

EmployeeTrackSM Management Users' Guide
November 2011

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Getting Started

This chapter includes the following topics:

- [Overview](#)
- [EmployeeTrack Registration and Setup](#)
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- [Getting Help](#)
- [Navigating EmployeeTrack Management Pages](#)
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Overview

EmployeeTrack provides a simple solution for organizations such as exchanges, hedge funds, mutual funds, brokers, banks, and insurance companies, who are required to report on their employee's outside brokerage account activity.

EmployeeTrack Management is a version of our Account Management system modified specifically for an organization's compliance officer who needs to monitor the organization's employees' IB accounts. In EmployeeTrack Management, a Compliance Officer can:

- View all employee IB accounts that are linked to EmployeeTrack and view the status of pending account invitations.
- Link employees' existing IB accounts to, or delink their accounts from EmployeeTrack.
- Request new account tagging to ensure that all new employee accounts opened with IB are automatically identified and tagged, and added to your daily activity report.
- Create multiple sub compliance officer users who will have limited access to EmployeeTrack Management functions.
- Update his or her personal information (name, phone numbers, address).
- Update his or her EmployeeTrack Management password and email address.
- Automatically transmit daily reports on all employee trading accounts held at IB directly to your legal department, to ensure ongoing compliance with in-house and external reporting requirements.
- Design your reports to send only the account data you need, such as trade confirmations, positions, interest and commissions, taxes and fees.

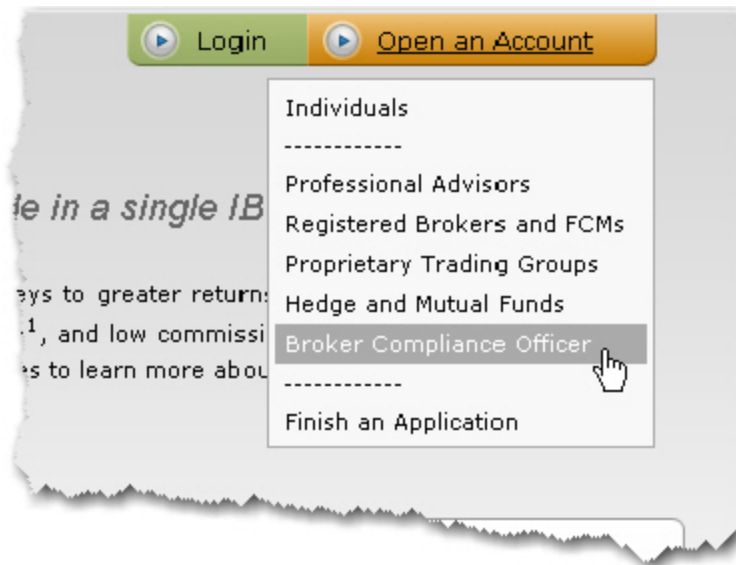
We work directly with your compliance group to implement a custom report layout that is compatible with your network, and that completely satisfies your reporting requirements. This feature ensures that your compliance department always has the latest employee account data, and eliminates the need to track down and record employee activity statements.

EmployeeTrack Registration and Setup

EmployeeTrack and EmployeeTrack Management are intended for use by an organization's Compliance Officer to track the IB account activity of the organization's employees. To use EmployeeTrack Management, you must first register, then link your employees' IB accounts in EmployeeTrack Management.

To register for and set up EmployeeTrack

- 1 From the Interactive Brokers web site, move your mouse over **Open an Account**, then click then *Broker Compliance Officers* from the drop-down menu.



- 2 On the New Accounts page for Broker Compliance Officers, click the **Register** button.
- 3 Complete the EmployeeTrack account application.
- 4 When your new account has been activated, [log into EmployeeTrack Management](#).

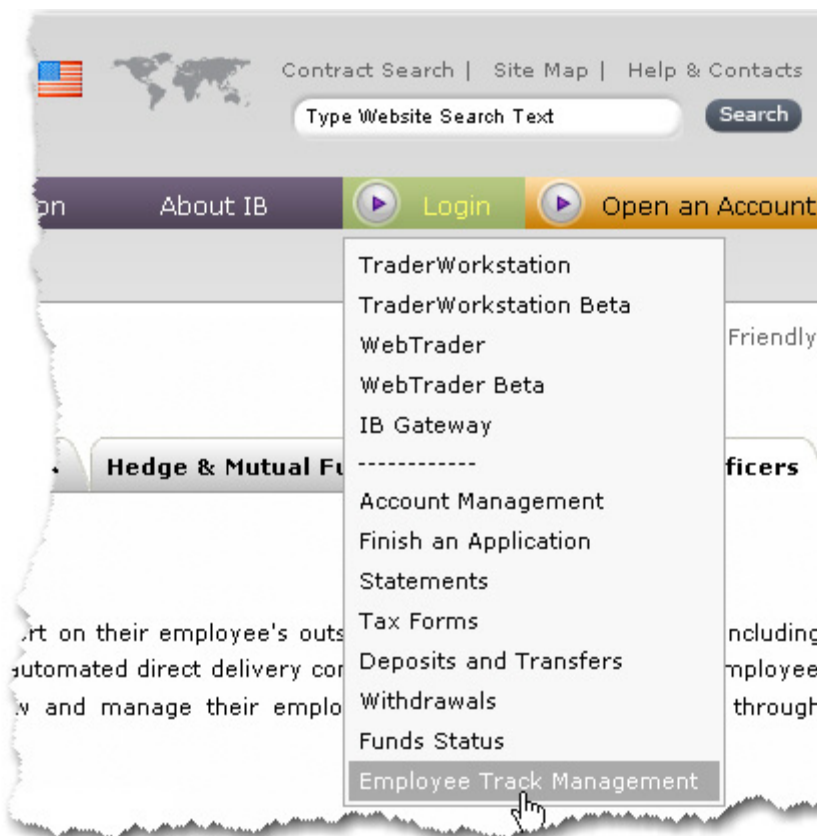
The first time you log into EmployeeTrack Management, there will be no active employee accounts listed. A list of all linked employee IB accounts appear on the EmployeeTrack Management home page on subsequent logins.

- 5 Click **Account Administration** in the left pane, then click [Link Employees](#) and follow the instructions on the screen to link employees with IB accounts to EmployeeTrack.
- 6 Employees with IB accounts that you "link" receive an email with a link that takes them to their own IB account Account Management login. Upon logging in to Account Management, an activation screen appears. Once an employee with an IB account clicks the **Accept** button on the activation screen, his or her IB account is linked to EmployeeTrack.

Logging in to EmployeeTrack Management

To log into EmployeeTrack Management

- 1 From IB's Institutions web site, select **EmployeeTrack Management** from the dropdown list on the upper right corner.



- 2 Enter your username and password, then click **Login**.

Failed Login Attempts

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

Automatic Logoff

If you are logged into EmployeeTrack Management but don't do anything for 30 minutes (the system detects no activity), your Account Management session will automatically expire and you will have to log back in. A message appears warning you that you will automatically be logged out without further activity.

Once your session expires, another message appears informing you that your session has expired and you have been logged out. You must re-login to start a new EmployeeTrack Management session.

EmployeeTrack Management Home Page

This page appears on the Home page when you first log into EmployeeTrack Management. It displays all active employee accounts as well as any pending or rejected invitations.

Interactive Brokers
The Professional's Gateway to the World's Markets

Applicant 533961 - [Account] [Tools] [Help] [Logout]

Interactive Brokers LLC - EmployeeTrack

Customer Service
Message Center Chat Tools

Home
Account Administration
Report Management
User Management

Employee Accounts [\(explain\)](#)

Welcome to EmployeeTrack Management!

Below are all of the employee accounts linked to your EmployeeTrack account. For more actions, please see the links in the navigation bar on the left.

Active Employee Accounts

Name	Account	Broker	Relationship	Reference	Date Linked	Action
Employees						
--	*****	Interactive Brokers	Employee	--	Oct 07, 2010	Delink Edit Log
--	*****	Interactive Brokers	Employee	--	Oct 08, 2010	Delink Edit Log
Applicant 115569	*****	Interactive Brokers	Employee	Test	--	Delink Edit Log
Applicant 713356	*****	Interactive Brokers	Employee	2849	Aug 09, 2010	Delink Edit Log
Consolidation TestingUS11	*****	Interactive Brokers	Employee	N/A 2	--	Delink Edit Log
David Putz	*****	Interactive Brokers	Employee	--	Nov 12, 2010	Delink Edit Log
Fast Track	*****	Interactive Brokers	Employee	--	--	Delink Edit Log
John J Hulka Mr	*****	Interactive Brokers	Employee	121223	Aug 05, 2010	Delink Edit Log
Mike Test	*****	Interactive Brokers	Employee	--	Sep 20, 2010	Delink Edit Log
Mike Test	*****	Interactive Brokers	Employee	--	Oct 14, 2010	Delink Edit Log
Peter Putz	*****	Interactive Brokers	Employee	8560	Aug 05, 2010	Delink Edit Log
Test Test	*****	Interactive Brokers	Employee	--	Nov 12, 2010	Delink Edit Log
Violeta Petrova	*****	Interactive Brokers	Employee	3663	Aug 09, 2010	Delink Edit Log
Employee Related						
dfdf	*****	Interactive Brokers	Friend	23464	Aug 09, 2010	Delink Edit Log

[Turn Off Contextual Help](#)

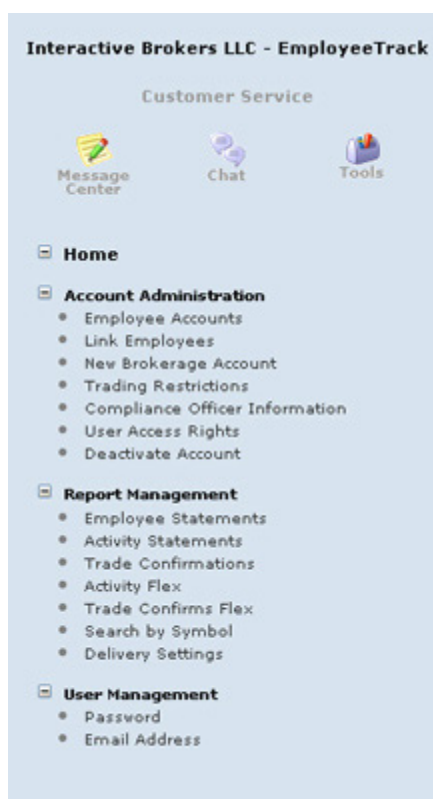
For detailed instructions on using the Employee Account Administration page, see [Employee Accounts](#).

EmployeeTrack Management Menus

You access all the pages and functions of the EmployeeTrack Management system by using the menu in the left pane. Each main menu item contains a submenu that you can expand to access all the features of EmployeeTrack Management.

Click the a menu item to expand its submenu, and click the menu item again to collapse its submenu. For example, if you click **Account Administration**, all of the submenu items in that category become visible and you can click any one to access that page. If you click **Account Administration** again, the submenu is no longer visible.

The EmployeeTrack Management menu offers only a subset of Account Management functions for a company's compliance officer. The home screen displays the Employee Account Administration page. The EmployeeTrack Management menu is shown below.



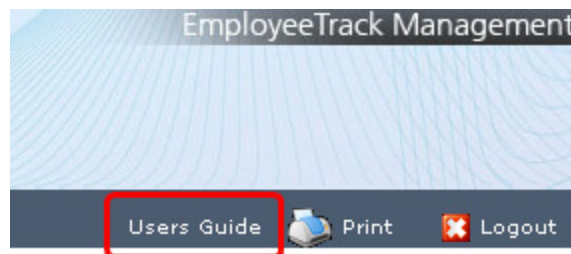
Getting Help

You can get additional information about EmployeeTrack Management in a number of ways:

- Access this Users' Guide from within EmployeeTrack Management
- Contextual Help for the menu
- Explain Links
- Our website

EmployeeTrack Management Users' Guide

This Guide contains detailed instructions on how to use the different functions in EmployeeTrack Management. You can access this Users' Guide from within EmployeeTrack Management by clicking the Users Guide link in the upper right corner of the screen:



Accessing Contextual Help for the Menus

Contextual help is available for many of the menu items in the left pane. When contextual help is turned on, brief help text appears when you hold your mouse over each menu item.

To turn contextual help on and off

- 1 Click the **Turn On Contextual Help** link at the bottom of the left pane.

The link changes to **Turn Off Contextual Help**.

- 2 To turn off contextual help, click the **Turn Off Contextual Help** link at the bottom of the left pane.

Explain Links

Many pages in EmployeeTrack Management contain additional brief information in the form of Explain links. Click an Explain link to display a popup window with additional information about a specific item on a page.

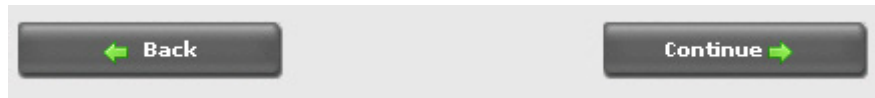
Our Website

The **My Account** menu on our web site contains links to a wealth of information about accounts and EmployeeTrack account management, including pages that describe IB's policies on funds and banking, account and trading configuration, users and access rights, statements and reports, and forms and disclosures.

Navigating EmployeeTrack Management Pages

Some EmployeeTrack Management functions contain several pages, which are connected by **Continue** and **Back** buttons.

- The **Continue** button indicates that there is another page that you must view and/or perform some action on to continue or complete the current task.
- The **Back** button indicates that you can go back one page. Typically you would use this button to go back and correct an error you might have made on the previous page.



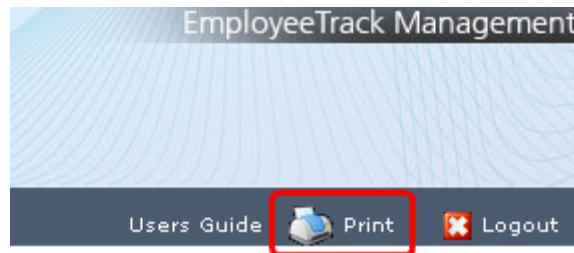
Note: When navigating through the different pages in EmployeeTrack Management, do NOT use your browser's Back button. If you do, you may be logged out of the system. Instead, use the Back button provided on the EmployeeTrack Management pages.

Printing

You can print any EmployeeTrack Management page.

To print an EmployeeTrack Management page

- 1 Click the **Print** link in the upper right corner of the page.

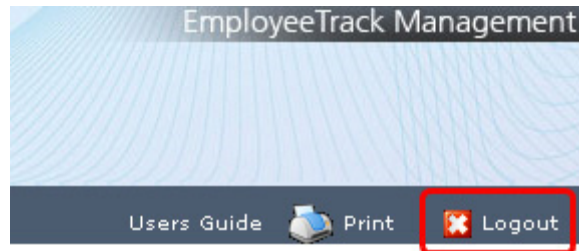


- 2 In the Print dialog, set your printing properties, then click **OK**.

Logging Out

To log out of EmployeeTrack Management

- 1 Click the **Logout** link in the upper right corner of the page.



Account Administration

This chapter describes the following Account Administration functions available in EmployeeTrack Management.

The chapter includes the following topics:

- [Employee Accounts](#)
- [Edit an Employee](#)
- [Link Employees](#)
- [New Brokerage Account](#)
- [Use a Bulk Employee File to Link Multiple Employees](#)
- [Trading Restrictions](#)
- [Compliance Officer Information](#)
- [User Access Rights](#)

Employee Accounts

This page displays all active employee accounts as well as any pending or rejected invitations. It also appears on the Home page when you first log into EmployeeTrack Management.

The screenshot shows the 'Employee Accounts' page in the EmployeeTrack Management system. The page header includes the Interactive Brokers logo and the text 'The Professional's Gateway to the World's Markets'. The user is logged in as 'Applicant 533961'. The page title is 'Interactive Brokers LLC - EmployeeTrack'. The main content area is titled 'Employee Accounts (explain)' and includes a welcome message and a note that the following are all employee accounts linked to the user's account. A table titled 'Active Employee Accounts' lists the following data:

Name	Account	Broker	Relationship	Reference	Date Linked	Action
Employees						
--	070000	Interactive Brokers	Employee	--	Oct 07, 2010	Delink Edit Log
--	070000	Interactive Brokers	Employee	--	Oct 08, 2010	Delink Edit Log
Applicant 113569	070000	Interactive Brokers	Employee	Test	--	Delink Edit Log
Applicant 713356	070000	Interactive Brokers	Employee	2049	Aug 09, 2010	Delink Edit Log
Consolidation TestingUS11	070000	Interactive Brokers	Employee	N/A 2	--	Delink Edit Log
David Fultz	070000	Interactive Brokers	Employee	--	Nov 12, 2010	Delink Edit Log
Fast Track	070000	Interactive Brokers	Employee	--	--	Delink Edit Log
John J Hulka Mr	070000	Interactive Brokers	Employee	121223	Aug 05, 2010	Delink Edit Log
Mike Test	070000	Interactive Brokers	Employee	--	Sep 20, 2010	Delink Edit Log
Mike Test	070000	Interactive Brokers	Employee	--	Oct 14, 2010	Delink Edit Log
Peter Putz	070000	Interactive Brokers	Employee	0560	Aug 05, 2010	Delink Edit Log
Test Test	070000	Interactive Brokers	Employee	--	Nov 12, 2010	Delink Edit Log
Violeta Petrova	070000	Interactive Brokers	Employee	3663	Aug 09, 2010	Delink Edit Log
Employee Related						
dfdf	070000	Interactive Brokers	Friend	23464	Aug 09, 2010	Delink Edit Log

On this page, a compliance officer can:

- View all linked employee IB accounts, including the account number, reference ID, email address and status of each account.
- View an Audit Trail Log page for each employee account. An audit trail log includes statement views and comment entries by Compliance Officers for the selected employee account. Compliance Officers can also add comments to the audit trail log page.
- Delink employee IB accounts.
- Edit an employee's relationship and Reference ID.
- Delete invitations to employees that were either rejected or are pending. For example, you might want to delete a pending invitation if you know the employee made an error in the process.

To use the Employee Accounts page

- 1 Click **Account Administration** in the left pane, then click *Employee Accounts*.
- 2 To delink a linked employee account, in the list of Active Employee Accounts, click *Delink* in the Action column for the account you want to delink.
- 3 To edit an employee's relationship or Reference ID, click *Edit* in the Action column for that employee account. See [Edit an Employee](#) for more information.
- 4 To delete an employee invitation, in the list of Pending and Rejected Employee Invitations, click *Delete* in the Action column for the invitation you want to delete.
- 5 To view the Audit Trail Log for an employee account, click *Log* in the Action column for that employee account. See [View the Audit Trail Log](#) for more information.

Edit an Employee

EmployeeTrack lets you edit an employee's Reference ID and Employee Relationship. You access the Edit function from the Employee Accounts page.

You specified the employee's relationship when you entered employee information on the Link Employees page.

When an employee registers for an IB account, he or she is given the opportunity to define an optional Employee Reference ID. Employee Reference IDs are useful if your organization requires an additional way to identify employees. For example, if your company uses employee number, that could be the Employee Reference ID.

To edit an employee

- 1 Click **Account Administration** in the left pane, then click *Employee Accounts*.
- 2 To edit an employee account, click *Edit* in the Action column for the desired employee account.

The Edit Employee page appears.

Edit Employee ([explain](#))

Employee Information

Name	--
Account	*****
Broker	Interactive Brokers
Email	*****@*****.*****
Account Status	Pending
Date Invited	--
Date Linked	May 23, 2011
Employee Relationship	Employee
Employee Reference	--

3 Do any of the following:

- Change the Employee Relationship. Select *Employee*, *Spouse*, *Family Member*, *Friend* or *Other* from the drop-down list.
- Change the Employee Reference ID.

4 Click **Submit**.

The Employee Accounts page displays, along with a message informing you the the account update was successful.

View the Audit Trail Log

An audit trail log includes statement views and comment entries by Compliance Officers for the selected employee account. Compliance Officers can also add comments to the audit trail log page.

To view the audit trail for an employee account

- 1 Click **Account Administration** in the left pane, then click *Employee Accounts*.
- 2 Click *Log* in the Action column for the desired employee account.

The Audit Trail Log page appears.

Audit Trail Log ([explain](#))

Employee Information

Name	--
Account	*****
Broker	Interactive Brokers
Email	*****@*****.com
Account Status	Pending
Employee Relationship	Employee
Employee Reference	--
Date Invited	--
Date Linked	May 23, 2011

Statement Review Log

No statement views for the selected employee account.

Comments Log

No comments have been entered for the selected employee account.

Add a Comment

Comment

Add Comment

- 3 Review the information as required.
- 4 Add a new comment to the page by typing the comment in the Comment box, then clicking the **Add Comment** button.

Link Employees

The Link Employees page lets you link an employee's IB account to EmployeeTrack. You link an employee by entering employee information on the Link Employees page, then sending an email invitation to the employee to join EmployeeTrack. Once the employee accepts the invitation, his or her account is linked. You can set up and automatically transmit daily reports on all employee IB accounts to your legal department to ensure ongoing compliance with in-house and external reporting requirements.

When you first log into EmployeeTrack Management, you link employees as part of the [setup process](#). Over time, however, you will need to link new employees' existing IB accounts and existing employees' new IB accounts.

You can also link multiple employees' existing IB accounts by creating then uploading a [Bulk Employee Upload file](#).

Link Employees

This screen allows you to link an employee with an existing Interactive Brokers account. An email invitation will be sent to your employee inviting them to join the EmployeeTrack program. Once an employee accepts the EmployeeTrack invitation they will appear within EmployeeTrack Management and you will no longer get separate emailed statements. Please complete the following information and click the Send Invitation button below.

Employee Information

* = Required

First Name*


Last Name*

Account #*

Email Address*

Employee Relationship*

Employee Reference

Submit Query 

Bulk Employee File Upload

If you have many employee accounts, create a Bulk Employee File and upload it below. A Bulk Employee File is a CSV (comma-separated values) file that contains the following fields: Account #, First Name, Last Name, Email Address, Relationship and optional field Employee Reference. Please note, the relationship must be one of: Employee, Spouse, Family Member, Friend or Other, otherwise will default to Employee. Include one record for each employee account, and one record per line.

Note that the employee will still have to accept the invitation. The results of the upload will be displayed below. For assistance regarding the bulk upload file please email employeetrack@interactivebrokers.com.

To link an employee to EmployeeTrack

- 1** Click **Account Administration** in the left pane, then click *Link Employees*.
- 2** Enter the employee's first name, last name, IB account number, email address, and optional Employee Reference ID in the fields provided. Select an Employee Relationship from the drop-down list.

The first and last name and account number you enter **MUST** match the existing information in the employee's IB account.

- 3** Click **Send Invitation**. The employee clicks the link provided in the email to log into Account Management for his or her IB account. The EmployeeTrack Activation page opens.

The employee must click **Accept** on the EmployeeTrack Activation page for his or her IB account to be linked to EmployeeTrack.

Once the employee accepts the invitation, his or her IB account will appear in the list of Active Employee Accounts in EmployeeTrack Management.

Use a Bulk Employee File to Link Multiple Employees

If you have many employee accounts to link to EmployeeTrack, you can create a Bulk Employee File and upload it on the Link Employee page. A Bulk Employee File lets you send multiple invitations at once to employees whose accounts you want to link to EmployeeTrack. This file is a comma-separated values (CSV) text file that you create and contains information about the employees whose accounts you want to link. When you use a Bulk Employee File, the employees will still have to accept the email invitations to join EmployeeTrack.

To link multiple employees to EmployeeTrack using a Bulk Employee File

- 1 Create a text file formatted as a CSV file.

The text file must contain one record for each employee account, and one record per line. Each record must contain the following fields:

- Employee Account Number
- Employee First Name
- Employee Last Name
- Employee Email Address
- Relationship (The relationship must be Employee, Spouse, Family Member, Friend or Other. If it is not one of these, it will default to Employee.)
- An optional Employee Reference ID.

- 2 Save the file with a **.csv** extension.

- 3 Log into Account Management, click **Account Administration** in the left pane, then click *Link Employees*.


Link Employees

This screen allows you to link an employee with an existing Interactive Brokers account. An email invitation will be sent to your employee inviting them to join the EmployeeTrack program. Once an employee accepts the EmployeeTrack invitation they will appear within EmployeeTrack Management and you will no longer get separate emailed statements. Please complete the following information and click the Send Invitation button below.

Employee Information

*** = Required**

First Name*
Last Name*
Account #*
Email Address*
Employee Relationship* 
Employee Reference

Submit Query 

Bulk Employee File Upload

If you have many employee accounts, create a Bulk Employee File and upload it below. A Bulk Employee File is a CSV (comma-separated values) file that contains the following fields: Account #, First Name, Last Name, Email Address, Relationship and optional field Employee Reference. Please note, the relationship must be one of: Employee, Spouse, Family Member, Friend or Other, otherwise will default to Employee. Include one record for each employee account, and one record per line.

Note that the employee will still have to accept the invitation. The results of the upload will be displayed below. For assistance regarding the bulk upload file please email employeetrack@interactivebrokers.com.

- 4 In the Bulk Employee File Upload section, click the **Browse** button, then select the *.csv file you created earlier.
- 5 Click **Upload**.

Each employee account in the uploaded Bulk Employee File is listed on the page by account number, name and result (Success, Account/Name Not Found).

If you experience difficulty linking accounts, contact IB at employeetrack@interactivebrokers.com.

New Brokerage Account

Compliance Officers use the New Brokerage Account page to send a link to any employee who would like open a new Interactive Brokers account. When the employee completes the account application and the account has been activated and is open, it will automatically be linked to the EmployeeTrack account.

To send a link to an employee to open a new IB account

- 1 Log into Account Management, click **Account Administration** in the left pane, then click *New Brokerage Account*.

New Brokerage Account

For new accounts, please send the following link to any employee wishing to complete a new Interactive Brokers application:

<http://www.interactivebrokers.com/employeetrack/index.php?e=TFT>

- 2 Copy the hyperlink on the page and paste it into an email to the employee who wants to open a new IB account. The hyperlink is unique to your EmployeeTrack account.

When the account has been activated and is open, it will automatically be linked to the EmployeeTrack account

Trading Restrictions

The Trading Restrictions page lets you restrict your employees with Interactive Brokers accounts from trading specific symbols. When you add a trading restrictions for a stock symbol, all derivatives of that stock will also be restricted, including options, futures, and so on. The Trading Restrictions page also displays all current symbols that your employees are restricted from trading.

To add a trading restriction

- 1 Click **Account Administration** in the left pane, then click *Trading Restrictions*.

Trading Restrictions

To add a new trading restriction or update an existing one, start by entering a stock symbol and clicking the *Submit* button. Note, all changes to restrictions take effect on the next trading day.

Add or Edit Restriction

Symbol Submit Query ➔

Below are the current restrictions. Please note the following:

- All derivatives of the restricted stock(s) are also restricted (options, futures, etc.)
- Restrictions with GTD that have expired will be highlighted in *red*.
- Click on any symbol to expand the Issuer details.
- To remove any restricted symbol(s), select the appropriate checkboxes and click the *Delete* button.

Current Restrictions

Symbol	Issuer(s)	TIF	Begin Date	End Date	Delete
F		GTC	--	--	<input type="checkbox"/>
T		GTD	Thu, Jan 01, 2009	Thu, Dec 31, 2009	<input type="checkbox"/>
TRE		GTD	Sun, Dec 19, 2010	Thu, Dec 19, 2013	<input type="checkbox"/>

✖ Delete

- 2 Enter the symbol you want to restrict in the *Symbol* field, then click **Submit**. The Add or Edit Restrictions page appears, and displays available stocks and bonds for the symbol you entered.

Add or Edit Restrictions (for employee accounts held at Interactive Brokers)

Below are the available stocks and bonds found for **IBM**. Please select the assets you wish to restrict. Please note the following:

- For any stock selection, all derivatives of that stock will also be restricted (options, futures, etc.)
- The ISIN listed for a bond is just 1 of potentially many matches

Asset Selections

	Asset Type	Description	ISIN
<input type="checkbox"/>	Stock and Derivatives	IBM CORR	US4592001014
<input type="checkbox"/>	Bond	IBM International Group Capital LLC	US44924EAB65
<input type="checkbox"/>	Bond	International Business Machines Corp	US459200AG65

Please choose a Time in Force to be applied for all selected assets. For GTD, the Begin and End dates are required. Click the **Submit** button to save your restrictions.

Time in Force Selection


TIF	<input type="text" value="GTC (Good-Til-Canceled)"/>	
Begin Date	<input type="text" value="06/06/2011"/>	(MM/DD/YYYY)
End Date	<input type="text"/>	(MM/DD/YYYY)

Submit ➔

- 3 Select the check box next to each asset type you want to restrict. If you select the stock, all derivatives of that stock will also be restricted, including options and futures.
- 4 In the TIF list, select the Time in Force for the restriction. Select *GTC (Good-Til-Canceled)* or *GTD (Good-Til-Date)*.
 - If you select *GTD (Good-Til-Date)*, you must also enter the beginning and ending dates for the restriction. Employees will be restricted from trading the selected symbol and assets for the dates you enter. Note that the Begin Date field is prepopulated with the current date.
- 5 Click **Submit** to activate the trading restriction, which will be added to the list of existing restrictions displayed on the Trading Restrictions page.

- 6 On the Trading Restrictions page, click a symbol in the list of existing restrictions to display all issuer names associated with that symbol.

Current Restrictions					
Symbol	Issuer(s)	TIF	Begin Date	End Date	Delete
F		GTC	--	--	<input type="checkbox"/>
	FORD CAPITAL BV (Bond)				
	Ford Holdings LLC (Bond)				
	Ford Motor Co (Stock/Bond)				
	Ford Motor Credit Co LLC (Bond)				
	HERTZ CORP (Bond)				
T		GTD	Thu, Jan 01, 2009	Thu, Dec 31, 2009	<input type="checkbox"/>
TRE		GTD	Sun, Dec 19, 2010	Thu, Dec 19, 2013	<input type="checkbox"/>

 Delete

Editing a Trading Restriction

To edit an existing trading restriction, enter the symbol in the *Symbol* field on the Trading Restrictions page and click **Submit** just as you would if adding a new restriction. Modify any of the restriction information on the Add or Edit Restrictions page, then click **Submit**. The modified restriction will appear on the list of existing restrictions displayed on the Trading Restrictions page.

Deleting a Trading Restriction

To remove existing restriction, you must delete it from the Trading Restrictions page. In the Existing Restrictions list, select the check box for the restriction you want to remove, then click **Delete**.

Compliance Officer Information

Use this page to modify your personal information, including name, phone numbers and address. When you first log into EmployeeTrack Management, you enter this information as part of the [setup process](#). If your information changes, or your organization has a new Compliance Officer, you will use this page to update that information.

Compliance Officer Name

First Name *

Middle Initial

Last Name *

Suffix (Sr., Jr., III, etc.)

Compliance Officer Phone Numbers

Primary Phone * (include country and area codes)

Secondary Phone (include country and area codes)

Fax (include country and area codes)

Compliance Officer Address

Street #1 *

Street #2

City *

State/Province *

Zip/Postal Code *

Country *

Account Support

In order to help us better service your account, please answer the following question(s):

Who assisted you in opening your account *

To modify your Compliance Officer information

- 1 Click **Account Administration** in the left pane, then click *Compliance Officer Information*.
- 2 Modify the information as required, then click **Submit**.
 - You cannot change the company name or abbreviated name once you submit the completed Compliance Officer Information page during the setup process.

User Access Rights

In EmployeeTrack Management, this page lets you create sub compliance users if your organization requires multiple compliance officers. In this scenario, you are the Lead Compliance Officer and the compliance users you create typically report to you.

User Access Rights

You may add, modify, or delete users by doing the following:

- Click on the **Add User** button below to add a new user for the account.
- Click on the **Modify** link next to a user to update functions for an existing user.
- Click on the **Delete** link next to a user to delete a username. Account Management access will be disabled instantly. Trading Access will be disabled by the next calendar day.

Your account currently has the following registered Users:

First Name	MI	Last Name	Username	Type	Master Account Functions	Client/Sub Account Functions	Status	Modify	Delete
Sujatha	--	Aylesworth	*****	Lead Compliance Officer	--	--	Open		
TEST	--	Flinstone	*****	Compliance Officer	UM, RM, Administration	ALL	Open		Delete
Another	--	Lead	*****	Compliance Officer	RM, UM, Administration	ALL	Pending User		Delete
Don	--	Mendoza	*****	Compliance Officer	RM, UM, Administration	ALL	Pending User		Delete
Lead	--	Two	*****	Compliance Officer	RM, UM, Administration	ALL	Pending User		Delete
Test	--	User	*****	Compliance Officer	RM, UM, Administration	ALL	Pending User		Delete

[Add User](#) ➔

New Users will need to login independently to the Account Management Menu after a username and password has been created.

Note: Sub compliance users cannot access the User Access Rights or Compliance Officer Information pages in EmployeeTrack Management.

To add a sub compliance user

- 1 Click **Account Administration** in the left pane, then click *User Access Rights*.
The Add New User and Access Rights page opens.
- 2 Enter all required information, including name, five-character username prefix, password, and email address.
- 3 Click **Continue**.
- 4 Verify that all the information is correct, then click **Continue**.

If you need to make further changes, click **Back**, then make corrections before submitting.

- 5** Enter the confirmation number sent to you via email, then click **Continue**.

If you have not received a confirmation number, click **Request Confirm #** to have a confirmation number sent to your email address on record. You can also click **Cancel** to cancel your changes.

Report Management

This chapter describes the Report Management functions in EmployeeTrack Management. The following topics are included:

- [Employee Statements](#)
- [Search by Symbol](#)
- [Statement View Audit](#)
- [IB Activity Statements](#)
- [IB Activity Flex](#)
- [IB Trade Confirmations](#)
- [IB Trade Confirms Flex](#)
- [IB Delivery Settings](#)

Employee Statements

The Employee Statements page lets Compliance Officers view and download daily and monthly brokerage statements for their employee accounts. The page displays the account number and broker for all employee accounts and lets Compliance Officers view and download PDF or HTML files for employees with Interactive Brokers accounts, or PDF or CSV (comma-separated values) files for employees with non-Interactive Brokers accounts.

The screenshot shows the 'Employee Statements' page. At the top, there is a header 'Employee Statements (explain)'. Below this is a 'Select Account' section with a search input field and a 'Filter By' section with radio buttons for 'Name', 'Account', 'Reference', and 'Relationship'. The 'Name' filter is selected. Below the filters is a table with columns for 'Applicant' and 'Account'. The 'View Statements' section is below the table, featuring a table with columns for 'Account', 'Period', 'Date', and 'Format'. The 'Account' column contains details for a specific account: 'Name: Applicant', 'Relationship: Other', 'Account:', and 'Broker: Interactive Brokers'. The 'Period' column has a dropdown menu set to 'Monthly'. The 'Date' column has a dropdown menu set to 'Sep 2011'. The 'Format' column has a dropdown menu set to 'PDF'. A 'View' button with a right-pointing arrow is located at the bottom of the 'View Statements' section.

To use the Employee Statements page

- 1 Click **Report Management** in the left pane, then click *Employee Statements*.
- 2 Use the Account Selector to search for employee accounts by Name, Account, Reference or relationship. In the search results, click an account.
- 3 In the View Statements section, do the following:
 - a In the Period column, use the radio buttons to select either a **Daily** or **Monthly** statement.
 - a In the Date field, select either a specific date for a daily statement, or a specific month/year for a monthly statement.
 - b In the Format field, select your preferred download option:
"Select PDF or HTML for employees with Interactive Brokers accounts, or select PDF or CSV for employees with non-Interactive Brokers accounts."
 - c When prompted, save the file to your computer.

Search by Symbol

The Search by Symbol page lets Compliance Officers generate statements of positions and/or activity for an employee's account based on specific symbols. The statements you generate include positions and or activity for each symbol and are sorted by product type, then currency then symbol.

To use this page, first search for symbols by account, date range (which cannot exceed 365 days) and positions and or activity. The page returns all matching symbols. Then select one or more symbols and generate the desired statements. Compliance Officers can view and download PDF or HTML files for employees with Interactive Brokers accounts, or PDF or CSV (comma-separated values) files for employees with non-Interactive Brokers accounts.

To use the Search by Symbol page

- 1 Click **Report Management** in the left pane, then click *Search by Symbol*.
- 2 Enter search criteria:
 - In the Account drop-down, select a single employee's account to search or select *All Employee Accounts* to search all employee accounts. You can also select *Consolidated* to search for symbols for all employee accounts.
 - Select *Daily* or *Range* in the Period field. If you select *Range*, select a From and To date in the Date Range fields. The date range cannot exceed 365 calendar days.
 - Select **Positions** and/or **Activity** to search for symbols with any positions and/or activity in the selected account.

Search by Symbol ([explain](#))

Search Criteria

Step 1: Search for Symbols
Select your symbol search criteria below, then click **Load Symbols** to display a list of symbols that match your search criteria.

Account	Period	Date	Search In...
All Employee Accounts	Range	From: Nov 09, 2011 To: Nov 09, 2011	<input type="checkbox"/> Positions <input type="checkbox"/> Activity

Load Symbols ➔

- 3 Click **Load Symbols** to view the results of your symbol search.

Search by Symbol [\(explain\)](#)

Search Criteria

Step 1: Search for Symbols
 Select your symbol search criteria below, then click **Load Symbols** to display a list of symbols that match your search criteria.

Account **Date Range** **Search In...**

Applicant Mar 10, 2011 to Mar 22, 2011 Positions Activity

Step 2: Select Symbols
 Select one or more symbols from the list below, then select your preferred results format and click **Submit**. To select multiple non-adjacent symbols from the list, use the Ctrl+Click mouse/keyboard combination. To select multiple adjacent symbols from the list, use the Shift+Click mouse/keyboard combination.

Symbols **Results Format**

2318 (PING AN INSURANCE GROUP CO-H) PDF

308 (CHINA TRAVEL INTERNATIONAL)

493 (GOME ELECTRICAL APPLIANCES)

670 (CHINA EASTERN AIRLINES - H)

939 (CHINA CONSTRUCTION BANK-H)

4 Select one or more symbols from the Symbols list (these are the search results).

5 Select a format for your search results in the Results Format list.

Select PDF or HTML for employees with Interactive Brokers accounts, or select PDF or CSV for employees with non-Interactive Brokers accounts.

6 Click **Submit** to generate the statement.

Click **Back** to start a new search.

Here is an example of a statement generated from the Search by Symbol page.

Interactive Brokers
 The Professional's Gateway to the World's Markets

Search by Symbol Results for August 29, 2011 - October 06, 2011

INTERACTIVE BROKERS LLC, Two Fickwick Plaza, Greenwich, CT 06830

Search Criteria

Account(s)

Date(s) August 29, 2011 - October 06, 2011

Section(s) Positions

Symbol(s) ADM

Long Open Positions

[Expand All](#) [Contract All](#) [Add Scroll](#) [Remove Scroll](#)

Symbol	Open	Quantity	Mult	Cost Price	Cost Basis	Close Price	Value	Unrealized P/L	% of NAV	Code
Stocks										
USD										
ADM	-	100	1	32.530145	3,253.01	25.9100	2,591.00	-662.01	--	
ADM	2011-08-29, 16:20:00	100	1	32.530145	3,253.01	25.9100	2,591.00	-662.01		
Total in USD					3,253.01		2,591.00	-662.01		
Total Stocks in USD					3,253.01		2,591.00	-662.01		

Statement View Audit

The Statement View Audit page lets Compliance Officers look at all employee statement views for a single month. The Compliance Officer selects a date (month and year), then can view all statements pending review, all statements that have been reviewed, and all statements not available for review for the specified month.

To use the Statement View Audit page

- 1 Click **Report Management** in the left pane, then click *Statement View Audit*.



- 2 Select a month and year from the Date drop-down, then click **View**. The following screen appears:



- 3 There are three views:
 - Statements Pending Review - A list of statements pending review, including a link to view each statement.
 - Statements Reviewed - A list of statements reviewed, including who reviewed each statement and the date on which they reviewed it.
 - Statements Not Available - A list of statements not available to be viewed.
- 4 Click the arrow to expand a view. A sample of each view is shown below.

Statements Pending Review

Statements Pending Review						
Name	Account	Broker	Relationship	Reference ID	Action	
Account (11111111)	(11111111)	Fidelity	Other	(11111111)	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	
Account (11111111)	(11111111)	Fidelity	Employee	--	View Statement	

Statements Reviewed

Statements Reviewed							
Name	Account	Broker	Relationship	Reference ID	Reviewed By	Review date	
Account (11111111)	(11111111)	Fidelity	Spouse	(11111111)	Agent FN	Oct 25, 2011	
Account (11111111)	(11111111)	Fidelity	Employee	--	Agent FN	Oct 21, 2011	
Account (11111111)	(11111111)	Fidelity	Employee	--	Agent FN	Oct 21, 2011	
Applicant (111111)	(111111)	Fidelity	Spouse	(1111)	Agent FN	Oct 21, 2011	

Statements Not Available

Statements Not Available						
Name	Account	Broker	Relationship	Reference ID	Remarks	
--	(111111)	Fidelity	Employee	--	Account Pending	
Account (11111111)	(11111111)	Fidelity	Spouse	(11111111)	Last Available Dec 2010	
Account (11111111)	(11111111)	Fidelity	Friend	(11111111)	Last Available Dec 2010	
Account (11111111)	(11111111)	Fidelity	Family Member	(11111111)	Last Available Dec 2010	
Account (11111111)	(11111111)	Fidelity	Other	(11111111)	Last Available Dec 2010	
Account (11111111)	(11111111)	Fidelity	Spouse	(11111111)	Last Available Apr 2011	
Account (11111111)	(11111111)	Fidelity	Employee	(111111)	Last Available Apr 2011	
Account (11111111)	(11111111)	Fidelity	Employee	--	Last Available Apr 2011	
Account (11111111)	(11111111)	Fidelity	Employee	--	Last Available Apr 2011	

IB Activity Statements

Activity Statements include information about your linked employees' IB account activity, which can be generated on a daily, monthly, and yearly basis for all of your employees' IB accounts. Information included in an Activity Statement is presented in expandable and collapsible sections with click-down detail, and you can create customized statement templates to include or exclude individual sections.

Activity Statements in EmployeeTrack Management are identical to those in Account Management. The only difference is that in EmployeeTrack Management, only active employee IB accounts appear in the Accounts list.

The screenshot shows two main sections of a web interface for generating IB Activity Statements.

View Statements: This section is titled "View Statements" and includes the instruction "To view an activity statement, make selections below then click **View**." It features five columns: "Available Statements" (with a dropdown menu set to "Full Default"), "Date(s)" (with "Period:" set to "Daily" and "Date:" set to "February 07, 2011"), "Account(s)" (with a list of account numbers), "Format" (set to "HTML/WEB"), and "Language" (set to "English"). A "View" button with a green arrow is located at the bottom.

Customize Statements: This section is titled "Customize Statements" with a link to "explain". It includes the instruction "To create and edit your own customized statements, make selections below then click **Save**." It has a "Create New/Select to Edit" dropdown set to "Create New" and a "Statement Name" input field. Below this is a "Sections:" area with a grid of checkboxes for various statement components, including: All, Account Information, Net Asset Value (NAV) Summary, Net Asset Value(NAV) Value Time Series, MTM Performance Summary, Realized & Unrealized P/L Summary, Outgoing Trade Transfers, Unsettled Transfers, Unbooked Trades, Adjustments, Option Cash Settlements, IBG Notes, Client Fees, Other Fees, Deposits and Withdrawals, Interest Accruals, Change in Dividend Accruals, and Open Dividend Accruals.

There are two default statements: Full Default and Simple Default. Select *Full Default* to include ALL sections of an activity statement; this is the only statement that supports the Yearly period. Select *Simple Default* to specify fields to use and exclude some sections that you do not want to use.

Customized Statements

IB lets you create and save customized statements that enable you to exclude unnecessary information from activity statements. When you create a customized statement, you select only those sections that you want to include in your activity statement.

To create a customized activity statements

- 1 Click **Report Management** in the left pane, then click *IB Activity Statements*.
- 2 Scroll down to the *Customize Statements* section of the page.

Customize Statements ([explain](#))

To create and edit your own customized statements, make selections below then click **Save**.

Create New/
Select to Edit: Statement Name:

Sections:

<input type="checkbox"/> All	<input type="checkbox"/> Outgoing Trade Transfers	<input type="checkbox"/> Client Fees
<input type="checkbox"/> Account Information	<input type="checkbox"/> Unsettled Transfers	<input type="checkbox"/> Other Fees
<input type="checkbox"/> Net Asset Value (NAV) Summary	<input type="checkbox"/> Unbooked Trades	<input type="checkbox"/> Deposits and Withdrawals
<input type="checkbox"/> Net Asset Value(NAV) Value Time Series	<input type="checkbox"/> Adjustments	<input type="checkbox"/> Interest Accruals
<input type="checkbox"/> MTM Performance Summary	<input type="checkbox"/> Option Cash Settlements	<input type="checkbox"/> Change in Dividend Accruals
<input type="checkbox"/> Realized & Unrealized P/L Summary	<input type="checkbox"/> IBG Notes	<input type="checkbox"/> Open Dividend Accruals
<input type="checkbox"/> Month & Year to Date Summary	<input type="checkbox"/> Withholding Tax	<input type="checkbox"/> Broker Interest
<input type="checkbox"/> Cash Report	<input type="checkbox"/> Transaction Tax	<input type="checkbox"/> Bond Interest
<input type="checkbox"/> Change in Position Value	<input type="checkbox"/> Corporate Actions	<input type="checkbox"/> CFD Charges
<input type="checkbox"/> Positions	<input type="checkbox"/> Transfers (ACAT, Internal)	<input type="checkbox"/> Soft Payments
<input type="checkbox"/> Trades	<input type="checkbox"/> Dividends	<input type="checkbox"/> Security Information
<input type="checkbox"/> Incoming Trade Transfers	<input type="checkbox"/> Payment in Lieu of Dividends	<input type="checkbox"/> Direct Borrows/Loans
<input type="checkbox"/> Daily Conversion Rates	<input type="checkbox"/> Transaction Codes	

Optional Sections:

- MTM P/L on Prior Period Positions
- Statement of Funds
- Unbundled Commission Details (available in dailies only)
- Options Distribution by Expiration

Section Configurations:

- Hide details for Positions, Trades and Client Fees sections
- Group buys and sells per symbol in Trades section
- Combine by underlying in Month & Year to Date Summary section
- Display Account Alias in place of Account ID

Profit and Loss: Enable Wash Sales

Statement Type:

- 3 Select *Create New*, then enter a name for the template. You can also edit an existing template and save it under a new name.
- 4 Select the check box next to each section you want to include in an activity statement. Select *ALL* to include all sections in your statement template.

- 5 Select the check box next to each section that you want to include them in your statement.
- 6 Select the check box next each optional section that you want to include in your statement.
- 7 Select the check box next each item in the Section Configurations section that you want to include in your statement.
- 8 In the Profit and Loss list, select the profit and loss format for the statement template. Select Realized & Unrealized and MTM, Realized & Unrealized only, MTM only, or None.
- 9 If you are an IBExecutions Services customer, in the Statement Type list, select either *Activity Statement* or *Execution Settlement*. Execution Settlements show activity by settlement date instead of trade date. If you select *Execution Settlement*, filter the settlement by broker name or broker account using the fields provided.

If you are an IBPrime Services customer, in the Statement Type list, select *Activity Statement*, *Prime Settlement* or *Projected Prime Settlement*. Prime Settlements show activity by settlement date; Projected Prime Settlements show activity by projected settlement date.

If you want to view your statements on your mobile device, in the Statement Type list, select *Mobile Summary*. The Mobile Summary is a scaled-down statement designed to be viewed on a mobile device.

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

Click **Cancel** if you do not want to save your template.

Selecting Profit and Loss

Profit and loss across all transactions, positions and asset types is calculated under First In, First Out (FIFO) and Mark-to-Market (MTM) methodologies by default.

- FIFO accounting is used for stocks, security options, single stock futures and FOREX.
- MTM accounting is used for futures and futures options.

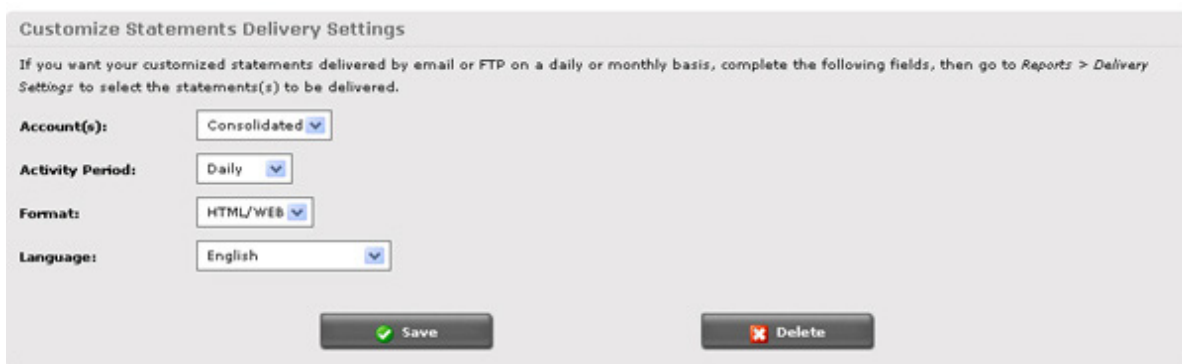
With the FIFO method, a closing transaction is matched with the cost basis of the earliest transaction in the position to determine realized profit or loss (the difference between your entry execution cost and exit execution cost). MTM shows how much profit or loss was made in current trading. The MTM calculations assume all open positions and transactions are settled at the end of the day and new positions are opened the next day.

Settings for Delivered Statements

You can specify additional information for customized activity statements that you want to be sent via email at the bottom of the Activity Statements page. Enter the following information for statements that will be delivered via email:

- Account: Select account ID or *CONSOLIDATED*.
- Activity Period: Select *Daily* or *Monthly*.
- Format: Select *HTML/WEB* or *PDF*.

Language: Select your language.



The screenshot shows a web form titled "Customize Statements Delivery Settings". Below the title is a paragraph of instructions: "If you want your customized statements delivered by email or FTP on a daily or monthly basis, complete the following fields, then go to Reports > Delivery Settings to select the statements(s) to be delivered." The form contains four rows of settings, each with a label and a dropdown menu:

- Account(s):** Consolidated
- Activity Period:** Daily
- Format:** HTML/WEB
- Language:** English

At the bottom of the form are two buttons: a "Save" button with a green checkmark icon and a "Delete" button with a red X icon.

You select customized activity statements for delivery on the [IB Delivery Settings](#) page.

For more information...

- [Statements and Reports](#)

Viewing an Activity Statement

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

- Compliance Officers can select one or more accounts from the Account(s) list or *Consolidated* to view all employee account activity in daily statements and statements with a custom date range.
- Monthly statements are generally available by five business days after the close of a month.
- Annual statements are available by January 31 under normal circumstances.

Activity Statement Archive Policy

We provide access to activity statements as follows:

- Daily account statements are available for the entire previous calendar year and from the start of the current calendar year. That means that if it is December 31st, you can view daily activity statements for the entire year up to that date AND for the entire previous calendar year, essentially giving you up to two years of data.
- Monthly account statements are available for the two prior years.
- Annual account statements are available for the three prior years.
- You can obtain account statements older than this for a processing fee of \$100 for the first statement requested, plus \$25 for additional statements requested at the same time.

To view an activity statement from Account Management

- 1 Click **Report Management** in the left pane, then click *IB Activity Statements*.
 - To include activity from accounts you have recently closed, select the *Include Closed Accounts* check box.

The screenshot shows the 'View Statements' form. At the top, it says 'Activity Statements (explain)'. Below that, the 'View Statements' section contains the instruction: 'To view an activity statement, make selections below then click View.' The form has five columns: 'Available Statements', 'Date(s)', 'Account(s)', 'Format', and 'Language'. Under 'Available Statements', there is a dropdown menu set to 'Full Default'. Under 'Date(s)', there are two fields: 'Period' set to 'Daily' and 'Date' set to 'February 07, 2011'. Under 'Account(s)', there is a list box with several account numbers. Under 'Format', there is a dropdown menu set to 'HTML/WEB'. Under 'Language', there is a dropdown menu set to 'English'. At the bottom center, there is a 'View' button with a green arrow.

- 2 In the View Statements section make the following selections:

- In the Template list, select the statement template you want to use for the statement. Select *Full Default* to include all sections in the statement, *Simple Default* to view a simpler monthly or daily view that excludes some sections from the statement, or select one of your own customized statement templates.
 - In the Date(s) field, select the period (Daily, Custom Date Range, Monthly or Calendar Year). For Custom Date Range, select the From and To dates, which define the period covered by the statement. For Daily statements, you can select a specific date or the last business day. For Monthly statements, you can select the last month or a specific month. For Calendar Year (annual) statements, you can select a specific year.
 - In the Account(s) field, select the account to report on, or select *Consolidated* to include all accounts in daily statements and statements with a custom date range. If you chose to include closed accounts, those accounts appear in the list.
 - In the Format field, select either *HTML/WEB* or *PDF*, depending on how you want to view the statement.
- 3** Click **View** to generate the activity statement. If you selected *PDF* as the Format, you will be prompted to open the generated report or save it to your computer.

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

The following figures show two views of a typical HTML/WEB-based activity statement. The first figure shows the statement with all sections collapsed, while the second shows the statement with some sections expanded. Note the links in the upper right corner of the statement; these links let you expand all sections in the statement, collapse all sections in the statement, and print the statement.

Interactive Brokers
The Professional's Gateway to the World's Markets

Activity Statement for October 06, 2011

INTERACTIVE BROKERS LLC, Two Pickwick Plaza, Greenwich, CT 06830

Expand All | Contract All | Print

- Account Information
- Net Asset Value (NAV) in Base Currency
- Mark-to-Market Performance Summary in Base
- Realized & Unrealized Performance Summary in Base
- Month & Year to Date Performance Summary in Base
- Cash Report
- Change in Position Value
- Long Open Positions
- Short Open Positions
- Security Information
- Base Currency Exchange Rate
- Codes
- Notes/Legal Notes

Notes

1. Stock transactions settle on the trade date plus three days and securities options settle on the trade date plus one day. Ending settled cash reflects the cash which has actually settled.
2. Initial and maintenance margin requirements are available within the Account Window of the Trader Workstation.
3. Interactive Brokers LLC receives compensation from fund companies in connection with the purchase and holding of mutual fund shares by customers of Interactive Brokers LLC. Such compensation includes, but is not limited to, Rule 12b-1 fees which are paid out of the funds assets. The source and amount of any remuneration received by Interactive Brokers LLC in connection with a transaction will be furnished upon written request of the customer.

Interactive Brokers
The Professional's Gateway to the World's Markets

Activity Statement for October 06, 2011

INTERACTIVE BROKERS LLC, Two Pickwick Plaza, Greenwich, CT 06830

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

Account Information

Name: [REDACTED]
 Account: [REDACTED]
 Account Type: Individual
 Customer Type: IRA-Roth New
 Account Capabilities: Cash
 Trading Permissions: Stocks, Options, Warrants, Forex, Futures, Futures Options
 Base Currency: USD

Net Asset Value (NAV) in Base Currency

	Current Period			Prior Period	N Change
	Total	Long	Short	Total	
Cash	8,243.45	8,243.45	0.00	8,243.45	0.00%
Stock	4,230.00	4,230.00	0.00	4,251.00	0.52%
Options	-328.43	0.00	-328.43	-330.07	15.80%
Total	12,205.02	12,533.45	-328.43	12,164.38	0.33%

Mark-to-Market Performance Summary in Base

Symbol	Prior Quantity	Quantity	Prior Price	Price	Transaction	Prior Open	Mark-to-Market P/L			Total
							Corp Action	Commissions	Dividends	
Stocks										
ADM	100	100	25.1700	25.9100	0.00	74.00	0.00	0.00	0.00	74.00
HCSG	100	100	17.9400	16.9900	0.00	-35.00	0.00	0.00	0.00	-35.00
Total (Stocks)					0.00	39.00	0.00	0.00	0.00	39.00
Equity and Index Options										
ADM 17DEC11 34 @ C	-1	-1	0.064947	0.063663	0.00	0.11	0.00	0.00	0.00	0.11
CAG 23JAN12 22.5 P	-1	-1	0.941232	0.63665	0.00	24.45	0.00	0.00	0.00	24.45
MMC 22OCT11 20 @ P	-2	-2	1.447361	1.261969	0.00	37.08	0.00	0.00	0.00	37.08
Total (Equity and Index Options)					0.00	61.64	0.00	0.00	0.00	61.64
Total (All Asset Classes)					0.00	100.64	0.00	0.00	0.00	100.64
Total P/L for Statement Period										100.64
Time Weighted Rate of Return										0.33%

[Detailed & Intraday Performance Summary in Base](#)

For more information...

- [Statements and Reports](#)

IB Activity Flex

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 or Trade Confirmation report, the time period you want the report to cover, the order in which you want the fields to display, and the display format, TEXT or XML, in which you want to view your report.

Activity Flex Queries in EmployeeTrack Management are identical to those in Account Management.

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


You can also add default Flex queries for Trades and Positions, then use those queries as the basis for your own by editing them.

To use activity Flex queries

- 1 Click **Report Management** in the left pane, then click *IB Activity Flex*. Any Activity Flex Queries that you previously created are listed on the page.

Activity Flex Queries ([explain](#))

Create a new Activity Flex Query, Default Trades Query or Default Positions Query by clicking the appropriate button. Saved Flex Queries appear in the list of Saved Flex Queries below. ([explain](#))



Saved Flex Queries

You have the following saved Flex Queries. Click the appropriate button to run, edit or delete a saved Flex Query. Click one of the buttons above to create a new Flex Query.

ID	Name	Run	Edit	Delete
25260	AllOptionTest			
25255	AuditLog Tester			
25365	DefaultPositions			
25364	DefaultTrades			
24916	Test			
25257	Test 2010			
25270	Test All			
25262	Test4 2010			
25263	Test5 2010			

Perform one of the following tasks:

- To run an existing query, click **Run** for the query.
- To delete an existing query, click **Delete**.
- To add the Default Trades query, click **Add Default Trades Query**.
To add the Default Positions query, click **Add Default Positions Query**.

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

- To create a new query, click **Create a New Query**, complete the form as required to select the fields to include in the report, and click **Save Query**.
- To edit an existing query, click **Edit** for the query, then make your changes to the query and click **Save Query**.

2 Set up a new query as described below:

In the General Configuration section, enter a name for the query, select an output format (XML or Text; if you select Text, enter additional information about the text separator to be used in the text file), select an employee account (or select *ALL* for all accounts or *CONSOLIDATED*), and choose whether or not to include an Account Alias in place of Account ID.

General Configuration

Query Name:

Output Format: XML

Accounts:

Account Alias: Display Account Alias in Place of Account ID

Profit and Loss: Enable Wash Sales

Include Currency Rates: No

In the Date Configuration section, select the period to be covered by the query or enter a custom date range.

Date Configuration

Period:

or

From Date:

To Date:

Select fields to include in the report in each section by highlighting the fields in the Fields Available list, then using the green right arrow to move the fields to the Fields Included list. Use the green left arrow to move fields from the Fields Included list (and exclude the fields from the report).

Trades

You may also select the level of detail for Trades to be Orders, Executions or both. The default level of detail is Executions.

Fields Available	Fields Included
<input type="button" value="Report Date"/> <input type="button" value="Trade Date"/> <input type="button" value="Trade Time"/> <input type="button" value="Settle Date Target"/> <input type="button" value="Transaction Type"/> <input type="button" value="Exclusion"/>	<input type="button" value="Account ID"/> <input type="button" value="Currency"/> <input type="button" value="Asset Class"/> <input type="button" value="Symbol"/> <input type="button" value="Description"/>

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

For more information...

- [Statements and Reports - FlexTool](#)

IB Trade Confirmations

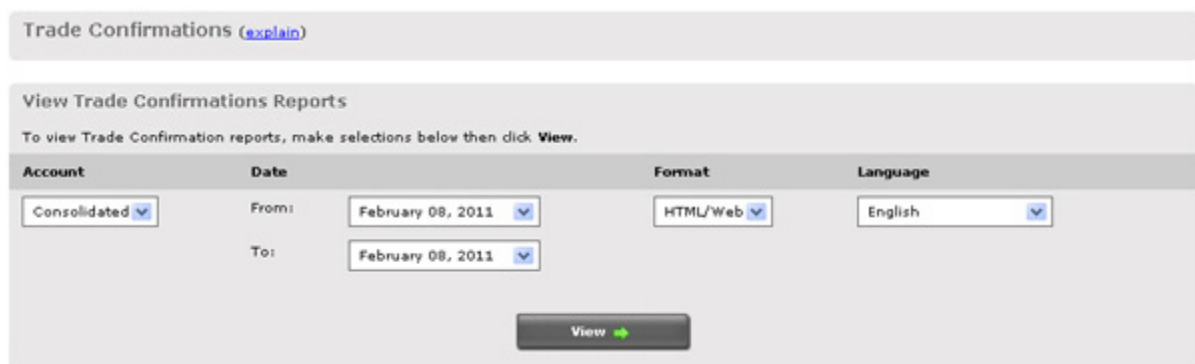
Trade confirmations let you generate a report that shows real-time trade confirmations for all of your linked employees' IB accounts, including executions from the start of the year up through the most recent trades. On the report, trade confirmations are listed separately by asset class.

Trade Confirmations in EmployeeTrack Management are identical to those in Account Management.

Trade confirmations are available for the entire previous calendar year and from the start of the current calendar year. That means that if it is December 31st, you can view trade confirmations for the entire year up to that date AND for the entire previous calendar year, essentially giving you up to two years of data.

To generate a trade confirmation report

- 1 Click **Report Management** in the left pane, then click *IB Trade Confirmations*.



The screenshot shows the 'Trade Confirmations' interface. At the top, there is a header 'Trade Confirmations (explain)'. Below it is a section titled 'View Trade Confirmations Reports' with the instruction 'To view Trade Confirmation reports, make selections below then click View.' The form contains four columns: 'Account', 'Date', 'Format', and 'Language'. Under 'Account', there is a dropdown menu set to 'Consolidated'. Under 'Date', there are 'From:' and 'To:' fields, both set to 'February 08, 2011'. Under 'Format', there is a dropdown menu set to 'HTML/Web'. Under 'Language', there is a dropdown menu set to 'English'. At the bottom center of the form is a 'View' button with a green arrow icon.

- 2 On the Trade Confirmations screen, make the following selections:
 - In the Account ID list, select the account for which you want to generate a trade confirmation report, or select *Consolidated* to view trade confirmations for all employee accounts.
 - In the Date field, select the date for the report.
 - In the Format field, select either *HTML/WEB* or *PDF*, depending on how you want to view the statement.
- 3 Click **View Trade Confirmations** to generate the report. If you selected *PDF* as the Format, you will be prompted to open the generated report or save it to your computer.

For more information...

- [Trade Confirms](#)

IB Trade Confirms Flex

The Trade Confirms Flex page lets you create multiple, customized report templates for trade confirmations. A trade confirmation Flex query lets you specify the exact fields you want to view in your report, the time period you want the report to cover, the order in which you want the fields to appear in the report, and the display format for the report. You can create multiple Flex queries with different fields for each query. All of your Flex queries are stored in Account Management.

Trade Confirms Flex Queries in EmployeeTrack Management are identical to those in Account Management.

To use Trade Confirm Flex queries

- 1 Click **Report Management** in the left pane, then click *IB Trade Confirms Flex*.

Any Trade Confirm Flex Queries that you previously created are listed on the page.



ID	Name	Run	Edit	Delete
25261	AllOptionTestTC			
25254	AuditTrailTest			
25264	Test Activity Statements			
25265	Test Flex Template			
24917	Test2			
25258	Test2 2010			
25259	Test3 2010			

- 2 Perform one of the following tasks:
 - To run an existing query, click **Run** for the query.
 - To delete an existing query, click **Delete**.
 - To create a new query, click **Create a New Query**, complete the form as required to select the fields to include in the report, and click **Save Query**.
 - To edit an existing query, click **Edit** for the query, then make your changes to the query and click **Save Query**.
- 3 Set up a new query as described below:

In the General Configuration section, enter a name for the query, select an output format (XML or Text; if you select Text, enter additional information about the text separator to be used in the text file), select an employee account (or select *ALL* for all accounts or *CONSOLIDATED*), and choose whether or not to include an Account Alias in place of Account ID.

The screenshot shows the 'General Configuration' section with the following fields and options:

- Query Name:** A text input field.
- Output Format:** A dropdown menu with 'XML' selected.
- Accounts:** A list box with 'All' and 'Consolidated' visible.
- Account Alias:** A checkbox labeled 'Display Account Alias in Place of Account ID' which is unchecked.
- Profit and Loss:** A checkbox labeled 'Enable Wash Sales' which is unchecked.
- Include Currency Rates:** A dropdown menu with 'No' selected.

In the Date Configuration section, select the period to be covered by the query or enter a custom date range.

The screenshot shows the 'Date Configuration' section with the following fields:

- Period:** A dropdown menu with 'Select One' selected.
- or**
- From Date:** A dropdown menu with 'Select One' selected.
- To Date:** A dropdown menu with 'Select One' selected.

Select fields to include in the report in each section by highlighting the fields in the Fields Available list, then using the green right arrow to move the fields to the Fields Included list. Use the green left arrow to move fields from the Fields Included list (and exclude the fields from the report).

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

For more information...

- [Statements and Reports - FlexTool](#)

IB Delivery Settings

The Delivery Settings page lets you set up email delivery for daily and/or monthly Activity Statements and any Activity or Trade Confirmation Flex queries you have created. You will only see Activity Statement Flex and/or Trade Confirmation Flex sections of the page if you have created Flex queries.

The Delivery Settings page also gives you access to the Flex Webservice, which lets you access your pre-configured flex queries via HTTPS protocol without logging into Account Management. You can display either page (Delivery Settings or Flex Webservice) by clicking the *Activity Statements* or *Flex Webservice* links at the top of the page.

To enter delivery settings for activity statements, trade confirms and Flex queries

- 1 Click **Report Management** in the left pane, then click *IB Delivery Settings*.

All available activity statements and activity flex queries are listed on the page.

Note that if you have not created any flex queries, the Activity Statements Flex and/or Trade Confirmation Flex sections do not appear.

Daily Activity Statement Delivery

If you have any saved customized Activity Statements, select your preferred delivery method and enable delivery for each statement below. If you want your statements delivered via FTP, you must request it before that option is available. You can also encrypt your statements, but you must first request encryption and provide IB with a public key to enable the option below.

Delivery Method Email FTP

Encryption

Statement Name	Enable Delivery
French	<input type="checkbox"/>
ghsk	<input checked="" type="checkbox"/>
wrfvfrwr	<input checked="" type="checkbox"/>

- 2 In the Daily Activity Templates Delivery section:

- Select either **Email** or **FTP** as the delivery mode.

Click the Encryption check box to encrypt your statements. You must request FTP delivery and Encryption to enable those options. Contact your IB Sales Representative to make these requests.

- Select which statements you want to receive and how you want to receive them. Click the **Email Statement** check box for each statement(s) that you would like to receive in an email. Click the **Notify in Message Center** check box for each statement you want to receive in the Customer Service Message Center.

Note that this section only appears if you have specified delivery settings in the template on the Activity Statements page.

Activity Flex Query Delivery

If you have any saved Activity Flex Queries, select your preferred delivery method and enable delivery for each Flex Query below. If you want your Flex Queries delivered via FTP, you must request it before that option is available. You can also encrypt your Flex Queries, but you must first request encryption and provide IB with a public key to enable the option below.

Delivery Method Email FTP

Encryption

Flex Query Name	Enable Delivery
AllOptionTest	<input type="checkbox"/>
AuditLog Tester	<input checked="" type="checkbox"/>
DefaultPositions	<input type="checkbox"/>
DefaultTrades	<input type="checkbox"/>
Test	<input checked="" type="checkbox"/>
Test 2010	<input type="checkbox"/>
Test All	<input type="checkbox"/>
Test4 2010	<input type="checkbox"/>
Test5 2010	<input type="checkbox"/>

Trade Confirmation Flex Query Delivery

If you have any saved customized Trade Confirmation Flex Queries, select your preferred delivery method and enable delivery for each Flex Query below. If you want your Flex Queries delivered via FTP, you must request it before that option is available. You can also encrypt your Flex Queries, but you must first request encryption and provide IB with a public key to enable the option below.

Delivery Method Email FTP

Encryption

Flex Query Name	Enable Delivery
AllOptionTestTC	<input type="checkbox"/>
AuditTrailTest	<input type="checkbox"/>
Test Activity Statements	<input type="checkbox"/>
Test Flex Template	<input type="checkbox"/>
Test2	<input type="checkbox"/>
Test2 2010	<input type="checkbox"/>
Test3 2010	<input type="checkbox"/>

3 In the Activity Flex Delivery and Trade Confirmation Flex Delivery sections:

- Select either **Email** or **FTP** as the delivery mode.

If you require FTP delivery of your Flex queries, contact your IB Sales Representative to set up this process.

- Activity and Trade Confirmations Flex query output can be encrypted. The **Encryption** check box is grayed out and unavailable by default. To enable this option and encrypt your Activity and/or Trade Confirmations Flex query output:
 - Request encryption of Activity and/or Trade Confirmations Flex delivery by contacting your IB Sales Representative.
 - You will be given instructions for providing IB with your PGP public key.
 - Wait for notification from IB that encryption has been enabled.
 - On the Delivery Settings page in Account Management, select the **Encryption** check box for Activity Flex Delivery, Trade Confirmations Delivery, or both.

- Select which statements you want to receive and how you want to receive them. Click the **Email Statement** check box for each statement(s) that you would like to receive in an email. Click the **Notify in Message Center** check box for each statement you want to receive in the Customer Service Message Center.

The screenshot shows two sections of a web form. The first section, titled "Employee Statement Notifications", contains a checked checkbox and the text "Send notification when an employee statement is available (daily only if activity, monthly always)". The second section, titled "Email Address On Record", shows the email address "tims@mail" and a note: "Statements are sent to the email address of record for each user, and can be changed on the [Email Address](#) page." At the bottom of the second section is a "Submit" button with a green arrow icon.

- 4 In the Employee Statement Notification section, click the check box if you want to be notified when an employee statement is available.
- 5 Click **Submit**.

Registration is immediate, and you will receive daily statements beginning the next business day, and monthly statements within the first week following the end of the month.

For more information...

- [Statements and Reports- Delivery](#)
- [Using the Flex Web Service](#)

Using the Flex Web Service

The Flex Web Service lets you access your pre-configured flex queries via HTTPS protocol without logging into Account Management. This feature lets you write automated client software in your preferred language, which can request previously defined Flex queries in real-time.

To use the Flex Web Service

- 1 Click **Report Management** in the left pane, then click *IB Delivery Settings*.
- 2 Click the *Flex Webservice* link.
- 3 Activate the Flex Web Service by clicking the *Click Here to Activate* link.

The page refreshes, indicating a status of *ACTIVE* for the Flex Web Service, and lets you generate a confirmation number, which you will need to initiate Flex requests and retrieve Flex reports.

The screenshot displays the 'Flex Web Service' configuration page. At the top, there is a breadcrumb trail: 'Delivery Settings (explain) > Activity Statements | Flex Webservice'. Below this, the 'Flex Web Service Status' is shown as 'ACTIVE', with a link to 'Click here to Deactivate'. The 'Current Token Details' section shows that the current token has expired, with the message 'Token Expired. Please generate new token.' and an 'Active For Period' of 'Mon Oct 25 13:17:50 EDT 2010 - Mon Oct 25 19:17:50 EDT 2010'. The 'Valid For IP Address' field is currently empty. The 'Generate New Token' section contains a dropdown menu for 'Should Expire After' set to '6 Hrs', an input field for 'Valid For IP Address', and a 'Generate New Token' button. A note below the IP field states '(leave blank for no IP based restriction)'.

- 4 Generate a new token:
 - a In the Should Expire After list, select the amount of time before the token expires. The token is valid for a 6 hour period by default.
 - b In the Valid For IP Address field, enter an IP address to restrict the token to that IP address. If you leave this field blank, there will be no IP address restrictions.
 - c Click **Generate New Token (Invalidate Current Token)**.

The page refreshes, updating the Current Token Details section with information about your newly-generated token. When you generate a new token, you invalidate the current token.

5 Initiate an automated Flex Web Service request:

- a**
- Make sure you have the following information:

Your current token (displayed in the Current Token Details section of the page)
The Flex Query ID generated when you created the Flex query.

- b**
- Type the following URL in your browser's Address field:

`https://www.interactivebrokers.com/Universal/servlet/FlexStatementservice.SendRequest?t=<TOKEN>&q=<QUERY_ID>`

Where <TOKEN> is your current token and <QUERY_ID> is the Flex Query ID.

You will receive an XML response from IB containing the following information:

Reference Code - If the request was successful, the XML response will contain a numeric reference code. This code will be used to retrieve the generated Flex query. If the request was unsuccessful you will get back "INVALID REQUEST" (without the quoted) as the code.

Response URL - This is the URL to be used to retrieve the Flex report.

Here is a sample XML response:

```
<FlexStatementResponse timestamp="27 October, 2005 02:00 PM EDT">
<code>12345</code>
<url>https://www.interactivebrokers.com/Universal/servlet/FlexStatementService.
GetStatement </url>
</FlexStatementResponse>
```

6 Retrieve the Flex data:

- a**
- Be sure that you have your current token number, and the reference code you received as part of the response to your initial request.
-
- b**
- Type the following URL in your browser's Address field:

`https://www.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement?q=<REFERENCE_CODE>&t=<TOKEN>&v=<SERVICE_VERSION>`

Where:

<REFERENCE_CODE> is the code you received as part of the response when you placed the request

<TOKEN> is your current token and

<SERVICE_VERSION> is set to **2** for activity Flex or trade confirmation Flex, or **1** or left blank for legacy Flex.

You will receive the Flex data as the response if the request was successful. Otherwise, you will receive a XML based response informing you that the request was invalid.

User Management

This chapter describes the User Management functions in EmployeeTrack Management. It includes the following topics:

- [Change Password](#)
- [Change Email Address](#)

Change Password

As Compliance Officer, you can change your EmployeeTrack password any time using the Password Change page in EmployeeTrack Management.

This page is identical to the Change Password page in Account Management.

Change Password

You may change your own password at any time by following the steps below.

- Enter your user name, current password, new password. You will need to enter the new password twice in order to be certain that you have entered it correctly.
- Click **Submit**.
- You will promptly be sent an e-mail that contains a coded "token". Enter the token in the next page.
- The password change will be effective immediately.

User Name:

Current Password:

New Password:
Must include one alphabetic and one numeric character.
Username Prefix and Password are both case-sensitive.
Must be different from current password or any previous passwords.

Confirm Password:

To change your EmployeeTrack password

- 1 Click **User Management** in the left pane, then click *Password*.
- 2 Click **Request Confirm #** to receive a confirmation number. You will need this confirmation number to complete your password change.
- 3 Type your current password in the field provided.
- 4 Type a new password in the field provided, then type it again in the Re-enter New Password field. The password must be six to eight characters long, and must contain at least one number and no spaces.
- 5 Type the confirmation number you received in the field provided, then click **Submit**.

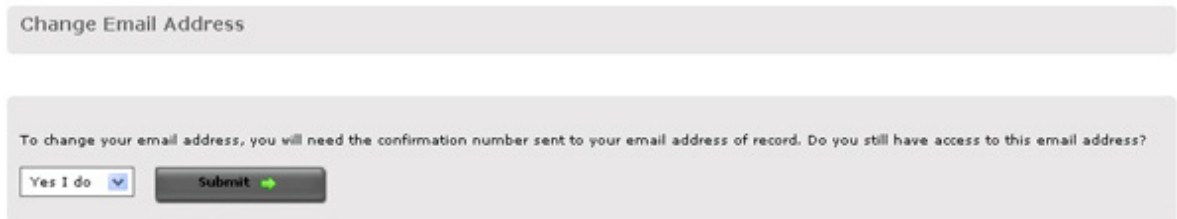
The password change is effective immediately.

Change Email Address

As Compliance Officer, you can change your EmployeeTrack email address on the E-mail Address Change page in EmployeeTrack Management. This page is identical to the Change Email Address page in Account Management.

To change your email address

- 1 Click **User Management** in the left pane, then click *Email Address*.



Change Email Address

To change your email address, you will need the confirmation number sent to your email address of record. Do you still have access to this email address?

Yes I do No I do not

Submit

- 2 To change your email address, IB must first send a secure confirmation number to your existing email address of record.

If you still have access to this email address, select *Yes I do* from the list, then click **Submit**.

If you no longer have access to this email address, select *No I do not* from the list, then click **Submit**.

- 3 If you selected *Yes I do* in the previous step, IB sends the confirmation number to your existing email address, then displays the following page.



E-mail Address Change

IB has just sent a message to your OLD e-mail address. Please find this message and the coded token that it contains. Please enter your username, password and new e-mail address, then cut-and-paste the token into the field below and click **Submit**.

You will then be asked to complete one more step to confirm your e-mail address change.

Username:

Password:

New e-mail address:

Confirm New e-mail:

Token:

Submit

If you answered *No I do not* in the previous step, you are prompted to enter your current password and your new email address.

- 4 Type your password and your new email address in the fields provided, then re-type your new email address and enter the confirmation number that IB sent to you.
- 5 Click **Submit**.

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