corrected.

Type of Correction

▼ 1099-B Proceeds Stock/Equity Transactions

Check all that apply

Box 2: Gross Proceeds       Box 4: Income Tax Withheld       Box 5: No. of Shares Exchanged

Box 6: Class of Stock Exchanged       Exemption from Reporting

> 1099-B for Futures Profit and Loss

> 1099-DIV Dividends and Distributions

> 1099-INT Securities Account Interest Income

7. Make your corrections to the tax form.
8. When you are finished correcting tax forms, click **Submit**.

## Canceling a Trade

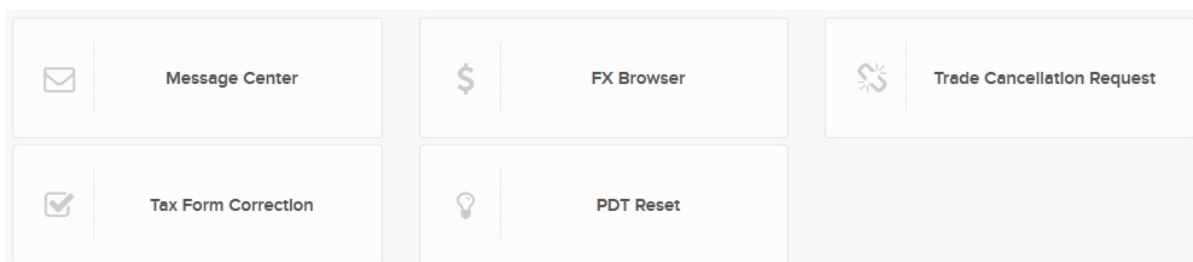
You can bust a trade using the Order Cancellation Request form. After you submit this form to inform us of problem or erroneous trades, we will report these trades to the appropriate exchange on a best efforts basis. Please note that this is a time-sensitive process. Most exchanges have very short time 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.

### To request a trade cancellation


#### To submit a Tax Reporting Correction Form

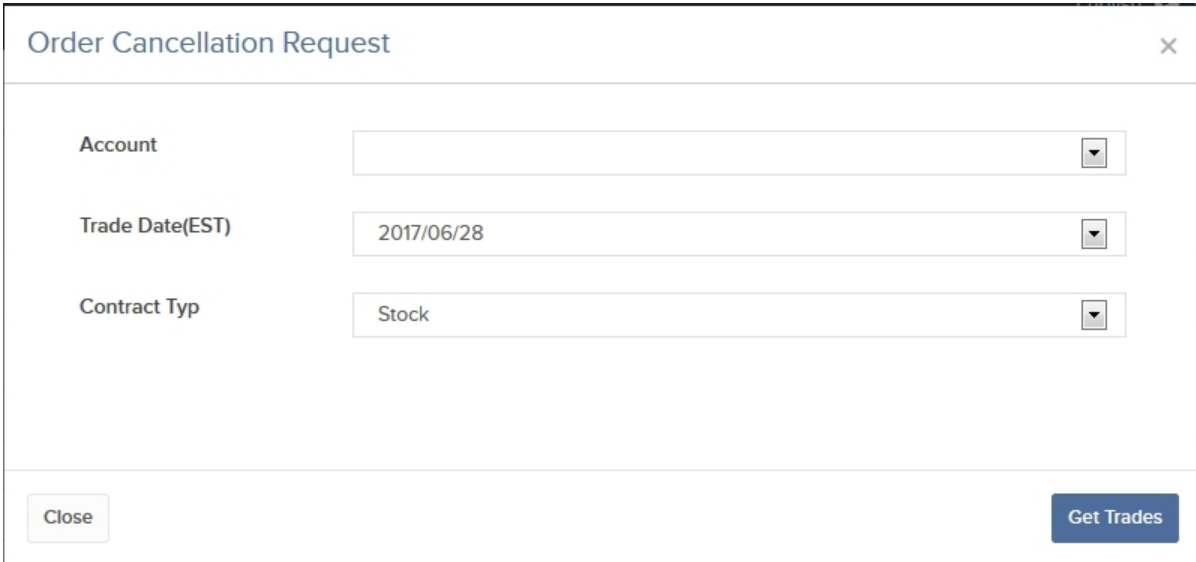
1. Click **Support**.



2. Click **Tax Form Correction**.

The Order Cancellation Form opens.

-  **Note:** You can also access the Order Cancellation Request by clicking the **Compose** button in the Message Center.



Order Cancellation Request

Account

Trade Date(EST) 2017/06/28

Contract Typ Stock

Close Get Trades

3. Select the Account in which the trade occurred, the date of the trade (based on Eastern Standard Time), and contract type from the drop-downs.
4. Click **Get Trades** to display all available trades of the selected instrument type on the selected date.
5. Click **Submit** to submit the form.

#### For more information

- » [Erroneous Trade Policy](#)

# Settings

This chapter describes the functions available from the Settings menu, which let you configure your account-level and user-level settings.

Topics included:

- » [Account Settings](#)
- » [User Settings](#)

## The Difference Between Account Settings and User Settings

Account Settings are configurable settings associated with your account rather than your username. These include your profile, financial information, trading permissions, account alias, base currency and many more. You can have multiple users for one account, but the settings associated with the account will apply to all users.

User Settings are configurable settings associated with you and your username, rather than with your account. These include security-related settings such as password and email address and the Secure Login System, as well as market data and research subscriptions. When you have multiple users set up for your account, each user (username) will have his or her own user settings.

## Account Settings

Account settings are configurable settings associated with your account, rather than with you and your username. All account settings are accessible from a single Account Settings screen, available from the Manage menu.

Account settings are grouped as follows on the Account Settings screen:

- » [Profile](#) - Modify personal information such as name and address for individual or entity account holders.
- » [Financial Information](#) - Update your net worth and income information, investment objectives and investment experience.
- » [Trading Permissions](#) - Specify the products you can trade where you can trade them.

### Configuration

The Configuration section also displays your Customer Type (Individual, Joint, etc.), and your legal residence (state/province and country).

### Users & Access Rights

- » Displays a list of existing users, lets you add users and set their Account Management access rights, and create user roles. Security Officers can view account-level access rights and configure the number of authorizers.

## Profile

The Profile(s) panel on the Account Settings screen shows a list of all user profiles for the current account. Profiles let you modify information for individuals or entities associated with your account. You can modify the following information:

- » Name
- » Date and country of birth
- » Country of citizenship
- » Marital status
- » Number of dependents
- » Account association
- » Residential address and mailing address, if different
- » Phone numbers
- » Employment information
- » Tax Identification Number



**Note:** User profiles are different from users that you add to your account through the Users and Access Rights process.

The Profile(s) panel lets you:

- » [View a user profile](#)
- » [Edit a user profile](#)
- » [Delete a user profile](#)

## Who can access Profiles?

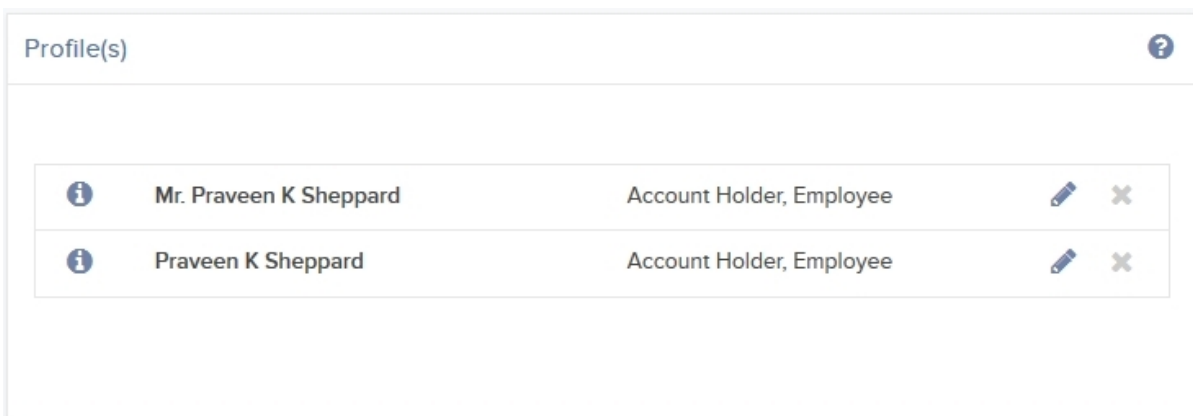
You can access Profiles if you are a(n):

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

## To view a profile

1. Click **Settings > Account Settings**.

The Account Settings screen opens. The Profile(s) panel appears at the top of the screen.



2. In the Profile panel, click the **i** icon next to the profile you want to view.

The profile opens in a popup window.

Mr. Praveen K Sheppard
×

---

Name	Mr. Praveen K Sheppard
Residential Address	-----
	United States
Mailing Address	890 Sheppard Ridge San Gabriel, California 91776 United States
Email Address	
Phone (Fax)	
Phone (Mobile)	
Phone (Work)	
Tax ID United States	*****0000
Date Of Birth	1953-11-19
Country of Citizenship	United States
Marital Status	Married
Number of Dependents	1
Employment Type	Self-Employed
Occupation	Insurance Broker
Employer Name	New Angel Insurance Agency Inc
Nature of Employer's Business	Insurance Services
Employer Address	
	United States

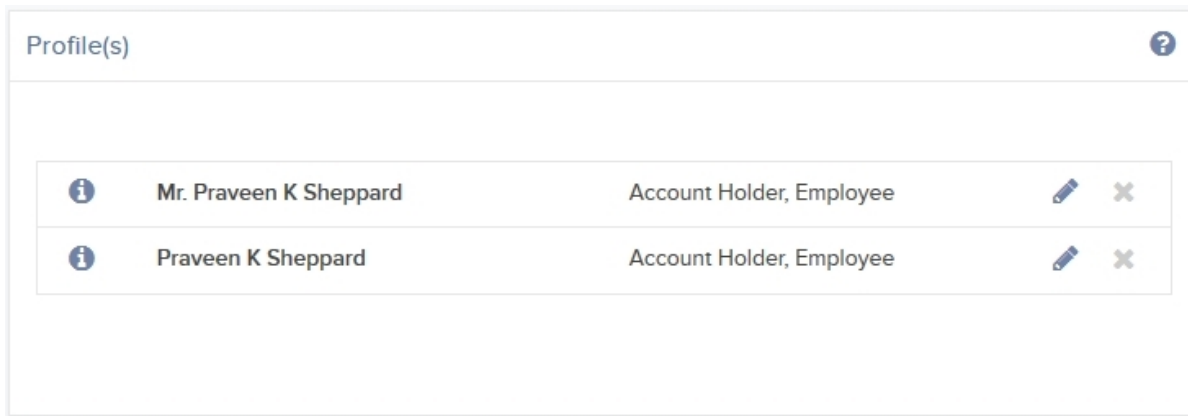
3. Click **Close** to close the popup.

## To edit a profile

1. Click **Settings > Account Settings**.

The Account Settings screen opens. The Profile(s) panel appears at the top of the screen.





2. Click the Edit (pencil) icon for the profile you want to modify.
3. Profile information appears on a series of screens. Modify information as required, clicking **CONTINUE** to advance through the screens.
4. Verify your information, and then click **CONTINUE**.  
If you need to make changes, click **Back**, then make your changes.
5. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
6. Click **Ok**.

### To delete a profile

1. Click **Settings > Account Settings**.


The Account Settings screen opens. The Profile(s) panel appears at the top of the screen.

2. In the Profile panel, click the **X** next to the profile you want to delete.
3. Click **Yes** to confirm.

## MiFIR Registration

Certain accounts associated are required to submit additional information to satisfy the following:

- » Markets in Financial Instruments Directive (MiFID II) directive
- » Markets in Financial Instruments Regulation - Regulation (EU) No 600/2014 (MiFIR)

 **Note:** To avoid trading without delays, MiFRI reporting obligations must be submitted by January 3, 2018.

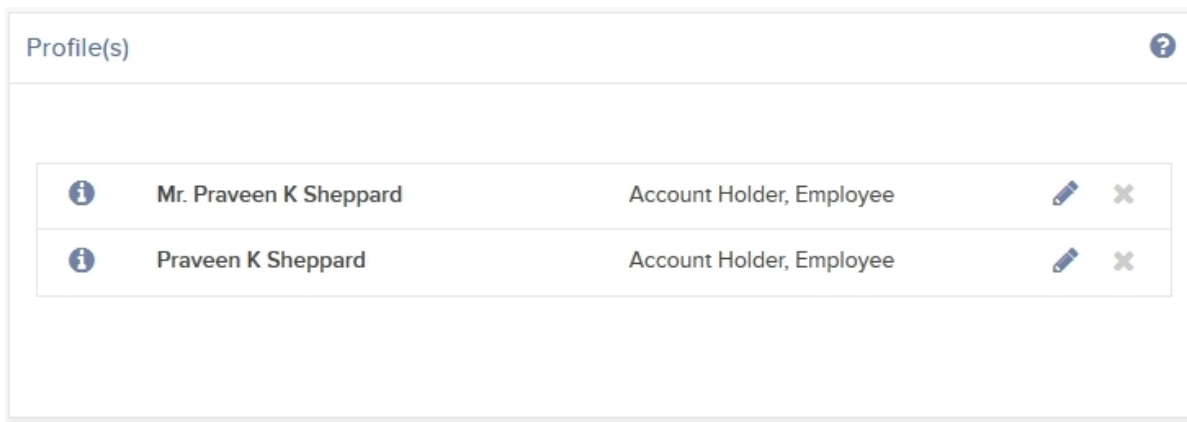
### Who is required to participate?

- » All IBUKL accounts other than sub-accounts of Non-Disclosed Introducing Brokers and Omnibus Introducing Brokers;
- » All IB (non IBUKL) accounts that are EEA investment firms, and have a Country of Legal Residence in the EEA who elect to have IBUK report their transactions.
- » All sub-accounts linked to a master account that is identified as an EEA Investment Firm (Including sub-accounts linked to an IBUKL Non-Disclosed Introducing Broker that is an EEA Investment Firm).

### To enter MiFR reporting information

1. Click **Settings > Account Settings**.

The Account Settings screen opens. The Profile(s) panel appears at the top of the screen.



2. Click the Edit (pencil) icon for the profile you want to modify.
3. Profile information appears on a series of screens. Modify information as required, clicking **CONTINUE** to advance through the screens.

**Identification**

Identification Type

Country of Issuance

Identification Number

---

**MIFIR National Client Identifiers**

In accordance with the information that you have provided in the previous sections, under MIFIR, it is required to obtain individual National Identifiers for the "MIFIR Country of Citizenship" shown below.

- Provide the relevant National Identifiers if you have the relevant document.
- If you do not have the relevant document or if your document is expired please tick I do not have the requested national identifier.

MIFIR Country of Citizenship

National ID

Do you have the the requested national identification?  YES

---

**Tax Residency**

Country

Tax Identification Number

Do you have a Tax Identification Number?  YES

[+ ADD ANOTHER TAX RESIDENCY](#)

- If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
- Click **Ok**.

## Financial Information

The Financial Information page lets you change the following financial information for your account, which you originally entered into your account application:

- » Income and net worth
- » Additional sources of income
- » Investment objectives
- » Investment experience

The products you are allowed to trade depend on your income and net worth and your investment objectives and experience. For detailed requirements for each product that you want to trade, see the [Trading Requirements](#) page on our website.

### 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
- » Advisor Master User
- » Advisor Client
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed Client
- » Investment Manager Master User
- » Fund

### To change your financial information

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose financial information you want to change.
3. On the Manage Account screen, view your current financial information displayed in the Financial Information panel.

Financial Information	
Annual Net Income	150,000 - 249,999 USD
Net Worth	500,000 - 999,999 USD
Liquid Net Worth	500,000 - 999,999 USD
Investment Objectives	Growth, Hedging, Speculation, Trading Profits
Stocks	2 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Options	3 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Futures	3 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Bonds	2 Years of Experience - 11 - 25 Trades per Year - Extensive Knowledge
Forex	3 Years of Experience - 26 - 50 Trades per Year - Extensive Knowledge

4. Click the Configure (gear) icon.



5. In the Income and Worth section, update the information as required.

#### Configure Financial Information

Use this page to update your financial information, investment objectives and investment experience.

#### Income and Worth

Annual Net Income in USD	150,000 - 249,999	<input type="button" value="▼"/>
Net Worth in USD (exclusive of residence)	500,000 - 999,999	<input type="button" value="▼"/>
Liquid Net Worth in USD	500,000 - 999,999	<input type="button" value="▼"/>
Total Assets in USD	1,000,000 - 4,999,999	<input type="button" value="▼"/>

6. In the Additional Source of Income section, click the **+Add** button and select an additional source of income, then enter the annual percentage of income and a description for the new source. Repeat for each additional source of income.

#### Additional Sources of Income

Provide one or more additional sources of income, the annual percentage from each source, and an optional description. All sources of income must add up to 100%.

Other	<input type="button" value="▼"/>	100 %	Savings/Investments
<input type="button" value="+ Add"/>			

7. In the Investment Objectives and Intended Purpose of Trading section, update your selections as required by clicking the boxes.

#### Investment Objectives and Intended Purpose of Trading

<input checked="" type="checkbox"/> Growth	<input checked="" type="checkbox"/> Hedging	<input type="checkbox"/> Income
<input type="checkbox"/> Preservation of Capital	<input checked="" type="checkbox"/> Speculation	<input checked="" type="checkbox"/> Trading Profits

8. In the Investment Experience section, update your selections as required. Remember, different products require different levels of experience.

Investment Experience			
Stocks	2 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Options	3 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Futures	3 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Bonds	2 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Forex	3 Years of Experience	26 - 50 Trades per Year	Extensive Knowledge

9. Click **CONTINUE**.
10. Verify the updated information and then click **CONTINUE**.
11. If you need to make further changes, click **Back**, then make corrections before submitting.
12. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
13. Click **Ok**.

## Trading Permissions

Trading permissions specify the products you can trade where you can trade them. You modify existing trade permissions or subscribe to new permissions on the Trading Permissions screen. When specifying permissions, you will be asked to sign any risk disclosures required by local regulatory authority.

On the Trading Permissions screen, you can:

- » Join trading programs:
  - Stock Yield Enhancement Program - This program offers participating accounts the opportunity to earn additional income from fully paid shares by allowing us to borrow those shares from you in exchange for cash collateral, and then lend the shares to traders who want to sell them short and are willing pay interest borrow them. Note that if you leave this program, you must wait 90 days before you can re-enroll in the program.
  - Pre-Borrow Program - Portfolio Margin customers can sign up for this 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.

For more information on both of these programs, see the [Securities Financing](#) page on our website.

- » Request trading permissions:
  - Trading permissions are organized by product and then by country.
  - Use the drop-downs at the top of the section to select which countries and products you want to see, or view all countries and products.
  - Request trading permissions in all countries and products with a single click.
  - In many cases, you will be asked to modify your financial information, including net income, investment objectives and trading experience. Different products require different combinations of income, objectives and experience requirements. For detailed information about these requirements, see the [Trading Requirements](#) page on our website.
- » Request limited options trading permissions: If you want to trade options but do not have enough experience, you can select Limited Option Trading on the Trading Permission screen. Limited option trading is available with any investment objective that you select on the Configure Financial Information screen. Limited option trading lets you trade these option strategies:
  - Long Call or Put
  - Covered Calls
  - Short Naked Put: Only if covered by cash
  - Call Spread: Only European-style cash-settled
  - Put Spread: Only European-style cash-settled
  - Long Butterfly: Only European-style cash settled
  - Iron Condor: Only European-style cash settled
  - Long Call and Put
- » Request the following trading permissions if you are eligible:
  - Clients can trade United Kingdom CFDs and/or Metals if they meet the eligibility requirements. See [Trading UK CFDs and Metals](#) for more information.
  - Clients can trade Cash Forex if they meet the eligibility requirements. See [Trading Cash Forex](#) for more information.

### **Who can access the Trading Permissions screen?**

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
- » Advisor Master User (can only view)
- » Advisor Client
- » Proprietary Trading Group Master User
- » Broker Master User
- » Broker Fully Disclosed Client
- » Investment Manager Master User (can only view)
- » Fund

### To configure trading permissions

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose trading permissions you want to change.

The Account Settings screen opens. The Trading Permissions panel displays your current trading permissions.

Trading Permissions	
Stocks	Australia, Austria, Belgium, Hong Kong, Italy, Japan, Mexico, Netherlands, Spain, Sweden, Switzerland, United Kingdom, United States, United States (Algorithmic Execution Venue), United States (T+2 Settlement Program)
Bonds	Europe, Hong Kong, United States
Options	United States
Futures	Australia, France, Germany, Italy, Japan, Republic of Korea, Mexico, Netherlands, Norway, Singapore, Spain, Sweden, Switzerland, United Kingdom, United States, United States (Floor Based Exchanges)
Futures Options	Australia, France, Germany, Japan, Singapore, Spain, United Kingdom, United States, United States (Floor Based Exchanges)
Single Stock Futures	United States
Stock and Index CFDs	Global
Mutual Funds	United States
Cash Forex	Global
Currency Conversion	Global
Metals	Global

3. In the Trading Permissions panel, click the **Configure** (gear) icon.



The Trading Permissions screen opens.

Trading Permissions (U1817569)

Account Settings / Trading Permissions

Configure Trading Permissions and Programs  
Use this page to view or modify existing trading permissions and programs or subscribe to new ones.

**Trading Programs**  
Participate in any program listed below by checking the box.

Stock Yield Enhancement Program

Pre-Borrow Program

**Trading Permissions**  
Check the products that you want to trade and the countries in which you want to trade them. Select regions or products in any order.

All Regions  All Products

**Stocks**

Australia	Austria	Belgium
Canada	France	Germany
Hong Kong	Hong Kong (allows stock short selling)	Italy
Japan	Mexico	Netherlands
Norway	Singapore	Spain
Sweden	Switzerland	United Kingdom
United States <input checked="" type="checkbox"/>	United States (Penny Stocks)	United States (Algorithmic Execution Venue)
United States (T-2 Settlement Program)		

**Bonds**

- In the Trading Programs section of the page, sign up for a trading program by selecting the box next to it. If you do not have a Portfolio Margin account, you will not see the Pre-Borrow Program. Leave a program by deselecting the box next to it.

### Trading Programs

Participate in any program listed below by checking the box.

Stock Yield Enhancement Program

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 with a check mark next to them.

For example, the following image shows an account with stocks and options trading permissions in the United States.

#### Trading Permissions

Check the products that you want to trade and the countries in which you want to trade them. Select regions or products in any order.

All Regions ▾

All Products ▾

Select All

---

**Stocks**

Australia	Austria	Belgium
Canada	France	Germany
Hong Kong	Hong Kong (allows stock short selling)	Italy
Japan	Mexico	Netherlands
Norway	Singapore	Spain
Sweden	Switzerland	United Kingdom
United States ✓	United States (Penny Stocks)	United States (Algorithmic Execution Venue)
United States (T+2 Settlement Program)		

---

**Bonds**

Europe	Hong Kong	United States
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---

**Options**

United States ✓
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Use the filter drop-downs at the top of the section to change the countries and products that are displayed:

#### Trading Permissions

Check the products that you want to trade and the countries in which you want to trade them. Select regions or products in any order.

All Regions ▾

All Products ▾

Select All

- Select a specific country to display (for example, United States), or select *All Regions* to display all countries.
- Select a specific product to display (for example, stocks), or select *All Products* to display all

products.

- Click **Select All** to request trading permissions for all products in all available countries.
6. To request specific products to trade in specific countries, click each country in each product section to place a check mark next to them.

For example, the following image shows a request for stock trading permissions in the United States and several European countries.

**Stocks**

Australia	Austria	Belgium
Canada	France ✓	Germany ✓
Hong Kong	Hong Kong (allows stock short selling)	Italy
Japan	Mexico ✓	Netherlands ✓
Norway	Singapore	Spain ✓
Sweden	Switzerland	United Kingdom ✓
United States ✓	United States (Penny Stocks)	United States (Algorithmic Execution Venue)
United States (T+2 Settlement Program)		

7. Click **CONTINUE**.
8. If you selected Cash Forex trading permissions, you are prompted to answer a few questions to determine your eligibility. Click **CONTINUE**.

Cash Forex Qualification

Are you a dealer (i.e., someone that regularly enters into, makes a market in or holds itself out as a dealer in forex or retail commodity transactions) as defined in NFA Financial Requirement section 11(e)?

YES  NO

Back
Continue

The Configure Financial Information page opens.

## Configure Financial Information

Your requested changes require you to update your financial information, investment objectives and/or investment experience for the reasons listed below.

- Your investment objectives are not consistent with the type of account you have applied for. Please re-check your selected objectives or re-apply later if your objectives change.
- We require our customers to have executed at least 100 prior trades for any product type (e.g. Stock, Option, Futures, etc) in order to qualify as a customer. Please check the number of years and number of trades information entered, and if incorrect, change and click the continue button. If correct, we encourage you to apply again when you have gained additional trading experience.
- Insufficient knowledge level for Options.
- Insufficient knowledge level for Futures.
- Insufficient knowledge level for Bonds.

## Income and Worth

Annual Net Income in USD	50,000 - 99,999
Net Worth in USD (exclusive of residence)	500,000 - 999,999
Liquid Net Worth in USD	100,000 - 249,999
Total Assets in USD	500,000 - 999,999

## Additional Sources of Income

Provide one or more additional sources of income, the annual percentage from each source, and an optional description. All sources of income must add up to 100%.

Do you have any additional sources of income?

YES

Other	50 %	N/A	<input type="checkbox"/>
Inheritance	50 %	Rich uncle	<input type="checkbox"/>
<input type="button" value="+ Add"/>			

## Investment Objectives and Intended Purpose of Trading

<input checked="" type="checkbox"/> Growth	<input type="checkbox"/> Hedging	<input type="checkbox"/> Income
<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Speculation	<input type="checkbox"/> Trading Profits

## Investment Experience

Stocks	5 Years of Experience	11 - 25 Trades per Year	Extensive Knowledge
Options	2 Years of Experience	11 - 25 Trades per Year	Good Knowledge
Futures	3 Years of Experience	1 - 10 Trades per Year	Good Knowledge
Bonds	5 Years of Experience	11 - 25 Trades per Year	Good Knowledge
Forex	2 Years of Experience	11 - 25 Trades per Year	Good Knowledge

9. Modify the information on this screen as required and then click **CONTINUE**.

- Update your income and net worth by selecting the appropriate range of values from the drop-downs.
- Update source of additional income by clicking YES and then completing all fields for the source of income. Click the **+ Add** button to add more sources of income.

- Select the box next to each applicable investment objective. Remember, different products require different investment objectives.
- For each product you want to trade, select years of experience, number of trades per year and knowledge level from the drop-downs.

Some products require specific investment experience, which you can also modify on this page.

10. Depending on the products that you have requested permission to trade, you are prompted to sign risk disclosures and/or agreements, as required by law. Read each disclosure and agreement and indicate your agreement by typing your name in the Signature field. Click **CONTINUE** after signing each disclosure or agreement.
11. Review your changes on the next screen and then click **CONTINUE**.

#### Review Trading Permission Changes

##### Stocks

Australia (Upgrade Pending)	Austria (Upgrade Pending)	Belgium (Upgrade Pending)
Canada (Upgrade Pending)	France (Upgrade Pending)	Germany (Upgrade Pending)
Hong Kong (Upgrade Pending)	Hong Kong (allows stock short selling) (Upgrade Pending)	Italy (Upgrade Pending)
Mexico (Upgrade Pending)	Netherlands (Upgrade Pending)	Japan (Upgrade Pending)
Singapore (Upgrade Pending)	Spain (Upgrade Pending)	Norway (Upgrade Pending)
Switzerland (Upgrade Pending)	United Kingdom (Upgrade Pending)	Sweden (Upgrade Pending)
United States (Algorithmic Execution Venue) (Upgrade Pending)	United States (T+2 Settlement Program) (Upgrade Pending)	United States (Upgrade Pending)

##### Bonds

Europe (Upgrade Pending)	Hong Kong (Upgrade Pending)	United States (Upgrade Pending)
--------------------------	-----------------------------	---------------------------------

##### Options

United States (Upgrade Pending)

##### Futures

Australia (Upgrade Pending)	Belgium (Upgrade Pending)	Canada (Upgrade Pending)
France (Upgrade Pending)	Germany (Upgrade Pending)	Hong Kong (Upgrade Pending)
Italy (Upgrade Pending)	Japan (Upgrade Pending)	Republic of Korea (Upgrade Pending)
Mexico (Upgrade Pending)	Netherlands (Upgrade Pending)	Norway (Upgrade Pending)
Singapore (Upgrade Pending)	Spain (Upgrade Pending)	Sweden (Upgrade Pending)

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 , Broker Client 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 cli-	Yes

Customer	Eligible to trade UK CFDs
Customers whose Master Account satisfies all other eligibility rules	
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 Indian 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

Customer	Eligible to trade Metals
Fully-disclosed Broker Clients of US and Canadian Brokers	No

### To trade UK CFDs and/or Metals if You are an Advisor Client, Broker Client 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 **Back**, 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.




## Trading Cash Forex

Cash Forex lets you borrow to establish a Forex position (i.e., trade Forex on a leveraged basis). If you meet the eligibility requirements listed below, you can request permission to trade Cash Forex.

### Cash Forex Eligibility Requirements

In order to be eligible to trade Cash Forex, you must be an Eligible Contract Participant (ECP).

 **Note:** An Eligible Contract Participant is generally an individual or organization with assets of over \$10 MM (or \$5 MM if trades are hedging). The complete definition is located in Section 1a(18) of the Commodity Exchange Act. For more information about the Commodity Exchange Act, see the [U.S. Commodity Futures Trading Commission website](#), or read the complete definition [here](#).

### Cash Forex Eligibility Requirements

Customer	ECP Required to Trade Cash Forex
IB LLC customers	Yes
IB-UK customers introduced by IB LLC on a fully disclosed basis	Yes
Customer accounts handled solely by IB UK (with no involvement by IB LLC)	No
All IB Canada customers	No
All IB Hong Kong customers	No
All IB Japan customers	No
All IB India customers	No
Fully-disclosed Broker clients	Yes
All Non-disclosed and Omnibus Broker clients	No

### To request permission to trade Cash Forex

1. Click **Settings > Trade Configuration > Permissions**. The Trading Permissions page appears by default.
2. Request permission to trade Cash Forex by selecting the appropriate check box(es).
3. Click **CONTINUE**.
4. Review and your investment objectives, investment experience and financial information, modifying information where required, and then click **CONTINUE**.
5. If you are not already an Eligible Contract Participant (ECP), you are prompted to complete a brief questionnaire to become an ECP.
6. We will review your request. Once approved as an ECP, you will be able to trade Cash Forex.

## Configuration

The Configuration panel on the Account Settings screen lets you configure the following account settings:

- » [Account Alias](#) - Define an alternate name for your account that is easier to remember than your Account ID.
- » [Account Type](#) - Upgrade your Cash account to a Margin account, or upgrade your Margin account to a Portfolio Margin account
- » [Base Currency](#) - Modify the base currency for your account.
- » [Commissions Pricing Structure](#) - Modify your commission plan.
- » [Dividend Reinvestment](#) - Sign up to automatically invest cash dividends from common and preferred stocks in the underlying stock.
- » [Excess Funds Sweep](#) - Configure how you want us to handle the transfer of excess funds between the Securities and Commodities segments of your account.
- » [Paper Trading Account](#) - Sign up for a paper trading account, which lets you trade in a simulated environment.
- » [Institutional Services](#) - Sign up our clearing, prime broker and execution services.
- » [Investor Category](#) - Answer a series of questions to determine if you qualify to trade a wider range of trading products.
- » [Large Trader ID](#) - Configure your account to use your SEC Large Trader ID number(s).
- » [Regulatory Information](#) - Update the regulatory information for your account.

- » [Bank Insured Deposit Program](#) - Enroll your account in the FDIC Bank Insured Deposit Sweep Program.
- » [IB FYI](#) - Configure automatic actions in your trading account.
- » [IRA Activity](#) - View your IRA contributions and distributions by tax year.
- » [Create, Move, Link or Partition an Account](#) - Create a new linked account, link existing accounts, move your account to an Advisor- or Broker-managed account, or divide your account into multiple partitions.

Your Customer Type and Legal Residence are displayed at the top of the Configuration panel.

## Account Alias

Account Alias 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 you are an Advisor Master, the account aliases will also be reflected in our trading platform.

### Who can access Account Alias?

You can access this function 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 **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Account Alias.

### Account Alias ×

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An account alias can be anything that is easier to remember than your Account ID; for example, your first name or a nickname.

Account Alias

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**Save**


4. Type the account alias in the Account Alias field, then click **Save**.

The popup window displays a confirmation message.

5. Click **Close**. Your new Base Currency is now displayed in the Configuration panel.

## Account Type

Use the Account Type screen to upgrade your Cash account to a Margin account, or upgrade your Margin account to a Portfolio Margin account.

 **Note:** Before you can upgrade to a margin account, you must meet the eligibility requirements of those accounts.

### Who can access the Account Type screen?

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 (master user cannot change the Account Type of the master account)
- » Advisor Client
- » Proprietary Trading Group Master User
- » Broker Master User (can also change the Account Type of Non-Disclosed client accounts)

- » Broker Fully Disclosed Client
- » Fund

### To change your account type

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account type you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Account Type.

Configure Account Type

Upgrade your Cash account to a Margin account, or your Margin account to Portfolio Margin account. You must be approved for options trading to qualify for a Portfolio Margin account.

Account Type

Would you like to change your trading permissions?  NO

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 Customer Service Help Ticket and may respond accordingly. Thank you for your patience.

Continue

4. In the Account Type drop-down, select the type of margin account to which you want to upgrade.
  - Cash accounts can upgrade to a Margin account.
  - To upgrade to a Portfolio Margin account, you must be approved to trade options and your account must have at least USD 110,000 (or USD equivalent) in Net Liquidation Value.
  - To change your trading permissions as part of this process, select **YES**.
5. Click **CONTINUE**.
6. If you chose to change your trading permissions, the Configure Trading Permissions screen opens. Configure trading permissions and trading programs on this screen and then click **CONTINUE**.
7. Answer the questions on the next screen by selecting YES or NO, and then click **CONTINUE**.

8. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Enter the confirmation number in the field provided and then click **CONTINUE**.
9. Type your name in the Signature field on any risk disclosures that open, and then click **CONTINUE**.
10. Your request is submitted. Click **Ok**.

## Base Currency

Base Currency 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 Base Currency?

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

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master User
- » Advisor Client
- » 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
- » Investment Manager Master User
- » Fund

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### To modify the base currency for an account

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose base currency you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Base Currency.

## Base Currency



Your base currency determines the currency of translation for your statements and the currency used for the determination of margin requirements. In addition, charges related to market data and research, inactivity fees and commission on Forex trades are also charged in your base currency.

Base currency changes will not take effect until the next trading day.

Base Currency

United States Dollar (USD)



Save

4. Select your desired base base currency from the drop-down, and then click **Save**.

5. Verify your selection, then click **CONTINUE** to submit your currency change request.

Note that base currency changes do not take effect until the next trading day. Once your change takes effect, you will see your new base currency displayed in the Configuration panel.

## Commissions Pricing Structure

Pricing Structure lets you modify your commission plan structure for stocks, warrants and ETFs; and for futures.

### Who can access Pricing Structure?

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

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master User
- » 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 **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose base currency you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Commissions Pricing Structure. A popup window opens.

Commissions Pricing Structure ×

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Select your pricing structure for Stocks(ETFs, Warrants) and Futures.

Stocks (ETFs, Warrants) Pricing Structure

Futures Pricing Structure

[Save](#)

4. In the popup window, select **Fixed** or **Tiered** for all stocks, ETFs and warrants.
5. Select **Fixed** or **Tiered** for futures, then click **Save**.
6. Click **Close**.

### For more information

» [Commissions](#)

## 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 and IB UK clients only.
- » Only US-listed common and preferred stocks are eligible for Dividend Reinvestment.



- » 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. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Dividend Reinvestment.

The Dividend Reinvestment screen opens in a popup window.

## Dividend Reinvestment



You are currently unsubscribed from Dividend Reinvestment Plan.  
If you want to subscribe, please sign below and click on Subscribe.

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 US 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

Username:

Account Title: ,

Dated: 2017-06-01

**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.

Signature:

Sign Here

Capture screenshot.

Subscribe

2. Type your signature in the field provided, and then click **Subscribe**.
3. Click **Close**.

Automatic dividend reinvestment is effective the next day.

4. To disable dividend reinvestment, in the Configuration panel on the Account Settings screen, click the Configure (gear) icon for Dividend Reinvestment. Click **Unsubscribe** in the popup window.

#### Dividend Reinvestment



You are currently **subscribed** to Dividend Reinvestment Plan.  
If you want to **Unsubscribe**, please click on Unsubscribe button below.

Unsubscribe

## 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 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 Excess Funds Sweep screen?

All accounts can access this screen EXCEPT:

- » Advisor Master User
  - » Investment Manager Master User
- 

### To set your excess funds sweep method

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Excess Funds Sweep.
4. Read the important information on the page, then select a sweep method from the drop-down menu:
  - Do not sweep excess funds
  - Sweep excess funds into my securities account
  - Sweep excess funds into my commodities account
3. Click **Save**. Your setting is saved immediately.

## Paper Trading Account

Paper trading lets you use the full range of trading facilities in a simulated environment using real market conditions. Use this page to request a Paper Trading Account. 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.

All new clients automatically receive a paper trading account with 1,000,000 USD of paper trading Equity with Loan Value, and this equity will fluctuate as if the trades had executed in the real market. Older accounts may not have paper trading accounts.

For more information about paper trading accounts, see [About Paper Trading Accounts](#).

The Paper Trading Account screen lets you:

- » Configure your existing paper trading account;
- » Request a paper trading account if you do not already have one.

### **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
  - » Advisor Master User
  - » Advisor Client
  - » Proprietary Trading Group Master User
  - » Proprietary Trading Group Sub User
  - » Broker Master User (master account only)
  - » Broker Fully Disclosed Client
  - » Broker Non-Disclosed Client
  - » Investment Manager Master User
  - » Fund
- 

### **To configure your paper trading account**

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose paper trading account you want to configure.
3. In the Configuration panel, click the Configure (gear) icon for Paper Trading Account.

### **To open a new paper trading account**

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Paper Trading Account.
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 **Back**. The system will generate a full username for you when you click **Back**.

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

Topic includes:

- » [How Paper Trading Accounts Work](#)
- » [Limitations](#)

## How Paper Trading Accounts Work

- » It works just like your production account. You can use most order types, trade all instruments available through IB TWSour trading platform, 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.
- » New individual account holders automatically receive a paper trading account. Existing account holders with a paper trading account can log in to TWS with their production account and select either production or paper trading account without having to use their paper trading account login credentials. Note that Advisors, Brokers, Advisor and Broker clients, Hedge Funds, Administrators, Referrers and residents of India and Japan will still have to log in to their paper trading accounts with their paper trading account credentials.
- » 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 paper trading accounts 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.

## 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:

- » **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.
- » **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. Access statements from Reporting > Statements.



- » **Model Statements:** Models provide an efficient method for advisors to manage multiple trading strategies for their clients without requiring them to open multiple accounts. 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. Access model statements from Reporting > Statements.
- » **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. Access flex queries from Reporting > Statements.
- » **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. Access flex queries from Reporting > Statements.
- » **Change 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). Access Change Password from Settings > User Settings.

## 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 **Back**. A page verifying your request appear.

Reset requests received by 1600 hours ET are processed by the next day.

## Paper Trading Activity Statements and Model Statements

### To run a paper trading activity statement

1. Log into Account Management with your paper trading account username and password.
2. Click **Reporting > Statements**.
3. In the Run a Statement panel, make selections in all fields (select *Activity* or *Model* as the Standard Statement Type), and then click **Run Statement**.

## Activity Flex Queries and Trade Confirmation 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 format, TEXT or XML, of the report.

### To run a flex query

1. Log into Account Management with your paper trading account username and password.
2. Click **Reporting > Statements**.
3. In the Custom Statements panel, click the Run icon for the flex query you want to run.

You are prompted to save the flex query.

For instructions on how to create a new flex query, see [Flex Query Templates](#).

## Change Password

### To change your paper trading account password

1. Log into Account Management with your paper trading account username and password.
2. Click **Settings > User Settings**. The User Settings screen opens.
3. In the Login panel, click the Configure (gear) icon for Change Password.
4. 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.
5. Retype the new password and then click **CONTINUE**.
6. In the Confirmation Number field, type the confirmation number from the email you received.
7. Click **CONTINUE**. The password change is effective immediately.

## 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.

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
  - » Advisor Master User
  - » Proprietary Trading Group Master User (STL accounts)
  - » Broker Master User (Fully Disclosed and Non-Disclosed)
  - » Broker Fully Disclosed Client
  - » Investment Manager Master User (Multiple Fund Account)
- 

### To add a Large Trader ID Number to your account

1. Click **Settings > Account Settings > Account Information > Large Trader ID**.

If you have not yet added a Large Trader ID to your account, a page with general information about Large Trader IDs appears.

If you have already added Large Trader ID's to your account, a page appears with all of your Large Trader IDs displayed.

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.
4. 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.
5. 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.

1. Click **Settings > Account Settings > Account Information > Large Trader ID**.
2. Click the blue pen icon next to the ID you want to add a suffix to.
3. In the Edit Large Trader ID dialog, type the suffix then click **Save**.

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

1. Click **Settings > Account Information > Large Trader ID**.
2. Click the blue pen icon next to the Large Trader ID that you want to deactivate or reactivate.
3. Click the appropriate toggle button, then click **Save**.
4. Click the "x" icon next to the Large Trader ID that you want to deactivate, then click **Yes** in the dialog to confirm.

Active IDs give you the choice of Deactivate or Terminate. Inactive IDs give you the choice of Activate or Terminate.

## Regulatory Information

The Regulatory Information page lets you update the regulatory information for your account. You originally provided this information in your account application.

### Who can access the Regulatory Information page?

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

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- » Individual, Joint or Trust Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master Individual
- » Advisor Client Individual
- » Fully Disclosed Broker Client

## To update your regulatory information

1. Click **Settings Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Regulatory Information.

Regulatory Information U74958

Account Settings / Regulatory Information

### Configure Regulatory Information

Update the regulatory information associated with your account by answering the following questions

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?  YES  NO

Is the account holder a member, employee, associated or affiliated person of a regulatory or a self-regulatory organization or exchange?  YES  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?  YES  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?  YES  NO

Is the account holder a director, a 10% shareholder or a policy-making officer of any publicly traded company?  YES  NO

Capture screenshot

CONTINUE

 **Note:** Depending on where you are located, the actual questions that appear may be different from those shown in the image above.

3. Update your regulatory information as required, and then click **CONTINUE**. For each question on the page, answer Yes or No using YES/NO toggle switch. Depending on your answers, some

questions will require you to enter additional information.

4. Verify your changes, then click **CONTINUE**.
5. Click **OK**.

## 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?

- » 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. Go to **Settings > Account Settings > Configuration > Trader Referral**.

Trader Referral

Account Settings / Trader Referral

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  Required

Last Name  Required

Email Address  Required

Select Language for the Email Content  Choose One ▼

Country of Legal Residence  Choose One ▼

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.

U.S. Customers

- A payment of \$200.00 will be sent for each referred person who maintains an active IB account for one year.

Non-U.S. 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 household.

Payments are subject to the terms and restrictions of the program. IB is under no obligation to pay out the referral bonus should all terms not be met.

Please note that you cannot participate in both the Trader Referral and IB Financial Advisor programs.

2. Enter the first name, last name, email address, language and country of legal residence 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.

## Insured Bank Deposit Sweep Program


The Insured Bank Deposit Sweep Program allows eligible IB clients to obtain up to \$2,500,000 of FDIC insurance in addition to existing \$250,000 SIPC coverage for total coverage of \$2,750,000.

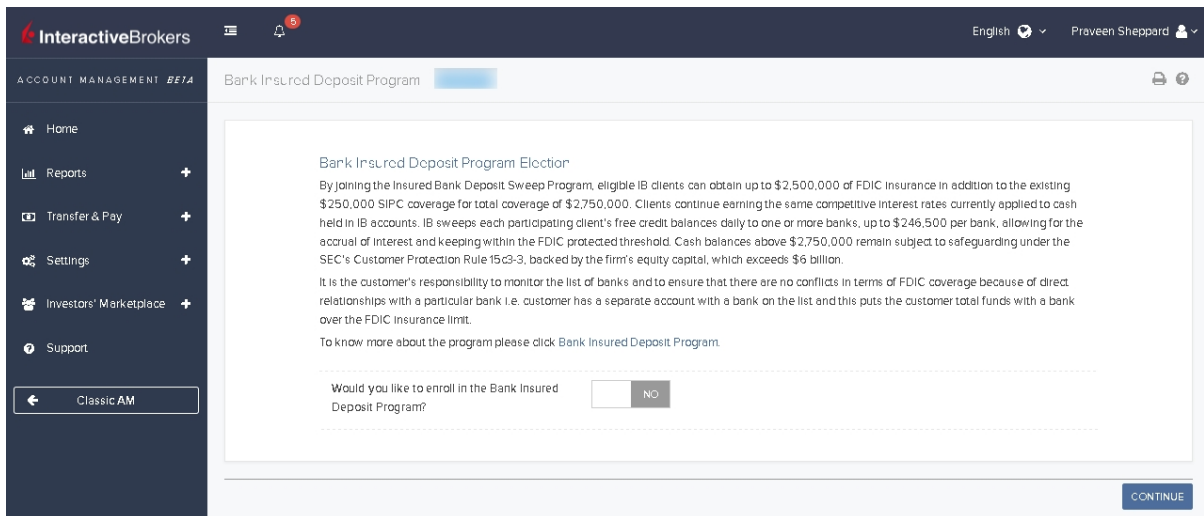
## Who is eligible for the Insured Bank Deposit Sweep Program?

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

- » Individual accounts without a designated transfer-on-death beneficiary
- » Organizational accounts

## To enroll in the Insured Bank Deposit Sweep Program

1. Click **Settings > Account Information** and locate the configuration section.
2. Click the  icon.



The Bank Insured Deposit Program page appears.

3. Click the toggle button to **Yes** and click **Continue**.



### 3. Read and sign the clearing agreement to authorize the program.

3059 | 08/16/2017  
Interactive Brokers Fully Disclosed Clearing Agreement

Pursuant to Financial Industry Regulatory Authority ("FINRA") Rule 4311, this Fully Disclosed Clearing Agreement ("Agreement") is entered into by and between Interactive Brokers LLC, a limited liability company that is duly organized and existing under the laws of the State of Connecticut, with a principal place of business located in Greenwich, Connecticut ("Interactive") and \_\_\_\_\_ ("Introducing Broker") (collectively "the Parties").

WHEREAS, Introducing Broker desires to introduce accounts to Interactive on a fully disclosed basis ("Fully Disclosed Accounts" or "Accounts");

WHEREAS, Interactive desires to provide execution and clearing services for the fully disclosed accounts, subject to the terms and conditions of this Agreement;

NOW THEREFORE, for and in consideration of the mutual promises, covenants and agreements contained in this Agreement and other good and valuable consideration, the sufficiency of which the Parties hereby acknowledge, and intending to be legally bound by this Agreement, the Parties agree as follows:

1. Establishment of the Accounts and Approval of Agreement: Fully Disclosed Accounts shall be established and maintained in conformity with any and all applicable laws, rules, and regulations promulgated by the United States government or any state or municipal government thereof, or any country other than the United States (or comparable

#### 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 authorized Interactive Brokers to confirm the accuracy of the information as it deems necessary.

Username:

Account Title: Applicant

Dated: 2017-09-15


Typing your name is equivalent to your handwritten signature

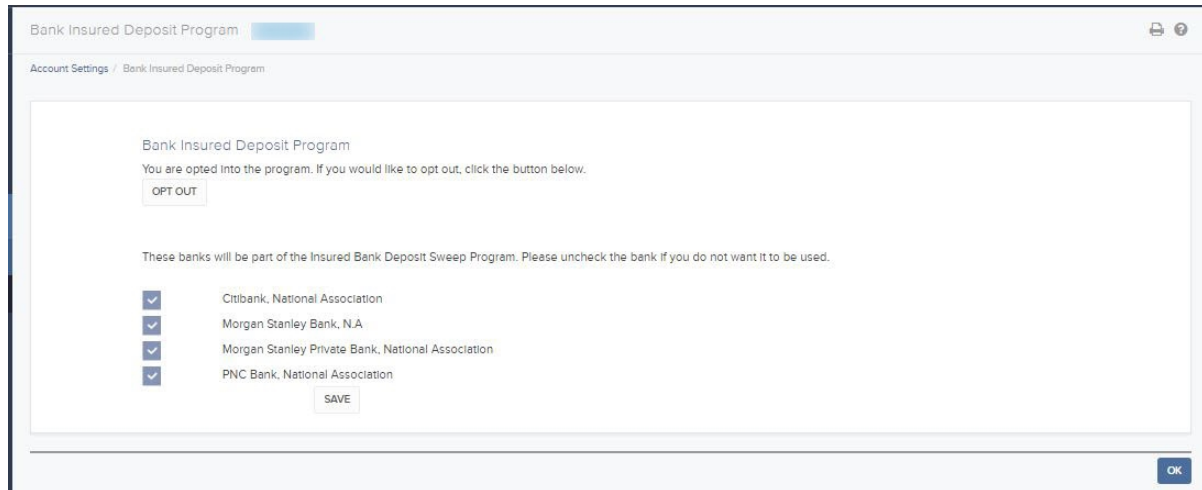
By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

Signature: Praveen Sheppard

### 4. Click **Continue** to save your preference, then click **OK** to return to the Account Settings page.

#### To Change or Opt Out of the Insured Bank Deposit Sweep Program

1. Click **Settings > Account Information** and locate the configuration section.
2. Click the  icon.
3. Uncheck any of the banks participating in the Insured Bank Deposit Sweep Program to discontinue using them. Click **Save**.



4. Click **Opt Out** to exit the program.

## IRA

The IRA functions on the Manage Account screen include:

- » [IRA Activity](#) - View IRA contributions and distributions for each tax year going back to 2016.
- » [IRA Conversion](#) - Perform a full conversion from your Traditional, Rollover or SEP IRA account to a Roth IRA account.
- » IRA Recharacterization - Perform a recharacterization from your Roth account to an Traditional, Rollover or SEP IRA account.

For more information about our IRA accounts, see the [IRA Information](#) page on our web site.

### IRA Activity

The IRA Activity screen lets IRA account holders view their IRA contributions and distributions for each tax year going back to 2016. For each tax year, you can view all individual contributions and distributions by clicking the View button in the History column.

### Who can access the IRA Activity page?

You can access this page if you are an IRA account holder.

### To view your IRA activity

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for IRA Activity. The IRA Activity screen opens.

#### Contribution Activity by Tax Year

Tax Year	IRA Contribution Limit	YTD Total	History
2017	USD 5,500.00	USD 0.00	<a href="#">View</a>
2016	USD 5,500.00	USD 0.00	<a href="#">View</a>

#### Distribution Activity by Tax Year

Tax Year	Required Minimum Distribution	YTD Total	History
2017	USD 0.00	USD 0.00	<a href="#">View</a>
2016	USD 0.00	USD 0.00	<a href="#">View</a>

- For each tax year going back to 2016, contribution activity shows the contribution limit and year-to-date total contribution.
  - For each tax year going back to 2016, distribution activity shows the required minimum distribution and year-to-date total distributions.
4. For each tax year, view all individual contributions and distributions by clicking the **View** button in the History column.

NEED SCREENSHOT OF HISTORY

#### For more information

» [IRA Information](#)

## 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.

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"> <li>» Contribution</li> <li>» Rollover</li> <li>» Direct</li> <li>» Rollover</li> <li>» Trustee-to-Trustee</li>   <li>» IRA Conversion</li> </ul>
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 dis-</p>	<ul style="list-style-type: none"> <li>» Contribution</li> <li>» Rollover</li> <li>» Trustee-to-Trustee</li> </ul>

IRA Type	Description	Applicable Transfer Method
	<p>tribution 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>	<p>» IRA Conversion</p>
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>	<p>» Trustee-to-Trustee</p>
Roth	<p>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.</p>	<p>» Contribution</p> <p>» Rollover</p> <p>» Trustee-to-Trustee</p> <p>» IRA Recharacterization</p>
Roth Inherited	<p>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.</p>	<p>» Trustee-to-Trustee</p>

IRA Type	Description	Applicable Transfer Method
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"> <li>» Contribution</li> <li>» Rollover</li> <li>» Trustee-to-Trustee</li> <li>» IRA Conversion</li> </ul>
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"> <li>» Trustee-to-Trustee</li> </ul>

## 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.

## 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. You configure

FYI automatic actions on the IB FYI screen in Account Management. You configure FYI notifications in TWS.

FYIs are intended as a convenience; do not rely on them as a comprehensive or primary source of information.

### **FYI Automatic Actions in Account Management**

- » **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.

### **FYI Notifications in TWS**

You cannot configure FYI notifications in Account Management. You must log into TWS to configure them.

### **Who can access the IB FYI screen?**

All accounts except Advisor Clients.

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### **To set FYI options**

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for IB FYIs.

The IB FYI screen opens.

Configure 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. To configure FYI notifications, log into TWS.

Dividends  
Automatically exercise my options early.

Economic Event Order Suspension  
20 seconds before major economic calendar events\*, suspend my active orders for 40 seconds. \*GDP, Nonfarm payrolls, PPI, CPI, etc.

Continue

4. Click the check box next to the automatic action you want to enable. Deselect a check box to disable an automatic action.
5. Click **CONTINUE**.
6. Read the disclosures and agreements that appear, type your signature in the field provided and click **CONTINUE**.
7. Click **Ok** to return to the Account Settings screen.

## Institutional Services

We give institutional clients the flexibility to execute and/or clear trades on our platform or with numerous third-party brokers via the following services:

- » **IBClear** - Clients requiring the lowest transaction costs, real-time risk management and efficient trade processing can both execute, clear, and hold custody of their trades here. This service is available to Canadian clients.
- » **IB Prime** - Clients execute and clear with Interactive Brokers here, and also take in trades executed with other third-party brokers. This service is available to Canadian clients. IBPrime requires that you have at least 1,000,000 USD in equity and have an existing account at another executing broker.

- » **IBExecution** - Trades are executed at Interactive Brokers here using our superior price execution technology, and then given up to a third-party broker. This service is not available to Canadian clients. IBExecution requires that you have at least 150,000 USD in equity and have an existing account at another clearing firm.

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, or Trust Account User
- » Small Business Account User
- » Friends and Family Group Group Master or Client (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
- » Proprietary Trading Group Master User
- » Broker Master User (can also change the Account Type of Non-Disclosed client accounts)
- » Broker Fully Disclosed Client
- » 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 **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Institutional Services.

The first Investor Category screen opens.

Configure Institutional Services

Select any of the institutional services listed below.

**IBCleared**  
For those institutions that want to execute and clear their trades with Interactive Brokers.

**IBPrime**  
For those institutions that want to execute trades away from Interactive Brokers and transfer these trades to Interactive Brokers for clearing and custody.

**IBExecution**  
For those institutions that want to execute trades with Interactive Brokers and transfer these trades to another broker for clearing and custody.

Continue

4. Select the check box next to the Institutional Service to which you want to subscribe.
5. Depending on the services that you have requested, you are prompted to sign a risk disclosure, as required by law. Read the online Disclosure Form(s) and type your name in the Signature field. Click **CONTINUE**.
6. Click **Ok** to return to the Account Settings screen.

## Investor Category

Investor Category 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 on a series of screens:

- » Eligible Contract Participant
- » Accredited Investor
- » Qualified Purchaser
- » Qualified Institutional Buyer

Each screen contains questions that helps us determine whether you qualify to trade additional products. If you answer Yes to some questions, additional questions appear.

### Who can access the Investor Category page?

ALL account structures can access this page EXCEPT:

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IB Canada customers, IB India customers, IBSJ Japan customers, and all Non-Disclosed and Omnibus Broker Client accounts.

### To use the Investor Category page

1. Click **Settings > Account Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.
3. In the Configuration panel, click the Configure (gear) icon for Investor Category.

The first Investor Category screen opens.

Eligible Contract Participant

United States regulations impose restrictions on customers who are not Eligible Contract Participants (ECPs) (as defined in Section 1a(12) of the Commodity Exchange Act), which may limit your trading. Click here to learn more about the benefits of being an ECP. The answers you provided in your account application indicate that you may qualify as an ECP.

Would you like to answer a few questions so Interactive Brokers can determine if you may qualify as an ECP?

YES

**Additional Questions**

Are you an individual, acting for your own account, who has more than \$10,000,000 invested on a discretionary basis?

NO

Are you an individual, acting for your own account, who has invested more than \$5,000,000 on a discretionary basis and your transaction activity is intended to hedge the risk of other assets you have (or that you are reasonably likely to have)?

NO

[Continue](#)

4. Answer each question by clicking YES or NO. If you answer YES, additional questions may appear which vary based on your account structure and financial information.
5. Click **CONTINUE** after completing the questions on each successive screen (Accredited Investor, Qualified Purchaser, Qualified Institutional Buyer). Note that there may be no questions on some screens, based on your answers to questions on previous screens.
6. The Investor Category Summary screen shows you the investment categories in which you have been qualified, based on your answers to the previous questions.

**Investor Category Summary**  
Expand the lines below to see the answers you have provided, which you are confirming by signing below.

> Eligible Contract Participant ( Yes )
> Accredited Investor ( Yes )
> Qualified Purchaser ( Yes )

**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 authorized Interactive Brokers to confirm the accuracy of the information as it deems necessary.

Username: ██████████  
Account Title: Applicant ██████████  
Dated: 2017-07-27

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.

Signature:

Back Ok

Type your signature in the field provided and then click **Ok**.

## Create, Move, Link or Partition an Account

We offer several different ways that you can link your accounts from the Create, Move, Link or Partition screen:

- » [Create a new linked account that will be managed by an Advisor or Broker.](#) The new Advisor- or Broker-managed account will be linked to your existing account.
- » [Link all of your existing accounts under a single username and password.](#)
- » [Move your existing account, including all cash and positions, to an Advisor- or Broker- managed 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 screen also appears when you link directly to an Advisor or Broker using the Investors' Marketplace.

### Who can access the Create, Move, Link or Partition an Account screen?

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

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- » 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 (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 move your entire account to a Broker, you will keep the ability to log in to Trader Workstation, and your current trading permissions will remain in effect.
- » 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 account.
- » Client trading in a linked account managed by an Advisor or a Multiple Hedge Fund Investment Manager cannot be enabled.
- » 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.
- » When you choose to link your existing account to an Advisor/Broker-managed account, the Advisor or Broker must confirm the link request.

#### **For more information**

- » [Rules for Linking to and Delinking from an Advisor or Multiple Hedge Fund](#)

### Create a New Linked Account Managed By an Advisor or Broker

You can create a new account that will be managed by an Advisor or Broker and that will be linked to your existing account.

In this topic:

- » [Rules for creating a new linked account managed by an Advisor or Broker](#)
- » [Creating a new linked account managed by an Advisor or Broker](#)
- » [Creating the linked account from the Investors' Marketplace](#)

## Rules for Creating a New Linked Account Managed By an Advisor or Broker

The following rules apply to this type of linking:

- » You will have two linked accounts that you can access using a single username and password. One account will be managed by an Advisor or Broker.
- » 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.
- » The Advisor or Broker will not be able to enable trading for me in the accounts he or she manages, and you will still be able to trade in your existing standalone account.
- » Once your account has been linked, fees may be debited from your account as specified by the Advisor or Broker.
- » The selected Advisor or Broker must approve your 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.

## Creating a new linked account managed by an Advisor or Broker

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.

Create, Move, Link or Partition an Account

Move My Entire Account to an Account Managed by an Advisor/Broker ?

Create a New Linked Account That Will be Managed by an Advisor/Broker ?

Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?

Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Create a new linked account that will be managed by an Advisor or Broker**, and then click **CONTINUE**.

### Advisor/Broker Information

Advisor/Broker Account ID:	Required
Advisor/Broker Account Title:	Required

4. Enter the account ID and title of the Advisor or Broker account to which you want to link in the fields provided.
5. Click **CONTINUE**.
6. Type your signature in the field provided in each of the agreements that appear. Click **I Agree** after signing each agreement.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before you new linked account is open.

## Creating the linked account from the Investors' Marketplace

You can also create a new linked account to an Advisor or Broker from the Advisor or Broker Marketplaces, both part of the Investors' Marketplace.

### To create the link from Investors' Marketplace

You can use Investors' Marketplace to identify the Advisor or Broker, and then can access the Create, Move, Link or Partition an Account screen from the Marketplace.

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.
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 Account Title of the Advisor or Broker account to which you want to link in the fields provided. Since you already selected the Advisor or Broker in the Investors' Marketplace, these fields will be filled in already.
5. Click **CONTINUE**.
6. Sign each of the two required agreements and click **I Agree** after signing each one.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before your new linked account is open.

### Rules for Linking to and Delinking from an Advisor

If your account is linked to an Advisor-managed account, you may decide to delink that account and/or link to a different Advisor (relink). Before doing so, familiarize yourself with the following restrictions on linking and relinking.

#### Restrictions

- » You can link to a Multiple Fund Hedge Fund Investment Manager as well as to an Advisor.
- » Trading Sub accounts cannot be delinked or relinked.
- » Proprietary Accounts for Broker-Dealers cannot be delinked or relinked.
- » Client accounts with Money Manager-attached accounts cannot be delinked or relinked.
- » Client accounts with a UKL segment cannot relink to a Financial Advisor without a UKL segment.
- » Client accounts cannot relink from a Financial Advisor or Friends and Family Advisor to a Hedge Fund.
- » Only Fund accounts can be relinked from a Multiple Fund Investment Manager to another Multiple Fund Investment Manager.
- » When delinking accounts from or relinking accounts to a Financial Advisor, you can delink or relink all accounts or one or more accounts.

- » Partitioned accounts cannot be delinked or relinked.
- » Hedge Fund clients of a Multiple Hedge Fund account cannot be delinked.

### **Move Your Account to an Advisor or Broker**

You can move your entire account to an Advisor or a Broker.

In this topic:

- » [Rules for Moving Your Account to an Advisor or Broker](#)
- » [Moving Your Account](#)

## **Rules for Moving Your Account to an Advisor or Broker**

The following rules apply to this type of linking:

- » You will transfer all of your cash and positions to an Advisor/Broker-managed account.
- » If 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.
- » If you move your entire account to a Broker, you will still be able to log into Trader Workstation, and your current market data subscriptions will not be canceled.
- » Once your account has been moved, fees may be debited from my account as specified by the Advisor or Broker.
- » Accounts are moved every Friday 2:00 PM.

## **Moving Your Account**

### **To move your entire account to an Advisor or Broker**

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.

Create, Move, Link or Partition an Account

- Move My Entire Account to an Account Managed by an Advisor/Broker ?
- Create a New Linked Account That Will be Managed by an Advisor/Broker ?
- Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?
- Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Move my Entire Account to an Account Managed by an Advisor or Broker**, and then click **CONTINUE**.

#### Advisor/Broker Information

Advisor/Broker Account ID:	Required
Advisor/Broker Account Title:	Required

4. Enter the account ID and title of the Advisor or Broker account to which you want to move your account in the fields provided.
5. Click **CONTINUE**.
6. Type your signature in the field provided in each of the agreements that appear. Click **I Agree** after signing each agreement.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before your account is moved.

#### Link Existing Account

You can link your multiple accounts under a single username and password, including accounts that are managed by an Advisor or a Broker. 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 subscriptions are charged once for linked accounts rather than charged separately for each linked account (market data subscriptions are charged per terminal/computer).

In this topic:

- » [Rules for Linking Existing Accounts](#)
- » [Link Existing Accounts](#)

## Rules for Linking Existing Accounts

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.
- » The email addresses, account titles, tax IDs and physical addresses associated with the accounts you want to link must be the same.
- » 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.

Advisors and fully disclosed brokers can link existing individual and joint client accounts on the [Manage Clients > Accounts > Link Existing Accounts](#) page.

## Link Existing Accounts

### To link your account to an existing account

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.

Create, Move, Link or Partition an Account

Move My Entire Account to an Account Managed by an Advisor/Broker ?

Create a New Linked Account That Will be Managed by an Advisor/Broker ?

Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?

Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Link All of My Existing Account Under a Single Username and Password**, and then click **CONTINUE**.

The Select Username screen opens.

Select Username

Use this screen to link your multiple accounts under a single username and password.

**Guidelines**

- To request a link to an existing account, you must have an IB Secure Login System security device.
- The email addresses, account titles, tax IDs, legal IDs and physical addresses associated with the accounts you want to link must be the same.
- 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.
- We will link these accounts on Fridays.
- If you begin a new account application for an existing matching account, you will be asked to link the accounts.

Here are the accounts we detected that can be linked: U82648,U115367

Which username do you want to keep:

Back Continue



4. The screen shows all of your accounts that can be linked under a single username and password. Select which username you want to keep. Once your accounts are linked, you will use the selected username to log in to any of the linked accounts.
5. The screen updates to display the security device for the selected username. Click **CONTINUE**.
6. 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.
7. Enter the username, password and authentication values for each account to be linked on the next screens, clicking **CONTINUE** to advance to the next screen.
8. We aggregate the financial information and trading experience info for all accounts to be linked. Verify your financial information and trading experience for the accounts to be linked, and then click **CONTINUE**.
10. Verify your account information and click **CONTINUE**.
  - If you need to update your financial information, trading experience or account information, wait for those updates to be approved and then restart this linking procedure.
11. Verify any saved bank information you may have and click **CONTINUE**.
12. Click **CONTINUE**.
13. Click **Ok**.

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.

To cancel your request, see [Canceling a Pending Link Request](#).

### **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 Selector.

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.
4. To de-link a linked account, you must close the linked account. Select **Settings > Account Settings** and then click Close Account from the Configuration window and following the instructions on the screen.

### Partition Your Account

You can choose to create a new account partition that will be managed by an Advisor or Broker. When you do this, 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."

In this topic:

- » [Rules About Partitions](#)
- » [Partition Your Account](#)

## Rules 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 the 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.
- » Client trading in partitions managed by an Advisor or a Multiple Hedge Fund Investment Manager cannot be enabled .
- » 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.

## Partition Your Account

### To partition your account

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.

Create, Move, Link or Partition an Account

- Move My Entire Account to an Account Managed by an Advisor/Broker ?
- Create a New Linked Account That Will be Managed by an Advisor/Broker ?
- Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker ?
- Link All of My Existing Accounts Under a Single Username and Password ?

Continue

3. Select the radio button next to **Divide My Account into Two Partitions, One of Which Will Be Managed by an Advisor/Broker**, and then click **CONTINUE**.

#### Advisor/Broker Information

Advisor/Broker Account ID:	Required
Advisor/Broker Account Title:	Required

4. Enter the account ID and title of the Advisor or Broker account to which you want to move your account in the fields provided.
5. Click **CONTINUE**.
6. Type your signature in the field provided in each of the agreements that appear. Click **I Agree** after signing each agreement.
7. An email will be sent to the Advisor or Broker to inform him or her of your request. The Advisor or Broker must approve your request (in Pending Items) before your new account partition is created. Once the Advisor or Broker approves your request, the new partition should be ready to be funded by 6:00 PM on the same business day. If you submitted your request for this 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.

### 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 Selector.

Account Management reloads with the selected linked account as the new active account.

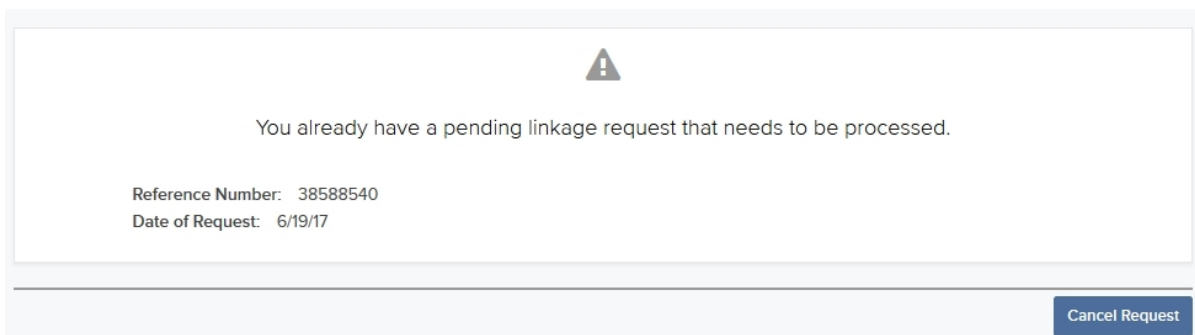
3. Perform any action you wish for the selected account by selecting an item from the Account Management menus.
4. To de-link a linked account, you must close the linked account. Select **Settings > Account Settings** and then click Close Account from the Configuration window and following the instructions on the screen.

### Canceling a Pending Link Request

You can cancel any link request that is still pending. That is, the request has not yet been processed.

#### To cancel a pending link request

1. Click **Settings > Account Settings**.
2. In the Configuration panel, click the Configure (gear) icon for Create, Move, Link or Partition an Account.
3. Instead of the usual Create, Move, Link or Partition an Account screen, the following screen opens:



4. Click **Cancel Request**. Your request is canceled immediately.

## Reporting

The Reporting panel on the Account Settings screen lets you configure the following account settings:

- » [Flex Web Service](#) - Activate to use Flex Queries without logging into Account Management.
- » [Third Party Services](#) - Activate to enable the use of third party services to download activity data.

## 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.

### 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
- 

### To enable flex web service

1. Go to **Settings > Account Settings > Reporting > Flex Web Service** and click the configure (gear) icon.
2. Click the toggle button to enable or disable Flex Web Service.
3. A new token will appear to initiate Flex Query Requests.
4. Click Generate A New Token to invalidate the prior token. Select the amount of time for expiration and a valid IP address (optional).
5. Click the x button to return to the Account Settings screen.

## 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 **Settings > Account Settings > Reporting > Third-Party Services** and click the configure (gear) icon.
2. Toggle to enable or disable any of the third-party service you want to use.
3. Click the X button to return to the Account Settings screen.

## Users and Access Rights

We give our clients the ability to create users through our User Access Rights system.

This section includes:

- » [Overview](#)
- » [Security Officers](#)
- » [Users](#)
- » [User Roles](#)
- » [Additional Security Officer Approvals](#)

## Access Rights Overview

We give our clients 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:

- » Registered 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:

- » User Settings Access
- » Trading Access



- » Reporting Access
- » Funding Access
- » Account Settings Access
- » Client Management Access

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 Settings > Settings access group (User Information and Change Email Address).

Individual account holders cannot grant Funding rights to new users that they add. Security Officers for institution accounts CAN however grant Funding rights.

[Add new users and assign access rights](#) to them on the **Settings > Account Settings** screen.

### **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 **Settings > Account Settings** screen.

### **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. 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. 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.

### 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.

For more information, see [Authorizers](#).

### User Access Rights Summary for Organizations

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.

## Users

The Users page lets you:

- » [View information about existing users](#)
- » [Add users](#) to an account.
- » [Modify](#) Account Management access rights for existing users.
- » [Add usernames to the primary account holder](#).
- » [Delete users](#) from an account.

### Who can access the Users & Access Rights screen?

All users and Security Officers can access this functionality except Broker Non-Disclosed Clients and Broker Omnibus Clients.

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#### 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.

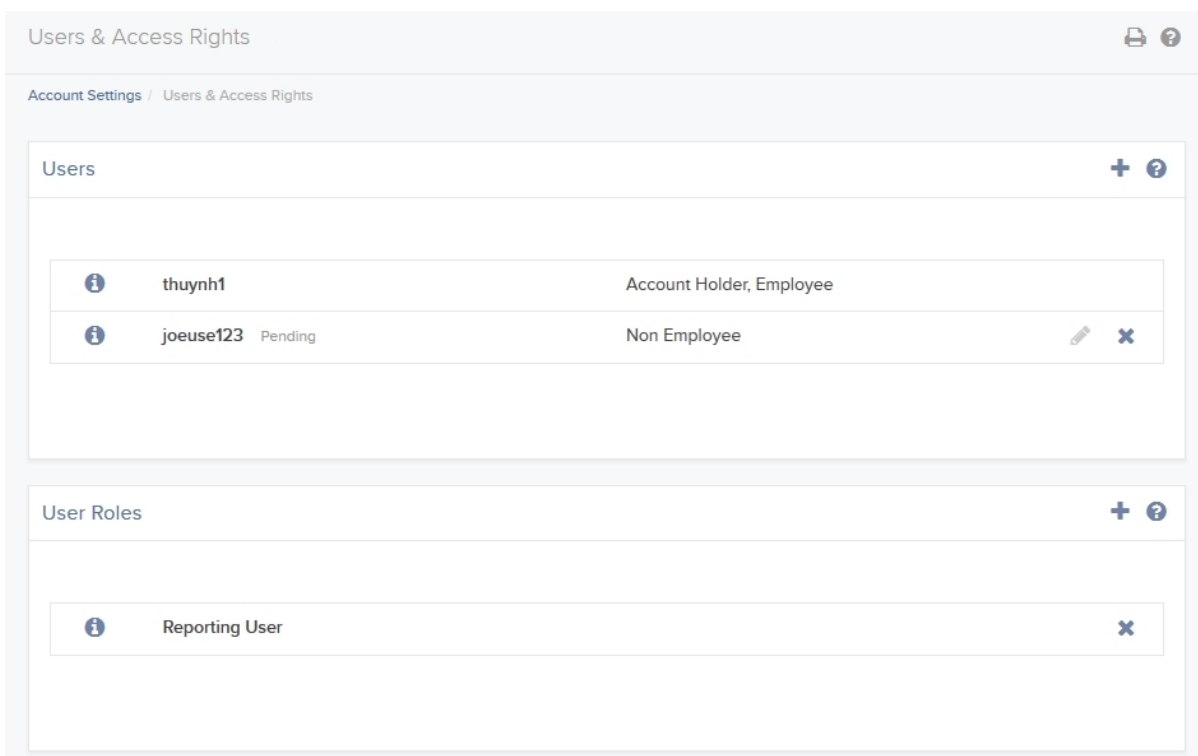
## Viewing Information About Existing Users

You can view information for any user role that you've added to your account on the Users & Access Rights screen.

### To view user role information

1. Click **Settings > Account Settings**.
2. In the Users & Access Rights panel, click the Configure (gear) icon.

The Users & Access Rights screen opens.



3. The Users panel shows all of the users that you have added to the account. Click the **i** icon to view information for any user listed.

The information and complete list of access rights granted to the user appears in a popup window. Granted access rights appear with a checked box while access rights NOT granted appear crossed out. Scroll down to view more information.

To close the popup, click the **X** in the upper right corner or click anywhere outside the popup.

User Information	
Username	joeuse123
Name	Joe User
Association Type	Non Employee
Is this a secondary user for the primary account holder?	No

User Settings Access	
Communication	
<input checked="" type="checkbox"/> Email Address	
<input type="checkbox"/> Alerts	
<input type="checkbox"/> FB-FYI	
Login	
<input checked="" type="checkbox"/> Password	
<input checked="" type="checkbox"/> Voting Subscription	
Security	
<input checked="" type="checkbox"/> User Information	
<input type="checkbox"/> IP-Restrictions	
<input checked="" type="checkbox"/> Security Device Sharing	

## 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:

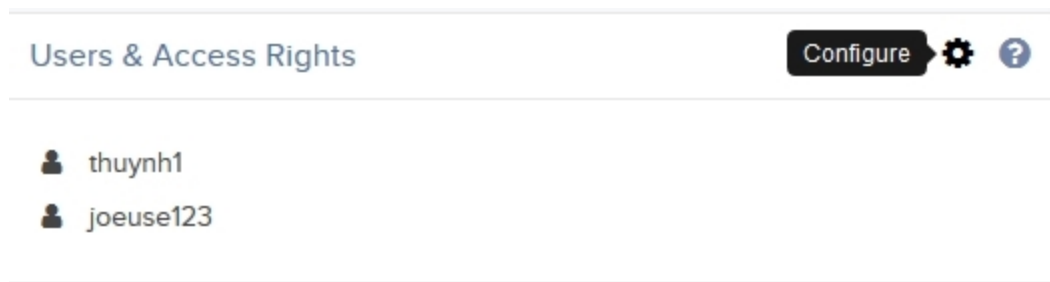
- » Username - This is the username that the user will enter to log in to Account Management.
- » Name - This is the full name of the user.
- » Association Type - This is how the user is associated with the account holder.
- » Is this a secondary user for the primary account holder? - This indicates whether or not the user is only a second username for the primary account holder.

## Adding a User

You can add users to your account after it is approved and funded and grant them access to a subset of Account Management functions, including granting access to functions for one or more sub accounts. New users log in to Account Management with their own username and password.

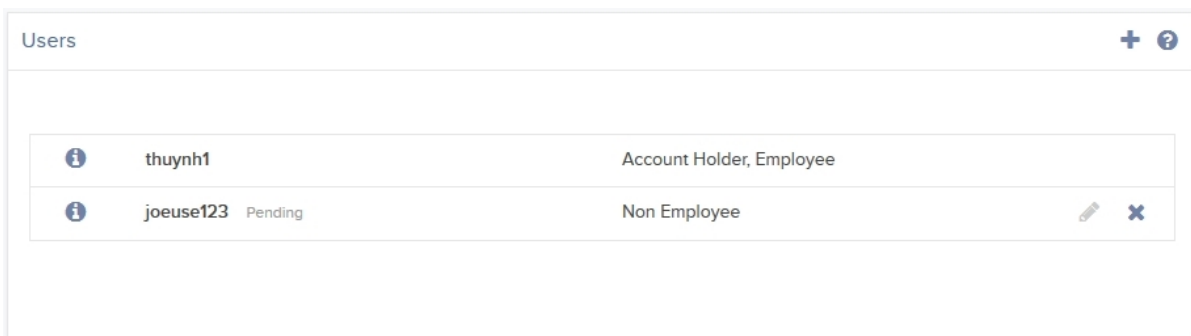
### To add a user and assign access rights

1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created. Institution accounts will see additional panels for Authorizers and Additional Security Officer Approvals.



3. Click the Add (+) icon in the Users panel title bar.

The Add User screen opens.

User Information

Username Required

Password Required

Confirm Password Required

Is this a secondary user for the primary account holder?  NO

Contact Information

Salutation Choose One

First Name Required

Middle Initial Optional

Last Name Required

Suffix Optional

Relationship to Account Holder Required

Email Address Required

Confirm Email Address

4. The process of adding a user and assigning access rights is divided into several screens. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
  - On the first screen, enter information about the user, including the username, password, name, relationship to the primary account holder and email address.
  - On the next screen, select a user role, if you have saved any. User roles automatically apply a set of previously configured access rights to the new user. If you do this, you can skip any additional screens and continue to the review screen.

User Roles

A user role contains a set of access rights to the functions in Account Management that you can apply to new users without having to grant individual access rights across several screens. If you have created any user roles, you can apply one to the new user below.

Would you like to assign a user role?  YES

User Role

Back Continue

- Each screen that follows lets you give the new user rights to access a specific group of functions, organized to match the main menu of Account Management: User Settings, Trading, Reporting, Funding and Account Settings. On each screen, grant access to functions by clicking the box next to each one.
5. The last screen in the process lets you review all of the information about the new user, including access rights. Rights that have been assigned to the new user are shown checked and in green; rights that have not been assigned to the new user are shown crossed out. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
  6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
  7. Click **Ok** to save the new user, which will appear in the Users panel on the Users & Access Rights screen and in the Users & Access Rights panel of the Account Settings screen.

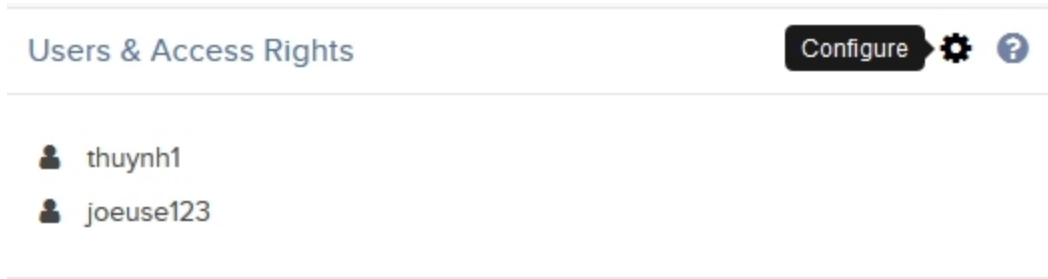
### Modifying User Access Rights

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 **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.

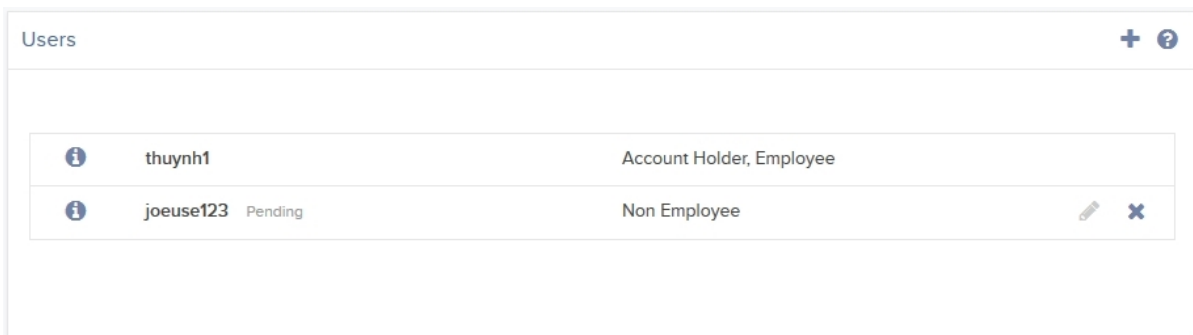




Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users panel, click the Edit (pencil) icon for the user you want to modify.



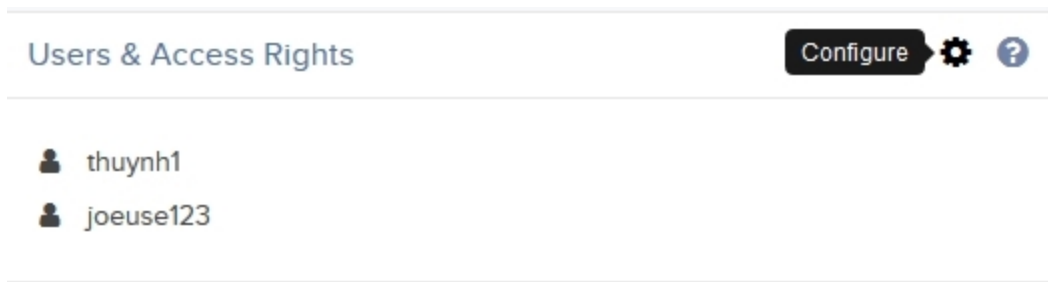
4. The process of modifying a user and his or her access rights is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
5. The last screen in the process lets you review your changes. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
7. Click **Ok** to save your changes.

## Adding Usernames to the Primary Account Holder

Account Management lets you assign up to two usernames for the primary account holder. 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. You use the same process for adding a username to the primary account holder that you use for adding a new user.

### To add a username for a user

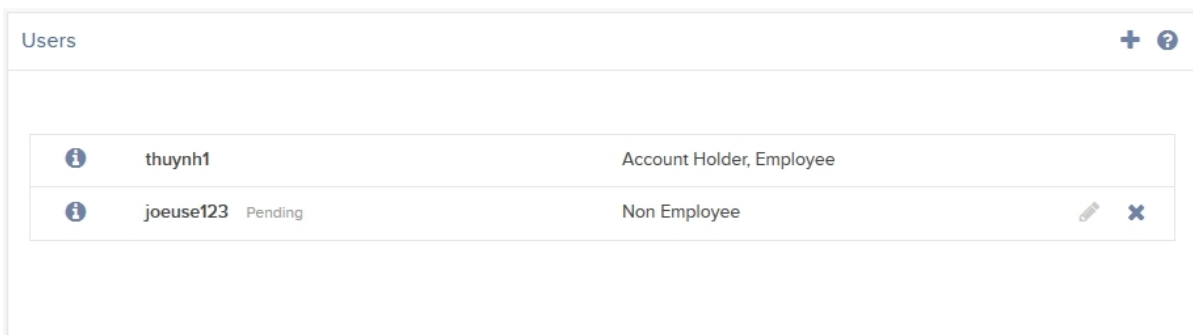
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users Panel, click the Add (+) icon.



4. Enter the new username and password.
5. Select **YES** for secondary user, since you are creating this user as a secondary username.

User Information

Username

Username Requirements

- ✓ Lower case only, no spaces, no special characters
- ✓ Must begin with a letter
- ✓ Must contain a minimum of 3 letters and 3 numbers
- ✓ Must be 8 or 9 characters

Password

Confirm Password

Is this a secondary user for the primary account holder?  YES

Contact Information

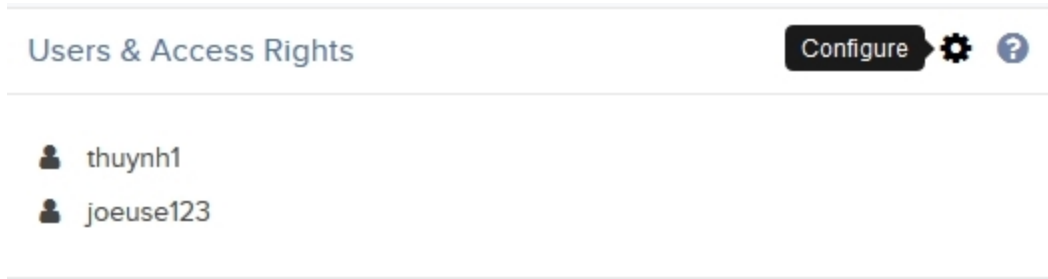
www

- For Joint and Trust accounts, select the account holder or trustee for whom you want to add a username.
6. Click **CONTINUE**.
  7. Review the information about the new user. Click **CONTINUE** if everything is correct.
  8. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
  9. Click **Ok** to save the new user, which the primary account holder can now use as a secondary user-name.

## Deleting a User

### To delete a user from the account

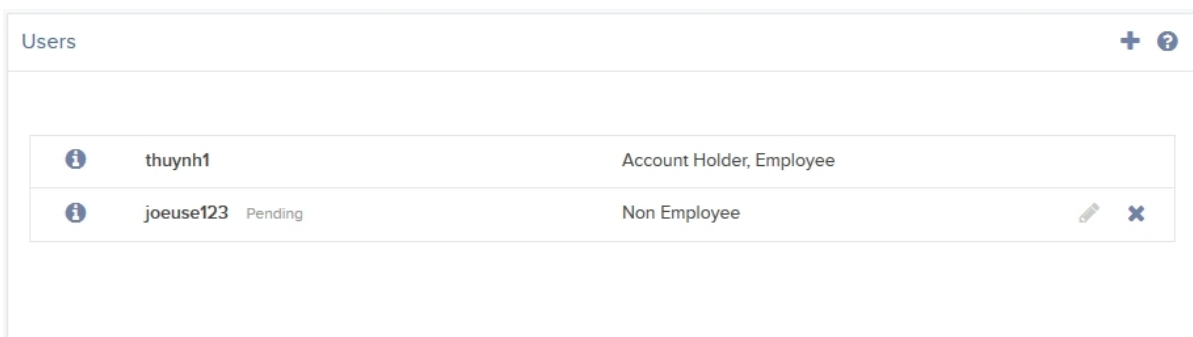
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users panel, click the Delete (X) icon for the user you want to delete.



4. Click **Yes** in the popup window.

The user is deleted immediately.

## 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:

- » [View user role details](#)
- » [Add a new user role](#)
- » [Modify a user role](#)
- » [Delete a user role](#)

## Who can access the Users & Access Rights screen?

All users and Security Officers can access this functionality except Broker Non-Disclosed Clients and Broker Omnibus Clients.

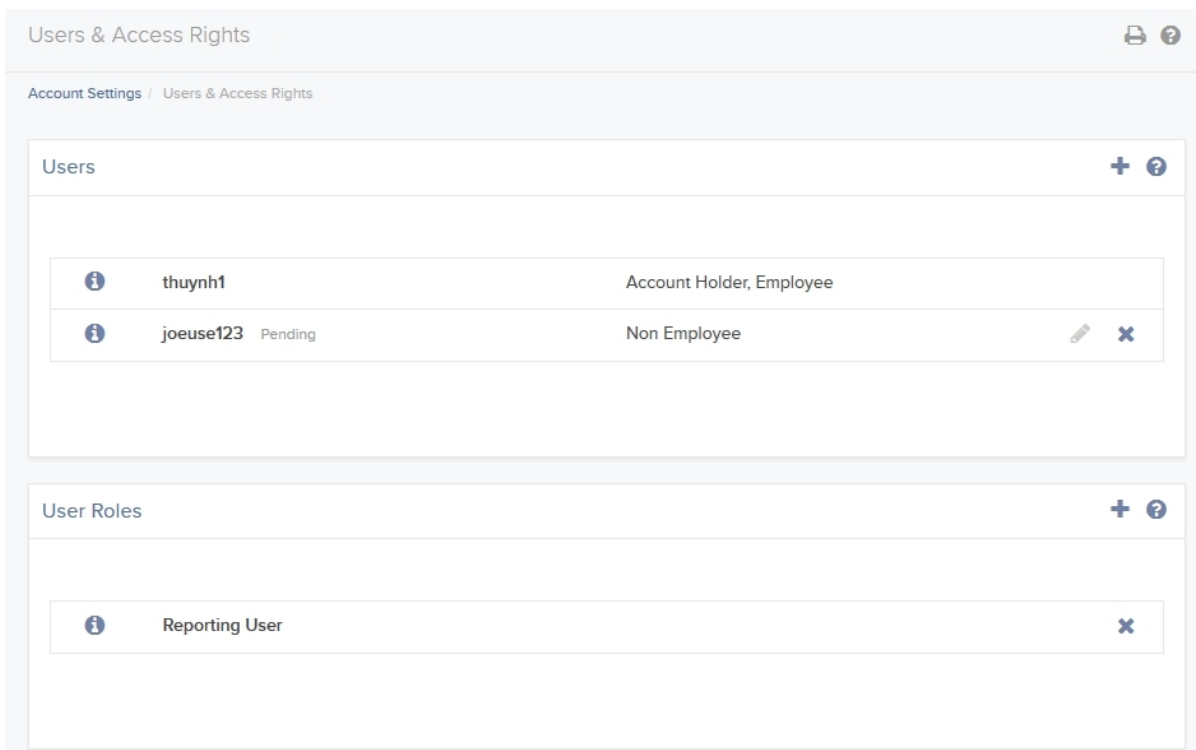
### View User Role Details

You can view the details of any saved user role on the Users & Access Rights screen.

#### To view user role details

1. Click **Settings > Account Settings**.
2. In the Users & Access Rights panel, click the Configure (gear) icon.

The Users & Access Rights screen opens.



3. The User Roles panel shows all of the user roles that you have added to the account. Click the *i* icon to view information for any user role listed.

The complete list of access rights granted to the user role appears in a popup window. Granted access rights appear with a checked box while access rights NOT granted appear crossed out. Scroll down to view more information.

To close the popup, click the **X** in the upper right corner or click anywhere outside the popup.

The screenshot shows a popup window titled "Reporting User" with a close button (X) in the top right corner. The window is divided into several sections:

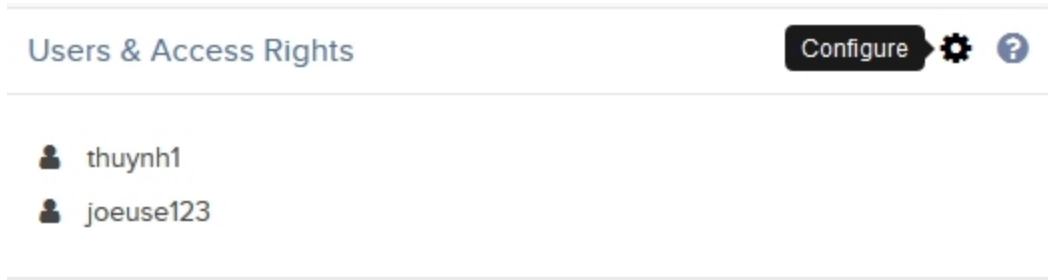
- User Role Information:** Role Name: Reporting User
- User Settings Access:**
  - Communication:**
    - Email Address
    - Alerts
    - B-FYI
  - Login:**
    - Password
    - Voting Subscription
  - Security:**
    - User Information
    - IP Restrictions
    - Security Device Sharing
    - Security Device
  - Trading Platform:**
    - Paper Trading

### Adding a User Role

You can add user roles to your account that define access rights to different groups of Account Management functions. When you add new users, you just have to select a user role to quickly assign access rights to the new user.

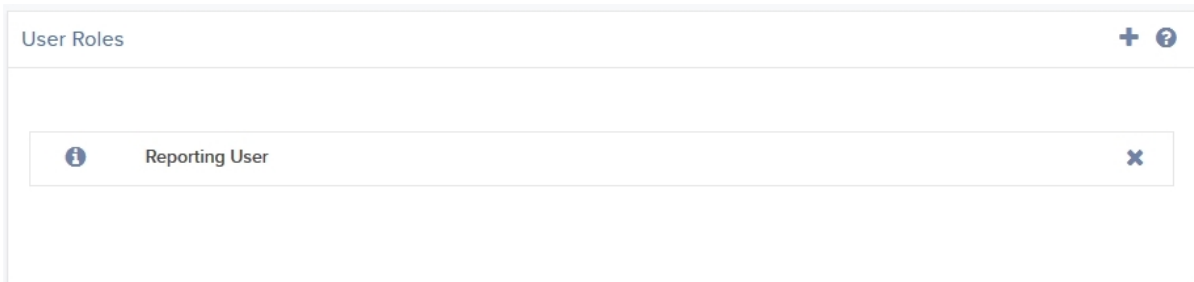
### To add a user and assign access rights

1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created. Institution accounts will see additional panels for Authorizers and Additional Security Officer Approvals.



3. Click the Add (+) icon in the User Roles panel title bar.

The Add User Role screen opens.

Add User Role

Account Settings / Users & Access Rights / Add User Role

**User Role Information**

A user role contains a set of access rights to the functions in Account Management that you can apply to new users without having to grant individual access rights across several screens. Enter the name of the new user role below and click continue.

Role Name  Required

Continue

4. The process of adding a user role and assigning access rights is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
  - On the first screen, enter the name of the user role.
  - Each screen that follows lets you give the new user role rights to access a specific group of functions, organized to match the main menu of Account Management: User Settings, Trading, Reporting, Funding and Account Settings.
5. The last screen in the process lets you review all of the information about the new user, including access rights. Rights that have been assigned to the new user role are shown checked and in green; rights that have not been assigned to the new user role are shown crossed out. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
7. Click **Ok** to save the new user role, which will appear in the User Roles panel on the Users & Access Rights screen.

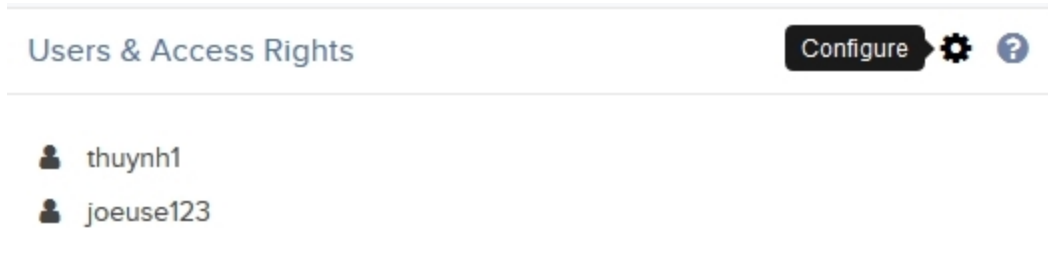


## Modifying a User Role

You can modify any saved user role.

### To modify a user role

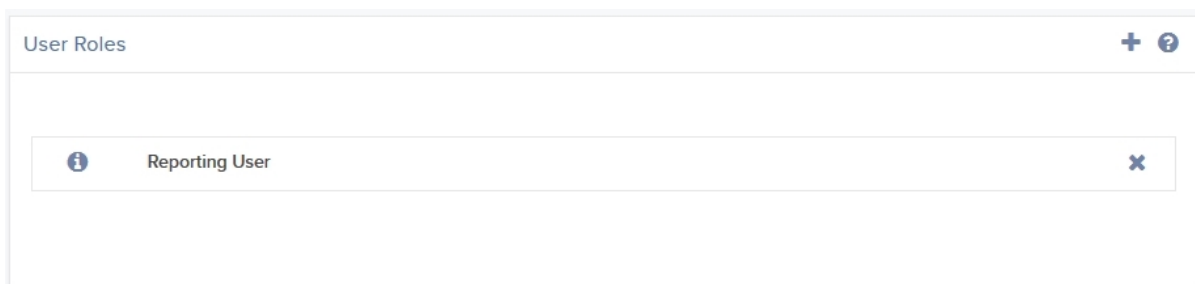
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created.

3. In the User Roles panel, click the Edit (pencil) icon for the user role you want to modify.



4. The process of modifying a user role is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
5. The last screen in the process lets you review your changes. Click **CONTINUE** if everything is correct. Click **Back** to make changes.

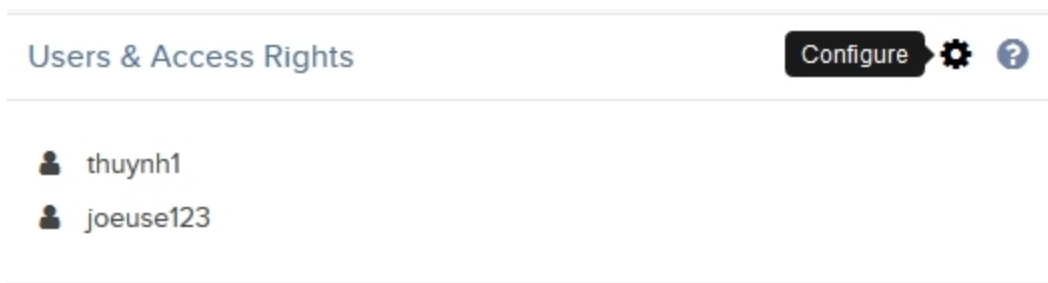
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Enter the confirmation number sent to you via email, then click **CONTINUE**. If you have not received a confirmation number, click **Request Confirmation Number** to have a new confirmation number sent to your email address.
7. Click **Ok** to save your changes.

### Deleting a User Role

You can delete a user role when it is no longer needed.

#### To delete a user role

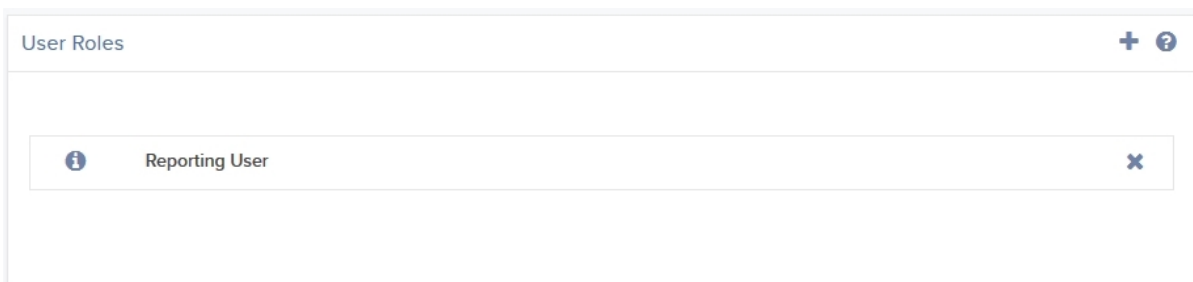
1. Click **Settings > Account Settings**.
2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the User Roles panel, click the Delete (X) icon for the user role you want to delete.



4. Click **Yes** in the popup window.  
The user is deleted immediately.

## User Settings

User settings are configurable settings associated with you and your username, rather than with your account. All user settings are accessible from a single User Settings screen, available from the Manage menu.

User settings are grouped as follows on the User Settings screen:

### Login Settings

- » [Password](#) - Change your account password.
- » [Voting Subscription](#) - Sign up to vote in our online voting forums.

### Communication Settings

- » [Email Address](#) - Change your email address.
- » [SMS Address](#) - Enter an SMS address to receive alerts on your cell phone.
- » [Alert Notification](#) - Select your default method of receiving alerts.

### Security Settings

- » [IP Restrictions](#) - Restrict user access to IB TWS by IP address.
- » [Change Security Questions](#) - Change your security questions.

### Trading Platform Settings

- » [Read-Only Access](#) - Enable or disable read-only access to trading platforms
- » [Market Data Subscriptions](#) - Subscribe to market data.
- » [Research Subscriptions](#) - Subscribe to news and research.

## Change Password

This screen lets you change your account password.

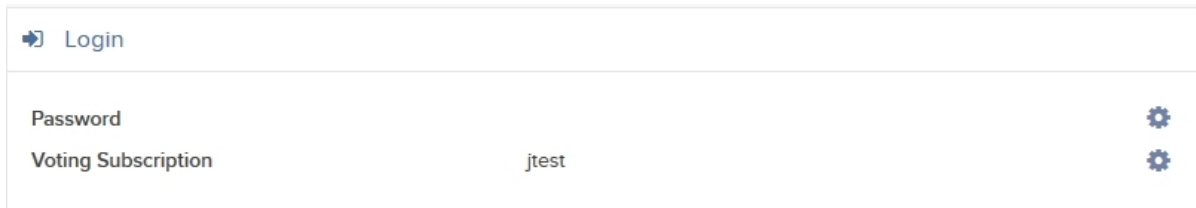
### Who can access the Change Password screen?

All users.

---

### To change your account password

1. Click **Settings > User Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose password you want to change.
3. In the Login panel, click the Configure (gear) icon for Change Password.



The Password screen opens.

Change Password

Username	<input type="text" value="indiv75"/>
Password	<input type="text" value="Required"/>
New Password	<input type="text" value="Required"/>
Confirm New Password	<input type="text" value="Required"/>

4. Type your current password in the field provided.
5. 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.
6. Click **CONTINUE**.
7. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
8. Click **Ok**.

The password change is effective immediately.

## 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 screen?

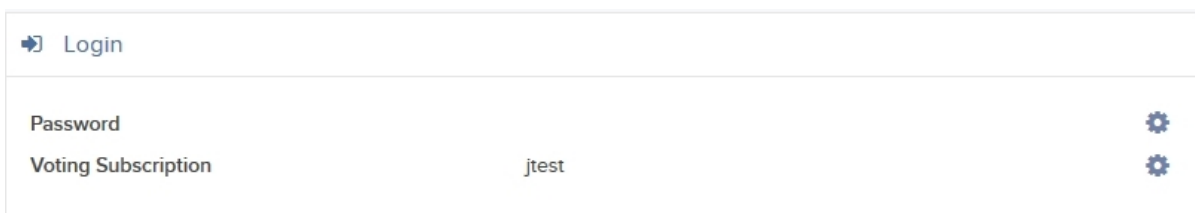
You can access this screen if you are a(n):

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

---

### To subscribe to IB Voting

1. Click **Settings > User Settings**.
2. In the Login panel, click the Configure (gear) icon for Voting Subscription.



The Voting Subscription screen opens in a popup window.

## Configure Voting Subscription



Create a voting username and password for access to the Features Poll and Traders' Chat on our website.

Voting usernames and passwords must be between 4 - 8 characters in length and may only contain letters or numbers.

Voting Username	<input type="text"/>
Voting Password	<input type="password" value="Required"/>
Username	<input type="password" value="Required"/>
Password	<input type="password" value="Required"/>

Save

3. 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.

4. Enter your account username and password in the fields provided.
5. Click **Save**.

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.

## Change Email Address

The Change Email Address screen lets you change your email address.

### Who can access the Email Address screen?

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

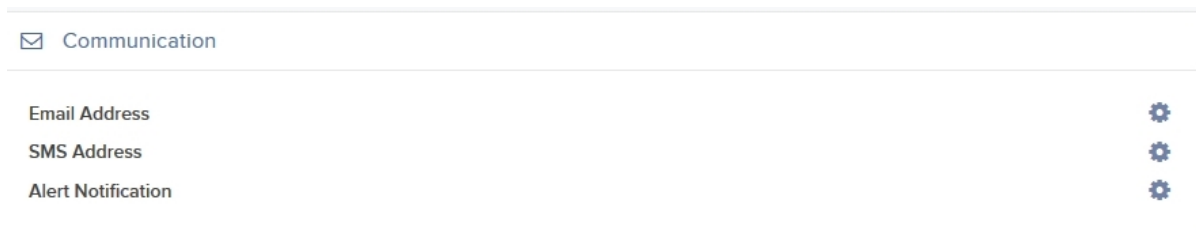
---

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master
- » Advisor Client
- » Proprietary Trading Group Master User
- » Proprietary Trading Group Sub Account User
- » Broker Master User
- » Broker Fully Disclosed Client
- » Investment Manager Master User
- » Fund

---

### To change your email address

1. Click **Settings > User Settings**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose email address you want to change.
3. In the Communications panel, click the Configure (gear) icon for Change Email Address.



The Configure Email Address screen opens.

#### Email Address Change

Current Email Address

jeram@mal.biz

New Email Address

Required

Confirm New Email Address

Required

4. If you are enrolled in our Secure Login System, enter your new email address in both fields, and then click **CONTINUE**.

- Verify your identity by entering your username and password, and then click **CONTINUE**.
- Enter the security code from your Secure Login security device, and then click **CONTINUE**.
- Enter the confirmation number we sent to your new email address, and then click **CONTINUE**.
- Click **Ok**.

Your request is submitted.

5. If you are NOT enrolled in our Secure Login System, you must first tell us if you still have access to your old (current) email address.

#### Email Address Change

Current Email Address	acrowps@mail
Do you still have access to this email address?	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
New Email Address	<input type="text" value="Required"/>
Confirm New Email Address	<input type="text" value="Required"/>

- If you still have access to this email address, click **YES** in the toggle switch.
- If you no longer have access to this email address, click **NO** in the toggle switch.
- Enter your new email address in both fields, and then click **CONTINUE**.
- If you selected **YES**, we send the confirmation number to your existing email address. Enter the confirmation number and then click **CONTINUE**.
- If you selected **NO**, you are prompted to enter your current password and your new email address. Click **CONTINUE**, and then enter the confirmation number we sent to your new email address. Click **CONTINUE** again, and then click **Ok**.

After you submit your request, it must undergo an internal review at IB before the email change takes effect.

#### If you leave the screen before you confirm your new email address:

- » The email change will become a pending item that can be completed later. Open [Pending Items](#) to find the pending request.
- » If you come back to the Change Email Address screen, you will see the confirmation screen for your new email address.



## SMS Address

This page lets you enable delivery of alerts via SMS (Short Message Service) on your mobile device. Once you set up an SMS Address, you can select it as your default destination for [alert notifications](#).

### Who can access the SMS Address screen?

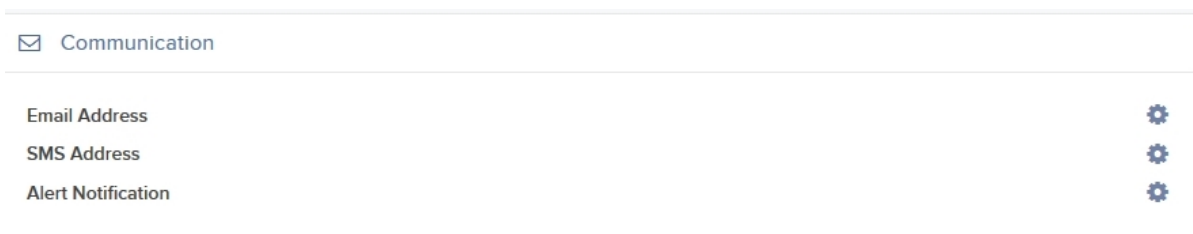
You can access this screen if you are a(n):

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

---

### To configure your SMS address

1. Click **Settings > User Settings**.
2. In the Communication panel, click the Configure (gear) icon for SMS Address.



The SMS Alerts screen opens.

### Configure SMS Address

We use your SMS (Short Message Service) Address to send you alerts as text messages on your cell phone. Your SMS address is the email address associated with your cell phone and is determined using your mobile phone number and mobile service provider. For example, if your mobile phone number is 555-123-4567 and your mobile service provider is AT&T, your SMS address would be 5551234567@txt.att.net.

Enter SMS Address

Confirm SMS Address

If you don't know your SMS address, contact your service provider. For non US residents, the SMS address must start with the country code.

[Continue](#)

3. Your SMS address is the email address associated with your cell phone and is determined using your mobile phone number and mobile service provider.

For example, if your mobile phone number is 555-123-4567 and your mobile service provider is AT&T, your SMS address would be 5551234567@txt.att.net. For non-US residents, the address must begin with your country code.

Enter and re-enter your SMS address in the fields provided, and then **CONTINUE**.

4. We send a confirmation number to the SMS address you entered. This will appear as a text message on that mobile device. Enter the Confirmation Number in the field provided, and then click **CONTINUE**.
5. Click **Ok**.

## Alert Notification

Alert Notifications let you select your default method of receiving alerts. You can select your default email address, set an SMS (Short Message Service) address to receive SMS text message alerts on your mobile telephone device, or choose to not receive alerts at all.

### Who can access the Alert Notification screen?

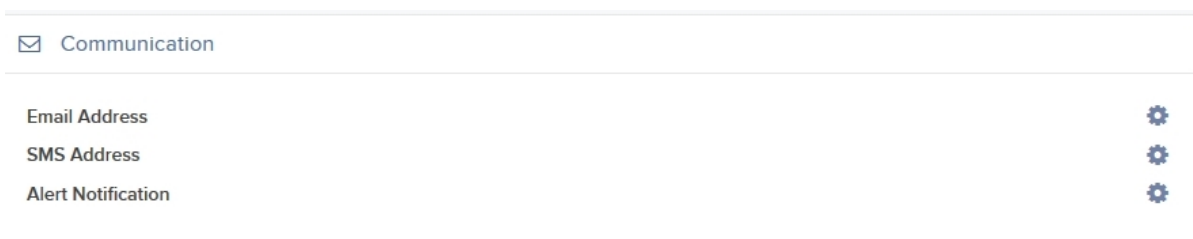
You can access this screen if you are a(n):

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

---

### To configure your alert notification

1. Click **Settings > User Settings**.
2. In the Communication panel, click the Configure (gear) icon for Alert Notification.



✉ Communication

Email Address	⚙
SMS Address	⚙
Alert Notification	⚙

The Configure Alert Notification screen opens in a popup window.

#### Configure Alert Notification

×

Select your default method of receiving alerts. If you select SMS Address to receive alerts on your mobile telephone device, you must provide SMS address.

Destination

Configure SMS Address

Save

3. Select your default method of receiving alerts from the Destination drop-down. Select your No Alerts if you do not want to receive alerts, your default email address or, if you have already configured one, your SMS address.
  - If you have not yet created an SMS address for your account but would like to create one and select that as your default destination for alerts, click the **Configure SMS Alerts** button, [configure your SMS Address](#), and then return to the Configure Alert Notification screen to select that SMS Address.
4. Click **Save** to save your changes.

## IP Restrictions

This screen lets you restrict user access to IB TWS our desktop trading platform 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 our desktop trading platform from any IP address.

This topic includes:

- » [Add an IP restriction](#)
- » [Modify an IP restriction](#)
- » [Remove an IP restriction](#)
- » [Confirm or cancel a pending IP restriction](#) (these are IP restrictions that you have submitted but not yet confirmed)

### Who can access the IP Restrictions screen?

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

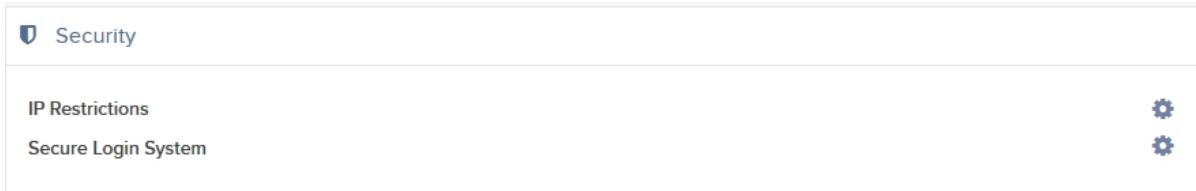
- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master User
- » Proprietary Trading Group Master User
- » Broker Master
- » Broker Fully Disclosed Client

- » Investment Manager Master
- » Fund

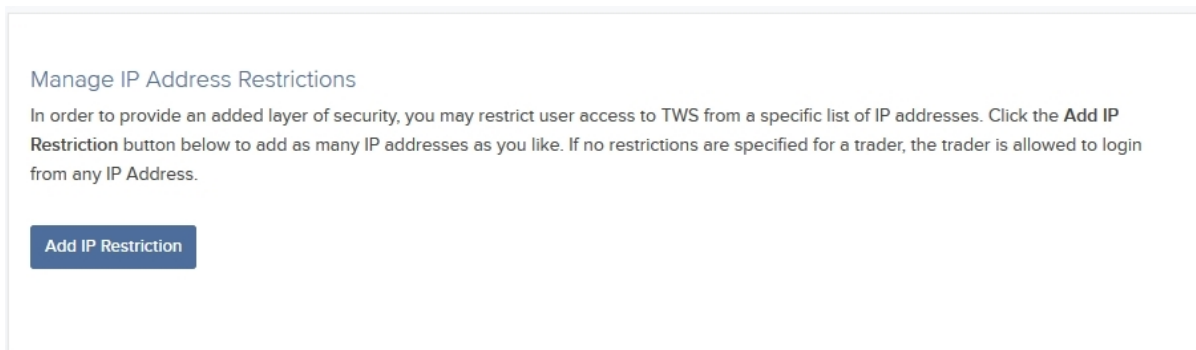
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### To add IP restrictions

1. Click **Settings > User Settings**.
2. In the Security panel, click the Configure (gear) icon for IP Restrictions.



The IP Restrictions screen opens.



This screen displays a list of all your pending IP restrictions for account users and a list of all active IP restrictions. Click any user row to view that user's IP restrictions.

3. Click **Add IP Restriction**.

The Add IP Restriction screen opens.

**Add IP Restriction**

Select a trader, enter an IP address and click the **Continue** button. You will receive an email with a confirmation token that must be entered to confirm this request. Once you have confirmed the request by entering the token the trader will only be allowed to trade from the specified IP address. Requests confirmed by 16:00 ET will take effect on the next business day.

Trader

Enter IP Address

**Continue**

4. In the Trader drop-down, select a trader. You can select any user that you have added to your account, including yourself.
5. 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 TWS.
6. Click **CONTINUE**.
7. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email containing a confirmation number. Enter the confirmation number and then click **CONTINUE**.
8. Click **Ok**.

### To modify IP restrictions

You may want to modify IP restrictions for existing users, first remove the existing IP restriction and then add a new IP restriction.

### To remove IP restrictions

You may want to remove IP restrictions from existing users.

1. Click **Settings > User Settings**.
2. In the Security panel, click the Configure (gear) icon for IP Restrictions.
3. Each user with IP restrictions is displayed on an expanding/collapsing row in the Active section. Click to expand the row for the user whose IP restriction you want to remove.

### Manage IP Address Restrictions

In order to provide an added layer of security, you may restrict user access to TWS from 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.



4. Click the **X** to remove the restriction.

The trader will no longer be restricted to that IP address.

### To confirm or cancel pending IP restriction requests

This procedure applies only to users who do not participate in the Secure Login System for two-factor authentication.

1. Click **Settings > User Settings**.
2. In the Security panel, click the Configure (gear) icon for IP Restrictions.
3. Each user with pending IP restrictions is displayed on an expanding/collapsing row in the Pending section.
  - o To confirm a pending IP restriction, click the row to expand it, and then enter the confirmation number we sent to your email address and click **CONTINUE**. If you have not yet received the confirmation number or you lost the email, click **Resend Confirmation Number** to receive a new one.  
Click **Ok** on the last screen.
  - o To cancel a pending IP restriction, click the row to expand it and then click X icon.

## Change Security Questions

In some cases, we ask our clients to identify themselves by answering the security questions that they provided in their account application. If you have forgotten these questions and answers, you can use the Change Security Questions page to change them.


## Who can access the Change Security Questions page?

You can access this page if you:

- » Have an Individual account (not Joint or IRA);
  - » Are not and Advisor or Broker client;
  - » Are using a Secure Login device (except a temporary device) or IB Key for two-factor authentication;
  - » The Net Liquidation Value of your account is less than 1 million USD.
- 

## To change the security questions

1. Click **Settings > Security > Change Security Questions**.
  
2. Select three different security questions and enter three answers in the fields provided.
3. Click **Submit**.

 **Note:** There may be cases where your account is eligible to change the security questions online but you receive the message "User is not allowed to use this functionality. Please call customer service". If this happens, it means that you probably launched Account Management from TWS rather than logging in directly. Try logging into Account Management directly (from our website, select LOG IN > Account Management), and then try changing the questions.

## Read-Only Access

This screen 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 screen?

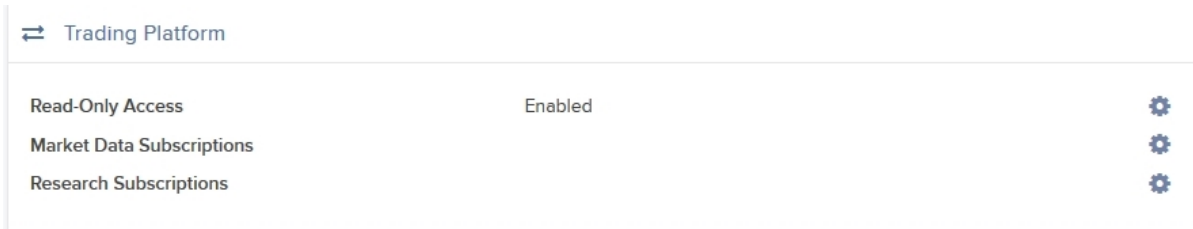
You can access this screen if you have Trader Workstation access rights.

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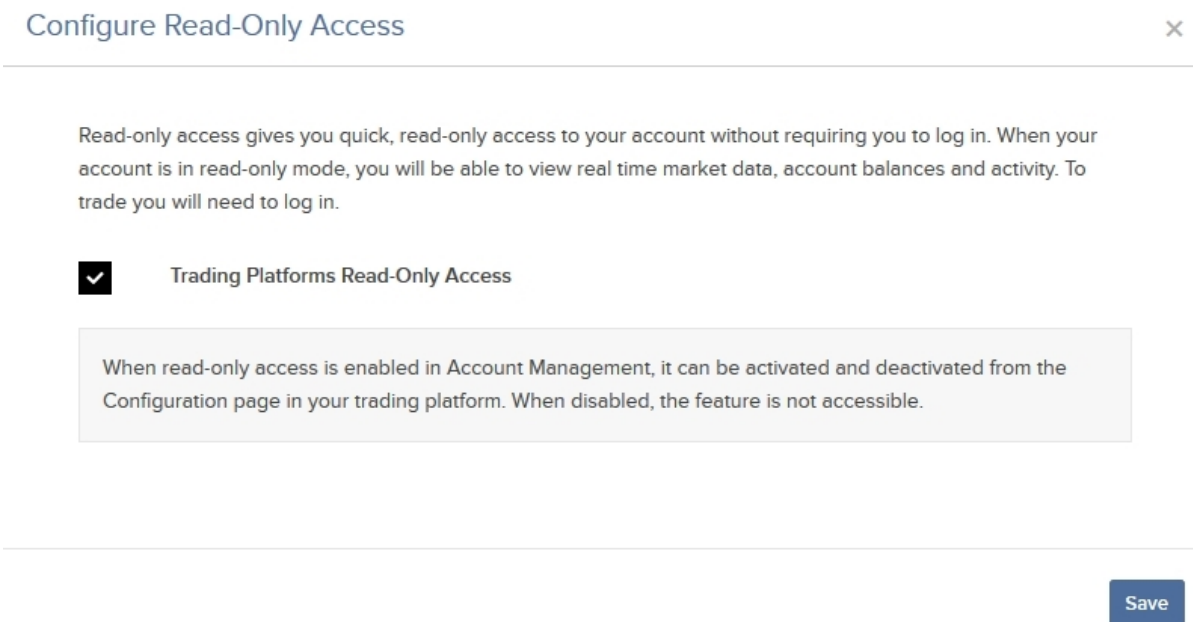


## To enable or disable Read-Only Access

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Read-Only Access.



The Configure Read-Only Access screen opens in a popup window.



3. Click the check box to enable read-only access, and then click **Save**.  
To disable read-only access, click the check box to uncheck it.

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.

## Subscribing to Market Data

We provide real-time streaming market data for free or at the price we are charged by the exchange. The Market Data Subscriptions screen displays your current market data subscriptions, lets you sign up for additional market data subscriptions such as NASDAQ TotalView and NYSE Open Book, and lets you unsubscribe from market data. Note that market data subscriptions are terminated if you have not logged into Trader Workstation for 60 days.

Included in this topic:

- » [View your current market data subscriptions and subscribe to market data.](#)
- » [Market data and research subscription termination rules](#)

In addition, on the Market Data Subscription screen, you can:

- » [View and modify your market data subscriber status.](#)
- » [If you have additional linked, duplicate or consolidated accounts, change the billable account.](#)

For important information about market data fees, see the [Market Data Fees](#) page on our website.

### Who can access the Market Data Subscriptions screen?

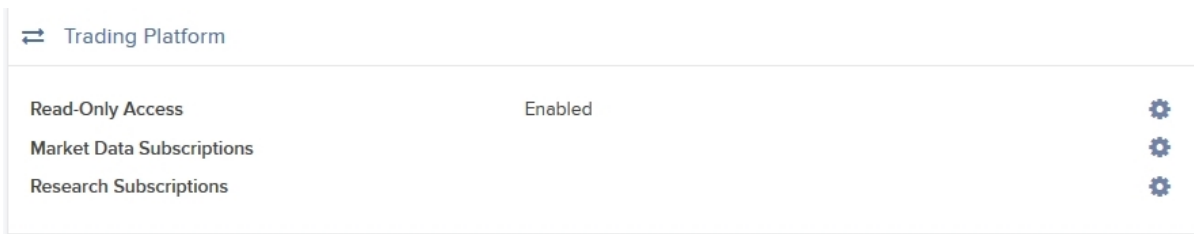
You can access this screen if you are a(n):

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

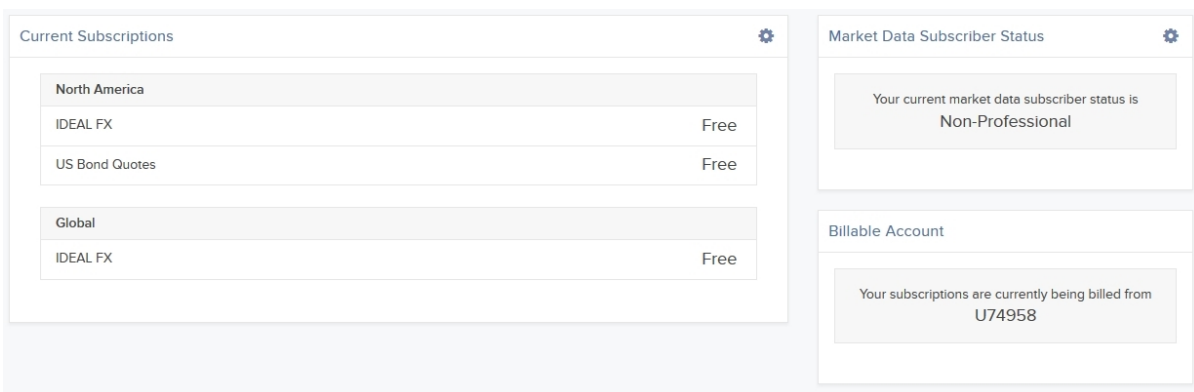
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**To view your current market data subscriptions and subscribe to market data**

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Market Data Subscriptions.



The Market Data Subscription screen opens.



This screen displays your current subscriptions, your market data subscriber status (Non-Professional or Professional) and the Account ID of the billable account (where your subscriptions are being billed).

3. Click the Configure (gear) icon in the Current Subscriptions panel title bar.  
The Configure Market Data screen opens.

Configure Your Market Data Subscriptions

We provide real-time streaming market data for the prices described below. 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 your market data subscription, click your region below.

North America ✓	Asia Pacific ✓
Europe ✓	Global ✓

---

This account is currently entitled to 100 Level I (NBBO) simultaneous quotes at no additional charge.

Quote Booster: Simultaneous Real Time Quote Limits

- Each booster pack provides an additional 100 simultaneous Level I quotes.
- Quotes are available via the desktop systems and in the API.
- Limit of 10 booster packs per account.
- Once subscribed, quotes are available immediately and will display the next time you log into the application.
- Data from a cancelled booster pack subscription remains available through the end of the current billing cycle.

USD 30.00 /pack

0 ▾

Continue

4. Click the region for which you want market data. A popup window opens with all available market data subscriptions for that region along with their prices. Scroll down to see all subscriptions.

## Market Data Subscriptions: North America

x

## Quote Bundles

## US Equity and Options Add-On Streaming Bundle (Pending)

USD 4.25 /pack 

Includes streaming realtime quotes for NYSE (CTA/Network A), AMEX (CTA/Network B), NASDAQ (UTP/Network C), and OPRA (US Options). US Securities Snapshot and Futures Value Bundle will be subscribed by default if not already selected with this service.

## US Value Bundle (Pending)

Waiver 

A BBO alternative that will deliver aggregated quote, trade, volume, and optional depth information for all four US equity exchange books operated by BATS (BATS, BYX, EDGX, EDGEA). Includes Dow Jones Industrial Average and S&P 500 Indices and top of book GLOBEX quotes for CBOT, CME, COMEX, and NYMEX

A monthly 10.00 fee will be waived whenever the monthly commissions generated in the account reach 30.00 USD.

## US Value Bundle PLUS (Pending)

USD 5.00 /pack 

Includes depth on CBOT, CME, COMEX, and NYMEX

## Indexes

## CBOE Market Data Express Indices (Pending)

USD 2.25 /pack 

CBOE Market Data Express Indices. Includes several S&P Indices.

## CME S&amp;P Indices (Pending)

USD 4.25 /pack 

CME S&P Indices.

## DJ Global Indices (Pending)

USD 1.00 /pack 

Standard fees for the Dow Jones Global Index, Standard & Poor's Global 100, and DJ Global

5. Select **YES** for each market data subscription you want to select.
6. To unsubscribe from market data, select **NO**.
7. When you are done, scroll all the way to the bottom of the popup window and click **Save**.
8. CONTINUE selecting regions and subscribing to market data until you are done subscribing.
9. Click **CONTINUE**.
10. Review your market data subscriptions. If they are correct, click **CONTINUE**.  
If you want to make changes, click **Back** and subscribe/unsubscribe as desired.
11. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
12. Click **Ok**.

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.

### **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 screen 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 Subscriptions](#) page.

### **Who can access the Market Data Subscriber Status screen?**

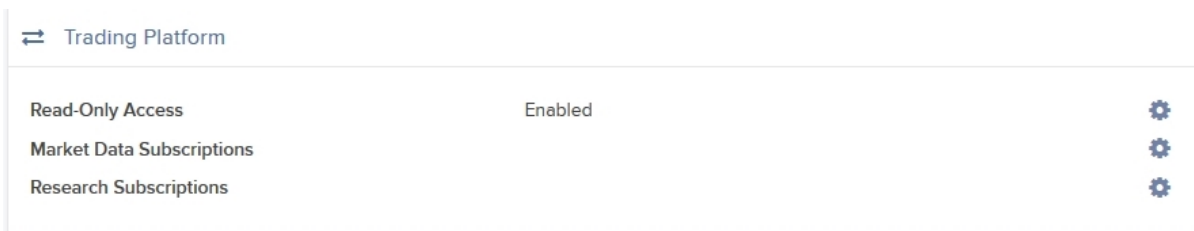
You can access this page if you are a(n):

- » Individual, Joint, Trust or IRA Account User
  - » Small Business Account User
  - » Friends and Family Group Master or Client
-

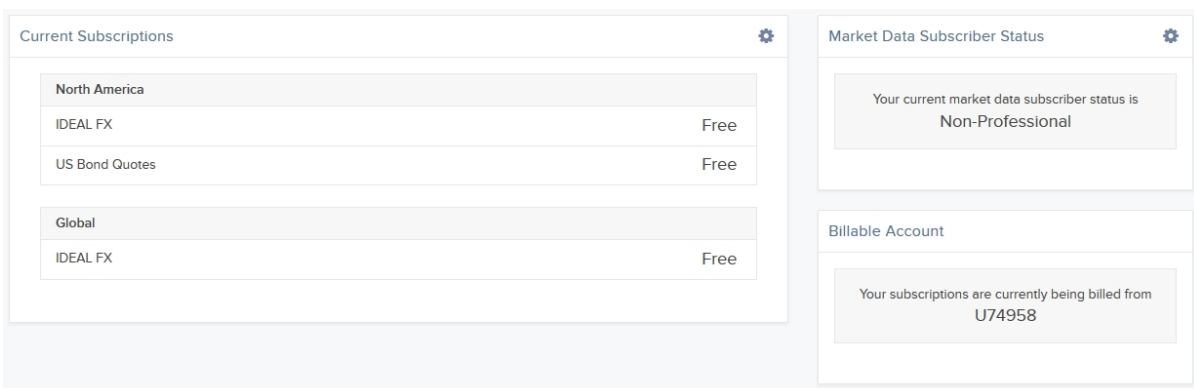
- » Advisor Master
- » Broker Fully Disclosed Client
- » Broker Non-Disclosed Client
- » Broker Omnibus Client User

### To change your market data subscriber professional status

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Market Data Subscriptions.



The Market Data Subscription screen opens.



3. Click the Configure (gear) icon in the Market Data Subscriber Status panel. The Market Data Subscriber Status screen opens.

**Market Data Subscriber Status**  
Use this page to change your market data subscriber status.

Current Market Data Subscriber Status Non-Professional

Do you agree that if you the Subscriber is a Non-Professional Subscriber, he or she shall receive Market Data Solely for his or her personal, non-business use.

Do you agree that 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.

4. Select your desired subscriber status from the drop-down. If you change from Professional to Non-Professional, you must answer YES to the two questions that appear.
5. Click **CONTINUE**.
6. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
7. Click **Ok**.

### 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).

**Market Data Assistant**

To find the exact market data subscription, enter the desired stock symbol and exchange (or use an ISIN). The search results will show which IB market data subscription(s) provide the real-time market data for all combinations of professional/non-professional, top-of-book, and deep-book data. A full description of all of IB's market data services and usage policies can be found here: [Market Data, Fundamentals and News](#)

**Search**

**Market Data Assistant**

Symbol	ISIN	Exchange <span style="font-size: small;">?</span>	Type	Currency	Asset Type
ABC	<input type="text"/>	<input type="text"/>	<input type="button" value="Any"/>	<input type="button" value="Any"/>	<input type="button" value="Any"/>



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.

Symbol	Description	Monthly Fees
ABC @ TSE (Currency: CAD) Asia Bio-Chem Group Corp		
Canadian Eqty (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 (P,L2)	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 (P,L1)	Pro	15 CAD
Toronto Stk Exch (P,L1)	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 (P,L2)	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
IBC Circle 06. Ed (NY) (Echom)	NonPro	6 USD

## Change Your Billable Account

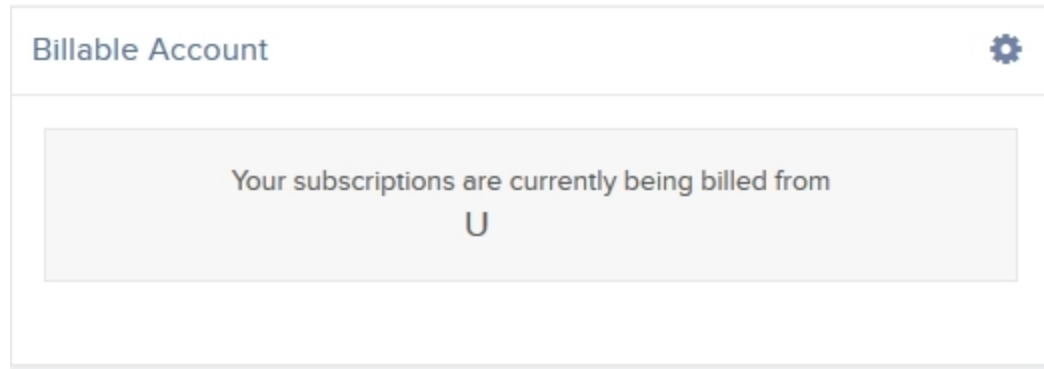
If you have additional linked, duplicate or consolidated accounts, the Billable Account section appears on the [Market Data Subscriptions screen](#). Use the Billable Accounts panel to change the account that is currently being billed for market data.

### To change your billable account

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Market Data Subscriptions.

Trading Platform	
Read-Only Access	Enabled
Market Data Subscriptions	
Research Subscriptions	

The Market Data Subscription screen opens.



3. Click the Configure (gear) icon in the Billable Account panel.
4. Select the account you want to be billed for market data, then click **Save**.

Beginning with the next billing cycle, your market data subscriptions will be billed to the account you selected.

## Research

The Research Subscription screen lets you sign up for news, information and research services.

Research subscriptions are terminated if you have not logged into Trader Workstation for 60 days. [Click here for more information.](#)

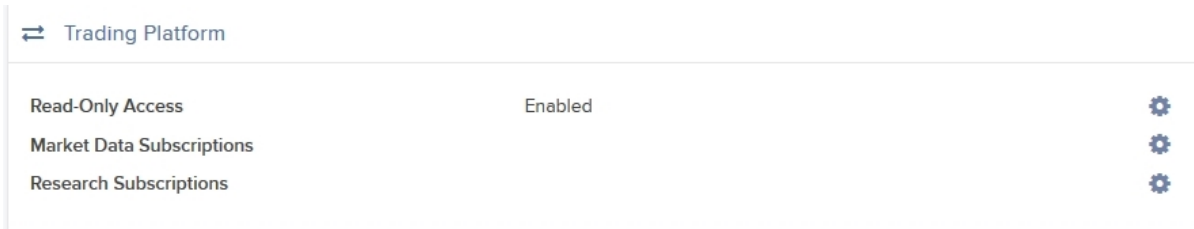
### Who can access the Research Subscriptions screen?

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

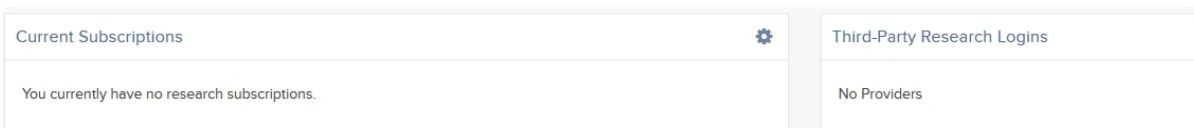
- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client
- » Advisor Master (master account only)
- » Proprietary Trading Group Master
- » Proprietary Trading Group Sub Account User
- » Broker Master
- » Broker Fully Disclosed Client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

## To subscribe to news, information and research

1. Click **Settings > User Settings**.
2. In the Trading Platform panel, click the Configure (gear) icon for Research Subscriptions.



The Research Subscription screen opens.



The screen shows all of your current news and research subscriptions as well as any [third-party research logins](#).

3. Click the Configure (gear) icon in the Current Subscriptions panel.

The Configure Research screen opens.

## Research Add On for Trading Platform

IBIS is a suite of research tool that are powered by research subscriptions, listed below for the low cost of \$69/month. We recommend the heavily discounted "Research Essentials" subscription bundle. One month free trials are available for all research subscriptions!

- **News:** Dow Jones, Reuters, Briefing.com, theyflyonthewall.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

### Base IBIS Research Platform

FREE for Brokerage Clients, IBIS is a \$69/month suite of research tools that are powered by research subscriptions, listed below. We recommend the heavily discounted "Research Essentials" subscription bundle. Note that one month free trials are available for all research subscriptions!

Would you like to subscribe to the Base IBIS Research Platform? - Free

 YES

## Discounted Content Packages

IBIS 'Research Essentials' Subscription Bundle - 5 Heavily Discounted Key Subscriptions Including:

1. **Reuters StreetEvents Calendars**
  - o LIVE Corporate Earnings calendar
  - o LIVE Economic Events calendar
  - o IPO, Secondary, and Industry Event calendars
2. **Dow Jones Trader News**
3. **Reuters Global Newswire**
4. **Reuters Worldwide Fundamentals**
  - o Financial Statements, Ratios, and Dividend Calendars
  - o Sell side analyst ratings summaries and financial forecasts
  - o Comparable company listings
5. **Recognia**
  - o Global technical alerts by security
  - o Covers stocks, options, ETFs, indices, forex, commodities and futures

Would you like to subscribe to this IBIS Research Essentials Subscription Bundle?

 NO

USD \$33.00-North America

Free Trial

This screen shows all available news, information and research and their subscription prices.

4. Select **YES** for each subscription you want to select.
5. To unsubscribe from news and research, select **NO**.
6. When you are done, scroll all the way to the bottom of the screen window and click **CONTINUE**.
7. Review your subscriptions. If they are correct, click **CONTINUE**.

If you want to make changes, click **Back** and subscribe/unsubscribe as desired.

8. If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. Type the confirmation number you received in the field provided, then click **CONTINUE**.
9. Click **Ok**.

News and research subscription updates take effect immediately under normal circumstances.

## Research Website Logins

This page lets you get access to research provider websites in order to get more services. You use your IB account email address but a unique password to access provider websites.

### To use this page

1. Click **Settings > Research Services > Research Website Login**.
2. Select a research provider from the drop-down list.
3. Type a unique password in the field provided. You will use this password along with your IB account email address to access the selected research provider's website.
  - The password must be unique; it cannot be the same as your IB account password.
  - The password should be between 6 and 20 characters.
4. Click **Submit**. It takes one business day to process your request.

## Support Information for Third-Party Research Logins

If you have technical problems logging into third-party research websites, use the information below to contact the research provider directly. For any provider who is not listed below, contact them directly according to the instructions on their website.



**Note:** Do not contact IB Client Services for problems with these logins.

Research Provider	Phone	Email Address
Accern	646.603.3821	support@accern.com
EOTPro	604-974-5101	support@eotpro.com
New Constructs	N/A	support@newconstructs.com
Social Alpha	866.980.9473	support@social-alpha.com
Wall Street Horizon	781-994-3500 x234	enchops@wallstreethorizon.com
XTF	800-XTF-ETFS	support@xtf.com

# IPO Subscription

This page lets you access a list of currently active IPOs available in Account Management. For more information, see the [Classic AM Users' Guide](#).

# Reports

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

Topics included:

- » [PortfolioAnalyst](#) - Our online performance analysis and reporting tool.
- » [Statements and Trade Confirmations](#) - Create, save and run your own custom statements, including Trade Confirmation reports.
- » [Flex Queries](#) - Create, save and run Activity and Trade Confirmation Flex Queries, which are text- or XML-formatted statement files that you can customize down to the field level.
- » [Other Reports](#) - Run supplement reports, including Margin and VAR reports as well as Transaction Cost Analysis.
- » [Tax Reporting and Tools](#)

## PortfolioAnalyst

PortfolioAnalyst is our online performance analysis and reporting tool that lets you analyze 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. You can also view the performance of your IB account and accounts held at financial institutions other than Interactive Brokers, including investment and non-investment accounts, and drill down to see accounts, asset classes, positions and transactions.

For detailed instructions about using PortfolioAnalyst, see our [PortfolioAnalyst Users' Guide](#).

## Statements and Trade Confirmations

The Reports > Statements screen gives you access to the following reporting functions:

- » [Run a Statement or Trade Confirmation Report](#) - Run different kinds of statements, including your own saved custom statements, trade confirmations and third-party downloads.

- » [Batch Reports](#) - View and run very large statements that have been placed in a queue for batch processing.
- » [Create Custom Statements](#) - Create and save custom Activity Statements.
- » [Delivered Statements](#) - Configure custom statements and flex queries for delivery.

### Who can access the Statements screen?

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
- » Advisor Master and Client
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed and Non-Disclosed Client
- » Investment Manager Master User
- » Fund

and have been granted Reports access rights.

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In this topic:

- » [About Activity Statements](#)
- » [Statement Cut-off Times](#)
- » [Activity by Account Type](#)
- » [Activity Statement Archive Policy](#)

### 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 Statements in Mobile Account Management include information about your account activity, which can be generated on a daily or monthly basis and for a custom date range for all accounts.
- » Prices in statements are displayed with a minimum of four decimal places to a maximum of seven decimal places. Sections that display price include Trades and Open Positions.

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 (yearly) statements are available by January 31 under normal circumstances.

## Statement Cutoff Times

The statement cutoff time for commodities is generally 5:15 PM EST, and the statement cutoff time for securities is generally 8:20 PM EST. This means that any trades executed for those asset classes before the cutoff times will be reflected in your statement for the day.

IB-JP clients have a statement cutoff time of around 6:00 AM ET.

## Activity by 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.

## How to Run a Statement

There are two ways to run a statement in Account Management:

- » [Set up and run a statement with additional options](#), including [Trade Confirmation Reports](#) and [Third-Party Downloads](#).
- » [Run your own saved customized statements](#).

In addition, you can run highly customized, text- or XML-formatted statements called Flex Queries:

- » [Run a saved Activity Flex Query](#).
- » [Run a saved Trade Confirmation Flex Query](#).

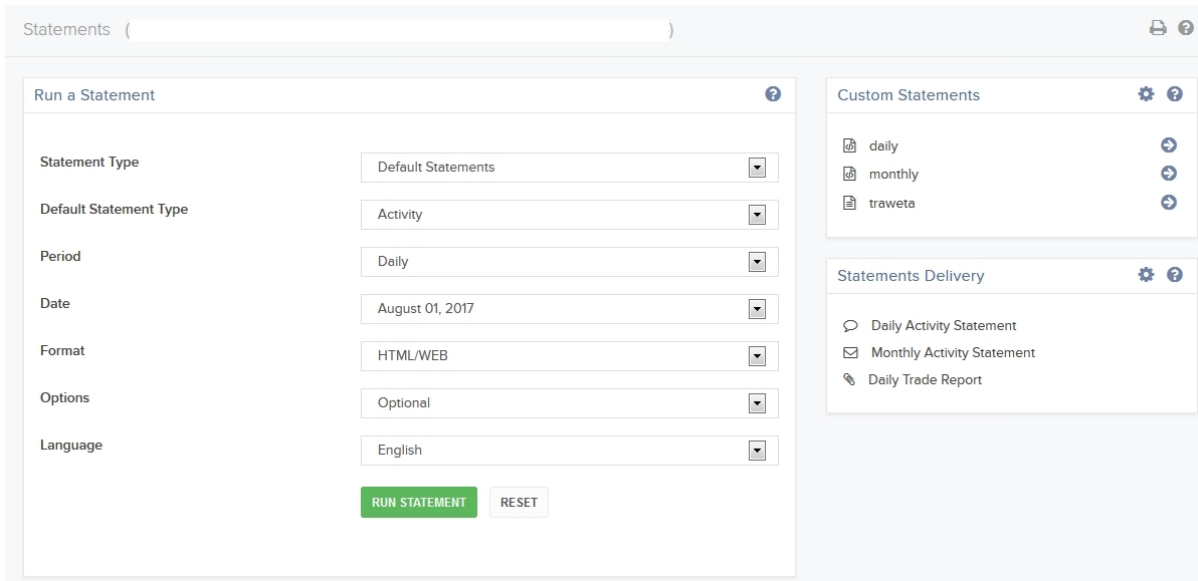
### Set Up and Run a Statement with Additional Options

The Run a Statement panel on the Statements screen lets you quickly configure and run an Activity Statement or Trade Confirmation Report.

#### To set up and run a statement with additional options

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.



Statements ( )

**Run a Statement**

Statement Type: Default Statements

Default Statement Type: Activity

Period: Daily

Date: August 01, 2017

Format: HTML/WEB

Options: Optional

Language: English

**RUN STATEMENT** **RESET**

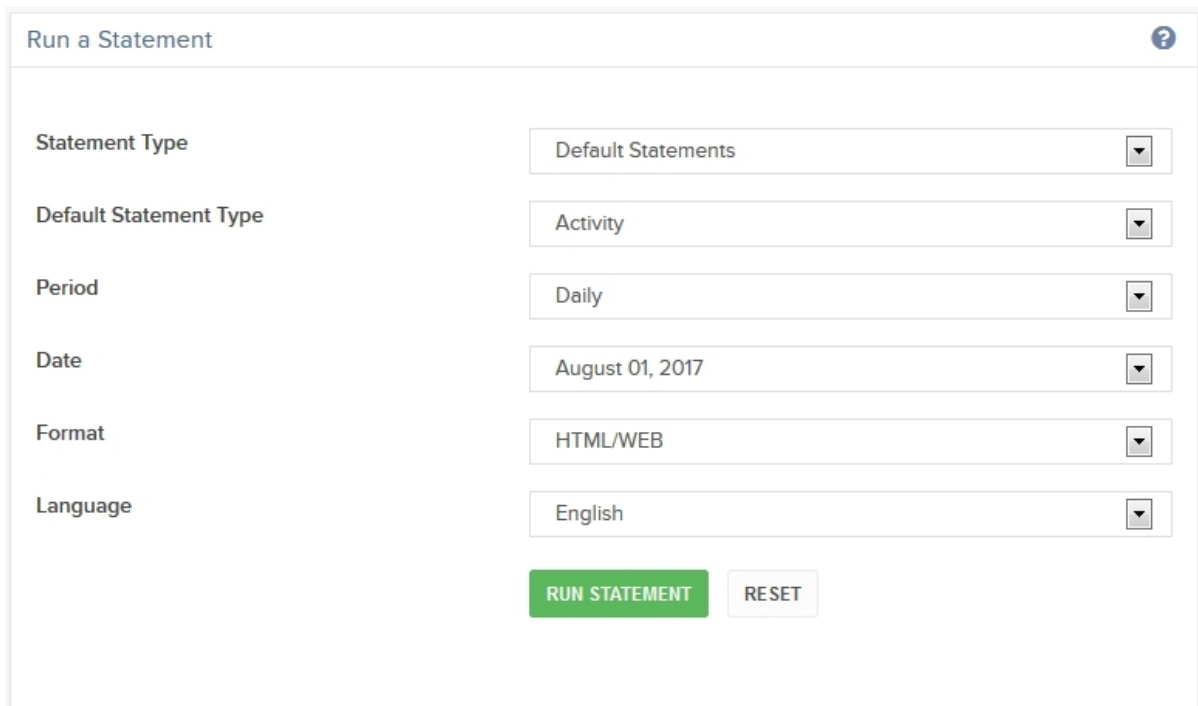
**Custom Statements**

- daily
- monthly
- traweta

**Statements Delivery**

- Daily Activity Statement
- Monthly Activity Statement
- Daily Trade Report

3. In the Run a Statement panel, select a Statement Type.



**Run a Statement**

Statement Type: Default Statements

Default Statement Type: Activity

Period: Daily

Date: August 01, 2017

Format: HTML/WEB

Language: English

**RUN STATEMENT** **RESET**

4. Select a Default Statement Type, a Custom Statement Type or a Third-Party Download Type from the drop-down. The selections available here depend on the Statement Type you selected.
5. Select the Period you want the report to cover. Select Daily, Custom Date Range, Monthly, Quarterly or Year to Date.

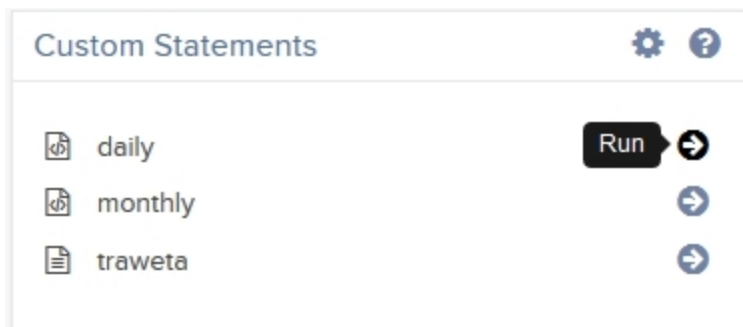
6. Select a date. If you selected Custom Date Range, enter From and To Dates.
7. Select the format for the generated statement: HTML/Web, PDF or CVS (comma-separated values). A CVS file is compatible with Microsoft Excel and similar programs.
8. In the Options drop-down, select how you want the statement to be configured for multiple selected accounts and/or partitions. Consolidated statements combine the data for multiple accounts into a single statement.
9. Select the language you want for the report.
10. Click **Run Statement**.  
Click **Reset** to clear all the fields.
11. If you selected PDF or CVS as the Format, you will be prompted to save the file to your computer. If you selected HTML as the Format, the statement will open inside Account Management.

### Run a Saved Custom Statement

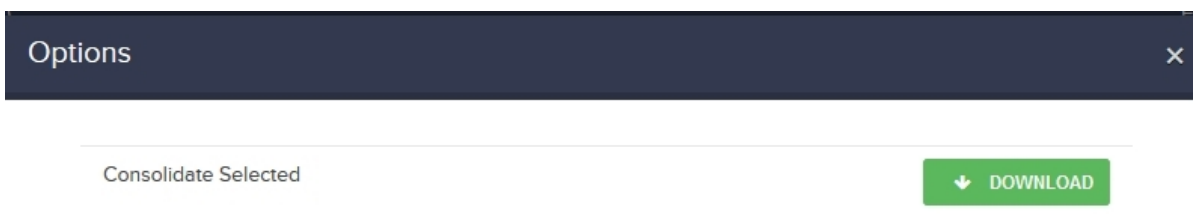
1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Custom Statements panel, click the Run icon next to the saved custom statement you want to run.



- If you selected multiple accounts in the Account Selector, a popup opens to allow you to download a consolidated statement.



Click the **DOWNLOAD** button to download the statement to your computer.

- You are prompted to save the file to your computer.

## Types of Statements

From the Run a Statement panel on the Statements screen, you can run any of the following types of statements:

### Standard Statements

- » [Model Statements](#) - Advisors and their clients can view these statements provided models have been created in Trader Workstation. Model Statements include additional information about the selected model in the Account Information section.
- » 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.
- » Multi-Account Summary - Available for clients who manage or maintain multiple accounts.

- » 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.
- » [Trade Confirmation Report](#) - 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.

### **Custom Statements**

- » Saved Custom Activity Statements

### **Flex Queries**

- » Activity Flex Queries
- » Trade Confirmation Flex Queries.

### **Third-Party Downloads**

Download daily and monthly statements into a variety of different software programs.

## Third-Party Downloads

On the Reports > Statements screen, you can download statements into any one of the following software:

- » Microsoft Word
- » Microsoft Money
- » Quicken
- » Tradelog
- » GainsKeeper
- » Capttools (Legacy)

In addition, the following downloads are available upon request:

- » Daily Capttools Downloads - Daily Capttools downloads are available for customers upon request. Send your request to enable Capttools downloads to [reportingintegration@interactivebrokers.com](mailto:reportingintegration@interactivebrokers.com). Note that Capttools downloads are not available to Non-Disclosed Broker Clients. If you request Daily Capttools Downloads, the Activity Downloads page will contain an additional section for Daily Capttools

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.

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.

### To download statements to third-party software

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Run a Statement panel, select *Third-Party Downloads* as the Statement Type.
4. Select the Period and Date using the drop-downs provided.
5. Select the third-party software from the Format drop-down.
6. Click **Run Statement**.
7. Open the generated report with the appropriate application, or download the report to your computer.

## Model Statements

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 Model Statements?

You can access Model Statements if you are an 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 > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Run a Statement panel, select *Standard Statements* as the Statement Type.
4. In the Standard Statement Type drop-down, select *Models*.
5. Select the Period, Date and Format in the drop-downs provided.
6. In the Options drop-down select one of the following:
  - *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.
  - *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.
  - *Summary* - View a Model Summary statement that summarizes data for all models for one or more accounts.
7. Select a language.
8. Click **Run Statement**.

## Create a Custom Statement

You create and save your own custom statement templates that let you choose which sections to include in an Activity Statements, as well as select additional statement options on the Custom Statements screen.

You can also [view, edit and delete saved custom statement templates](#) on the Statements > Custom Statements screen.

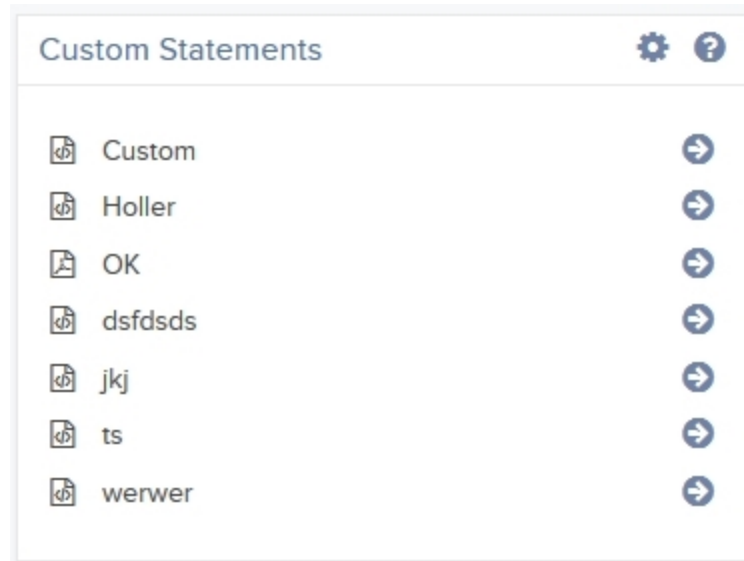
When you create a custom statement template, you do not save the period or date with the template. You select these options when you run the statement from the Statements screen.

### To create a customized statement

1. Click **Reports > Statements**.  
The Statements screen opens.



2. In the Custom Statements panel, click the Configure (gear) icon.



The Create an Activity Statement screen opens.



3. Click the + icon to open a new statement template.
4. In Activity Statement Details, enter the name of the custom statement, and select an output format and language.

### Activity Statement Details

**Statement Name**

Required

**Format**

HTML/Web



**Language**

English



5. In Sections, click each section that you want to appear in your custom statement. Select sections appear with a check mark.

## Sections (Select Multiple)

All	Corporate Actions	Options Distribution by Expiration
Account Information <input checked="" type="checkbox"/>	Daily Conversion Rates	Other Fees
Adjustments	Deposits and Withdrawals	Outgoing Trade Transfers
Advisor Fees	Dividends	Payment in Lieu of Dividends
Bond Interest	Realized & Unrealized P/L Summary	Pending Exercises
Borrows/Loans	Financial Instrument Information	Positions and Mark-to-Market
Borrow/Loan Fees	Forex Balances	Routing Commissions
Broker Interest	Forex P/L Details	Soft Dollar Activity
Cash Report	Incoming Trade Transfers	Statement of Funds
CFD Charges	Interest Accruals	Trade Summary by Asset Class
Change in Dividend Accruals	Month & Year to Date Summary	Trade Summary by Symbol
Change in Position Value	MTM P/L on Prior Period Positions	Transaction Codes
Client Fees	MTM Performance Summary	Transaction Fees
Combined Deposits/Withdrawals	Net Asset Value	Trades
Combined Dividends	Net Asset Value Time Series	Transfers
Combined Fees	Open Dividend Accruals	Unbooked Trades
Combined Interest	Open Positions	Unsettled Transfers
Commission Details	Option Cash Settlements	Withholding Tax
Complex Positions	Option Exercises/Assignments	

Capture screenshot.

6. In Section Configurations, select YES for each option that you want to turn on in your custom statement.
  - For Profit and Loss, select the profit and loss format for the statement. Select *MTM and Realized P/L*, *Realized P/L Only*, *MTM Only*, or *None*.  
For more information about profit and loss on statements, see [Profit and Loss Selection](#).

7. Click **CONTINUE**.
8. Review your statement template and click **Create**.

You can now run your new custom statement from the Run a Statement panel on the Statements screen.

## View, Edit and Delete Statement Templates

The Custom Statements screen displays all of your saved custom Activity Statement templates. Custom statements are saved as templates. On the Custom Statements screen, you can:

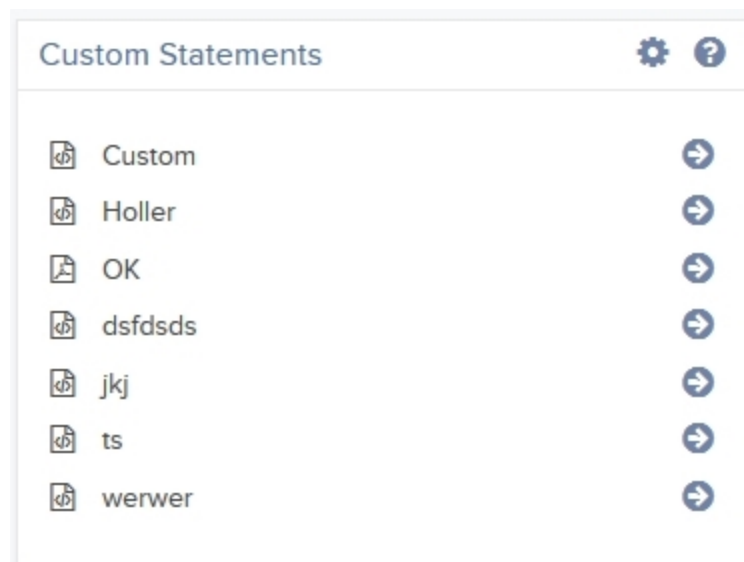
- » View all of your saved Activity Statement templates.
- » Edit an existing template.
- » Delete an existing template.
- » Create a new [Activity Statement template](#).

### To view, edit or delete saved statement templates

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Custom Statements panel, click the Configure (gear) icon.



The Custom Statements screen opens. Custom statement and flex query templates are displayed in their own separate panels.



4. Each saved custom statement template is displayed on its own expanding and collapsing row. Click an individual template to expand it and display all of the details about the statement.
5. To edit an existing template, click the Edit (pencil) icon for the template. Make changes as required.
6. To delete an existing template, click the X icon for the template. Once you delete a template, you can no longer run that statement.

## Customized Statements 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
<b>Mark-to-Market Performance Summary in Base</b>	Included	Not included.	Included	Not included.
<b>Realized &amp; Unrealized Performance Summary in Base</b>	Included	Included	Not included.	Not included.
<b>Month &amp; Year to Date Performance Summary in Base</b>	Included	Not included.	Not included.	Not included.
<b>Change in Position Value</b>	Included	Included	Not included.	Not included.
<b>Long Open Positions<sup>1</sup></b>	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.
<b>Short Open Positions<sup>1</sup></b>	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.
<b>Trades</b>	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.

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

## Trade Confirmations

Real-time trade confirmations are generated for all executions. On the Reports > Statements screen, you can run any of the following types of trade confirmation reports:

- » [Trade Confirmation Reports](#) - Shows your trade confirmations separately by asset class for a specific day or range of dates.

On the Reports > Flex Queries screen, you can also create [Trade Confirmation Flex Queries](#) - which are highly customized trade confirmation report templates in text or XML format.

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

### Trade Confirmation Reports

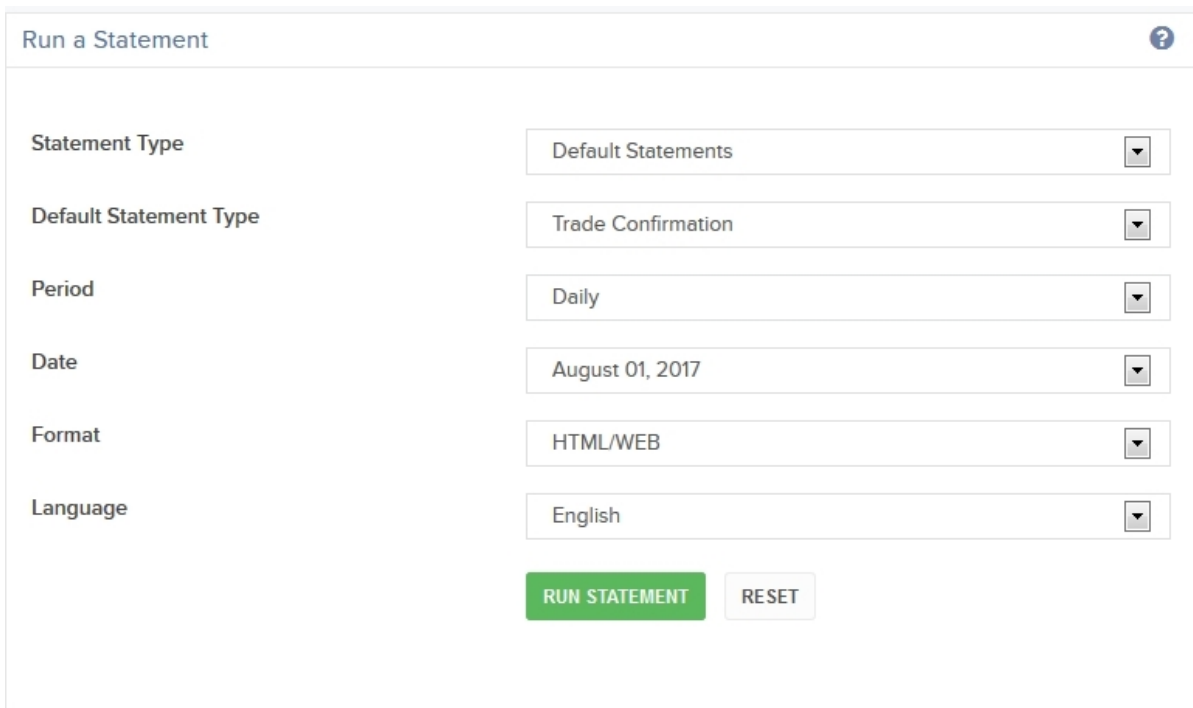
Run Trade Confirmation reports from the Run a Statement panel on the Statements screen.

#### To run a Trade Confirmation report

1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Run a Statement panel, select *Default Statements* as the Statement Type.



The screenshot shows a panel titled "Run a Statement" with a help icon in the top right corner. The panel contains several dropdown menus and two buttons. The dropdown menus are labeled as follows:


- Statement Type: Default Statements
- Default Statement Type: Trade Confirmation
- Period: Daily
- Date: August 01, 2017
- Format: HTML/WEB
- Language: English

At the bottom of the panel, there are two buttons: a green "RUN STATEMENT" button and a white "RESET" button.

4. Select *Trade Confirmation* as the Standard Statement Type.
5. Select the Period you want the report to cover. Select Daily or Custom Date Range.
6. Select a date. If you selected Custom Date Range, enter From and To Dates.
7. Select the output format: HTML/Web or PDF.
8. Select the language you want for the report.
9. Click **Run Statement**.  
Click **Reset** to clear all the fields.
10. If you selected PDF as the Format, you will be prompted to save the file to your computer.

## 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.

 **Note:** We no longer batch-process statements that are larger than 100 MB due to problems that this causes on our web server. You can request that your account be configured for FTP delivery of such statements by contacting us at [reportingintegration@interactivebrokers.com](mailto:reportingintegration@interactivebrokers.com).

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.

### To view the status of reports queued for batch processing

1. Click **Reports > Statements**.
2. If there are any reports that have been submitted for batch processing, they will be displayed in the Batch Reports panel.
3. Any report with a status of **Completed** can be viewed and/or downloaded immediately. Click the Run icon to view an HTML or PDF report or download a PDF report or Flex Query.
4. If a batch report has a status of **Failed**, try running the report again. If it fails again, contact [Client Services](#).



## Delivered Statements

You can configure the default method of notification for daily and monthly Activity Statements and Daily Trade Reports, and enable and configure delivery for your saved daily and monthly Activity Statements.

The Statements Delivery screen lets you set up notification and delivery preferences.

In this topic:

- » [Delivery Guidelines](#)
- » [Configure Notification Defaults and Delivery Settings](#)

### Delivery 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.

### Configure Notification Defaults and Delivery Settings

#### To configure notification defaults and delivery settings

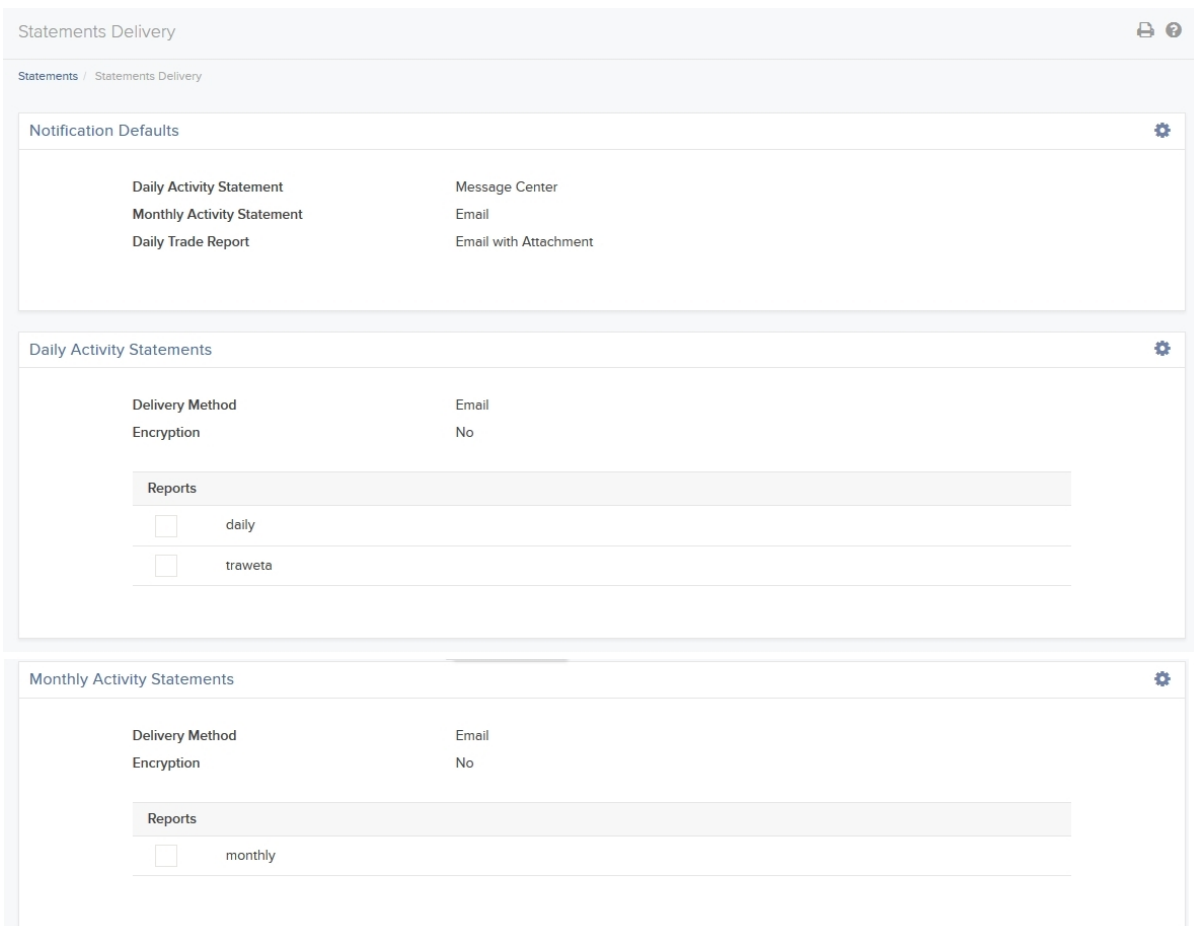
1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Delivered Statements panel, click the Configure (gear) icon.



The Statements Delivery screen shows your notification defaults, and delivery settings for all of your saved daily statements, monthly statements, Activity Flex Queries and Trade Confirmation Flex Queries in separate panels.



4. To set notification defaults:
  - o Click the Configure (gear) icon in the Notification Defaults panel.

Set your Activity Statement and Daily Trade Report notification preferences below.

Daily Activity Statement	Message Center	▼
Monthly Activity Statement	Email	▼
Daily Trade Report	Choose One	▼

Continue

- For Daily and Monthly Activity Statements, choose how you want to be notified: *Email with Attachment* (the statement will be attached to the email), *Email* (with no statement attached; you will have to run the statement yourself in Account Management), *Message Center* or *Disable* (for no notification).
  - For Daily Trade Reports, choose how you want to be notified: *Email with Attachment*, or *Disable* (no notification).
  - Click **CONTINUE**.
  - Confirm your selections by clicking **CONTINUE** again.
  - Click **Ok** to return to the Delivered Statements screen.
5. To enable and configure delivery for daily and monthly statements and for your saved Flex Queries (the procedure is the same for all):
- On the Delivered Statements screen, click the Configure (gear) icon in the panel.

**Configure Delivery Method**

FTP Delivery is available by request only. Encryption is available for both Email and FTP delivery methods by request only. Contact your Sales Representative or Client Services to enable these options.

Delivery Method:

Encryption:  YES  NO

Reports	
<input type="checkbox"/> daily	<input type="button" value="Add/Edit Account(s)"/>
<input type="checkbox"/> traweta	<input type="button" value="Add/Edit Account(s)"/>

- Select your preferred delivery method from the drop-down. This will apply to ALL reports enabled for delivery. *FTP* is available by request only; if you do not request FTP delivery (contact Client Services), then *Email* is the only delivery method you can choose.
- If you requested Encryption, select YES for Encryption. Encryption is available by request only and applies to both email and FTP delivery.
- Click the check box next to each report that you want delivered.
- If you maintain or manage multiple accounts, you can configure reports to be delivered to them. Click the **Add/Edit Account(s)** button, and then select desired accounts in the Account Selector and click **CONTINUE** to close the Account Selector. The selected accounts now appear next to the report enabled for delivery.

Reports	
<input checked="" type="checkbox"/> daily	U U <input type="text" value=""/>
	<input type="button" value="Add/Edit Account(s)"/> <input type="text" value="Consolidate Selected"/> <input type="text" value="Zip"/>

- Once you select multiple accounts for report delivery, you can choose how you want those reports delivered. Choose *Consolidate Selected* to consolidate the data for all accounts in a single report. Choose *Zip* to delivery separate reports for each account in a single zipped file.
- Click **CONTINUE**.

- Confirm your selections by clicking **CONTINUE** again.
- Click **Ok** to return to the Delivered Statements screen.

## Flex Queries

The Reports > Flex Queries screen gives you access to the following reporting functions:

- » [Run a Flex Query](#)
- » [Create a Custom Activity Flex Query](#)
- » [Create a Custom Trade Confirmation Flex Query](#)
- » [View, create, edit and delete Custom Flex Queries.](#)

### Who can access the Flex Queries screen?

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
- » Advisor Master and Client
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed and Non-Disclosed Client
- » Investment Manager Master User
- » Fund

and have been granted Reports access rights.

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### About Flex Queries

Flex Queries are highly customized report templates for Activity Statements and Trade Confirmation Reports. Flex Queries let you specify exactly which fields you want to view, the time period you want the report to cover, the order in which you want the fields to appear, and the output format, TEXT or XML, in which you want to save your report data for viewing in a program such as Microsoft Excel.

You can create multiple Flex Queries with different fields for each report. A Flex Query is different from an Activity Statement or a Trade Confirmation Report in that you can customize a Flex Query at the field level, allowing you to include and exclude detailed field information. Customized Activity Statements only let you include and exclude sections, while you cannot customize a Trade Confirmation Report.

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

## How to Run a Flex Query

Once you create a custom Flex Query, you can run it in Account Management using one of two methods:

- » [Quickly run a saved Activity or Trade Confirmation Flex Query](#) from the Run a Flex Query panel on the Flex Queries screen.
- » [Run a Custom Activity or Trade Confirmation Flex Query](#) from the Custom Flex Queries panel on the Flex Queries screen.

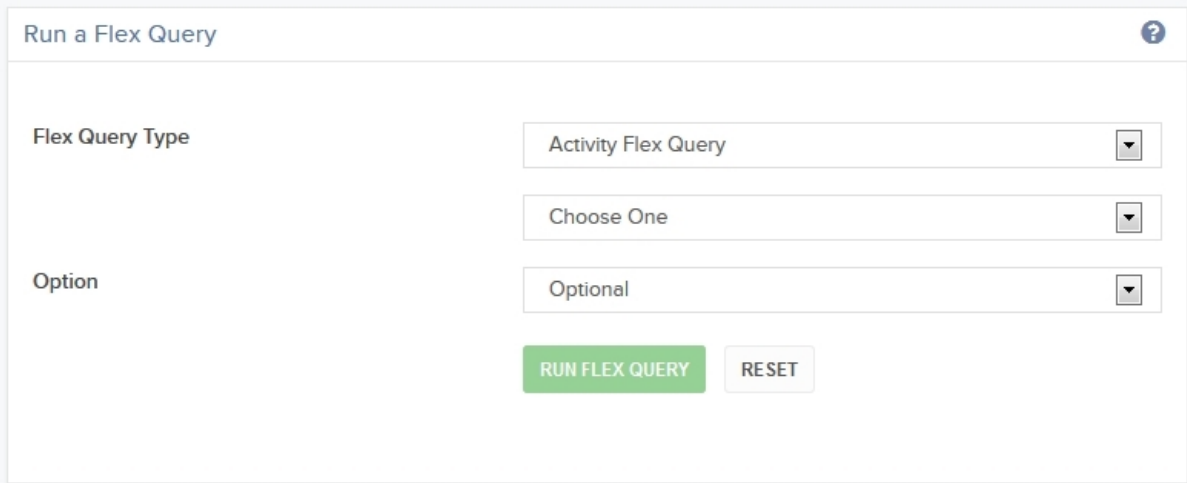
### Quickly Run a Saved Flex Query

#### To quickly run a saved Flex Query

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

The Flex Queries screen opens.

2. In the Run a Flex Query panel, select a Flex Query type. Select Activity Flex Query or Trade Confirmation Flex Query.



Run a Flex Query

Flex Query Type: Activity Flex Query

Choose One

Option: Optional

RUN FLEX QUERY RESET

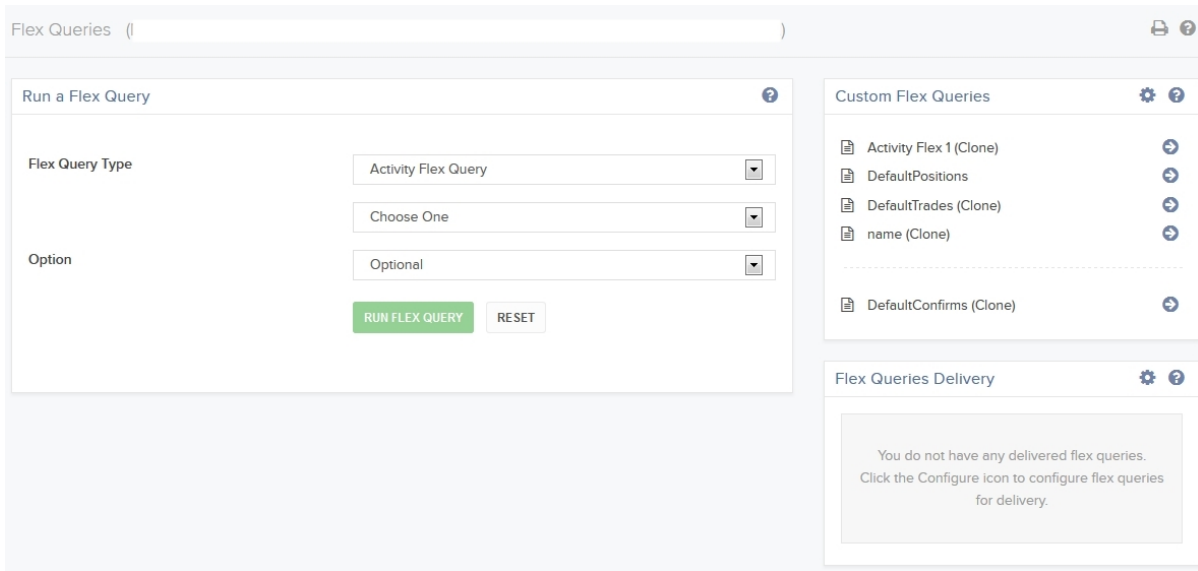
3. Select the saved Flex Query that you want to run.
4. In the Options drop-down, select how you want the Flex Query to be configured for multiple selected accounts and/or partitions. Consolidated statements combine the data for multiple accounts into a single statement, while ZIP saves separate Flex Queries for selected accounts in a single zipped file.
5. Click **Run Flex Query**.
6. When prompted, save the Flex Query or zipped file to your computer.  
You can open your Flex Queries in a program that can read text or XML files.

### Run a Custom Flex Query

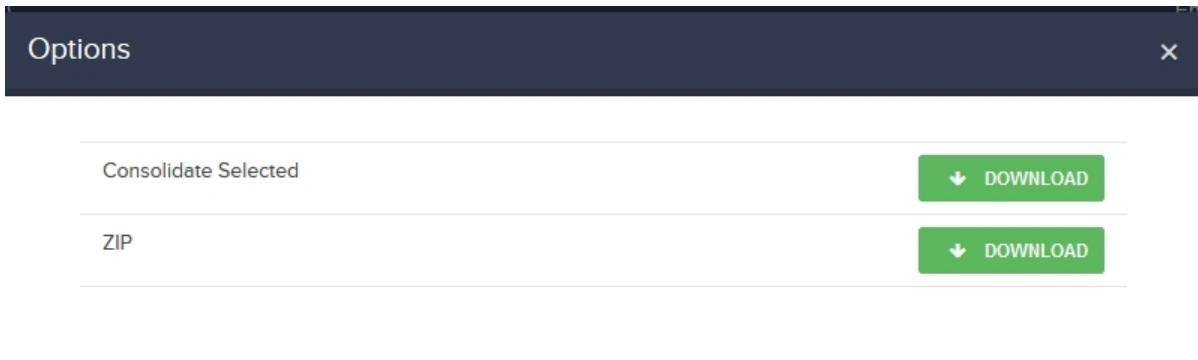
#### To run a custom Flex Query

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

The Flex Queries screen opens.



2. In the Custom Flex Queries panel, click the Run icon for the saved Flex Query that you want to run.
3. If you selected multiple accounts in the Account Selector, a popup opens to allow you to download a single consolidated Flex Query for all selected accounts or a .zipped file containing separate Flex Queries for selected accounts.



Click the **DOWNLOAD** button next to the desired option.

4. You are prompted to save the file to your computer.

## Create an Activity Flex Query

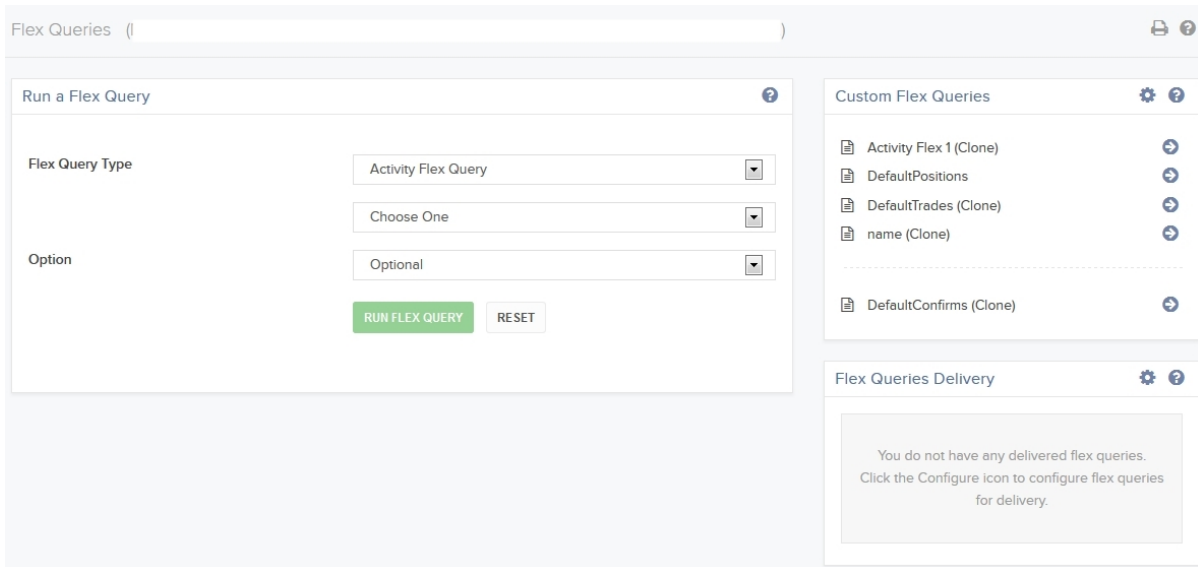
You create Activity Flex Queries on the Custom Flex Queries screen.

### To create an Activity Flex Query

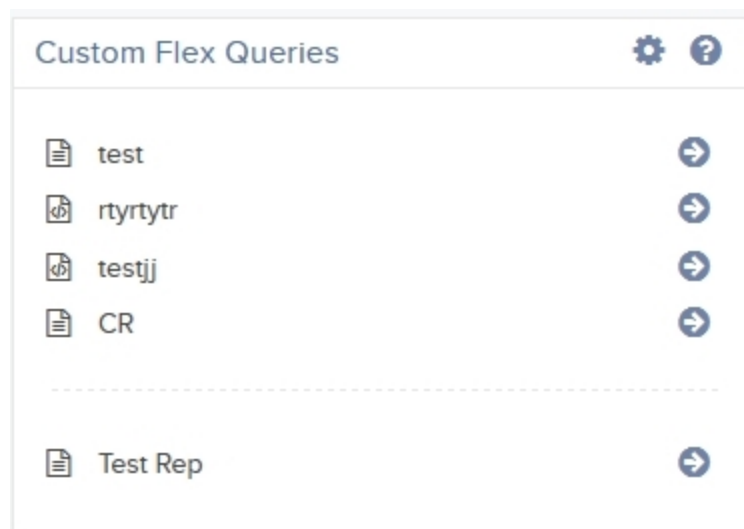


1. Click **Reports > Flex Queries**.

The Flex Queries screen opens.



2. In the Custom Flex Queries panel, click the Configure (gear) icon.



The Custom Flex Queries screen opens.



3. Click + icon in the Activity Flex Query Templates section.
4. In Activity Flex Query Details, enter the name of the Flex Query and select the output format (XML or Text).

If you select *Text* as the format, select additional options. Also select options to include canceled trades, include currency rates and display your account alias.

### Activity Flex Query Details

<b>Query Name</b>	<input type="text" value="Required"/>
<b>Format</b>	<input type="text" value="XML"/> ▼
<b>Include Canceled Trades?</b>	<input type="checkbox"/> NO
<b>Include Currency Rates?</b>	<input type="checkbox"/> NO
<b>Display Account Alias in Place of Account ID?</b>	<input type="checkbox"/> NO

5. In Date Configuration, enter the period, date and time format and date/time separator.

### Date Configuration

Date Period	Last Business Day	▼
Date Format	yyyyMMdd	▼
Time Format	HHmmss	▼
Date/Time Separator	; (semi-colon)	▼

6. In Sections, click each section that you want to appear in your Flex Query.

## Sections (Select Multiple)

Account Information ✓	Non-Direct Hard to Borrow Markup Details
Cash Report	Open Dividend Accruals
Cash Transactions	Open Positions
CFD Charges	Option Exercises, Assignments and Expirations
Change in Dividend Accruals	Pending Exercises
Change in NAV	Prior Period Positions
Change in Position Value Summary	Realized and Unrealized Performance Summary in Base
Commission Details	Routing Commissions
Complex Positions	Securities Borrowed/Lent
Corporate Actions	Securities Borrowed/Lent Activity
FDIC-Insured Deposits by Bank	Securities Borrowed/Lent Fee Details
Financial Instrument Information	Statement of Funds
Forex Balances	Trades
Forex P/L Details	Transaction Fees
IBG Notes	Transfers (ACAT, Internal)
Incoming/Outgoing Trade Transfers	Unbooked Trades
Interest Accruals	Unsettled Transfers
Interest Details (Tiers)	
Mark-to-Market Performance Summary in Base	
Month & Year to Date Performance Summary in Base	
Net Asset Value (NAV) in Base	
Net Stock Position Summary	
Non-Direct Hard to Borrow Details	

7. As you select each section, a popup .opens with all possible fields in the selected section.
  - Click each field that you want to appear in the Flex Query.
  - Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
  - Click **Save**.

### Account Information ×

<input checked="" type="checkbox"/>	Account ID	≡
<input checked="" type="checkbox"/>	Account Alias	≡
<input checked="" type="checkbox"/>	Model	≡
<input type="checkbox"/>	Currency	≡
<input type="checkbox"/>	Name	≡
<input type="checkbox"/>	Account Type	≡
<input type="checkbox"/>	Customer Type	≡
<input type="checkbox"/>	Account Capabilities	≡
<input type="checkbox"/>	Trading Permissions	≡
<input type="checkbox"/>	Registered Rep Name	≡
<input type="checkbox"/>	Registered Rep Phone	≡
<input type="checkbox"/>	Date Opened	≡
<input type="checkbox"/>	Date Funded	≡
<input type="checkbox"/>	Date Closed	≡
<input type="checkbox"/>	Street (Mailing Address)	≡
<input type="checkbox"/>	Street2 (Mailing Address)	≡
<input type="checkbox"/>	City (Mailing Address)	≡
<input type="checkbox"/>	State (Mailing Address)	≡
<input type="checkbox"/>	Country (Mailing Address)	≡
<input type="checkbox"/>	Postal Code (Mailing Address)	≡
<input type="checkbox"/>	Street (Residential Address)	≡
<input type="checkbox"/>	Street2 (Residential Address)	≡
<input type="checkbox"/>	City (Residential Address)	≡
<input type="checkbox"/>	State (Residential Address)	≡
<input type="checkbox"/>	Country (Residential Address)	≡
<input type="checkbox"/>	Postal Code (Residential Address)	≡

7. In Account Configuration, select the accounts and applicable [trading models](#), then choose if you want multiple accounts consolidate into one statement or delivered separately as a ZIP file.

Account Configuration [Applicable for delivery and Flex Web Service]

Account(s)

U

Models

Select a Model

Independent

8. Click **Continue**.
9. Review your Flex Query and click **Create**.

You can now run your new Flex Query.

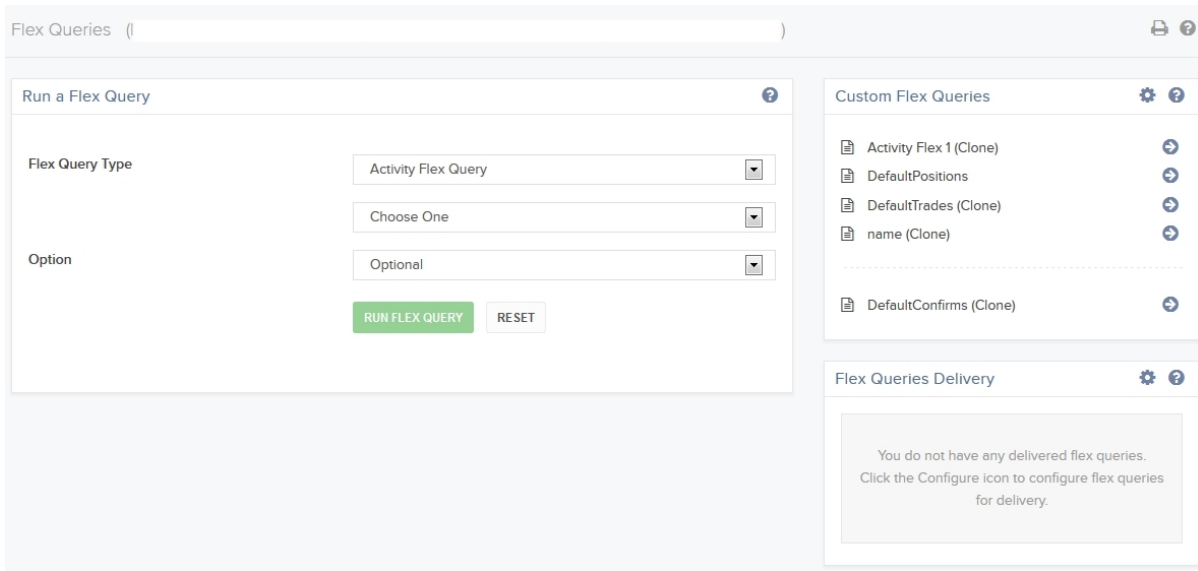
## Trade Confirmation Flex Queries

You create Trade Confirmation Flex Queries on the Custom Flex Queries screen.

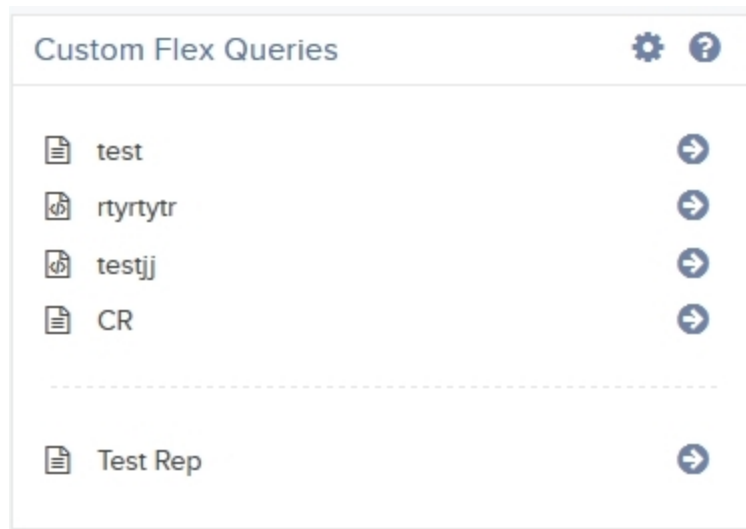
### To create a trade confirmation flex query

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

The Flex Queries screen opens.



2. In the Custom Flex Queries panel, click the Configure (gear) icon.



The Custom Flex Queries screen opens.



3. Click + icon in the Trade Confirmation Flex Query Templates section.
4. In Trade Confirmation Flex Query Details, enter the name of the Flex Query and select the output format (XML or Text).  
If you select *Text* as the format, select additional options. Also select options to include canceled trades and display your account alias.

### Trade Confirmation Flex Query Details

<b>Query Name</b>	<input type="text" value="Required"/>
<b>Format</b>	<input type="text" value="XML"/> ▼
<b>Include Canceled Trades?</b>	<input type="checkbox"/> NO
<b>Display Account Alias in Place of Account ID?</b>	<input type="checkbox"/> NO

5. In Date Configuration, enter the period, date and time format and date/time separator.



## Date Configuration

Date Period	Today	▼
Date Format	yyyyMMdd	▼
Time Format	HHmmss	▼
Date/Time Separator	; (semi-colon)	▼

6. In Sections, click each section that you want to appear in your Flex Query.

## Sections

Trade Confirmation	✓
--------------------	---

7. As you select each section, a popup .opens with all possible fields in the selected section.

- Select level of detail options at the top of the popup.
- Click each field that you want to appear in the Flex Query.
- Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
- Click **Save**.

## Trade Confirmation



## Options

Symbol Summary	Executions <input checked="" type="checkbox"/>
Orders	
<input checked="" type="checkbox"/> Account ID	<input type="checkbox"/>
<input checked="" type="checkbox"/> Account Alias	<input type="checkbox"/>
<input type="checkbox"/> Model	<input type="checkbox"/>
<input checked="" type="checkbox"/> Currency	<input type="checkbox"/>
<input checked="" type="checkbox"/> Asset Class	<input type="checkbox"/>
<input type="checkbox"/> Symbol	<input type="checkbox"/>
<input type="checkbox"/> Description	<input type="checkbox"/>
<input type="checkbox"/> Conid	<input type="checkbox"/>
<input type="checkbox"/> Security ID	<input type="checkbox"/>
<input type="checkbox"/> Security ID Type	<input type="checkbox"/>
<input type="checkbox"/> CUSIP	<input type="checkbox"/>
<input type="checkbox"/> ISIN	<input type="checkbox"/>
<input type="checkbox"/> Underlying Conid	<input type="checkbox"/>
<input type="checkbox"/> Underlying Symbol	<input type="checkbox"/>
<input type="checkbox"/> Issuer	<input type="checkbox"/>

7. Click **CONTINUE**.
8. Review your Flex Query and click **Create**.

You can now run your new Flex Query.

## View, Edit and Delete Flex Query Templates

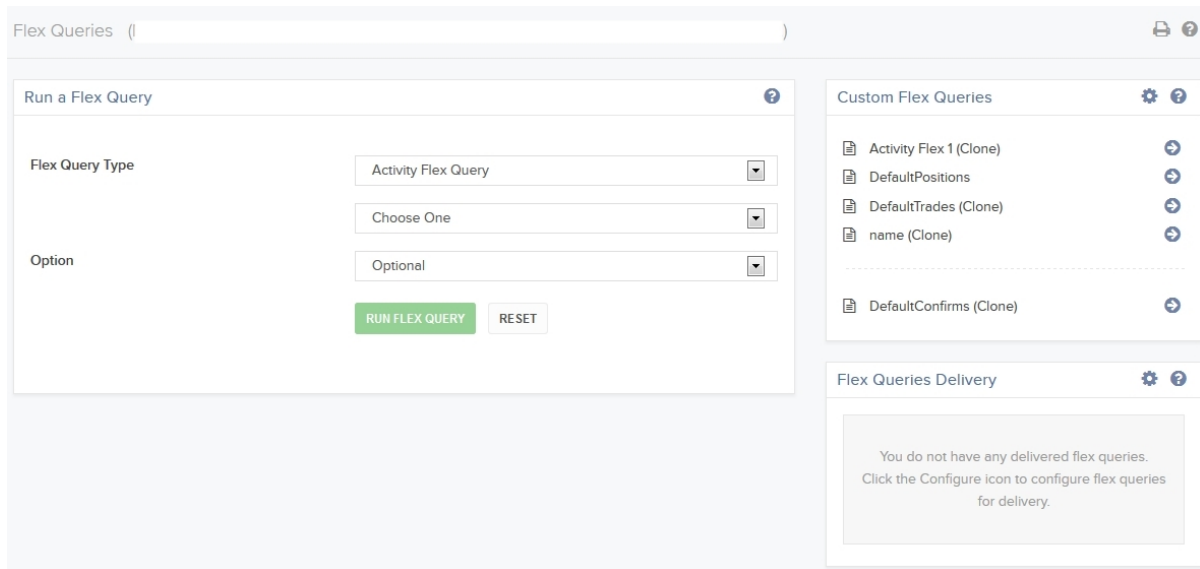
The Custom Flex Query screen displays all of your saved custom Activity and Trade Confirmation Flex Queries. Custom Flex Queries are saved as templates. On the Custom Flex Queries screen, you can:

- » View all of your saved Activity and Trade Confirmation Flex Query templates.
- » Edit an existing template.
- » Delete an existing template.
- » Create a new [Activity Flex Query](#) or [Trade Confirmation Flex Query](#) template.

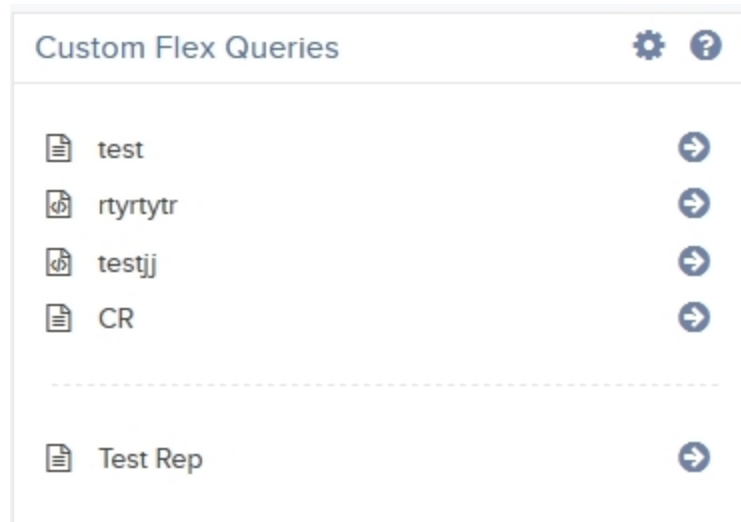
### To view, edit or delete saved Flex Query templates

1. Click **Reports > Flex Queries**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Flex Queries screen opens.



3. In the Custom Flex Queries panel, click the Configure (gear) icon.



The Custom Flex Queries screen opens. Activity Flex Query and Trade Confirmation Flex Query templates are displayed in their own separate panels.



4. Each saved custom statement template is displayed on its own expanding and collapsing row. Click an individual template to expand it and display all of the details about the statement.
5. To edit an existing template, click the Edit (pencil) icon for the template. Make changes as required.
6. To delete an existing template, click the **X** icon for the template. Once you delete a template, you can no longer run that statement.

## Delivered Flex Queries

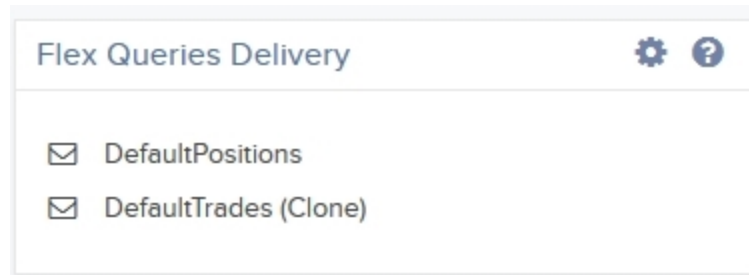
You can set your preferred delivery method for your saved Activity Flex Queries and Trade Confirmation Flex Queries.

### To configure delivery settings for saved Flex Queries

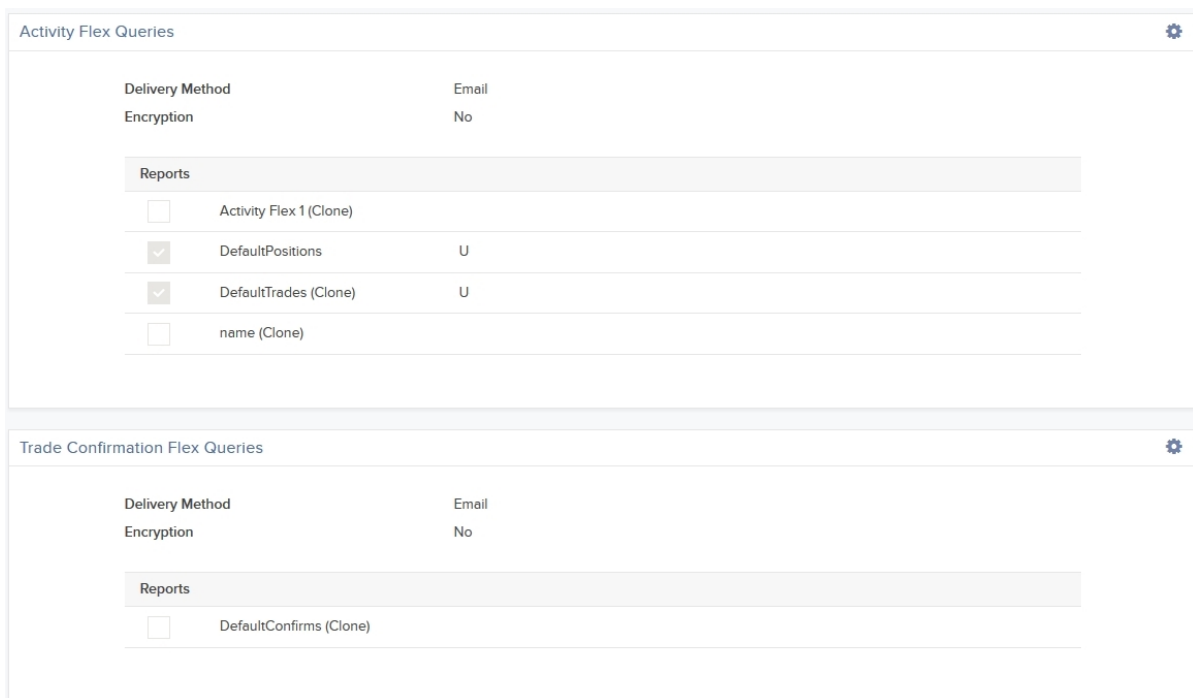
1. Click **Reports > Flex Queries**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

3. In the Delivered Flex Queries panel, click the Configure (gear) icon.



The Flex Queries Delivery screen shows your delivery settings for all of your saved Activity Flex Queries and Trade Confirmation Flex Queries in separate panels.



4. You enable and configure delivery for your saved Activity Flex Queries and Trade Confirmation Flex Queries separately (the procedure is the same for both):
  - On the Flex Queries Delivery screen, click the Configure (gear) icon in the appropriate panel. The Configure Delivery Method screen opens.

Configure Delivery Method

FTP Delivery is available by request only. Encryption is available for both Email and FTP delivery methods by request only. Contact your Sales Representative or Client Services to enable these options.

Delivery Method

Encryption  YES  NO

Reports		
<input type="checkbox"/>	Activity Flex 1 (Clone)	U
<input checked="" type="checkbox"/>	DefaultPositions	U
<input checked="" type="checkbox"/>	DefaultTrades (Clone)	U
<input type="checkbox"/>	name (Clone)	U

**CONTINUE**

- Select your preferred delivery method from the drop-down. This will apply to ALL reports enabled for delivery. *FTP* is available by request only; if you do not request FTP delivery (contact Client Services), then *Email* is the only delivery method you can choose.
- If you requested Encryption, select YES for Encryption. Encryption is available by request only and applies to both email and FTP delivery.
- Click the check box next to each Flex Query that you want delivered.
- Click **CONTINUE**.
- Confirm your selections by clicking **CONTINUE** again.
- Click **Ok** to return to the Flex Queries Delivery screen.

## Other Reports

The Reports > Other Reports screen gives you access to the following reports:

- » [Transaction Cost Analysis](#) - A dynamic and interactive analysis of your trades marked to various benchmarks grouped in different categories or on a per-order basis.

### Risk Reports

- » [Margin Reports](#) - View your margin requirements for all open single and combination positions.
- » [Stress Test Reports](#) - View the change in the Profit and Loss (PNL) of your positions if the underlying price of each of your positions declines and increases by predetermined percentages.

- » [Value At Risk Reports](#) - View 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).

## 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 (gear) icon.

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 screen?

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

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### To run a Transaction Cost Analysis

1. Click **Reports > Other Reports**.
2. Select *Transaction Cost Analysis* from the Report Type drop-down.

Report Type	Transaction Cost Analysis 
From Date	August 09, 2017 
To Date	August 14, 2017 

3. Select a start date and an end date from the From Date and To Date drop-down lists, then click **RUN REPORT** 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.

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

Summary Analysis 											
By Instrument Type and Marketability											
	Orders	Trades	Qty	vs Trade +10 min	vs Close	vs Trade +1 min	Total Premium	Price Improvement	Arrival Price	vs VWAP	vs Daily VWAP
+STK(Marketable)	2,422	6,572	1,116,255	(6.9)	(103.1)	(3.7)	5,359,721	25.0	(3.7)	0.9	(31.8)
+STK(NonMarketable)	4,417	7,669	1,125,450	(14.6)	(146.3)	(0.5)	9,911,835	-	(22.5)	11.5	(56.2)

4. 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 Order Type
  - By Adaptive Order Priority/Urgency
  - By AlgoType
  - By Exchange



- By Order Size
- By Trade Size
- By Trade Price
- By Order Live Time in Seconds
- By Underlying

Summary Analysis																	
By Instrument Type and Marketability																	
	Orders	Trades	Qty	vs Trade -10 min	vs Close	vs Trade -1 min	Total Premium	Price Improvement	Arrival Price	vs VWAP	vs Daily VWAP						
STK(Marketable)	2,422	6,572	1,116,255	(6.9)	(103.1)	(3.7)	5,359,721	25.0	(3.7)	0.9	(31.8)						
Details for: Marketable STK Trades																	
By Trade Date																	
	Orders	Trades	Qty	vs Trade -10 min	Premium Total%	Order Total%	vs Close	vs Trade -1 min	Qty Total%	Total Premium	Price Improvement	Arrival Price	Trades Total%	vs VWAP	vs Daily VWAP		
-20170821	296	923	209,086	2.4	19.3	12.2	(1.3)	(0.6)	18.7	1,035,242	17.1	(18.5)	14.0	(4.1)	(6.8)		
-20170822	640	1,855	287,677	(21.2)	30.7	26.4	(243.3)	(3.6)	25.8	1,646,210	42.4	20.9	28.2	8.3	(112.5)		
-20170823	319	830	136,516	(1.0)	14.5	13.2	(49.9)	(1.4)	12.2	774,863	11.6	(14.9)	12.6	(2.7)	(11.7)		
-20170824	501	1,313	170,382	7.8	18.1	20.7	(54.7)	0.3	15.3	969,604	13.2	(17.1)	20.0	(2.2)	1.0		
-20170825	309	820	139,960	(11.1)	11.4	12.8	(55.9)	(14.4)	12.5	611,675	29.8	(3.8)	12.5	4.2	43.6		
-20170828	357	831	172,634	(14.6)	6.0	14.7	(77.8)	(12.1)	15.5	322,126	20.5	(13.9)	12.6	(8.4)	9.4		
<b>Total</b>	<b>2,422</b>	<b>6,572</b>	<b>1,116,255</b>	<b>(6.9)</b>	<b>100.0</b>	<b>100.0</b>	<b>(103.1)</b>	<b>(3.7)</b>	<b>100.0</b>	<b>5,359,721</b>	<b>25.0</b>	<b>(3.7)</b>	<b>100.0</b>	<b>0.9</b>	<b>(31.8)</b>		
By Trade Side																	
	Orders	Trades	Qty	vs Trade -10 min	Premium Total%	Order Total%	vs Close	vs Trade -1 min	Qty Total%	Total Premium	Price Improvement	Arrival Price	Trades Total%	vs VWAP	vs Daily VWAP		
-Buy	518	1,347	204,642	12.3	19.5	21.4	65.8	(0.8)	18.3	1,042,565	14.2	(33.9)	20.5	(7.1)	3.5		
-Sell	1,904	5,225	911,613	(11.6)	80.5	78.6	(143.9)	(4.4)	81.7	4,317,156	27.6	3.6	79.5	2.9	(40.4)		
<b>Total</b>	<b>2,422</b>	<b>6,572</b>	<b>1,116,255</b>	<b>(6.9)</b>	<b>100.0</b>	<b>100.0</b>	<b>(103.1)</b>	<b>(3.7)</b>	<b>100.0</b>	<b>5,359,721</b>	<b>25.0</b>	<b>(3.7)</b>	<b>100.0</b>	<b>0.9</b>	<b>(31.8)</b>		
By Order Type																	
	Orders	Trades	Qty	vs Trade	Premium	Order	vs	vs Trade -1	Qty	Total	Price	Arrival	Trades	vs	vs Daily		

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:

Active Filters: ✕ Remove All ✕ STK(Marketable) ✕ 20170821 ✕ BATS ✕ Sell

You remove the *Sell* 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):

Active Filters: ✕ Remove All ✕ STK(Marketable) ✕ 20170821 ✕ BATS

- 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.
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.

Order Details ⚙

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Order Details

	Submit Date	Submit Time	Live Time	Type	Side	Order Qty	Trades	Trade Qty	Arrival Price	vs VWAP	Time Zone	vs Trade -1 min	vs Trade +10 min	vs Daily VWAP	Average Price	Price Improvement	Feasible Fill Rate	vs Daily Range	vs Close	Filled/Total Qty
ARQL	22-Aug-2017	14:15:58	0.0	Limit	Buy	200	2	200	(25.3)	0.1	US/Eastern	5.1	252.5	125.5	0.9900	0.0	100.0	66.0	101.0	100.0
ARQL	22-Aug-2017	14:15:59	0.0	Limit	Buy	200	1	200	(55.2)	0.0	US/Eastern	(55.2)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
ARQL	22-Aug-2017	14:15:59	201.4	Limit	Buy	10,000	15	6,000	(55.6)	(2.3)	US/Eastern	(54.3)	196.7	64.1	0.9948	(0.4)	100.0	56.1	39.8	60.0
ARQL	22-Aug-2017	14:16:17	0.0	Limit	Buy	4,400	2	4,400	(54.7)	0.0	US/Eastern	(55.2)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
ARQL	22-Aug-2017	14:16:44	0.0	Limit	Buy	5,000	1	5,000	(55.2)	0.0	US/Eastern	(55.2)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
ARQL	22-Aug-2017	14:17:18	0.0	Limit	Buy	4,000	1	4,000	(55.2)	0.0	US/Eastern	(71.8)	190.8	64.5	0.9960	0.0	100.0	56.0	40.2	100.0
BPMC	21-Aug-2017	15:30:15	0.0	Limit	Buy	200	1	200	(10.7)	0.0	US/Eastern	(3.6)	(37.9)	33.7	42.1900	2.4	100.0	69.0	(54.5)	100.0
BPMC	21-Aug-2017	15:30:22	0.0	Limit	Sell	108	2	108	(10.8)	0.0	US/Eastern	(7.3)	(40.5)	31.2	42.1793	2.2	100.0	67.9	(57.1)	100.0
BPMC	22-Aug-2017	09:30:50	0.0	Limit	Sell	200	2	200	0.0	0.1	US/Eastern	(23.3)	(91.0)	(772.1)	42.8500	7.0	50.0	5.0	(1148.2)	100.0
BPMC	22-Aug-2017	09:30:51	0.0	Limit	Sell	200	1	200	0.0	0.1	US/Eastern	(23.3)	(91.0)	(772.1)	42.8500	7.0	50.0	5.0	(1148.2)	100.0
BPMC	22-Aug-2017	09:30:58	0.0	Limit	Sell	200	2	200	(3.0)	(3.0)	US/Eastern	(26.4)	(105.7)	(775.3)	42.8371	4.0	50.0	4.5	(1151.5)	100.0
BPMC	22-Aug-2017	09:48:01	0.0	Limit	Sell	200	2	200	(4.6)	(1.1)	US/Eastern	(50.8)	(286.3)	(658.9)	43.3050	1.2	100.0	13.0	(1,031.1)	100.0
BPMC	22-Aug-2017	09:51:26	0.0	Limit	Sell	200	2	200	(10.1)	(6.1)	US/Eastern	(30.6)	(60.1)	(485.6)	44.0204	0.1	100.0	26.0	(851.8)	100.0
BPMC	22-Aug-2017	09:51:31	0.1	Limit	Sell	200	2	200	(1.1)	(4.3)	US/Eastern	(36.4)	(65.9)	(491.7)	43.9950	3.4	100.0	25.0	(858.1)	100.0
BPMC	22-Aug-2017	09:51:32	0.0	Limit	Sell	200	1	200	(37.5)	0.0	US/Eastern	(30.7)	(60.2)	(485.7)	44.0200	6.8	100.0	26.0	(851.9)	100.0
BPMC	22-Aug-2017	10:40:27	0.0	Limit	Sell	200	2	200	(8.8)	0.0	US/Eastern	0.1	42.3	(255.0)	45.0104	0.1	50.0	43.0	(613.1)	100.0
BPMC	22-Aug-2017	10:41:52	0.0	Limit	Sell	200	1	200	(15.3)	0.0	US/Eastern	(29.0)	(42.3)	(284.8)	44.8800	4.5	100.0	41.0	(643.9)	100.0

7. 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 (gear) icon link located above and to the right of each configurable table.

Configure Columns: Summary Analysis×

<input type="checkbox"/> Category	
<input type="checkbox"/> Orders	
<input type="checkbox"/> Trades	
<input type="checkbox"/> Qty	
<input checked="" type="checkbox"/> vs Trade +10 min	≡
<input checked="" type="checkbox"/> Premium Total%	≡
<input checked="" type="checkbox"/> Order Total%	≡
<input checked="" type="checkbox"/> vs Close	≡
<input checked="" type="checkbox"/> vs Trade +1 min	≡
<input checked="" type="checkbox"/> Qty Total%	≡
<input checked="" type="checkbox"/> Total Premium	≡
<input checked="" type="checkbox"/> Price Improvement	≡
<input checked="" type="checkbox"/> Arrival Price	≡
<input checked="" type="checkbox"/> Trades Total%	≡
<input checked="" type="checkbox"/> Price Improvement (NM)	≡
<input checked="" type="checkbox"/> Qty Eligible for PI	≡
<input checked="" type="checkbox"/> vs VWAP	≡
<input checked="" type="checkbox"/> vs Daily VWAP	≡
<input type="checkbox"/> vs Daily Range	≡
<input type="checkbox"/> Filled/Total Qty	≡

- All available columns are shown and currently visible columns have a check mark next to them.
- To add a column to the table, click the box next to it.
- To remove a column from the table, click the box next to it to remove the check mark.
- Change the order in which the columns will appear by clicking and dragging a column by the three-bar icon to a new position.
- Click **SAVE** at the bottom of the dialog to update the table with the modified columns. You may have to scroll down to see the SAVE button.

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 icon in the upper right corner of the screen.

## 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 to the filter. Detailed tables show data for the following:

- » By Trade Date
- » By Trade Side
- » By Order Type
- » By Adaptive Order Priority/Urgency
- » By AlgoType
- » By Exchange
- » By Order Size

- » By Trade Size
- » By Trade Price
- » By Order Live Time in Seconds
- » By Underlying

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.
<b>Performance Benchmarks</b>	
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: $(\text{Execution Price} - \text{Daily Low}) / (\text{Daily High} - \text{Daily Low})$



<b>Fill Rates</b>	
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.
<b>Commissions</b>	
Commission	Sum of commissions for all included orders.
Commission/Share	Average commission per share/contract.
<b>Order Details</b>	
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.

## Margin Report

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 report?

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

---

### To generate a Margin report

1. Click **Reports > Other Reports**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.

The Other Reports screen opens.

Report Type

3. Select *Margin* from the Report Type drop-down. Margin report settings appear.

Report Type

Sub Type

Date

Format

Language

- In the Sub Type field, select *Default* or *Commodities Regulatory Margin Report*. 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 Date field, select the date for the report.
  - In the Format field, select HTML/WEB, PDF or CSV (for a comma-separated values file).
  - In the Language field, select your language.
4. Click **Run Report** to generate the report. Click **Reset** to return to the Other Reports screen.  
If you selected PDF or CVS as the Format, you will be prompted to save the file to your computer

#### For more information

» [Margin Report Reference](#)

## 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%.

For more information on the Stress Test Report, see [Using the Stress Test Report](#).

### Who can access the Stress Test report?

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

---

### To generate a Stress Test report

1. Click **Reports > Other Reports**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.

The Other Reports screen opens.

Report Type

Choose One



Run Report

Reset

3. Select *Stress Test* from the Report Type drop-down. Stress Test report settings appear.

Report Type	Stress Test
Date	May 24, 2017
	<input type="button" value="Run Report"/> <input type="button" value="Reset"/>

4. In the Date field, select the date for the report.
5. Click **Run Report**. Click **Reset** to return to the Other Reports screen.

### 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.

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.

### 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.

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?

- » Individual, Joint, Trust or IRA Account User
  - » Small Business Account User
  - » Friends and Family Group Master or Client
-

- » Advisor Master User
- » Advisor Client
- » Proprietary Trading Group Master
- » Proprietary Trading Group Sub Account User
- » Broker Master (master account only)
- » Broker Fully Disclosed Client
- » Investment Manager Master
- » Fund
- » Administrator who is subscribed (linked) to a client account.

### To generate a Value at Risk Summary report

1. Click **Reports > Other Reports**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.

The Other Reports screen opens.

Report Type	Choose One <span style="float: right;">▼</span>
	<input type="button" value="Run Report"/> <input type="button" value="Reset"/>

3. Select *Value at Risk* from the Report Type drop-down. Value at Risk report settings appear.

Report Type	Value at Risk <span style="float: right;">▼</span>
Date	Current <span style="float: right;">▼</span>
Format	HTML/WEB <span style="float: right;">▼</span>
Language	English <span style="float: right;">▼</span>
	<input type="button" value="Run Report"/> <input type="button" value="Reset"/>

4. Select a date, report format and language.
5. Click **Run Report**. Click **Reset** to return to the Other Reports screen.

#### For more information

- » [Value At Risk Report Reference](#)

## Days to Long Term Report

The purpose of this report is to determine when your short term lot positions become long term.

### Who can access the Days to Long Term Report?

- » Individual, Joint, Trust or IRA Account User
  - » Small Business Account User
  - » Friends and Family Group Master or Client
  - » Advisor Master User
  - » Advisor Client
  - » Proprietary Trading Group Master
  - » Proprietary Trading Group Sub Account User
  - » Broker Master (master account only)
  - » Broker Fully Disclosed Client
  - » Investment Manager Master
  - » Fund
  - » Administrator who is subscribed (linked) to a client account.
- 

### To generate a Days to Long Term supplemental report

1. Click **Reports > Other Reports**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select the account whose account alias you want to change.

The Other Reports screen opens.



Report Type

3. Select *Days to Long Term* from the Report Type drop-down. Days to Long Term report settings appear.

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Report Type

Days to Long Term

Format

Language

4. Select the number of days, report format and language.
5. Click **Run Report**. Click **Reset** to return to the Other Reports screen.

#### For more information

» [Days to Long Term Report Reference](#)

## Tax Reporting and Tools

The Reports > Tax Reports screen gives you access to the following tax-related reporting functions:

- » [Tax Forms](#) - View and download annual tax forms for the last five years.
- » [Tax Optimizer](#) - Change tax-lot-matching methods and see the impact of those changes on your profit and loss.

Cost Basis:

- » [Position Transfer Basis](#) - Specify cost basis for positions transferred into your account using ACATS, ATON or FOP position transfer methods.
- » [Forex Cost Basis](#) - Update cost basis for your Forex balances as of December 31, 2009.

## Tax Forms

You can view and print annual tax forms for the last five years on the Tax screen. 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.

### Notes for Some Canadian Accounts

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, open the Account Selector and select the other account.

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 Tax Forms?

- » Individual, Joint, Trust or IRA Account User
- » Small Business Account User
- » Friends and Family Group Master or Client

- » Advisor Master
  - » Advisor Client
  - » Proprietary Trading Group Master
  - » Proprietary Trading Group Sub Account User
  - » Broker Master (master account only)
  - » Broker Fully Disclosed Client
  - » Investment Manager Master
  - » Fund
- 

### To view and print tax forms

1. Click **Reports > Tax**. The Tax Reporting screen opens.
2. 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.
3. Select the tax year for which you want to view tax forms. A list of available forms appears.
4. Each form is available in different output formats (HTML, Excel or PDF). Select the appropriate format for the tax form you want to view and print.
5. If prompted, save the form to your computer.

### For more information

- » [Tax Reporting](#)

## 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?

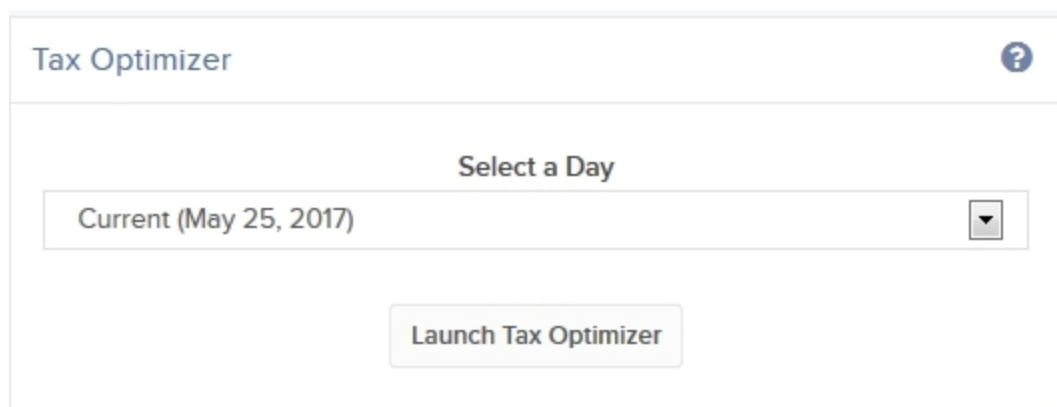
All users can access the Tax Optimizer except Canadian customers, whose accounts are automatically assigned to our IB Canada (IB-CA) entity.

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## To run the Tax Optimizer


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**. The Tax Reports screen opens.
2. In the Tax Optimizer panel, select either the current or prior trading day from the Trading Day dropdown.



3. Click **Launch Tax Optimizer**.
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.

 **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](#).

## Cost Basis

Cost basis is the original value of an asset and is generally used to determine the capital gain from a sale of securities. The Cost Basis panel lets you access these cost basis functions:

- » [Position Transfer Cost Basis](#): Specify cost basis for positions transferred into your account using ACATS, ATON or FOP position transfer methods.
- » [Forex Cost Basis](#): Update cost basis for your Forex balances as of December 31, 2009.

### 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.

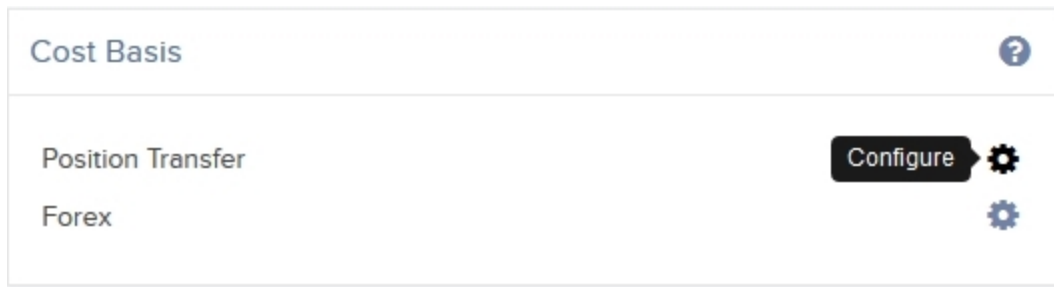
### Who can access the Position Transfer Basis screen?

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

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**To specify the position transfer basis for an ACATS, ATON or FOP transfer**

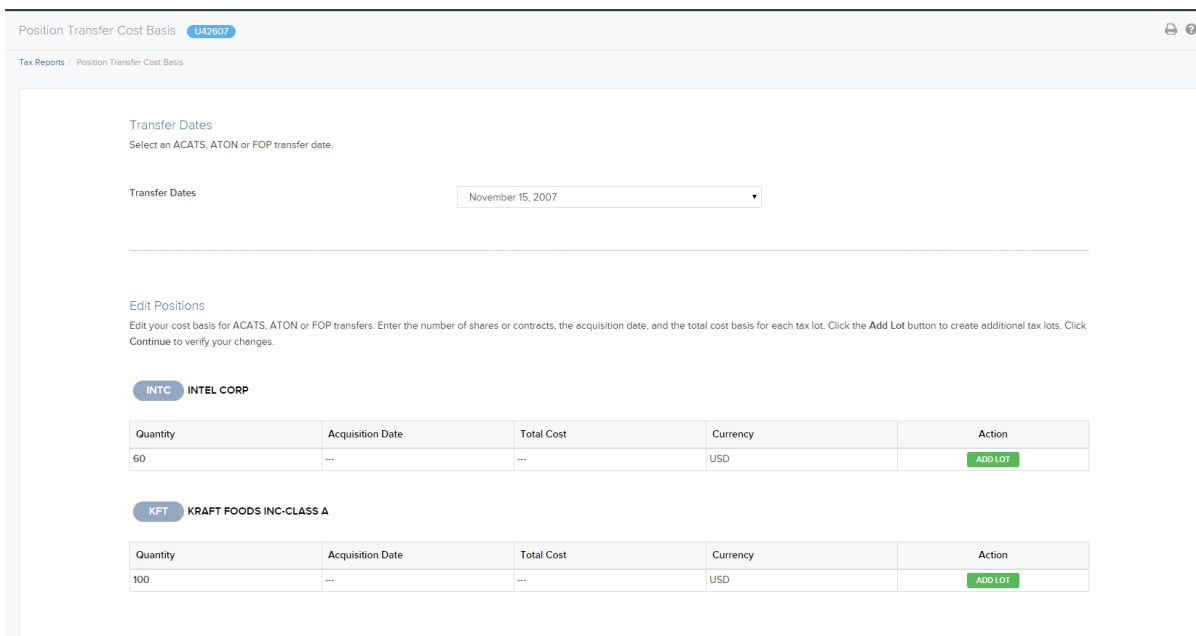
1. Click **Reports > Tax**. The Tax Reports screen opens.
2. In the Cost Basis Panel, click the Configure (gear) icon for Position Transfer.



The Position Transfer Cost Basis screen opens.

If there are no eligible transactions, there is nothing for you to do and you can exit this screen using the menu or breadcrumbs.

3. If there are eligible transactions, select a transfer date.



4. In the Edit Positions section, update the cost basis for ACATS, ATON or FOP transfers as described below:
  - o Enter the number of shares or contracts for the position in the Quantity field.
  - o Enter the date of purchase for the position in the Acquisition Date field.

- Enter the total cost basis for the entire position in the Total Cost field.
  - Select a currency for the position. 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 add a new tax lot by clicking **Add Lot** in the Action column.
  - Optionally delete a tax lot by clicking **Delete** in the Action column.
5. Click **CONTINUE** to submit your cost basis update.

## Forex Cost Basis

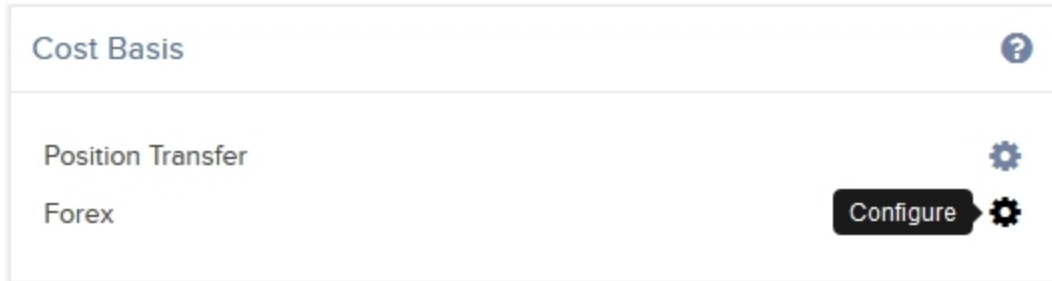
This page lets you update the cost basis for your Forex balances as of December 31, 2009.

### Who Can Access the Forex Cost Basis screen?

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

### To update your Forex cost basis

1. Click **Reports > Tax**. The Tax Reports screen opens.
2. In the Cost Basis Panel, click the Configure (gear) icon for Forex.



The Forex Cost Basis screen opens.

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 screen. Exit the screen using the menu or breadcrumbs.

If you do have eligible Forex balances, screen shows the currency and quantity of your Forex balances as of December 31, 2009. They appear in a table with each row representing a different currency.

#### NEED IMAGE SHOWING TRANSACTIONS

3. Enter the cost basis for each Forex balance in the Cost Basis field. 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 **CONTINUE**.



# Transfer & Pay

This chapter describes how to use the funding functions in the Account Management system. Transfer & Pay 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 apply for and manage IB Debit Mastercards.

Topics included:

- » [Viewing Transaction History](#)
- » [Transfer Funds](#)
- » [Transfer Positions](#)
- » [Saved Information](#)
- » [Debit Mastercard](#)

## 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:](#)
  - Summary information includes the date, amount, positions and status of each transaction.
  - Adjust the time period for which you want to view transactions from the past 10 days to the past 90 days using a slider.
  - Sort the list of transactions by clicking any column heading.
  - Search for any transaction by Account ID, transaction type, transaction method or status.
  - Filter the list of transactions by transaction type, method and/or status.
  - Print the transaction history.
  - Export the transaction history to Microsoft Excel.
  - Configure the Transaction History screen to display additional information.

- » View additional details about each transaction in a popup window:
  - Cancel a transaction from the details popup window.
  - Print transaction details.
  - Modify a pending deposit notification.
  - Elect to stop payment on a check withdrawal.
- » View Debit Mastercard transaction history.

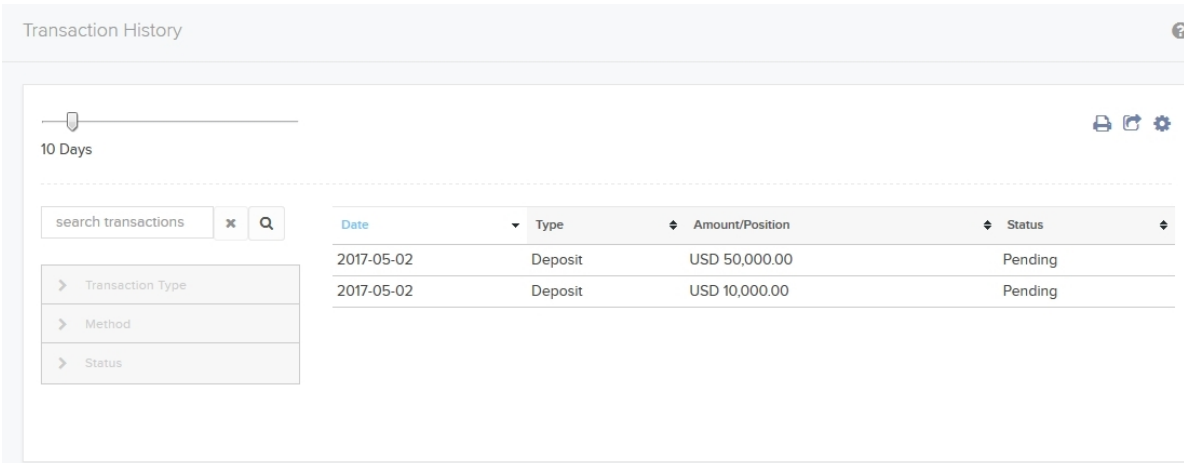
## Who can access the Transaction History screen?

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
- » Advisor Master User
- » Advisor Client
- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed Client
- » Investment Manager Master User
- » Fund

## To view your transaction history

1. Click **Transfer & Pay > Transaction History**.

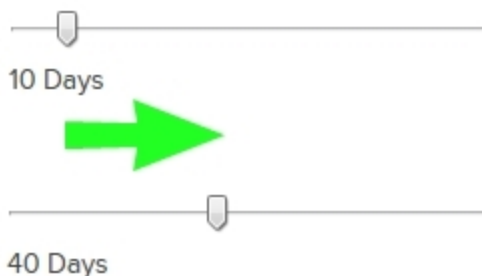


The screenshot shows the 'Transaction History' interface. At the top, there is a title bar with 'Transaction History' and a help icon. Below the title bar, there is a search bar with the text '10 Days' and a search icon. To the right of the search bar are icons for print, share, and settings. Below the search bar is a table with the following columns: Date, Type, Amount/Position, and Status. The table contains two rows of data:

Date	Type	Amount/Position	Status
2017-05-02	Deposit	USD 50,000.00	Pending
2017-05-02	Deposit	USD 10,000.00	Pending

Below the table, there are three expandable sections: 'Transaction Type', 'Method', and 'Status', each with a right-pointing arrow.

- 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 slider right or left to change the time. The page updates to display all of your funding transactions for the selected period.

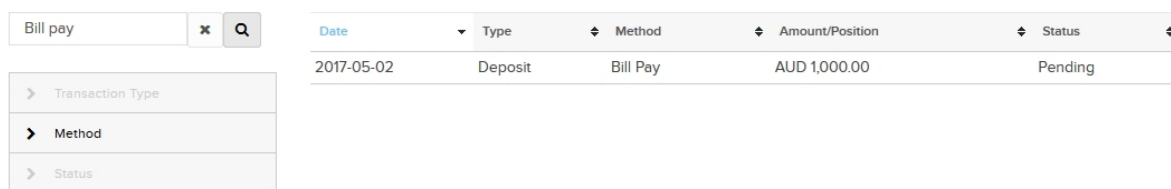


- By default, transactions are displayed by date in descending order. Change the sort order by clicking any column heading. To change the sort order from descending to ascending, click the column heading again.

For example, if you want to view all deposits listed together, click the **Type** column heading.

- Search for a specific transaction by Account ID, Account Title, Transaction Type (deposit, withdrawal, etc.), Transaction Method (check, wire, etc.), or Status by typing the search criteria in the Search field, and then clicking the **Search** (magnifying glass) icon. Search words are *not* case-sensitive.

For example, if you just want to view Bill Pay transactions, type "Bill pay" in the Search field and then click the **Search** icon.



- Filter the transaction history by Transaction Type, Method or Status.
  - Click the filter button on the left. For example, click **Method**.

- Click the filter criteria as required. A check mark appears next to your selected criteria. For example, to filter the transaction history by Wire transactions, click **Wire** under the Method filter.

✕ 🔍

> Transaction Type

▼ Method

Bill Pay

Check

Wire

Apply

> Status

Date	Type	Method	Amount/Position	Status
2017-05-02	Deposit	Bill Pay	AUD 1,000.00	Pending
2017-05-02	Deposit	Wire	USD 50,000.00	Pending
2017-05-02	Deposit	Wire	USD 10,000.00	Pending
2017-04-04	Deposit	Wire	USD 10,000.00	Pending
2017-03-09	Deposit	Check	USD 4,000.00	Pending

- Click **Apply**.

The screen updates to display only those transactions for the selected period that match your search criteria.

✕ 🔍

> Transaction Type

▼ Method

Bill Pay

Check

Wire ✓

Apply

> Status

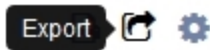
Date	Type	Method	Amount/Position	Status
2017-05-02	Deposit	Wire	USD 50,000.00	Pending
2017-05-02	Deposit	Wire	USD 10,000.00	Pending
2017-04-04	Deposit	Wire	USD 10,000.00	Pending

To undo your filter, click the filter criteria again to remove the check mark, and then click **Apply**.

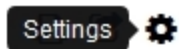
- To print the transaction history as currently displayed, click the **Print** icon located in the upper right corner of the screen.



7. To export your transaction history to an XLS file (Microsoft Excel-compatible), click the **Export** icon located in the upper right corner 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.



8. Click the **Configure** (gear) icon to configure the transaction history to display additional information, including Account ID, Account Title and Method.



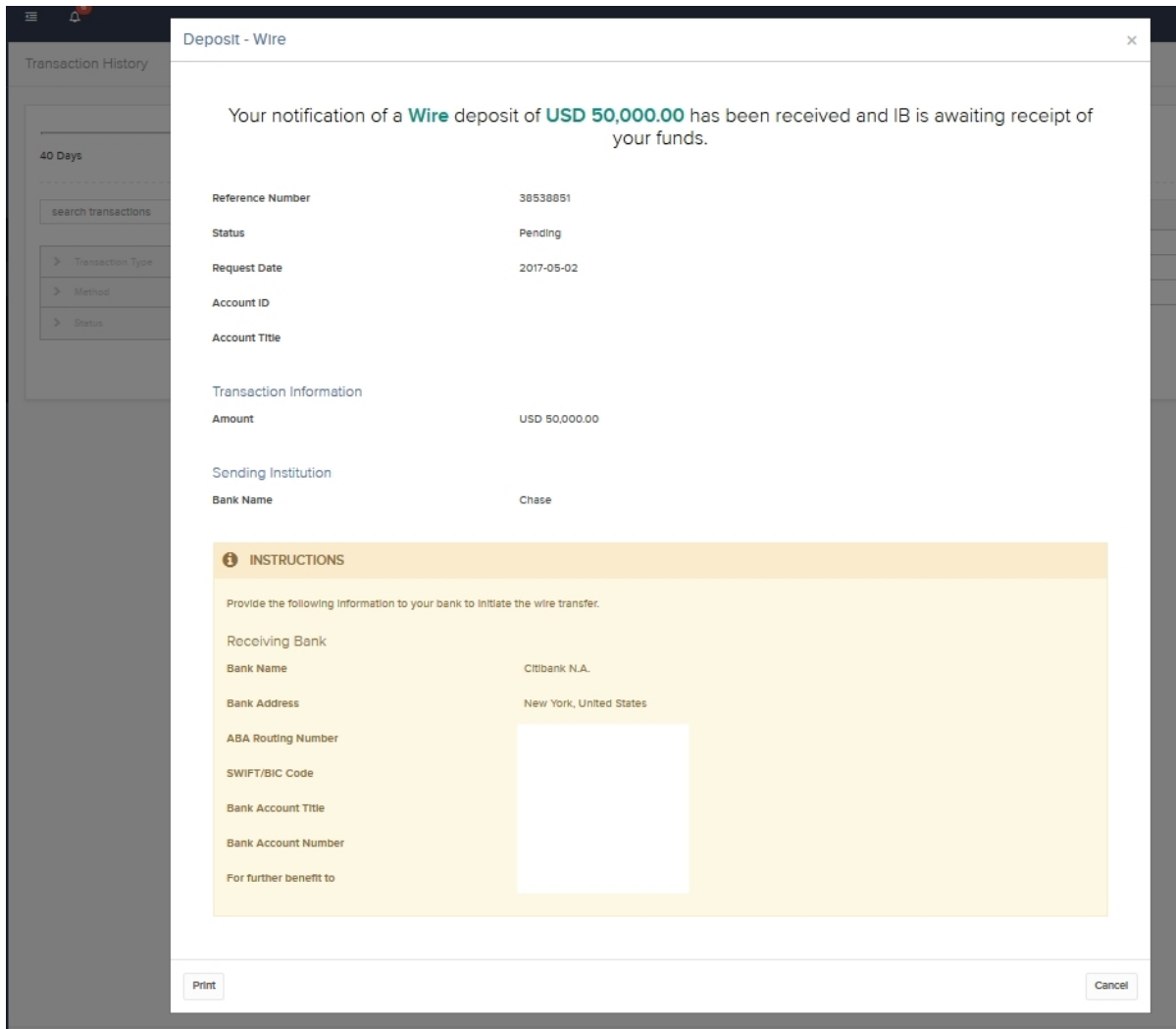
- Select the additional fields you want to display.
- Click **Apply**.

A light grey rectangular panel titled "Display Additional Info". It contains three input fields: "Account ID", "Account Title", and "Method". The "Method" field is highlighted in blue and has a white checkmark on the right. Below the fields is a blue "Apply" button.

The screen updates to display the additional column(s) of information.

### To view transaction details

1. Click anywhere on a transaction row. Details for the transaction appear in a popup window.



- From the transaction detail popup window, you can perform any of the following operations:
  - Cancel any transaction that has a status of *Pending* by clicking **Cancel**. Click **Yes** to confirm the cancellation.
  - 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.
  - Print the transaction details by clicking **Print**.
  - [Stop payment](#) on a check withdrawal.

Close the popup window by clicking the **X** icon in the upper corner.

**Note:**

**DO NOT CLICK THE CANCEL BUTTON UNLESS YOU WANT TO CANCEL THE TRANSACTION.**

## Canceling a Transaction

You can cancel the transactions with a status of *Pending* on the Transaction History screen.

### To cancel a transaction

1. Click **Transfer & Pay > Transaction History**.
2. Click anywhere on the row for the transaction you want to cancel. Details for the transaction appear in a popup window.
3. Click **Cancel**.
4. Click **Yes** to confirm the cancellation.

The status of the transaction changes to *Cancelled*.

## Stop Payment Requests

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 screen, 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

1. Click **Transfer & Pay > Transaction History**.
2. Click a Check withdrawal transaction that meets the criteria listed above.
3. Click **Stop Payment**.
4. A confirmation message appears. Click OK to continue with your stop payment request.
5. Select a reason for the stop payment, then click CONTINUE. Available reasons include:

- » Non-receipt
  - » Incorrect address
  - » Lost/stolen/damage
  - » I did not request
6. 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.
7. Enter the confirmation number from the email, then click **Continue** to complete the stop payment request process and return to the View Transaction History page.

## Transferring Funds

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.
- » [Deposit funds](#)
- » [Withdraw 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 screen?

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
- » Advisor Master User
- » Advisor Client



- » Proprietary Trading Group Master User
- » Broker Master User (master account only)
- » Broker Fully Disclosed or Non-Disclosed Client
- » 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 **Transfer & Pay > Fund Transfers**.
2. If you have multiple accounts, account partitions or you manage one or more client or sub accounts, the Account Selector automatically opens. Select the account or partition whose fund status you want to view, or search for accounts or partitions by Account ID, Account Title or Account Alias, then select the desired account. For more information, see [Using the Account Selector](#).

Funds status for the selected account appears at the top of the page.

### Funds Status

The Fund Transfers page displays the following fund status information:

Field	Description	Notes
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

Field	Description	Notes
		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.
Cash Available for Withdrawal (without margin loan)	The total amount of cash in your account that may be withdrawn, without a margin loan. Shown in your account's base currency.	The Cash Available for Withdrawal (without margin loan) is the maximum amount that you can withdraw without incurring a debit interest charge.
Recent Activity	Shows any information for pending deposits.	For example, you might see a message about a deposit notification being received and awaiting the receipt of funds.

## Depositing Funds

The Fund Transfers page lets you:

- » [Notify us of a deposit of funds into your account.](#)
- » [Deposit funds into your account](#)

### Deposit Notifications

A deposit notification does not actually move funds; you must make arrangements with your bank or broker to deposit the funds.

Our Secure Login System provides two-factor authentication through the use of a physical security device or our IB Key security app on your mobile phone. Accounts that are not enrolled in our Secure Login System can create deposit notifications only. Deposits that move money into your account are available only to accounts that are enrolled in the Secure Login System.

We support the following types of deposit notifications:

- » Wire/ACH Notification
- » Check Notification
- » Bill Pay Notification (online bill payment check)
- » BPAY Notification - Online bill payment for Australian dollars only
- » Wire Notification (CNH) - Chinese Renminbi only
- » Wire/SEPA Notification - Euros 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.

### Deposits

Unlike deposit notifications, deposits actually move money into your account. Deposits that move money into your account are available if you are enrolled in the Secure Login System.

- » Wire
- » Check (all checks, including retirement checks)
- » [Automated Clearing House \(ACH\) transfer initiated by us](#)
- » ACH transfer initiated by your bank
- » [Canadian Electronic Funds Transfer \(EFT\) - Canada only](#)
- » BPAY - Online bill payment for Australian Dollars only
- » Direct Rollover - IRA accounts only
- » Trustee-to-Trustee IRA accounts only

### For more information

» [Funding Reference](#)

## Entering Deposits

A deposit notification does not actually move funds; you must make arrangements with your bank or broker to deposit the funds. Unlike deposit notifications, deposits actually move money into your account. Deposits that move money into your account are only available if you are enrolled in the Secure Login System.

The steps below describe how to enter a deposit or deposit notification for most deposit methods. ACH and Canadian EFT deposits are a little different and require a few extra steps. [Click here](#) for detailed instructions for these types of transactions.

### To enter a deposit or notify us of a deposit

1. Click **Transfer & Pay > Transfer Funds**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

- In the Transaction Type list, select *Deposit*.
- In the Currency list, select the currency of your deposit.
- In the Method list, select a deposit or deposit notification method.

Transaction Type	Currency	Method
Deposit	United States Dollar (USD)	Choose Method

- You can save your bank information for use in future deposit requests. In the Bank Information section, do one of the following:

- Select **YES** if you have previously saved bank information and you would like to use it for this deposit notification.

### Bank Information

Would you like to use previously saved bank information?	<input checked="" type="checkbox"/> YES <input type="checkbox"/>
Information to use	<div style="border: 1px solid #ccc; padding: 2px; display: inline-block;">Bank Info 1 <span style="float: right;">▼</span></div>
<b>Sending Institution</b>	
Bank Name	Citibank
ABA Routing Number	123

- Select **NO** to create and save new bank information for this transaction. If you do not have any saved bank information, NO will be preselected for you.
- If you selected NO, enter a name for the bank information (it will be saved under this name), and then complete the rest of the fields in the Bank Information section. The fields vary depending on your previous selections.

### Bank Information ?

Would you like to use previously saved bank information?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
-----	
Enter Bank Information	
Bank Information Name	<input type="text" value="Required (5-25 characters)"/>
Sending Institution	<input type="text" value="Required"/>
ABA Routing Number	<input type="text" value="9 Digit Routing Number"/>
Account Number	<input type="text" value="Optional"/>

While some of the fields above are marked optional, we recommend that you enter them if possible. This helps us match your deposit notification to the actual deposited funds.

7. In the Transaction Information section, type the amount of your intended deposit in the Amount field.
8. In the Recurring Transaction section, decide if you want to save this deposit or deposit notification as a recurring transaction.
  - If you would like to save this deposit notification as a recurring transaction, select **YES**, then complete all the fields and selections in that section, including a name for the recurring transaction, the frequency of recurrence (Monthly, Quarterly or Annually), and a Start Date. If you want the deposit notification to recur indefinitely (no end date), select **YES**. Otherwise, select **NO** and then enter an End Date.


### Recurring Transaction

Would you like to make this a recurring notification?	<input checked="" type="checkbox"/> YES
Recurring Transaction Name	<input type="text" value="Required"/>
Frequency	<input type="text" value="Choose Frequency"/> ▾
Start Date	<input type="text" value="2017-05-02"/>
No End Date?	<input checked="" type="checkbox"/> YES

- If you do not want to save this transaction as a recurring transaction, select **NO**.

### Recurring Transaction

Would you like to make this a recurring notification?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
---	---

 **Note:** You can view all of your saved bank information and recurring transactions on the Saved Information page.

9. 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.

10. Click **View Transaction History** to view the status of your deposit notification, or click **Start Another Transfer** to initiate another fund transfer.

## 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
- » ACH - US ACH transfer initiated at IB (US accounts only).
- » Check - Available for US currency only; your mailing address must be in the US.
- » Canadian EFT transfer - Canadian accounts only
- » SEPA (Single Euro Payments Area) Initiated at IB

For important information about ACH Initiated at IB and Canadian EFT withdrawals, see [ACH Initiated at IB and Canadian EFT Transactions](#).

### Rules for Withdrawals

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. Account holders 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.

#### **For more information**

- » [Funding Reference](#)

## **Entering Withdrawals**

The steps below describe how to enter a withdrawal for most withdrawal methods. ACH and Canadian EFT withdrawals are a little different and require a few extra steps. [Click here](#) for detailed instructions for these types of transactions.

#### **To enter a withdrawal**

1. Click **Transfer & Pay > Transfer Funds**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

- In the Transaction Type list, select *Withdraw*.
- In the Currency list, select the currency of your withdrawal.
- In the Method list, select a withdrawal method.

Transaction Type	Currency	Method
Withdrawal	United States Dollar (USD)	Choose Method

- You can save your bank information for use in future deposit requests. In the Bank Information section, do one of the following:

- Select **YES** if you have previously saved bank information and you would like to use it for this withdrawal.

### Bank Information

Would you like to use previously saved bank information?	<input checked="" type="checkbox"/> YES
Information to use	Chase <input type="button" value="v"/>
Bank Name	Savings and Loan
ABA Routing Number	000000000
Bank Account Number	000000000
Bank Account Type	Checking

- Select **NO** to create and save new bank information for this withdrawal. If you do not have any saved bank information, NO will be preselected for you.
- If you selected NO, enter a name for the bank information (it will be saved under this name), and then complete the rest of the fields in the Bank Information section.

The following image shows the Bank Information fields for a Wire withdrawal. The fields vary depending on your selected withdrawal method.

### Bank Information

#### Enter Bank Information

Bank Information Name	<input type="text" value="Required (5-25 characters)"/>
Are you sending these funds to a bank?	<input checked="" type="checkbox"/> YES
Bank Country	Choose One <input type="button" value="v"/>

- As soon as you select the Bank Country, the Receiving Bank section appears. If you do not know your bank's routing number, click **Search** in this section.
- In the Bank Search popup, you can search by ABA (routing) number or by bank name. By default, Search by bank name? is set to **NO**, which allows you to enter a routing number and search for your bank that way. Select **YES** to search by bank name, and then complete the form and click **Search**.

#### Searching by ABA Routing Number:


The screenshot shows a 'Bank Search' popup window. At the top left is the title 'Bank Search' and a close button 'x'. Below the title is a section with two items: 'Search by bank name?' with a toggle switch set to 'NO', and 'ABA Routing Number' with a text input field containing the placeholder text '9 Digit Routing Number'. At the bottom right of the popup is a blue 'Search' button.

#### Searching by Bank Name:

The screenshot shows a 'Bank Search' popup window. At the top left is the title 'Bank Search' and a close button 'x'. Below the title is a section with two items: 'Search by bank name?' with a toggle switch set to 'YES', and a large text input field with the placeholder text 'Enter the Bank Name; the Bank City is optional.'. Below this is a section with three items: 'Bank Country' with a dropdown menu set to 'United States', 'Bank Name' with a text input field containing the placeholder 'Required', 'Bank City' with a text input field containing the placeholder 'Optional', and 'Bank State' with a dropdown menu set to 'Choose State'. At the bottom right of the popup is a blue 'Search' button.

A list of all banks along with their routing numbers appears. Select your specific bank. Information for the bank you select will be entered into the Bank Information section of the Fund Transfers screen for your transaction.

7. To withdraw funds to a third-party recipient, set Is the recipient someone other than the account holder? to **YES**, and then complete the fields that appear.

 **Note:** For complete details on third-party withdrawals, including important rules governing these transactions, see [Withdrawing Funds to a Third Party](#).

8. In the Transaction Information section, type the amount of your withdrawal in the Amount field.
9. In the Recurring Transaction section, decide if you want to save this withdrawal as a recurring transaction.
  - If you would like to save this transaction as a recurring transaction, select **YES**, then complete all the fields and selections in that section, including a name for the recurring transaction, the frequency of recurrence (Monthly, Quarterly or Annually), and a Start Date. If you want the deposit notification to recur indefinitely (no end date), select **YES**. Otherwise, select **NO** and then enter and End Date.

### Recurring Transaction

---

Would you like to make this a recurring notification?  YES

Recurring Transaction Name

Frequency  ▾

Start Date


No End Date?  YES

- If you do not want to save this transaction as a recurring transaction, select **NO**.

### Recurring Transaction

---

Would you like to make this a recurring notification?  NO

 **Note:** You can view all of your saved bank information and recurring transactions on the Saved Information page.

10. If prompted, confirm your identity and type confirmation number we emailed to you.
11. Click **CONTINUE** to submit your withdrawal request.  
Or click **Cancel** to cancel the transaction.

Depending on the withdrawal method you selected, a page appears with additional instructions.

12. Click **View Transaction History** to view the status of your deposit notification, or click **Start Another Transfer** to initiate another fund transfer.

## 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

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
IB Key	200,000 USD	600,000 USD
Digital Security Card <sup>1</sup>	1,000,000 USD	1,500,000 USD

Security Device	Maximum Withdrawal Per Day	Maximum Withdrawal in Five Business Days
Alpine Device <sup>1</sup>	500,000 USD	1,500,000 USD
Digital Security Card+	Unlimited	Unlimited
Platinum/Gold <sup>1</sup>	Unlimited	Unlimited

<sup>1</sup> 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.

## 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 **Transfer & Pay > Transfer Funds**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Withdraw*.
4. In the Currency list, select the currency of your withdrawal.
5. *In the Method list, select Wire.*
6. Complete the fields in the Bank Information section:
  - Enter a name for the bank information (it will be saved under this name).
  - If you are sending the funds to a bank, select the country where the bank is located (Bank Country), and then enter your account number at the bank twice.
  - If you are not sending the funds to a bank, select **NO**, and then complete all of the fields.



7. As soon as you select the Bank Country, the Receiving Bank section appears. Click **Search** in this section to search for your bank.
  - In the Bank Search popup, you can search by ABA (routing) number or by bank name. By default, Search by bank name? is set to **NO**, which allows you to enter a routing number and search for your bank that way. Select **YES** to search by bank name, and then complete the form and click **Search**.
  - A list of all banks along with their routing numbers appears. Select your specific bank. Information for the bank you select will be entered into the Bank Information section of the Fund Transfers screen for your transaction.

 **Note:** Note that for third-party withdrawals that are intended for the bank of a third party payee, you will want to enter information about that bank, NOT your bank.

8. In the Third-Party Recipient section, set Is the recipient someone other than the account holder? to **YES**, and then enter information about the third-party payee in the fields that appear.
9. 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

Once we approve your third-party payee, [use these instructions](#) to enter the actual wire withdrawal request.

## 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 internal fund transfers:

- » Internal fund transfer to another IB account (all account structures) with matching Account Name, Account Title and Tax ID.

- » Linked accounts can use this type of transfer. However, multiple accounts that are eligible to be linked but are not currently linked cannot use this type of transfer; these account holders 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 enter an internal funds transfer

1. Click **Transfer & Pay > Transfer Funds**.
2. The Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts



search accounts



Select an account.

Account	Customer Type	Title	Status
<input type="radio"/>	Individual	Applicant 68546	Open
<input type="radio"/>	Individual	Applicant 68546	Open
<input type="radio"/>	Individual	John Adams	Open
<input type="radio"/>	Individual	pjhixg xxafxm	Open
<input type="radio"/>	Individual	John Adams	Open
<input type="radio"/>	Individual	John Adams	Open
<input type="radio"/>	! Individual	akpdce qnqphk	Open
<input checked="" type="radio"/> U	Individual	Applicant 143917	Open
<input type="radio"/> U	Individual	Applicant 68546	Open
<input type="radio"/> U	Individual	Applicant 87716	Open

10 Rows

Page 1 of 2

Selected Accounts  
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2. In the Transaction list, select *Internal Transfer*.
3. In the Currency list, select the currency of your deposit.
4. The Method list is automatically set to *Fund Transfer*.

Transaction Type	Currency	Method
Internal Transfer	United States Dollar (USD)	Funds Transfer

5. In the Transaction Information section, select the account to which you want to transfer funds, and enter the amount to transfer.

Transaction Information	
Destination Account	Choose Destination Account
Amount	Required

6. Click **CONTINUE**.
  - Click **Cancel** at any time to cancel the transaction.
7. If prompted, enter your username and password.
8. 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](#)

## ACH and Canadian EFT Transactions

The process of requesting ACH and Canadian EFT deposits and withdrawals is somewhat different from other transaction methods.

The process for these transactions is described below:

1. On the **Transfer & Pay > 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 deposit or withdrawal method. Note that you do not enter an amount.
2. For ACH withdrawals, as part of the bank information you enter, you are asked to select the Bank Information Usage. This selection tells us if you would like the ability to reuse this bank information for both withdrawals and deposits (Debit & Credit), or only withdrawals (Credit).
3. You will be asked to verify your bank in one two ways:
  - » **Traditional:** 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.
  - » **Instant:** You will be asked to select your bank and enter your username and password to verify your credentials immediately.

 **Note:** Instant ACH verification uses a **third-party service**.

Bank Information

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Would you like to use previously saved bank information?  NO

---

[Enter Bank Information](#)

**Bank Information Name**

Choose an option below to verify your bank account for fund transfers:

<p style="text-align: center;"><b>Traditional Verification</b></p> <p style="text-align: center;">Two random deposits will temporarily be made to your bank. Enter the exact credit amounts made to your account to complete the verification process (typically 1-2 business days).</p>	<p style="text-align: center;"><b>Instant Verification</b></p> <p style="text-align: center;">Enter your online banking username and password to verify your credentials instantly. You will then be able to immediately submit a transfer request.</p>
--	---

4. Now that the verification process has been completed, you can submit an ACH or Canadian EFT deposit or withdrawal request on the Transfer Funds screen using the bank information that you've already saved. This request will include the actual amount and will move your funds.

## Position Transfers

The Transfer Positions screen lets you transfer positions to and from your account. We support the following types of position transfers in Account Management:

- » Inbound position transfers:
  - [Automated Customer Account Transfer Service \(ACATS\)](#)
  - [Account Transfer on Notification \(ATON\) for Canadian securities](#)
  - [DRS - Direct Registration System](#)
  - [DWAC - Deposit/Withdraw at Custodian](#)
  - [Free of Payment \(FOP\) for US stocks](#)
  - [International Asset Transfer](#)
- » Outbound position transfers:
  - [DWAC](#)
  - [FOP](#)
- » [Internal position transfers](#)

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 Transfer Positions screen?

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
  - » Proprietary Trading Group Master User
  - » Broker Master User (master account only)
  - » Broker Fully Disclosed Client
  - » Broker Non-Disclosed Client
  - » Investment Manager Master User
  - » Fund
-

### For more information

» [Funding Reference](#)

## ACATS Transfers

The Transfer Positions screen 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). A full ACATS transfer moves all of your assets from a third-party broker to your IB account. A partial ACATS transfer moves only those assets that you select.

When you select ACATS as the transfer method on the Transfer Positions page, you can:

- » [Enter an ACATS transfer](#), in which all of your assets are transferred from a third-party broker to your account.
- » [Save new broker information](#), which lets you save and reuse third-party broker information for future ACATS transfers.

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.

### About Saved Broker Information

If you want to use your third-party broker for an ACATS transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ACATS transfer, but choose to save the new broker information. No transfer is performed in this step.
2. Initiate a new ACATS transfer using the saved broker information. This is where you select the assets to transfer.



**Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### For more information

» [Funding Reference](#)

## Entering an ACATS Position Transfer

A full ACATS transfer moves all of your assets from a third-party broker to your IB account. A partial ACATS transfer moves only those assets that you select.

If you want to use your third-party broker for an ACATS transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ACATS transfer, but choose to [save the new broker information](#). No transfer is performed in this step.
2. Initiate a new ACATS transfer using the saved broker information. This is where you select the assets to transfer.



**Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### To request an ACATS transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **Continue** to submit your account selection and close the Account Selector.



Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open


Reset Continue

Selected Accounts  
U

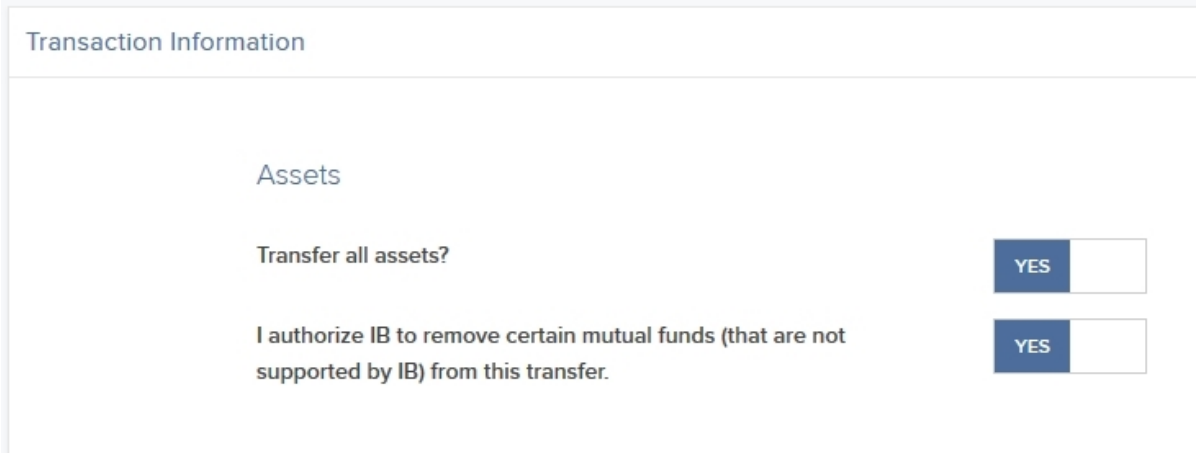
3. In the Transaction Type list, select *Inbound Position*.
4. In the Method list, select *ACATS*.

Transaction Type	Method
Inbound Position	ACATS

5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ACATS transfer, select **NO** for Save Broker Information.

 **Note:** If you want to save the Broker Information in our system, select **YES**, then click **Continue**. Once your new broker information is confirmed, you can initiate a new ACATS transfer using the new broker information.

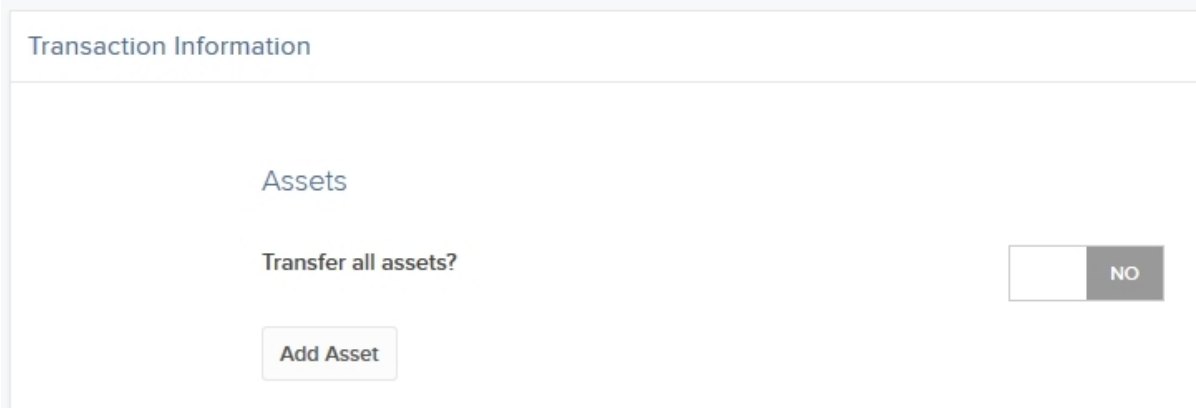
7. In the Transaction Information section, indicate that you want to transfer all assets from the selected broker (a full ACATS transfer) by selecting **YES**, and then select **YES** to the authorization option.



The screenshot shows a form titled "Transaction Information" with a sub-section "Assets". It contains two questions, each with a "YES" button selected:

- Transfer all assets?  YES
- I authorize IB to remove certain mutual funds (that are not supported by IB) from this transfer.  YES

8. To transfer only some assets from your third-party broker (a partial ACATS transfer), select **NO**, and then click **Add Asset**.



The screenshot shows a form titled "Transaction Information" with a sub-section "Assets". It contains one question with the "NO" button selected, and an "Add Asset" button:

- Transfer all assets?  YES  NO
- 

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Select **YES** to transfer your entire position of the selected symbol.

Asset Search ×

---

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
Quantity	<input type="text" value="Required"/>

9. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Add Asset

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.
9. Click **Continue**.
  10. On the page that appears, type your signature in the Signature field, and then click **Continue**.  
Click **Back** to modify the transfer request.
  11. Click **Continue**.

### For more information

» [Funding Reference](#)

## Saving Broker Information for Position Transfers

You can save third-party broker information for re-use in the following types of position transfers:

- » Inbound ACATS
- » Inbound ATON
- » Inbound and Outbound FOP
- » Inbound International Asset Transfer

See [Saved Information](#) for information about viewing and deleting saved broker information.

### To save new broker information

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account.  
Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Inbound Position* or *Outbound Position*.

4. In the Method list, select one of the transfer methods listed at the top of this topic.
5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ACATS transfer, set Save Broker Information to **YES**.
7. Enter the name of the saved broker information. This is the name you will use when you apply this information to a future position transfer.
9. Click **CONTINUE**.
10. If prompted, confirm your identity and enter the confirmation number we emailed you in the fields provided.

Your new broker information has been created. Now you can return to the Transfer & Pay > Transfer Position screen and initiate a new transfer using the newly-created broker information.

## ATON Transfers

The Transfer Positions screen lets you transfer US or Canadian stocks, options and cash held at another brokerage firm to us through Account Transfer on Notification (ATON), the Canadian equivalent of ACATS.

When you select ACATS as the transfer method on the Transfer Positions page, you can:


- » [Enter an ATON transfer](#), in which all of your assets are transferred from a third-party broker to your account.
- » [Save new broker information](#), which lets you save and reuse third-party broker information for future ATON transfers.

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.

### About Saved Broker Information

If you want to use your third-party broker for an ATON transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ATON transfer, but choose to save the new broker information. No transfer is performed in this step.
2. Initiate a new ATON transfer using the saved broker information. This is where you select the assets to transfer.

 **Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### For more information


» [Funding Reference](#)

## Entering an ATON Position Transfer

A full ATON transfer moves all of your assets from a third-party Canadian broker to your IB account. A partial ATON transfer moves only those assets that you select.

If you want to use your third-party broker for an ATON transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new ATON transfer, but choose to [save the new broker information](#). No transfer is performed in this step.
2. Initiate a new ATON transfer using the saved broker information. This is where you select the assets to transfer.

 **Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### To enter an ATON transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use

for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

The screenshot shows the 'Accounts' selector interface. At the top, there is a search bar with the placeholder text 'search accounts' and a magnifying glass icon. To the right of the search bar are a filter icon and a settings gear icon. Below the search bar is a yellow highlighted box with the text 'Select an account.'. Underneath this is a table with three columns: 'Account', 'Customer Type', and 'Status'. The first row is selected and contains the values 'U', 'Individual', and 'Open'. The second row contains 'U', 'Partition', and 'Open'. Below the table are two buttons: 'Reset' and 'Continue'. At the bottom of the interface is a grey box labeled 'Selected Accounts' which contains the value 'U'.

3. In the Transaction Type list, select *Inbound Position*.
4. In the Method list, select *ATON*.


The screenshot shows two dropdown menus. The first is labeled 'Transaction Type' and has 'Inbound Position' selected. The second is labeled 'Method' and has 'ATON' selected.

5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number,

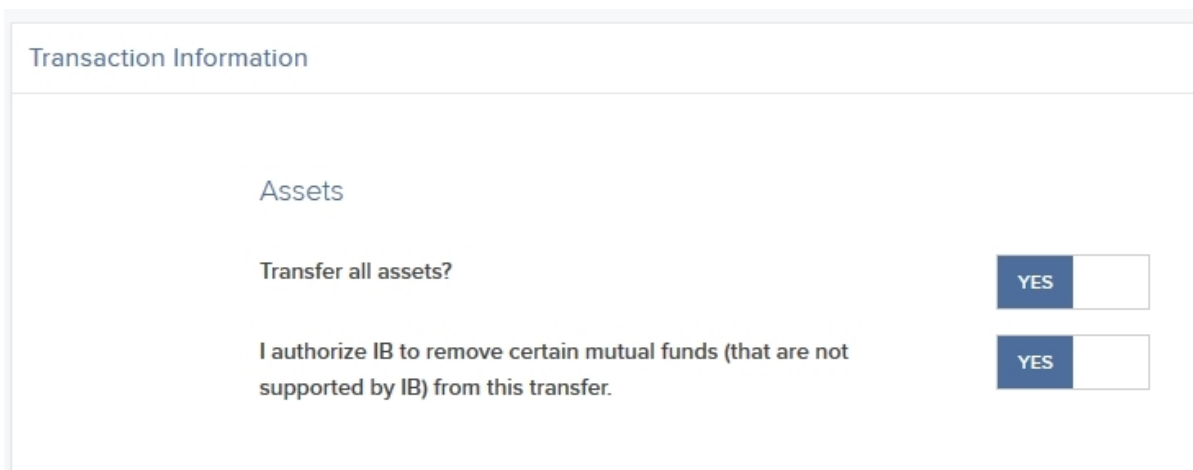


account title and account type at the selected broker; and enter your Tax ID number.

- To continue with ATON transfer, select **NO** for Save Broker Information.

 **Note:** If you want to save the Broker Information in our system, select **YES**, then click **CONTINUE**. Once your new broker information is confirmed, you can initiate a new ATON transfer using the new broker information.

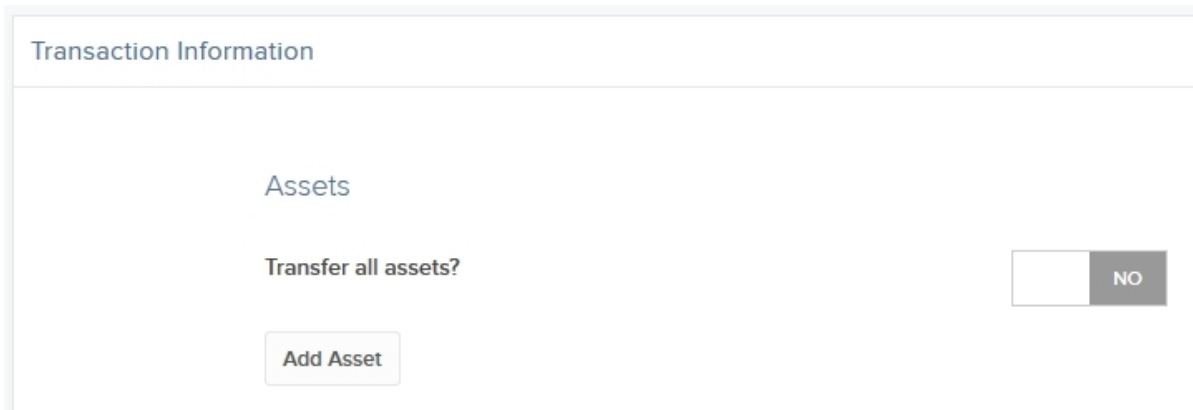
- In the Transaction Information section, indicate that you want to transfer all assets from the selected broker (a full ATON transfer) by selecting **YES**, and then select **YES** for the authorization option.



The screenshot shows the "Transaction Information" section. Under the "Assets" heading, there are two questions, each with a "YES" radio button selected:

- Transfer all assets?  YES
- I authorize IB to remove certain mutual funds (that are not supported by IB) from this transfer.  YES

- To transfer only some assets from your third-party broker (a partial ATON transfer), select **NO**, and then click **Add Asset**.



The screenshot shows the "Transaction Information" section. Under the "Assets" heading, the "Transfer all assets?" question has the "NO" radio button selected:

- Transfer all assets?  YES  NO

Below this question is an "Add Asset" button.

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Select **YES** to transfer your entire position of the selected symbol.

Asset Search ×

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
Quantity	<input type="text" value="Required"/>

9. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Add Asset

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.
9. Click **CONTINUE**.
  10. On the page that appears, type your signature in the Signature field, and then click **CONTINUE**.  
Click **Back** to modify the transfer request.
  11. Click **CONTINUE**.

### For more information

» [Funding Reference](#)

## Saving Broker Information for Position Transfers

You can save third-party broker information for re-use in the following types of position transfers:

- » Inbound ACATS
- » Inbound ATON
- » Inbound and Outbound FOP
- » Inbound International Asset Transfer

See [Saved Information](#) for information about viewing and deleting saved broker information.

### To save new broker information

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account.  
Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Inbound Position* or *Outbound Position*.

4. In the Method list, select one of the transfer methods listed at the top of this topic.
5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ACATS transfer, set Save Broker Information to **YES**.
7. Enter the name of the saved broker information. This is the name you will use when you apply this information to a future position transfer.
9. Click **CONTINUE**.
10. If prompted, confirm your identity and enter the confirmation number we emailed you in the fields provided.

Your new broker information has been created. Now you can return to the Transfer & Pay > Transfer Position screen and initiate a new transfer using the newly-created broker information.

## Entering a DRS Position Transfer

The Transfer Positions screen 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..

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 enter a DRS transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **Continue** to submit your account selection and close the Account Selector.

Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="radio"/> U	Individual	Open
<input type="radio"/> U	Partition	Open

Reset Continue

Selected Accounts

U

- In the Transaction Type list, select *Inbound Position*.
- In the Method list, select *DRS*.

Transaction Type

Inbound Position

Method

DRS

- In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Enter your account number at the broker, and select your Tax ID number or None from the drop-down list.

Broker Information

Enter Broker Information

Account Number at Broker

Account Title Applicant :

Tax Identification Number

6. In the Transaction Information section, click **Add Asset**.

## Transaction Information

### Assets

**Add Asset**

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

Specify the details about the asset that you would like to add.

Asset Type

- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

Specify the details about the asset that you would like to add.

Asset Type	Stock
Search Type	Search by Symbol
Symbol	AAPL
Exchange	Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

[Search Again](#)

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.



Asset Search
✕

---

Specify the quantity of the selected asset that you would like to add.

Asset Type: Stock

Description: APPLE INC / NMS

ISIN:

Symbol: AAPL

CUSIP:

Quantity Type:

Transfer All?:  NO

Quantity:

Back
Add

9. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	✕

- You can remove assets from the transfer by clicking the **X** in the asset list.

9. Click **Continue**.
10. On the page that appears, type your signature in the Signature field, and then click **Continue**.  
Click **Back** to modify the transfer request.
11. Click **Continue**.


### For more information

» [Funding Reference](#)

## Entering a DWAC Position Transfer

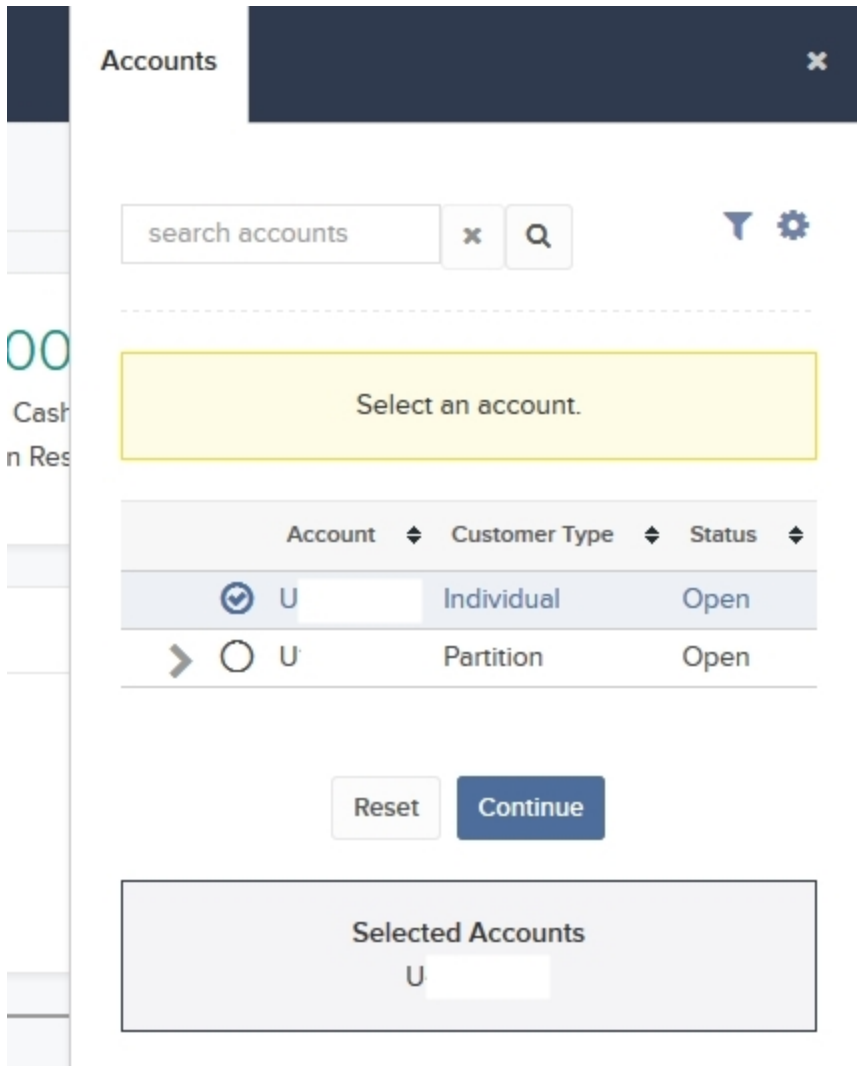
The Transfer Positions screen lets you transfer stocks and warrants using DWAC (Deposit/Withdrawal at Custodian) between a Transfer Agent and your account. DWAC is an automated system for deposits and withdrawals of securities at DTC.

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.

 **Note:** The cut-off time for submitting a DWAC transfer request is 3:45 PM EST. Any requests submitted after that time will be processed on the next business day.

### To enter a DWAC transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **Continue** to submit your account selection and close the Account Selector.



3. In the Transaction Type list, select one of the following:
  - *Inbound Position* - Transfer assets from a Transfer Agent to your account.
  - *Outbound Position* - Transfer assets from your account to a Transfer Agent.
4. In the Method list, select *DWAC*.

Transaction Type	Method
<input type="text" value="Inbound Position"/>	<input type="text" value="DWAC"/>
Transaction Type	Method
<input type="text" value="Outbound Position"/>	<input type="text" value="DWAC"/>

5. In the Broker Information section, verify that the information is displayed correctly. If the Tax Identification Number field is a drop-down list, select your Tax ID from the list.
6. In the Transaction Information section, click **Add Asset**.

---

### Transaction Information

---

#### Assets

Add Asset

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

### Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

Specify the details about the asset that you would like to add.

Asset Type	Stock
Search Type	Search by Symbol
Symbol	AAPL
Exchange	Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

[Search Again](#)

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.

Asset Search
✕

---

Specify the quantity of the selected asset that you would like to add.

Asset Type: Stock

Description: APPLE INC / NMS

ISIN:

Symbol: AAPL

CUSIP:

Quantity Type:

Transfer All?:  NO

Quantity:

---

Back
Add

- Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	✕

- You can remove assets from the transfer by clicking the **X** in the asset list.
- Click **CONTINUE**.
  - On the page that appears, type your signature in the Signature field, and then click **Continue**.  
Click **Back** to modify the transfer request.
  - Click **Continue**.

### For more information

» [Funding Reference](#)

## Enter an International Asset Transfer

The Transfer Positions screen 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 previously-saved broker information or create new broker information.

Inbound International Asset Transfers are notifications only. You must instruct your third-party broker to transfer the assets to your IB account using the authorization form we provide at the end of the international asset transfer request procedure.

Advisors and Fully Disclosed Brokers can request inbound international asset transfers for a client account but the client must create a position transfer instruction first and the Advisor or Broker must use those instructions.

### To request an inbound transfer of Asian or European positions

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.

Accounts

search accounts x Q

Select an account.

Account	Customer Type	Status
<input checked="" type="checkbox"/> U	Individual	Open
<input type="checkbox"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

3. In the Transaction Type list, select *Inbound Position*.
4. In the Method list, select *International Asset Transfer*.

Transaction Type	Method
Inbound Position	International Asset Transfer

5. In the Broker Information section, you can use previously saved broker information, enter new broker information without saving it, or enter new broker information and save it for future use:
  - o To use previously saved broker information, click the toggle switch to **YES**, and select the saved information from the Information to use drop-down list. The saved broker information is displayed



for you.

Broker Information

Would you like to use previously saved broker information?	<input checked="" type="checkbox"/>
Information to use	gdfgfg <input type="button" value="v"/>
Contra Broker	
Broker Name	ABN AMRO CLEARING BANK N.V.
Broker Address	gfgfg fdgfd, fdgfdg, fdgfdg, United States
Account Number at Broker	1234567
Account Title	Test Test Test
Account Type	Individual

- To enter new broker information without saving it, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets. When prompted at the bottom of the section to save your broker information, click the toggle switch to **NO**.
- To enter new broker information AND save it for future use, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets. When prompted at the bottom of the section to save your broker information, click the toggle switch to **YES** and then enter the name of the broker information.

Broker Information

Would you like to use previously saved broker information?  YES  NO

---

Enter Broker Information

Broker	Choose Broker
Account Number at Broker	Required
Account Title	Required
Account Type	Choose Account Type
Country	Choose Country
Street	Required
Street 2 (Apt, Suite, Floor, etc.)	Optional
City	Required
State/Province	N/A
Postal Code	Required
Contact Name	Required
Contact Email	Required
Contact Phone	Required
Contact Fax	Required
Save Broker Information?	<input checked="" type="radio"/> YES <input type="radio"/> NO
Broker Information Name	Required

6. In the Transaction Information section, click **Add Asset**.

## Transaction Information

### Assets

Add Asset

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.

Asset Search ×

---

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <input checked="" type="checkbox"/> NO
Quantity	<input type="text" value="Required"/>

7. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Add Asset

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.
8. Click **CONTINUE**.
  9. On the page that appears, type your signature in the Signature field, and then click **CONTINUE**.  
Click **Back** to modify the transfer request.
  10. On the Confirmation screen, click **View Form** to access and print the Customer Account Transfer - Letter of Authorization.
  11. Sign the Letter of Authorization and send it to your third-party (carrying) broker.
  12. Instruct your third-party (carrying) broker using the procedure that they have defined. IB will not be able to expedite transfers that are not properly instructed at your third-party broker.

### For more information

» [Funding Reference](#)

## FOP Transfers

The Transfer Positions screen 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, (inbound transfer) or from your account to another US bank or broker that is a member of the DTC (outbound transfer).

Inbound FOP transfers are notifications only. You must instruct your third-party broker to transfer the assets to your IB account using the authorization form we provide at the end of the FOP transfer request procedure.

When you select FOP as the transfer method on the Position Transfers page, you can:

- » [Enter an FOP transfer](#), in which all of your assets are transferred from a third-party broker to your account (inbound), or from your IB account to a third-party broker.
- » [Save new broker information](#), which lets you save and reuse third-party broker information for future FOP transfers.

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.

### **About Saved Broker Information**

If you want to use your third-party broker for an FOP transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new FOP transfer, but choose to save the new broker information. No transfer is performed in this step.
2. Initiate a new FOP transfer using the saved broker information. This is where you select the assets to transfer.



**Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.


### **For more information**

- » [Funding Reference](#)

## **Entering an FOP Position Transfer**

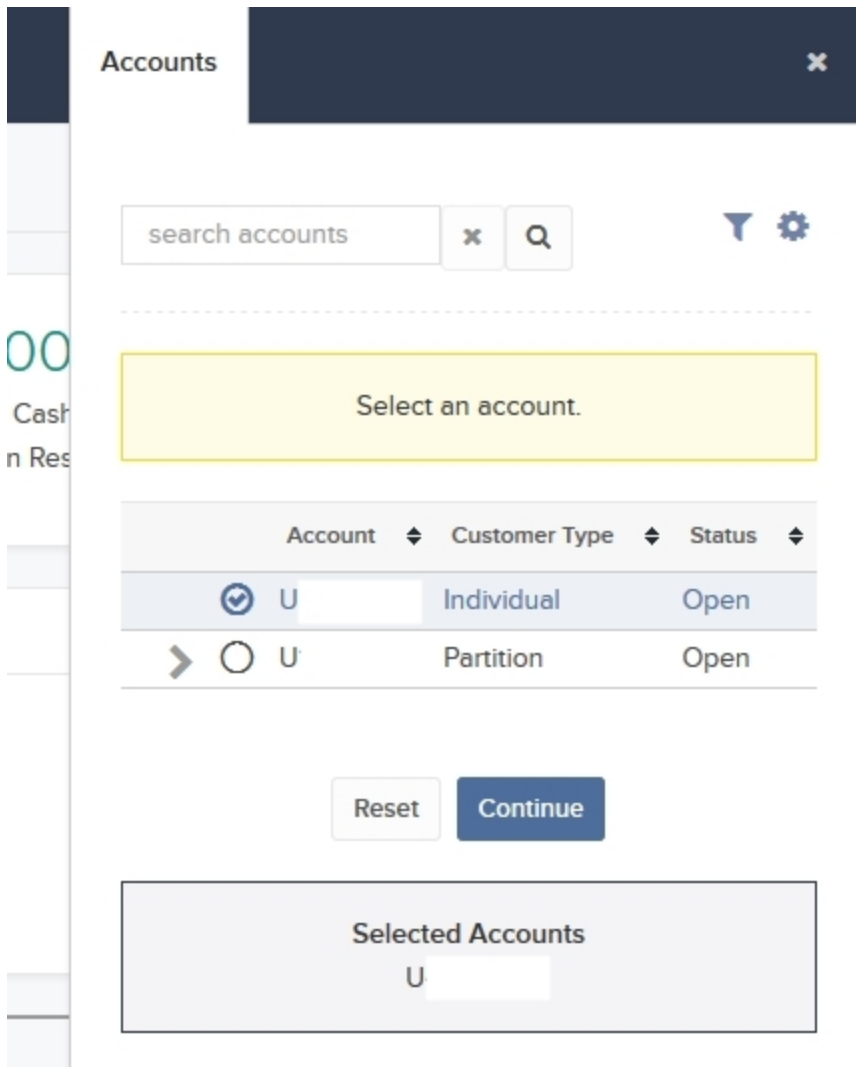
If you want to use your third-party broker for an FOP transfer AND save it in our system for future use, you must complete two tasks:

1. Initiate a new FOP transfer, but choose to save the new broker information. No transfer is performed in this step.
2. Initiate a new FOP transfer using the saved broker information. This is where you select the assets to transfer.

 **Note:** You cannot simultaneously save new broker information and perform a transfer. The transfer must either be performed without saving the broker information, or the transfer must be performed after the broker information is saved.

### To enter an FOP transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.



Accounts

search accounts

Select an account.

Account	Customer Type	Status
<input checked="" type="radio"/> U	Individual	Open
<input type="radio"/> U	Partition	Open

Reset Continue

Selected Accounts  
U

3. In the Transaction Type list, select one of the following:
- *Inbound Position* - Notify us of your intention to transfer assets from another bank or broker to your IB account.
  - *Outbound Position* - Transfer assets to another bank or broker from your IB account.

Transaction Type	Method
Inbound Position	FOP
Transaction Type	Method
Outbound Position	FOP

4. In the Broker Information section, you can use previously saved broker information for this FOP asset transfer, enter new broker information without saving it, or enter new broker information and save it for future use. In this last case, you cannot transfer assets; you must first save the broker information and then enter a new FOP transfer request using the saved broker information.
- To use previously saved broker information, click the toggle switch to **YES**, and select the saved information from the Information to use drop-down list. The saved broker information is displayed for you.

Broker Information

Would you like to use previously saved broker information?	<input checked="" type="checkbox"/> YES
Information to use	Responsive FOP
Contra Broker	
Broker Name	ALASKA USA FEDERAL CREDIT UNION (#2223)
Account Number at Broker	
Account Title	Applicant
Tax Identification Number	****0000

- To enter new broker information without saving it, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets. When prompted at the bottom of the section to save your broker information, click the toggle switch to **NO**.
- To enter new broker information AND save it for future use, click the toggle switch to **NO**, and then complete all fields to enter information about the broker who will be transferring your assets.



When prompted at the bottom of the section to save your broker information, click the toggle switch to **YES** and then enter the name of the broker information.

Broker Information

---

Would you like to use previously saved broker information?  NO

---

Enter Broker Information


Broker

Account Number at Broker

Account Title

Tax Identification Number

Save Broker Information?  NO

 **Note:** If you want to save new Broker Information in our system, click the toggle switch to **YES**, then click **CONTINUE**. Once your new broker information is confirmed, you can initiate a new FOP transfer using the new broker information.

5. To continue with your FOP transfer without saving new broker information, in the Transaction Information section, click **Add Asset**.

---

### Transaction Information

---

#### Assets

[Add Asset](#)

- In the Asset Search window, select an asset type from the drop-down. For example, select Stock.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Choose Asset Type



- Select the Search Type (by Symbol, by CUSIP number or by ISIN number), and then enter the symbol and, optionally, an exchange.

## Asset Search

---

Specify the details about the asset that you would like to add.

Asset Type

Stock



Search Type

Search by Symbol



Symbol

AAPL

Exchange

Optional

- The Asset Search window refreshes with a list of matching symbols. Click the one you want to transfer.

Click **Search Again** to search to start a different asset search.

Asset Search ×

---

Multiple assets match your criteria. Select the desired asset below.

Asset Type	Description	Identifiers
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / MEXI	ISIN: Symbol: AAPL CUSIP:
Stock	APPLE INC / EBS	ISIN: Symbol: AAPL CUSIP:

- Enter the quantity and type of assets (Long or Short) to transfer. Click the toggle switch to **YES** to transfer your entire position of the selected symbol.

Asset Search ×

---

Specify the quantity of the selected asset that you would like to add.

Asset Type	Stock
Description	APPLE INC / NMS
ISIN	
Symbol	AAPL
CUSIP	
Quantity Type	<input type="text" value="Long"/>
Transfer All?	<input type="checkbox"/> <b>NO</b>
Quantity	<input type="text" value="Required"/>

6. Click **Add**. The assets are added to the list of assets to transfer.

Transaction Information

Assets

Transfer all assets?  NO

Add Asset

Asset Type	Description	Identifiers	Quantity	
Stock	APPLE INC / NMS	ISIN: Symbol: AAPL CUSIP:	100	X

- You can remove assets from the transfer by clicking the **X** in the asset list.
7. Click **CONTINUE**.
  8. Type your signature in the Signature field, and then click **CONTINUE**. For outbound FOP transfers, this completes the procedure.  
Click **Back** to modify the transfer request.
  9. For inbound FOP notifications, after you type your signature and click **CONTINUE**, a Confirmation screen appears:
    - Instruct your third-party broker to send the assets you have specified. IB will not be able to expedite transfers that are not properly instructed at your third-party broker.
    - If your third-party broker requires an authorization form, click **View Form** to access and print the Authorization Form.
    - Sign the Letter of Authorization and send it to your third-party broker.

FOP transfers are generally completed within 3-5 business days, depending on your third-party broker.

FOP notifications are valid for five business days before they expire. Once this FOP notification has expired, IB will not accept the shares.

## Saving Broker Information for Position Transfers

You can save third-party broker information for re-use in the following types of position transfers:

- » Inbound ACATS
- » Inbound ATON
- » Inbound and Outbound FOP
- » Inbound International Asset Transfer

See [Saved Information](#) for information about viewing and deleting saved broker information.

### To save new broker information

1. Click **Transfer & Pay > Transfer Positions**.
2. If you have multiple accounts or account partitions, or if you have a master account and you manage one or more client or sub accounts, the Account Selector opens. Select the account you want to use for this transaction, or use the search function in the Account Selector to find the desired account. Click **CONTINUE** to submit your account selection and close the Account Selector.
3. In the Transaction Type list, select *Inbound Position* or *Outbound Position*.
4. In the Method list, select one of the transfer methods listed at the top of this topic.
5. In the Broker Information section, complete all fields to identify the third-party broker who will be transferring the assets. Select the broker from the drop-down list; enter your account number, account title and account type at the selected broker; and enter your Tax ID number.
6. To continue with ACATS transfer, set Save Broker Information to **YES**.
7. Enter the name of the saved broker information. This is the name you will use when you apply this information to a future position transfer.
9. Click **CONTINUE**.
10. If prompted, confirm your identity and enter the confirmation number we emailed you in the fields provided.

Your new broker information has been created. Now you can return to the Transfer & Pay > Transfer Position screen and initiate a new transfer using the newly-created broker information.

## Internal Position Transfers

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 account holders, the US tax ID (Social Security number) of both accounts must match.
- » For non-US Individual account holders, the ID number, ID type (passport, driver's license, national ID, or alien ID) and ID-issuing country must match. For joint non-US account holders, the IDs of both first and second holder must match.

- » For non-US Organization account holders, 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 enter an internal position transfer

1. Click **Transfer & Pay > Transfer Positions**.
2. In the Transaction list, select *Internal Transfer* The Method is automatically set to *Position Transfer*.

Transaction Type	Internal Transfer	Method	Position Transfer
------------------	-------------------	--------	-------------------

3. The Transaction Information section shows the available destination account (the account to which you want to transfer assets) and all available assets in the source account.

Assets

Destination Account

U

	Quantity	Available Quantity	Asset Type	Identifiers
<input type="checkbox"/>	0	/ 2220	Stock	Symbol: AAPL
<input type="checkbox"/>	0	/ -2	Option	Symbol: AAPL MAY2017 145 C [AAPL
<input type="checkbox"/>	0	/ -2	Option	Symbol: AAPL MAY2017 152.5 C [AAPL
<input type="checkbox"/>	0	/ -2	Option	Symbol: AAPL JUN2017 145 C [AAPL
<input type="checkbox"/>	0	/ -2	Option	Symbol: AAPL JUN2017 155 C [AAPL
<input type="checkbox"/>	0	/ 3700	Stock	Symbol: BMW
<input type="checkbox"/>	0	/ 31000	Stock	Symbol: BP
<input type="checkbox"/>	0	/ 1200	Stock	Symbol: COP
<input type="checkbox"/>	0	/ -4	Option	Symbol: COP MAY2017 50 C
<input type="checkbox"/>	0	/ 900	Stock	Symbol: CVX
<input type="checkbox"/>	0	/ 500	Stock	Symbol: F
<input type="checkbox"/>	0	/ 500	Stock	Symbol: FB

4. Select assets to transfer by clicking the box on the left side of an asset row, then entering the number of shares or contracts to transfer in the Quantity field.
5. Click **CONTINUE**.

6. If prompted on the next screen, verify your identity and enter the confirmation number we emailed to you.
7. Click **CONTINUE**.

Position transfer requests are processed during regular business hours. Requests submitted at other times will be processed on the next business day.

## Saved Information

Saved information contains information about the financial institution involved in a funding transaction in your account that you can reuse in future transactions. When you set up a deposit/withdrawal notification or withdrawal on the Fund Transfers page, you are prompted to save the information about your financial institution. This bank information is saved under a name you enter, and you can view all of your saved bank information on the Transfer & Pay > Saved Information screen.

This topic includes:

- » [About Saved Information](#)
- » [Using the Saved Information Screen](#)

### Who can access the Saved Information screen?

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
  - » Proprietary Trading Group Master User
  - » Broker Master User (master account only)
  - » Broker Fully Disclosed Client
  - » Broker Non-Disclosed Client
  - » Investment Manager Master User
  - » Fund
-

## About Saved Information

You can save the following types of information about financial institutions used in transactions:

- » Pending - Lists all current requests for new bank, recurring or broker information that are either under review or require that you take some action before they can be approved.
- » Bank Information - Used for deposits, deposit notifications and withdrawals.
- » Recurring Transactions - Used to repeat a transaction.
- » Broker Information - Used for position transfers.

## Bank Information

All deposit and withdrawal types EXCEPT check withdrawals require that you enter your bank information, including a name for the bank information, before you submit the transaction.

When you enter a deposit, deposit notification or withdrawal on the Transfer Funds screen, you have the option of creating new bank information or using saved bank information.

Once your transaction request has been submitted, the bank information you entered is saved in our system. The next time you enter a transaction, you will be prompted to use a saved bank information or create new bank information.

The following image shows the Bank Information section in a deposit transaction.

The screenshot shows a form titled "Bank Information" with the following fields and values:

Would you like to use previously saved bank information?	<input checked="" type="checkbox"/> YES
Information to use	Bank Info 1 <input type="button" value="v"/>
Sending Institution	
Bank Name	Citibank
ABA Routing Number	123



## Recurring Transactions

The last step in setting up a deposit/deposit notification or withdrawal transaction before you submit the transaction request is the option to turn your transaction request into a recurring transaction.

- » You can view and delete existing recurring transactions on the Saved Information screen.
- » 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. If you select NO, you can submit the transaction request and no recurring transaction will be created. If you answer YES, the recurring transaction fields appear.

### Recurring Transaction

Would you like to make this a recurring notification?	<input checked="" type="checkbox"/>
Recurring Transaction Name	<input type="text" value="Required"/>
Frequency	<input type="text" value="Choose Frequency"/> ▾
Start Date	<input type="text" value="2017-05-02"/>
No End Date?	<input checked="" type="checkbox"/>

To set up a recurring transaction, you specify the following information:

- » Recurring Transaction 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.
- » Start Date - Entered in the format mm/dd/yyyy, this indicates the first date that the recurring transaction should be processed.

- » No End Date? - The End Date indicates the last date that the recurring transaction should be processed. If you answer YES, the transaction will recur indefinitely or until you cancel it. If you answer NO, enter the end date in the format mm/dd/yyyy.
- » 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.

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.

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 even this processing leads to multiple withdrawals during the same month, the account holder will be assessed withdrawal fees.

To cancel a recurring transaction, [delete](#) the recurring transaction from the Saved Information screen.

## Broker Information (for certain position transfers)

Broker information is a set of optional instructions that you can create and use for certain types of position transfers.

- » You can view and delete existing broker information on the Saved Information screen.
- » You can only create broker information on the Transfer Positions page as part of ACATS, FOP or ATON transfer.

Broker information is a convenient way to reuse 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 screen, you have the option of creating new broker information or using saved broker information. However, you cannot save new broker information and perform a position transfer at the same time. You have to submit the position transfer without saving the broker information, or first save the broker information and then enter the position transfer using the saved broker information.

## Using the Saved Information Screen

On the Saved Information screen, you can:

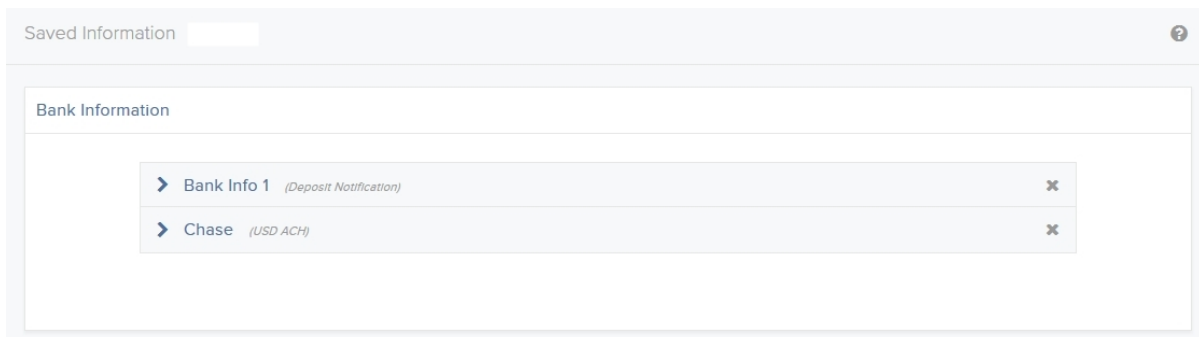
- » [View the details](#) of any saved Bank Information, Recurring Transaction or Position Instruction.
- » [Delete](#) saved Bank Information, Recurring Transactions or Position Instructions.

## View Saved Information Details

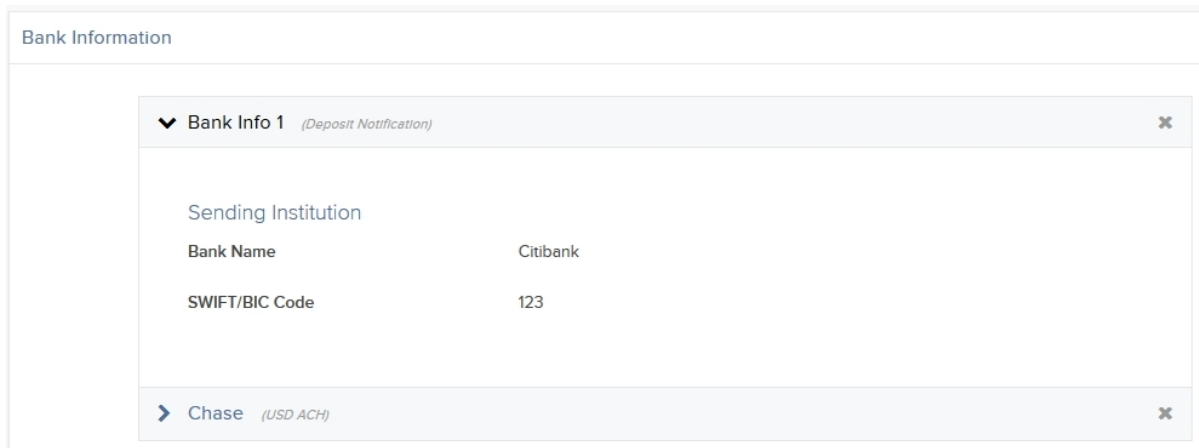
You cannot edit saved information. If you want to change saved information, first delete it from the Saved Information screen, and then create new information as part of your next transaction request.

### To view saved information

1. Click **Transfer & Pay > Saved Information**.



2. Click any saved information to open it.



## Delete Saved Information

You can delete saved information you no longer need to use.

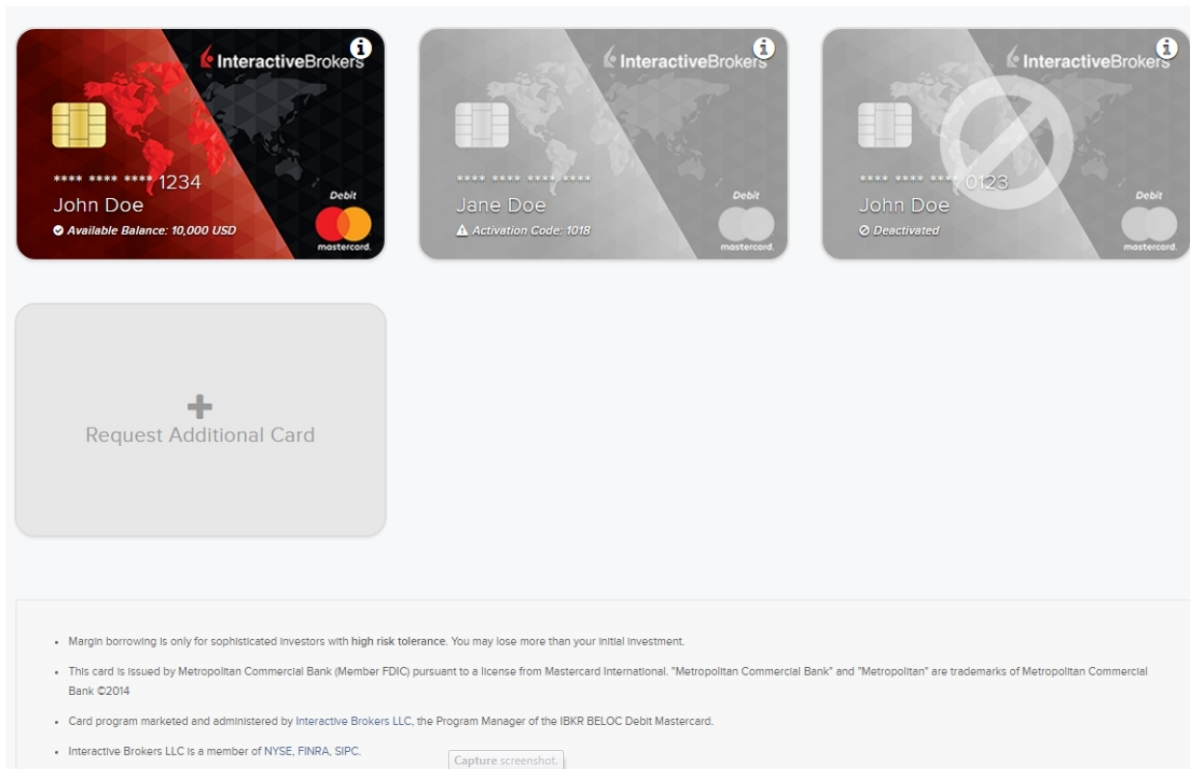
### To delete saved information

1. Click **Transfer & Pay > Saved Information**.
2. Click the **X** for the saved information you want to delete.
3. Click **Yes** to complete the operation.

## Debit Mastercard

The Interactive Brokers Debit Mastercard<sup>®</sup> lets you borrow against your account to spend anywhere Mastercard<sup>®</sup> is accepted around the world. Use the Debit Card screen to:

- » [Apply for the card](#) - initial screen (Apply Now button) sign agreement, review cardholder info
- » [Manage your card\(s\)](#) - including active primary card and possible secondary cards, Active Card Details popup (view card details, link to transaction history), secondary cards not activated yet popup (activation instructions)
- » [Report your card lost or stolen](#)
- » [Cancel your card](#)
- » [Request an additional card](#)
- » [Make large purchases with your Card](#)



Active cards appear in full color. Pending cards (cards that have not been activated yet) appear in gray with the activation code. Canceled cards appear in gray with a circle with a line through it.

### Apply for a Debit Mastercard

1. Click **Transfer & Pay > Debit Card**.
2. Read the Cardholder Agreement, type your signature in the field provided, and click **CONTINUE**.
3. Review your cardholder information and click **Continue**.
4. Record your card activation instructions and save it in a secure place. You will need this information to activate your Debit Mastercard when it arrives in the mail in 7-10 business days.

### Manage your card(s)

1. Click **Transfer & Pay > Debit Card**.
2. Click the full-color picture of your active card. If you have more than one active card (for example, you have a secondary or supplemental card), click the card you want to manage.
3. In the popup window:

- View your card details in the popup, including your cardholder information and available balance.
  - Under Card Actions, report the card lost or stolen, or cancel your card.
  - Click **Continue** or click the **X** in the upper right corner to close the popup.
4. [View your Debit Mastercard transactions](#) on the **Transfer & Pay > Transaction History** screen.
  5. Click a pending card on the Debit Card screen to view the activation instructions for that card.

### Report your card lost or stolen

1. Call us immediately at 866-532-4654. A replacement card will be mailed to your address on file immediately.
2. You can also report your card lost or stolen from within Account Management:
  - Click **Transfer & Pay > Debit Card**.
  - Click the full-color picture of your active card. If you have more than one active card (for example, you have a secondary or supplemental card), click the card you want to manage.
  - In the popup, click **Report this Card as Lost or Stolen** in the Card Actions section.
  - Select an option from the drop-down.
  - Your card will be deactivated and a replacement card will be mailed to your address on file immediately.
  - Click **Continue**.

### Cancel your card

1. Click **Transfer & Pay > Debit Card**.

### Make large purchases with your card

In order to make purchases for large amounts (over \$1,000) with your Debit Mastercard<sup>®</sup>, you must pre-authorize such purchases using IB Key, our mobile two-factor authentication security app for iOS and Android phones. For more information about IB Key including installation, activation and operation instructions, see our [IB Key Knowledge Base article](#).

- » Pre-authorizing is easy and only takes a few seconds in the IB Key app and helps you avoid having your large amount purchase declined.
- » If your purchase is declined, you can authorize the purchase in IB Key and then ask the merchant to put the charge through again.

For more details about the Debit Mastercard, see our [FAQ page](#).

## Requesting Additional Cards

This screen lets you request a secondary Debit Mastercard for joint account holders or a supplemental card for somebody who is not an account holder.

### Rules for Additional Cards

- » Secondary cards are intended only for second account holders in a joint account.
- » Supplemental cards are intended for people who are not account holders (for example, additional family members).
- » In a joint account, the primary card is reserved for the first account holder and the secondary card is reserved for the second account holder.
- » In a joint account, the first account holder must have a primary debit card before the second account holder can apply for a secondary card.
- » In Account Management, the second account holder in a joint account has access to the secondary card only.

### To request an additional card

1. Click **Transfer & Pay > Debit Card**.
2. Click **Request Additional Card**.

**Request Additional Card**  
Use this page to request a secondary card for joint account holders or a supplemental card for somebody who is not an account holders.

**Type of Card**

Choose One ▼

---

**Cardholder Information**

**First Name**

Required

**Middle Name**

Optional

**Last Name**

Required

**Taxpayer ID**

Required

3. Select the type of additional card you want:
  - *Secondary* - For joint account holders
  - *Supplemental* For people who are not account holders
3. Enter the cardholder information in the fields provided. You can use the person's Social Security number for Taxpayer ID.
4. Click **Continue**, review the information, and then click **Continue** again.
5. Record your card activation instructions and save it in a secure place. You will need this information to activate your Debit Mastercard when it arrives in the mail in 7-10 business days.

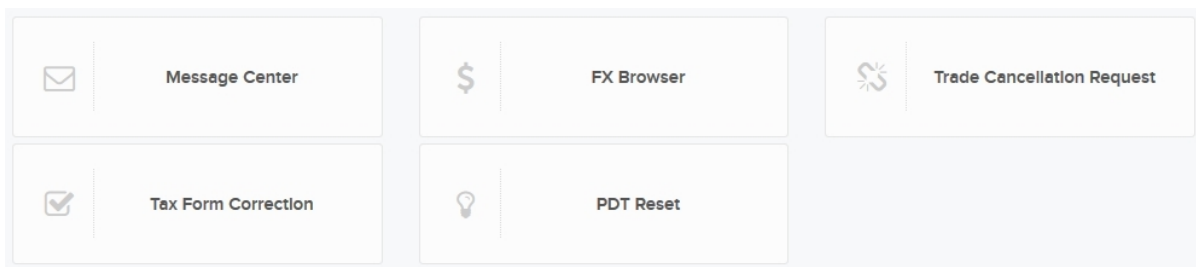


# Support

The Support menu gives you quick access to Client Services.

Topics included:

- » [Message Center](#)
- » [Trade Cancellation Request](#)
- » [Tax Form Correction](#)



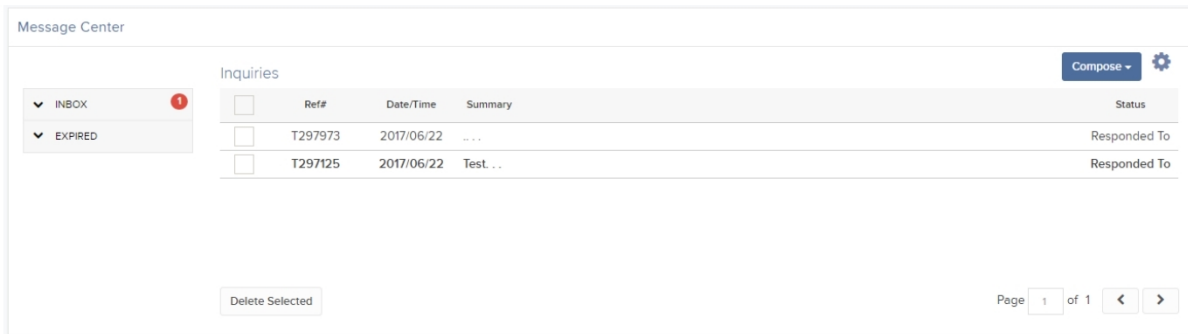
## How to Contact Client Services

You can contact Client Services using any of these methods:

- » Submit a new support inquiry from the Message Center.  
From within Account Management, first click **Support**, and then click **Message Center**. In the Message Center, click **Compose > New Ticket**.
- » For information about contacting us via phone, email or other methods, see [Client Services](#) on our website. The Client Services page includes a list of contact phone numbers, quick tips and other information about contacting us.

## Message Center

The Message Center lets you submit questions directly to Client Services using inquiry tickets and track the status of your inquiries.



Use the Message Center to:

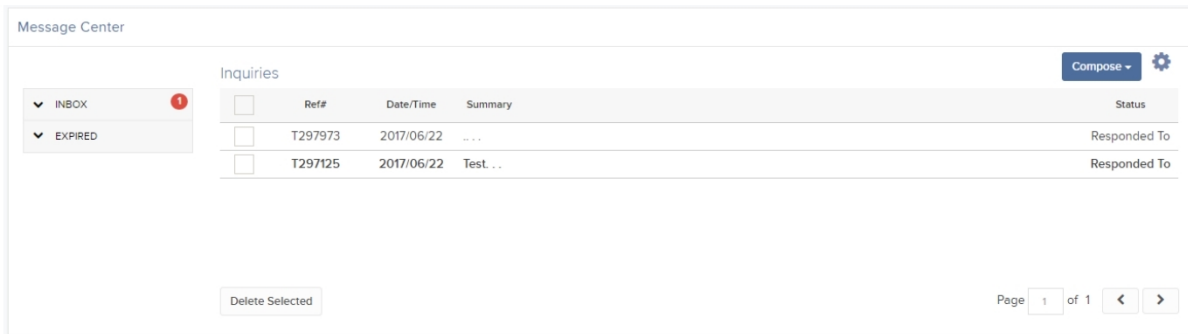
- » [Create an inquiry ticket](#)
- » [View corporate actions](#)
- » [View expired inquiry tickets](#)
- » [Submit a Tax Correction Form](#)
- » [Submit a Trade Cancellation request](#)
- » [Submit a Pattern Day Trader Reset request.](#)

The 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 a 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 a 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.

## Message Center Screen

When you click **Support > Message Center**, the Message Center appears.



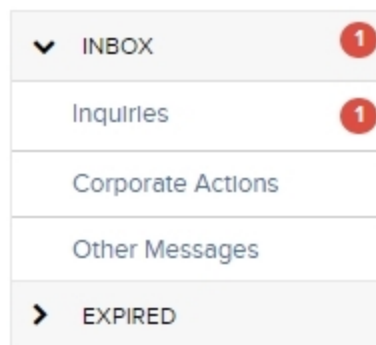
### Parts of the Message Center

- » By default, the Message Center shows your current Inquiries.
- » For each ticket or message in the list, the Message Center displays the Ref# (unique for each message), the date/time, a summary of the ticket or message, 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.

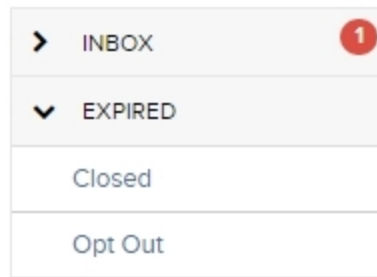
Inquiries

<input type="checkbox"/>	Ref#	Date/Time	Summary	Status
<input type="checkbox"/>	T297973	2017/06/22	...	Responded To
<input type="checkbox"/>	T297125	2017/06/22	Test...	Responded To

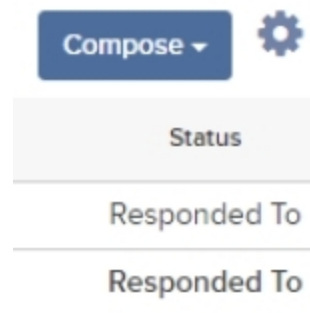
- » The INBOX menu on the left displays the number of unread messages you have in a circle.
- » Click the INBOX menu to expand it to access Inquiries, [Corporate Actions](#) and Other Messages. Click any of those items to view them.



- » Expand the EXPIRED menu on the left to [view expired messages](#).



- » Click the Compose button to [create a new inquiry](#), or to submit a [Tax Correction Form](#), [Trade Cancellation Request](#) or [Pattern Day Trader Reset request](#).
- » Click the Preferences (gear) icon to access Message Center Preferences.



- » If you have more messages in your inbox than can be displayed on a single screen, use the page controls on the lower right of the Message Center to quickly navigate to another page of messages.



- » 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.

## Inquiries

<input type="checkbox"/>	Ref#	Date/Time	Summary
<input type="checkbox"/>	T297973	2017/06/22	...
<input checked="" type="checkbox"/>	T297125	2017/06/22	Test. . .

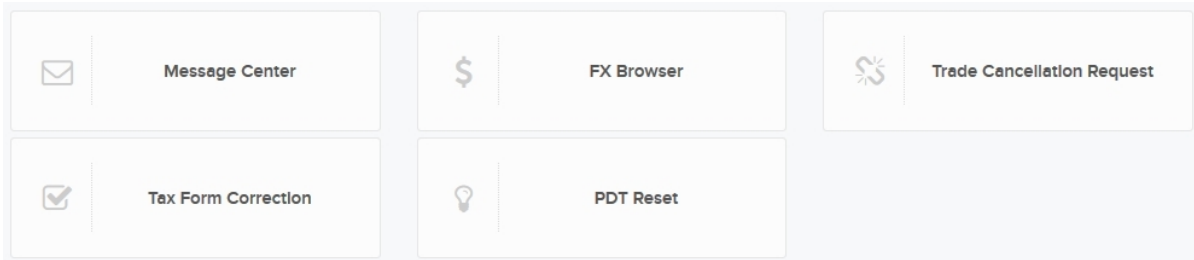
Delete Selected

## Creating a New Ticket

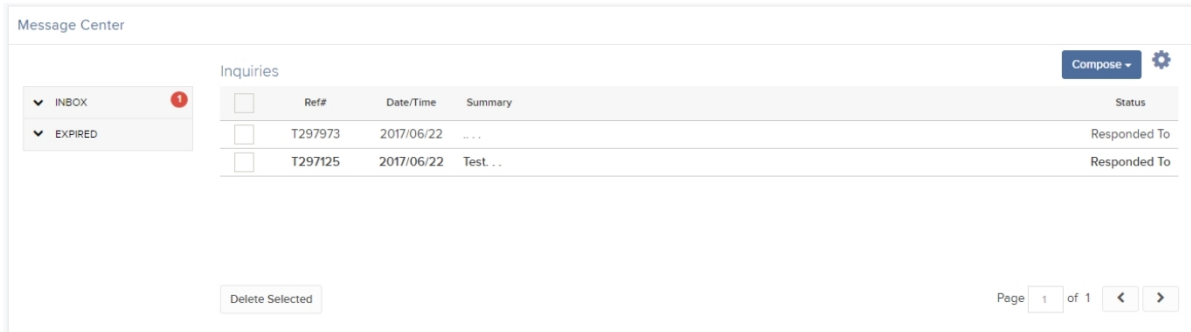
You create a new ticket in the Message Center. Before you create a new ticket, make sure that pop-ups are allowed in your web browser.

### To create a new inquiry ticket

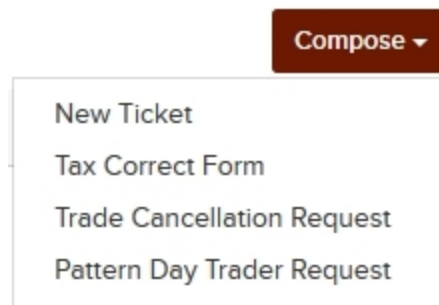
1. Click **Support**.



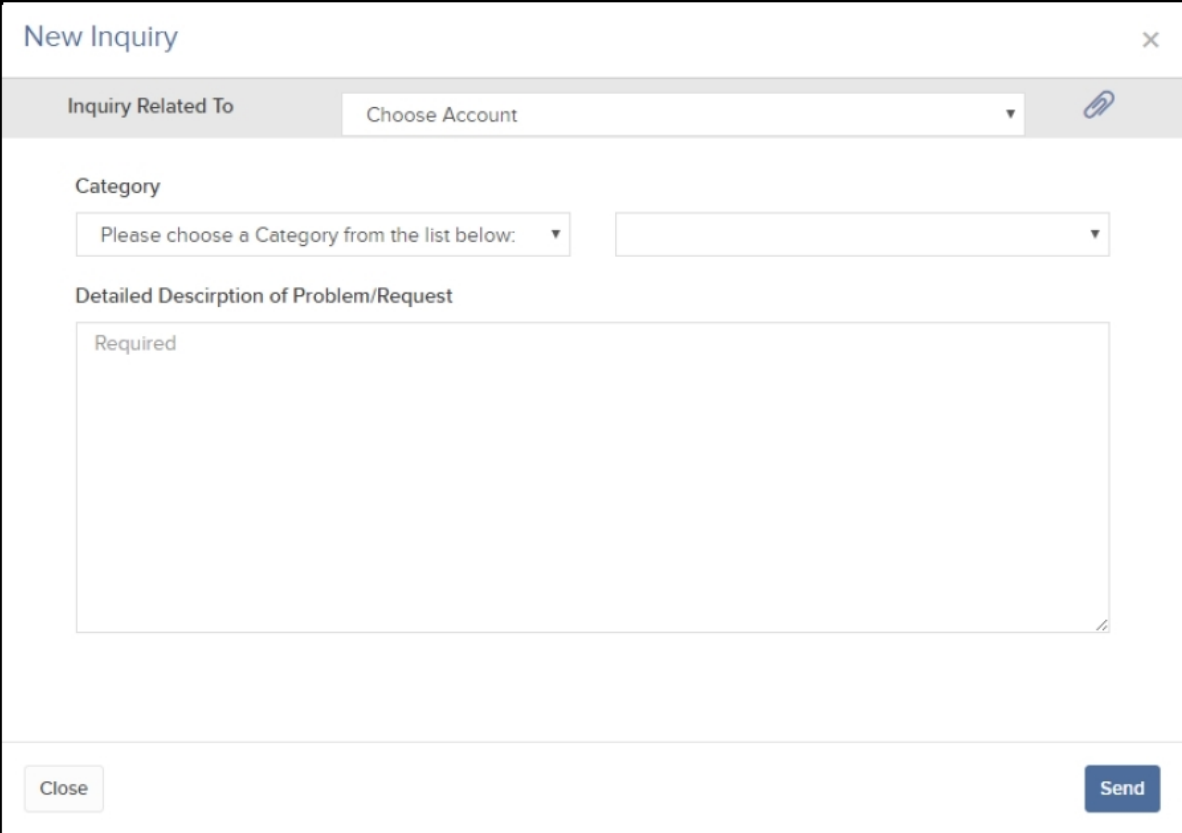
2. Click **Message Center**.



3. Click **Compose** and then click **New Ticket**.



The New Ticket window opens.



The screenshot shows a web form titled "New Inquiry" with a close button (X) in the top right corner. The form is divided into several sections:

- Inquiry Related To:** A header section containing a dropdown menu labeled "Choose Account" and a paperclip icon for attachments.
- Category:** A section with two dropdown menus. The first dropdown is labeled "Please choose a Category from the list below:" and the second is empty.
- Detailed Description of Problem/Request:** A large text area with a "Required" label in the top left corner.
- Buttons:** A "Close" button in the bottom left and a "Send" button in the bottom right.

4. Select the account for which you are submitting a ticket.
5. 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.

## Category

Please choose a Category from the list below: ▼

- Please choose a Category from the list below:
- Account Security & Protection
- Account Services
- Funds & Banking
- How to Use
- Products
- Technical Assistance
- Trade Issues
- Activity & Tax Statements
- Commissions, Fees & Interest
- Application Assistance

For example, if you select Account Services as the Category, the following subcategories are available:

Category

Account Services ▼

Detailed Description of Problem/Request

Required

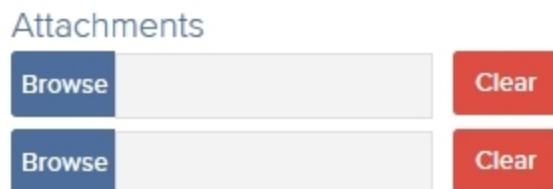
Please choose the appropriate topic for 'Account Services' ▼

- Please choose the appropriate topic for 'Account Services'
- Tax Forms
- Close Account
- Corporate Actions/Dividends
- Account Configuration/Permissions
- Regulatory
- Commissions/Fees/Interest
- Complaints
- Market Data

6. In the Detailed Description field, enter the description of your inquiry. 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.



7. Optionally attach up to two files to your inquiry. Click the paper clip icon, and then 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. Clear **Clear** to remove an attachment from your ticket.



8. 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.
9. Your new inquiry is listed on the Tickets tab in the Message Center, along with the ticket reference number and a status of NEW.

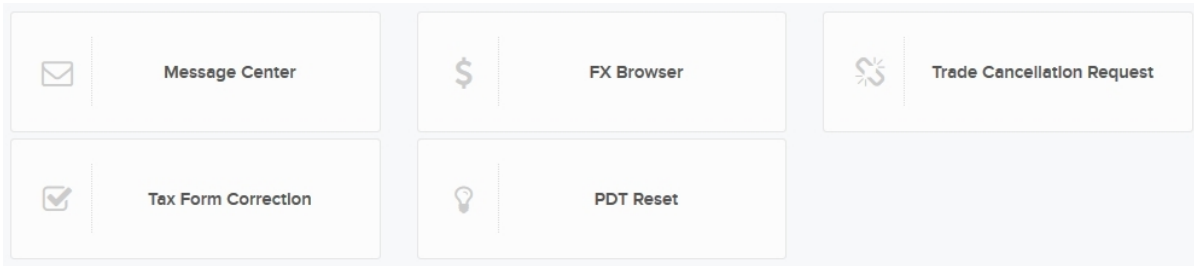
## Viewing Corporate Actions

You can view and participate in corporate actions in the Message Center.

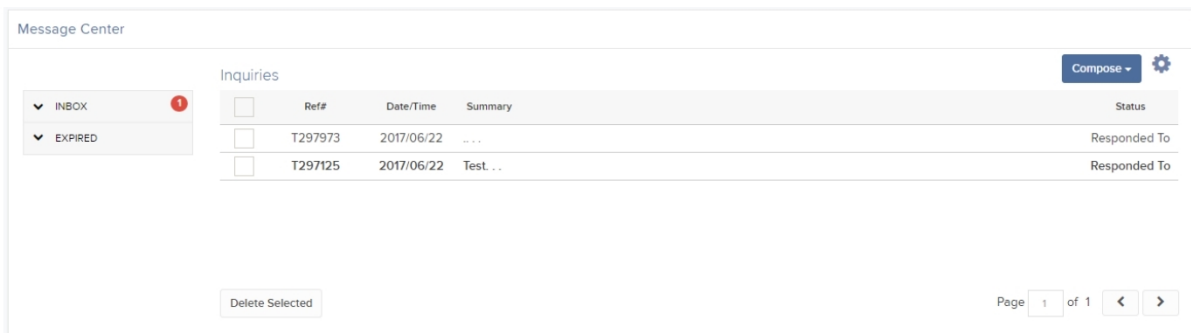
You can view notification of all upcoming corporate actions that may affect you, based on the positions you hold. This means for example, that regardless of whether you hold a stock, option, bond, or SSF position in ABC company, you will receive notification of any and all upcoming corporate actions 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

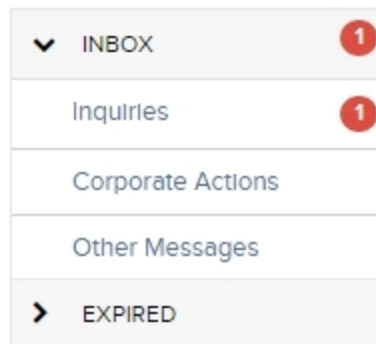
1. Click **Support**.



2. Click **Message Center**.



3. Click **INBOX** on the left to expand it.



4. Click **Corporate Actions**. The list of messages updates to display available corporate actions.

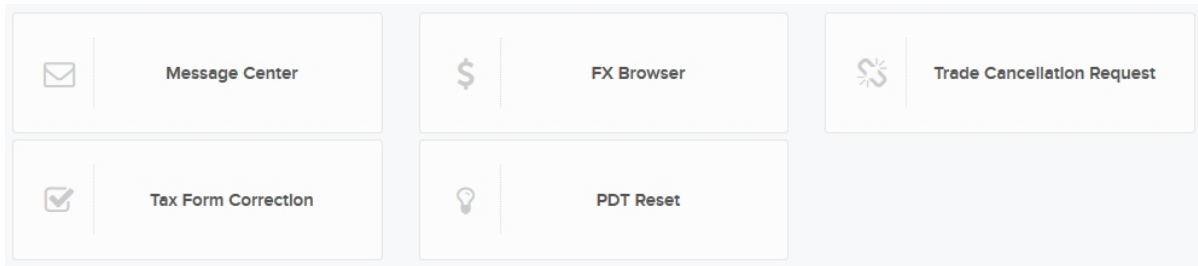
NEED THE REST OF THIS PROCEDURE!

## Viewing Expired Inquiry Tickets

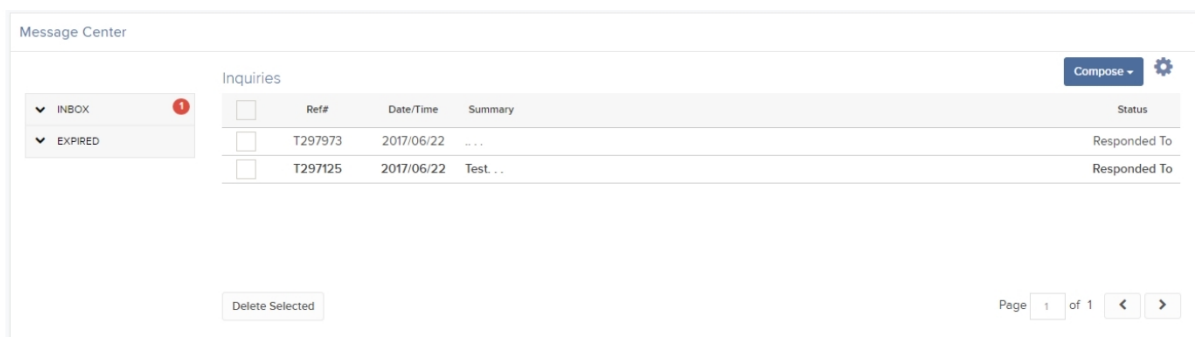
You can view closed inquiry tickets in the Message Center.

**To view expired tickets or messages**

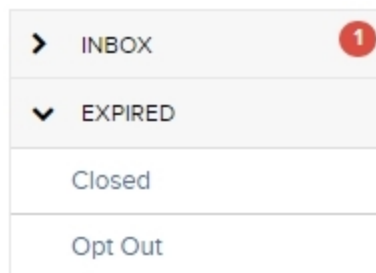
1. Click **Support**.



2. Click **Message Center**.



3. Click **EXPIRED** on the left to expand it.



4. Click **Closed** to view inquiry tickets that have been closed. The list of messages updates accordingly.

## Message Center Preferences

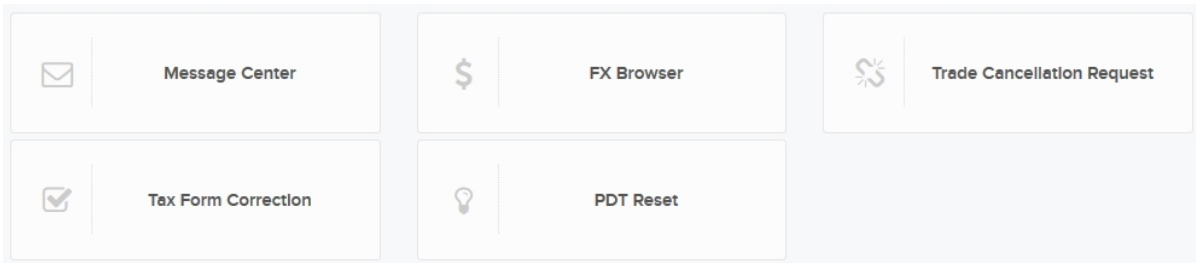
You can configure the following Message Center preferences:

- » Set your preferred and secondary languages for message.
- » Tell us how to deliver inquiry ticket updates and general notices.

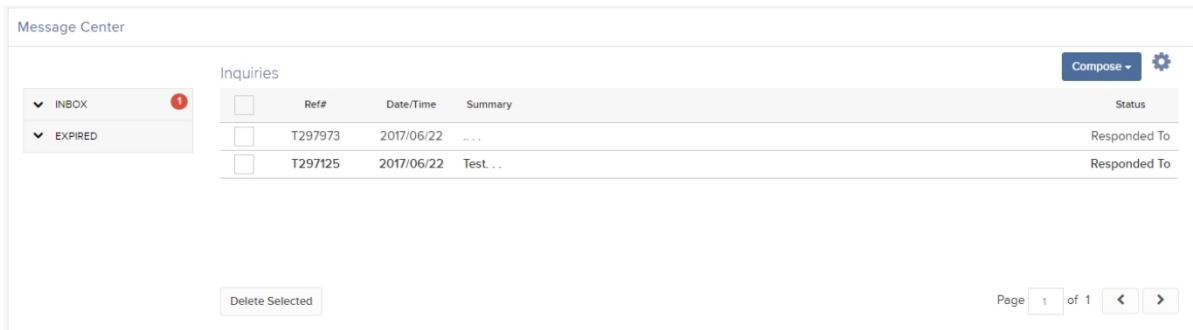
- » Set your email security level.

## To configure Message Center preferences

1. Click **Support**.



2. Click **Message Center**.



3. Click the Preferences (gear) icon on the right side of the Message Center.

The Message Preferences window appears.

The screenshot shows a 'Preferences' dialog box with a close button (X) in the top right corner. The dialog is organized into several sections:

- Preferred Language:** Two dropdown menus labeled 'Primary:' and 'Secondary:'. Both are currently set to 'English'.
- Ticket Inquiry Delivery Method:** Four toggle switches for 'Message Center', 'Trader Workstation', 'E-mail', and 'SMS / Text Message'. 'Message Center' and 'E-mail' are turned on (blue), while 'Trader Workstation' and 'SMS / Text Message' are turned off (grey).
- General Notices Delivery Method:** Four toggle switches for 'Message Center', 'Trader Workstation', 'E-mail', and 'SMS / Text Message'. 'Message Center' and 'E-mail' are turned on (blue), while 'Trader Workstation' and 'SMS / Text Message' are turned off (grey).
- E-mail Security level:** A horizontal toggle switch currently set to 'SECURE'.

At the bottom of the dialog, there is a 'Close' button on the left and a 'Save' button on the right.

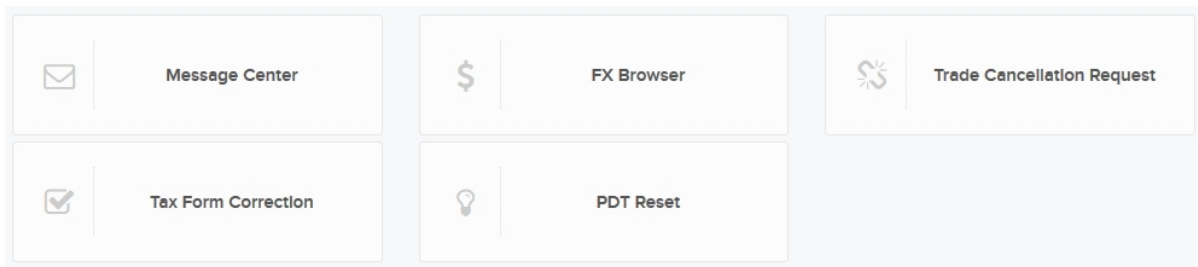
4. Select a Preferred and Secondary Language for messages using the drop-downs.
5. For ticket inquiries, select one or more notification methods:
  - Message Center
  - Trader Workstation
  - Email
  - SMS/Text Message
5. General notices, set select one or more notification methods.
6. Set your email security level using the toggle switch:
  - SECURE- You will be send a generic notification that contains no private information.
  - NON-SECURE - You will receive the actual reply content. Note that this option may result in the content being viewable by an unauthorized third party.
7. Click **Save** to save your changes.

## Submitting a Tax Correction Form

You can submit a Tax Correction Form. 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.


### To submit a Tax Reporting Correction Form

1. Click **Support**.



2. Click **Tax Form Correction**.

The Tax Correction Form opens.

 **Note:** You can also access the Tax Correction Form by clicking the **Compose** button in the Message Center.

**Tax Information**

Tax Year: 2017

Indicate Your Tax Payer Status: U.S. Tax Payer

Reason for Correction: Optional  
(Add any extra information here)

**Type of Correction**

- > 1099-B Proceeds Stock/Equity Transactions
- > 1099-B for Futures Profit and Loss
- > 1099-DIV Dividends and Distributions
- > 1099-INT Securities Account Interest Income
- > 1099-MISC Miscellaneous Income
- > 1099-OID Original Issue Discount
- > 1099-R Distributions from IRAs
- > 5498 IRA Contribution Information
- > Tax Identification Number / Tax Payer Status

Close Submit

3. Select the tax year for which you wish to report a correction from tax year list.
4. Select your taxpayer status from the drop-down:
  - o U.S Taxpayer
  - o Canadian Taxpayer
  - o Non-U.S. Taxpayer

All available tax forms for your selected taxpayer status display in the Type of Correction section.

5. Optionally, type the reason for the correction.
6. Click the tax form you want to correct. The section expands to display the parts of the selected tax form that can be corrected.

Type of Correction

▼ 1099-B Proceeds Stock/Equity Transactions

Check all that apply

Box 2: Gross Proceeds       Box 4: Income Tax Withheld       Box 5: No. of Shares Exchanged

Box 6: Class of Stock Exchanged       Exemption from Reporting

> 1099-B for Futures Profit and Loss

> 1099-DIV Dividends and Distributions

> 1099-INT Securities Account Interest Income

7. Make your corrections to the tax form.
8. When you are finished correcting tax forms, click **Submit**.

## Canceling a Trade

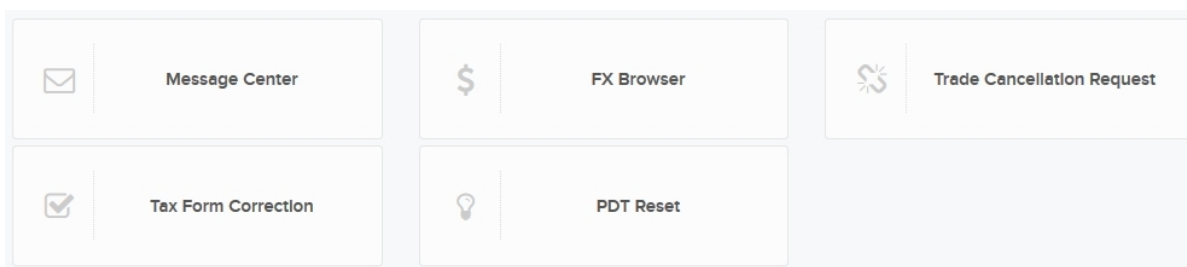
You can bust a trade using the Order Cancellation Request form. After you submit this form to inform us of problem or erroneous trades, we will report these trades to the appropriate exchange on a best efforts basis. Please note that this is a time-sensitive process. Most exchanges have very short time 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.

### To request a trade cancellation

#### To submit a Tax Reporting Correction Form


1. Click **Support**.

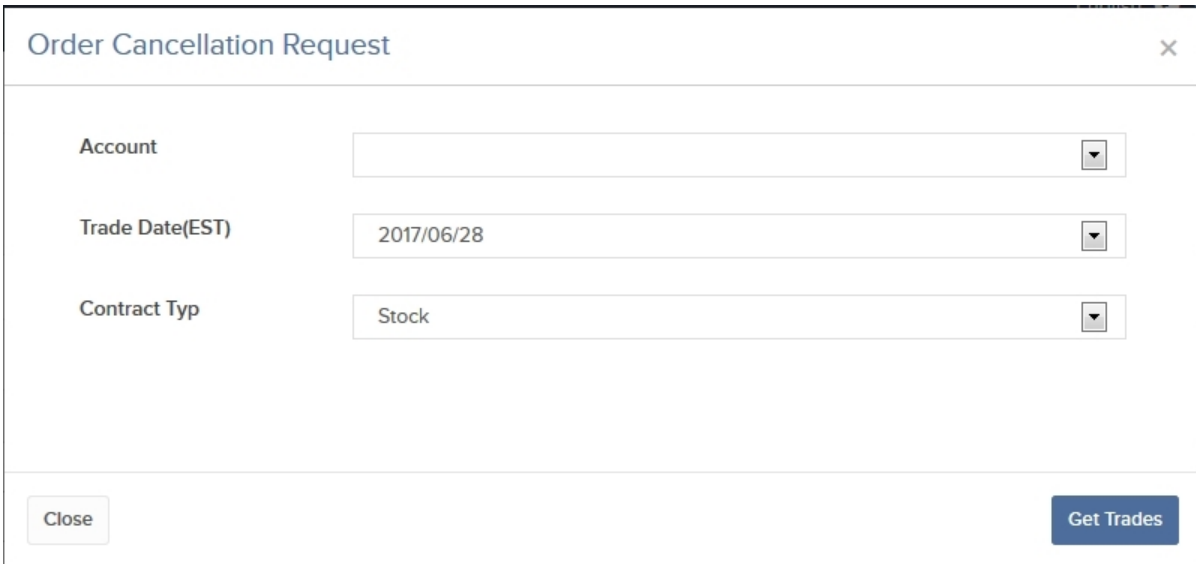


2. Click **Tax Form Correction**.



The Order Cancellation Form opens.

-  **Note:** You can also access the Order Cancellation Request by clicking the **Compose** button in the Message Center.



Order Cancellation Request

Account

Trade Date(EST) 2017/06/28

Contract Typ Stock

Close Get Trades

3. Select the Account in which the trade occurred, the date of the trade (based on Eastern Standard Time), and contract type from the drop-downs.
4. Click **Get Trades** to display all available trades of the selected instrument type on the selected date.
5. Click **Submit** to submit the form.

#### For more information

- » [Erroneous Trade Policy](#)



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