

Getting Started Guide

IB Omnibus Broker



Omnibus Brokers Getting Started Guide

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Omnibus Brokers Getting Started Guide

Getting Started as an IB Omnibus Broker

This **Getting Started** guide provides a comprehensive collection of the tasks you will want to complete as a new IB Omnibus Broker. In the Omnibus Broker account structure, all trades are placed by you on behalf of your clients, who are unknown to Interactive Brokers, your clients do not trade directly. Each trade must be marked with the appropriate open or close indicator, to ensure that the trades are placed into the correct long or short account.

Please note that this guide is designed as a reference for new users, and comprises a very small subset of the information and trading features available to you through IB and the TWS. The guide assumes the following:

- » That your account has been approved and funded.
- » That you **are** the Broker master.
- » That a Proprietary Account for Broker-Dealers was automatically created for your own personal trading during the application process.

Must Consider:

- » Understand how to [log in to Account Management](#).
- » Activate your [Secure Login System](#) device.
- » Understand the process and timing of [account funding](#), including:
 - [Fund the Master Account and the Proprietary Account for Broker-Dealers](#)
 - [Fund Client Accounts](#)
- » Add and manage [client accounts](#):
- » [Trade](#):
 - [Subscribe to Market Data](#)
 - [Log in to TWS](#)

- [Add Market Data Lines](#)
 - [Broker Trading](#)
 - [Use Real-time Activity Monitoring](#)
- » Familiarize yourself with activity statements and other features of our [reporting system](#)

May Want to Consider:

- » [Open a Paper Trading Account](#)
- » [Broker White Branding](#)
- » [Configure OATS Settings for Client Accounts](#)
- » [Update Your Broker Information](#)
- » [Customer Activity Monitor](#)
- » [Administrators](#)

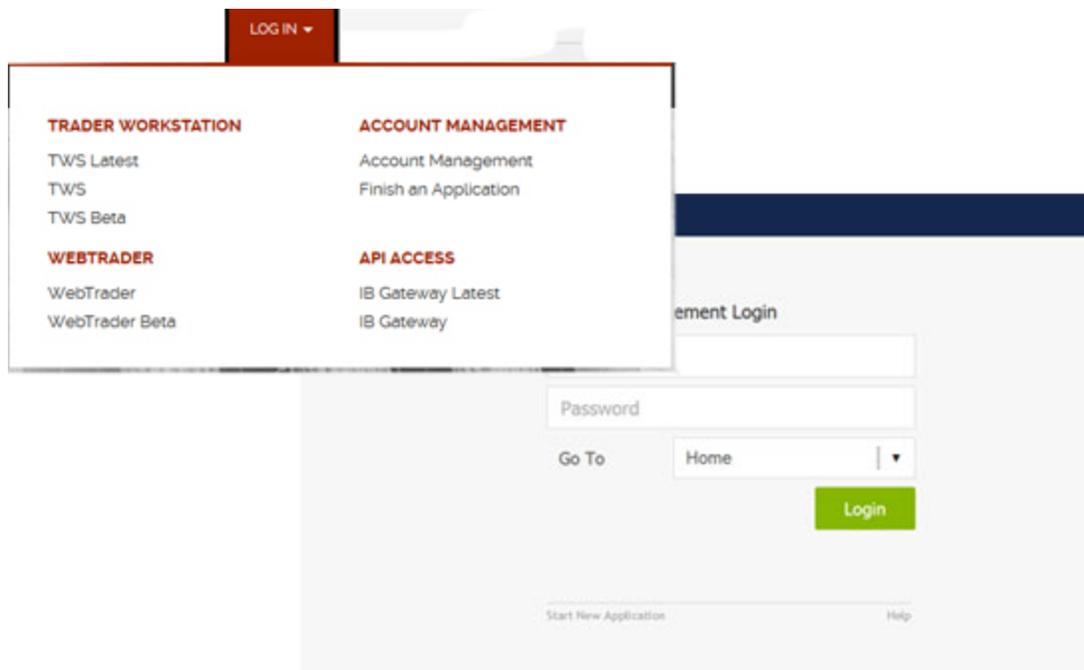
Log In to Account Management

There are two ways to access Account Management:

- » Log in from the IB website.
- » Access the home page from the Trader Workstation.

To log in to Account Management from the IB website

1. From IB's website, select **Account Management** from the LOG IN menu.



2. Enter your IB **Username** and **Password**, and click *Login*. The Account Management home page opens.

To access Account Management from Trader Workstation

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

For more information

- » [Failed Login Attempts](#)
- » [Automatic Logoff](#)

Failed Login Attempts

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

Automatic Logoff

If you are logged into Account Management and the system detects no activity for 30 minutes, 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 Account Management session.

Secure Login System

Once your account is approved and funded, IB will mail you a Secure Login Device at the address you specified in your application. You will need to use this device anytime you log in to TWS or Account Management. This added level of security helps to ensure that your IB account information remains secure. Please note that your device must be activated before you can use it.

You have 14 days from the day we mail you your IB 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

Trader Workstation 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 TWS.

If you use a smartphone, you can also choose to use IB Key via IBKR Mobile, our digital security device. For more information, see our [Users' Guide](#).

To activate your Secure Login Device

1. [Login to Account Management](#).
2. Click **Manage Account > Security > Secure Login System**.
3. Follow the instructions on the screen to activate your security device.

For more information

- » To learn more about our Secure Login System, including detailed instructions on how to use each type of security device, see the [Account Management Users' Guide](#).

Client Accounts

As an Omnibus broker, you do not add client accounts. When your account is opened, two client, or sub, accounts, will automatically be created; one holds long positions and the other holds short positions.

Funding

Funding is an important part of the application process.

Your broker account consists of multiple accounts at different levels, and can include multiple users who have permissions to manage one or multiple accounts. The Omnibus account consists of three separate accounts; The master account which is used to provide clients with customer service, marketing, a registration process, cashiering functions, trade entry, and individual client account record keeping and two client accounts, one to hold all long positions and the other to hold all short positions.

All funds are deposited to the master account.

Deposits can be made in a number of ways, including Wire, Check, ACATS, etc. In order to prevent any delays in an account's funding, it is important that you complete the funding information portion of the application. If we do not receive your client funds in 45 days from approval, the account will automatically be closed.

This section includes the following topics:

- » [Master and Proprietary Account for Broker-Dealers Funding](#)
- » [Client Account Funding](#)

For more information

- » For specific details on Deposit Notifications, Transfers, and other funding issues, see the [Funding Reference](#) on our website.

Broker Funding

In an Omnibus Broker account, all deposits should be made to the master account. Omnibus Broker accounts do not have a PAB trading account.

To deposit funds into your master account, log in to Account Management with your master account username and password, and then click **Funding > Fund Transfers** and initiate a deposit transaction.

For more information

- » For detailed instructions on depositing funds, see the [Depositing Funds](#) topic in the Funding chapter of the Account Management Users' Guide.
- » For specific details on Deposit Notifications, Transfers, and other funding issues, see the [Funding Reference](#) on our website.

Client Account Funding

Omnibus Brokers deposit all funds into the master account for trading. Use the **Funding > Fund Transfers** page in Account Management to transfer funds from the Master account to a client account.

Deposits can be made in a number of ways, including Wire, Check, ACATS, etc. In order to prevent any delays in an account's funding, it is important that you complete the funding information portion of the application. If we do not receive your client funds in 45 days from approval, the account will automatically be closed.

For more information

- » For detailed instructions on depositing funds, see the [Depositing Funds](#) topic in the Funding chapter of the Account Management Users' Guide.
- » For detailed instructions on depositing funds, see the [Funding Reference](#) on our website.

Trading

The Trader Workstation (TWS) is a robust platform which allows access to a variety of powerful trading tools. Information about all of the tools which IB offers can be found on the [Trader Workstation](#) page of the IB web site.

This section of the guide will focus on TWS basics and will show you how to:

- » [Subscribe to Market Data](#);
- » [Log in to TWS](#);
- » [Add Market Data Lines](#) (ticker lines) to the TWS trading window;
- » [Trade for the long or short account](#);
- » Monitor clients' trade activity, positions and P&L, and account balances using our [Real-time Activity Monitoring](#) tools.

For more information

- » For complete information on Trader Workstation, see the [Trader Workstation Users' Guide](#).

Subscribe to Market Data

Before you begin trading for your clients, you will want to subscribe to market data through Account Management. Although you can trade without data, IB does not recommend it.

To subscribe to Market Data

1. [Log in to Account Management](#).
2. Click **Manage Account > Trade Configuration > Market Data**.

Professional Market Data Subscriptions

We provide real-time streaming market data for the prices described below. Please check the market data subscriptions you wish to receive. All fees listed below are per month. You will have the ability to subscribe or unsubscribe to market data subscriptions after your account has been activated. To find the exact market data subscription, please click Market Data Assistant button: [Market Data Assistant](#)

Global North America Europe Asia-Pacific Quote Booster

	Countries	Price	
IB FOREX (IDEAL PRO)	FOREX	Free	<input checked="" type="checkbox"/>
IB FX	FOREX	Free	<input checked="" type="checkbox"/>
Index CFD - Level I	Global	Free	<input type="checkbox"/>

Be sure to make desired selections on all tabs above before you click Continue.

[Continue](#)

Your current market data subscriber status (Professional or Non-Professional) is displayed in the page title. Market data subscriptions are organized by region (North America, Europe, Asia-Pacific).

3. Check the subscriptions you would like to receive on each tab.



Note: Market data fees are automatically withdrawn from the Master account monthly, and data may be suspended if the master account does not have sufficient funds to cover market data expenses.

4. Click **Continue**.
5. Read and complete the necessary Subscriber Agreements, and then click **Continue**.

Most market data subscription requests and changes take effect immediately. Certain market data subscriptions, such as the subscription to the NYSE data, require approval from the exchange and therefore will not take effect immediately.

Log in to TWS

The first time you log in to TWS, you'll need to take a little time to populate your screens with data, understand the different allocation methods you can use, and finally practice creating orders.

We strongly recommend that you open a paper trading account as described in [Opening a Paper Trading Account](#) to familiarize yourself with Trader Workstation's many features without accidentally submitting a trade.

You can run TWS directly from your Internet browser (recommended), or download the software to your PC and launch it directly from your desktop as a standalone application. For more information, see the [Trader Workstation](#) page on the IB web site.

To download and log in to TWS for the first time (Windows)

1. From the LOG IN menu in the upper right corner of the IB website, select *TWS* or *TWS Latest* from the drop-down list.
2. Click the DOWNLOAD button on the TWS page that opens to install TWS on your computer and to view download/installation instructions.
3. When the installation is complete, click the TWS icon on your desktop to log in. This launch method is fast, but may occasionally take a few seconds longer when TWS or Java runtime updates are published.
4. In the Login box, enter your username and password and click *Login*.

For subsequent sessions, you can log in to TWS simply by clicking the TWS icon on your desktop.

For more information

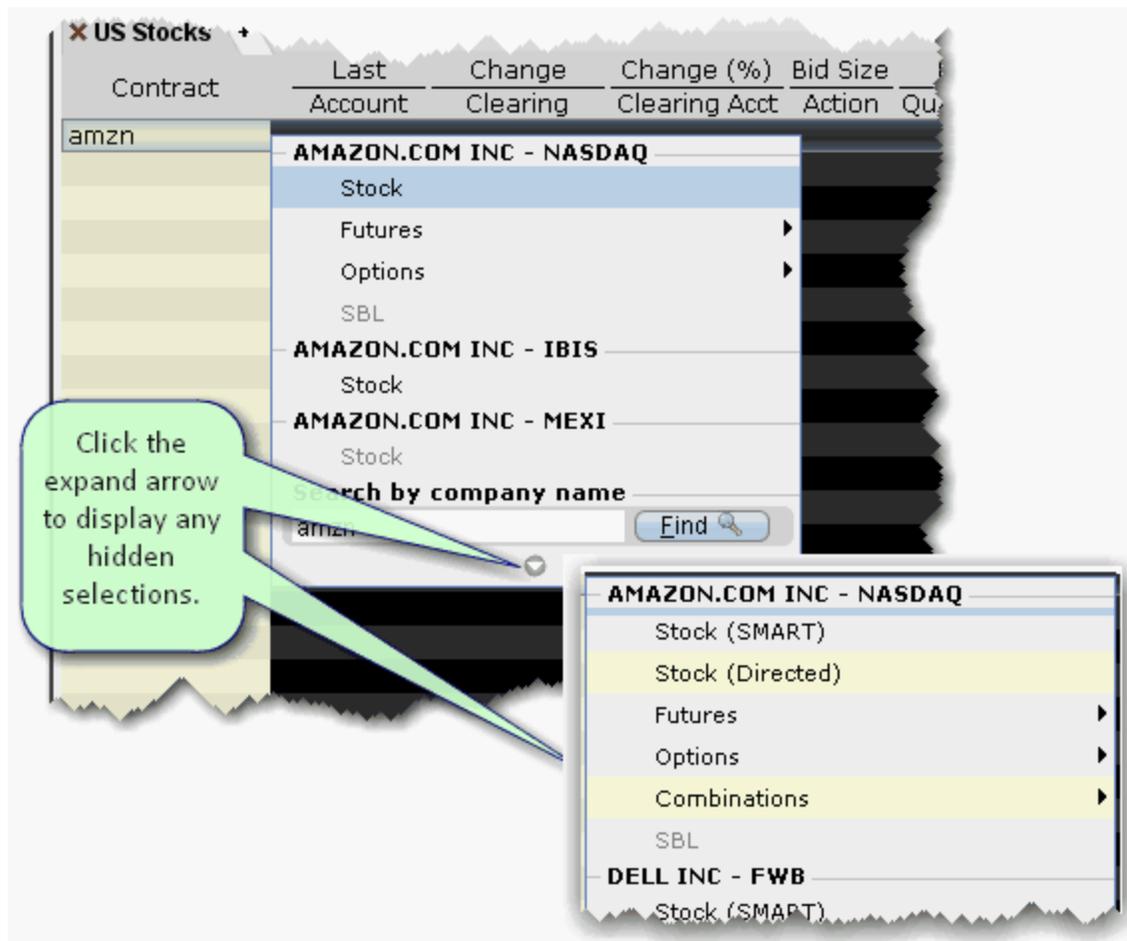
- » To learn more about using the browser-based TWS versus the standalone version, see the [TWS Users' Guide](#).

Add Market Data

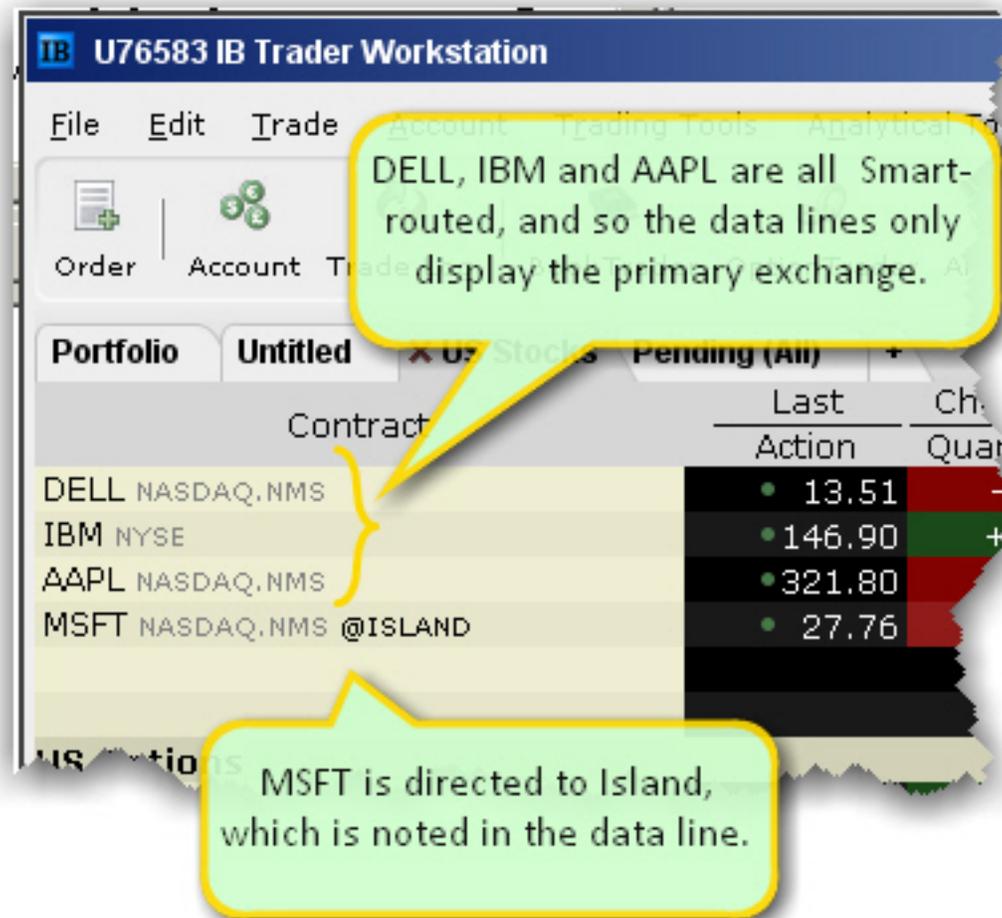
Next, you'll want to add market data, or ticker lines, for the products you want to trade. Although you can trade without market data, we don't recommend it.

To add market data lines to the Quote Monitor

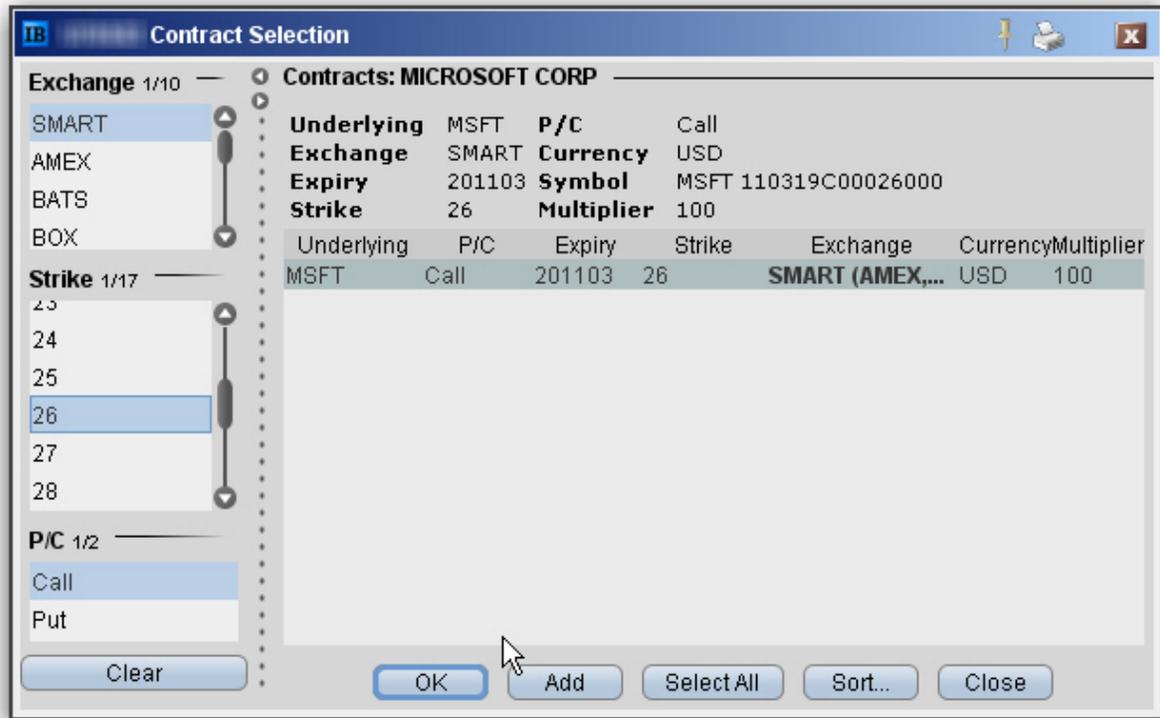
1. Click in the *Contract* field in an empty row.
2. Enter an underlying symbol and press **Enter**.



3. Select an asset type from the picklist on the trading screen. For instruments that require an expiry, choose a month and year, or select All to open the contract selection box.



If you choose Smart as the exchange (rather than selecting Directed and then picking a destination) the market data is aggregated and the default order routing is Smart. From a display perspective, ticker lines that use aggregated Smart data do not display Smart in the data line. TWS will only show the exchange if you elect to direct route. When you create an order, regardless of the market data selection you can modify the order routing destination on a per-order basis using the Destination field.



4. In the **Contract Selection** box, choose a financial instrument(s) and click OK. You can limit the instruments displayed in the right pane by selecting criteria from the Filter section. Choose Smart as the exchange to use SmartRouting.

For more information

- » For more information on market data in TWS, see the [TWS Users' Guide](#).

Trading

In the Omnibus account structure, all trading is done by the broker. Trades are placed by the master users for either the long or the short account. You do this by selecting the account from the drop-down menu in the Account column of the TWS.

You create an order from the Quote Monitor by clicking the bid or ask on the ticker line of the asset you want to trade. TWS automatically creates the order directly beneath the related ticker. We call this a double-line display, and it's helpful to understand that the double row of headers along the top of the window corresponds to the double row of data/order row display in the body of the window. The column headings in the top row correspond to data in ticker line.



Imagine now that I click the Ask price in the IBM ticker line. An order to buy 100 shares of IBM stock is created directly below the ticker, and the column titles on the bottom row apply to these fields, with the Allocation = Group 1, Method = Avail, TIF = DAY and so on.

To create and transmit an order

- Click the "Ask" or "Bid" price of an asset to create an Order Management line directly below the asset's ticker.
 - Clicking the **Ask** will create a **Buy** order.
 - Clicking the **Bid** will create a **Sell** order.
- Use the Allocation field dropdown list to select an Account Group, Account Profile, a single account or All accounts.

or

Right-click on the order and select **Modify** then select **Share Allocation**.
- In the Allocation dialog box, select an Account Group in the Automatic Allocation area, an Account Profile in the Manual Allocation area, or select a single account.
 - For the Account Group, modify the allocation method if necessary. If you choose the PctChange method, enter a positive or negative value in the Percentage field. All other automatic allocation methods are calculated using the order size.

- If you use an Allocation Profile, select a group name.
 - To allocate all shares to one account, select a single account.
4. Click **OK** to complete the order.
 5. To Transmit, click the red "T" in the Transmit field.



Note: The default values in the order line come from the active **Preset** for the asset type. You can modify these defaults and create new strategies from the **Presets** section of **Global Configuration**. For detailed information about these items, see the [TWS Users' Guide](#).

Real-time Activity Monitoring

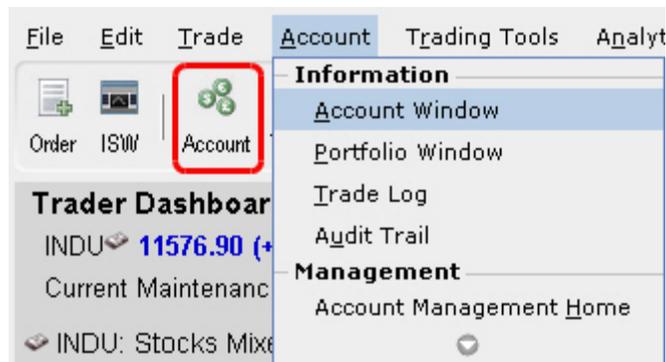
The Account window lets you monitor every aspect of your client account activity. The Account window displays, among other things, the values of your positions, the funds available for trading and the amount of margin cushion an account has before it may become subject to a liquidation, all with real-time values.

The Account window is divided into the following sections:

- » [Balances](#), which shows your account balances for securities, commodities and in total. These balances don't include margin requirements.
- » [Margin Requirements](#), which show your initial and maintenance margin requirements based on your current portfolio.
- » [Available for Trading](#), which tells you what you have for additional trades and cushion before liquidation, based on your balance information and margin requirements.
- » [Market Value](#), shows the total value of all positions, sorted by currency.
- » [FX Portfolio](#), which shows activity for currency pair trades only. The value in the Position field only reflects trades executed in the FX market. Please note that these do not reflect real-time FX positions, since the non-base currency conversions are not included.
- » [Portfolio](#), which lists all current positions sorted by underlying, and displays the total current market value for each position.

To open the Account window

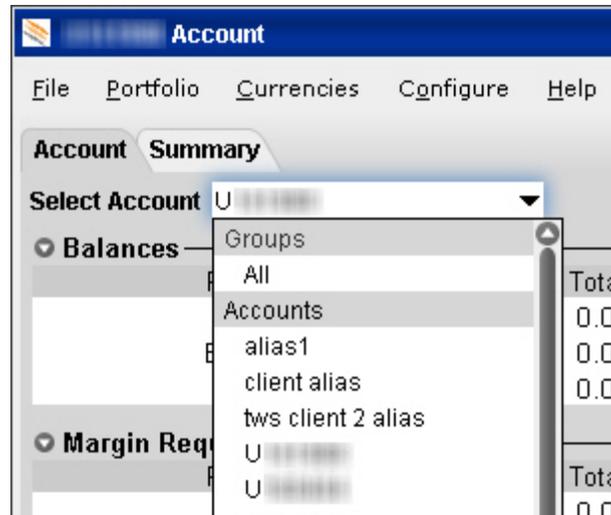
1. On the main trading Toolbar, click the **Account** icon, or select *Account Window* from the **Account** menu.



The first time you open the Account window, "key" account values display by default (this default view is shown in the illustration below). The sections can be expanded and customized by clicking the green "+" sign to the right of each section and using the check boxes to specify those fields you want set as your default view.

Parameter	Total	Securities	Commodities						
Balance									
Net Liquidation Value	955,526.47 USD	955,526.47 USD	9,500.00 USD <input type="checkbox"/>						
Equity With Loan Value	969,191.47 USD	969,191.47 USD	500.00 USD <input type="checkbox"/>						
Previous Day Equity with Loan Value	961,403.48 USD	961,403.48 USD	<input type="checkbox"/>						
Reg T Equity with Loan Value	969,191.47 USD	969,191.47 USD	<input type="checkbox"/>						
Securities Gross Position Value	1,154,181.51 USD	905,409.51 USD	<input type="checkbox"/>						
Cash	92,419.96 USD	82,919.96 USD	9,500.00 USD <input type="checkbox"/>						
Accrued Interest	0.00 USD	0.00 USD	0.00 USD <input type="checkbox"/>						
Margin Requirements									
RegT Margin	442,885.75 USD	442,885.75 USD	<input type="checkbox"/>						
Current Initial Margin	277,013.10 USD	261,763.10 USD	11,250.00 USD <input type="checkbox"/>						
Current Maintenance Margin	282,343.35 USD	255,243.35 USD	9,500.00 USD <input type="checkbox"/>						
Look Ahead Initial Margin	288,263.10 USD	261,763.10 USD	22,500.00 USD <input type="checkbox"/>						
Look Ahead Maintenance Margin	276,243.35 USD	255,243.35 USD	18,000.00 USD <input type="checkbox"/>						
Overnight Initial Margin	288,263.10 USD	261,763.10 USD	22,500.00 USD <input type="checkbox"/>						
Overnight Maintenance Margin	276,243.35 USD	255,243.35 USD	18,000.00 USD <input type="checkbox"/>						
Available for Trading									
Current Available Funds	701,178.37 USD	702,928.37 USD	-1,750.00 USD <input type="checkbox"/>						
Current Excess Liquidity	710,844.12 USD	710,344.12 USD	500.00 USD <input type="checkbox"/>						
Special Memorandum Account	1,194,657.68 USD	1,194,657.68 USD	<input type="checkbox"/>						
Look Ahead Available Funds	689,928.37 USD	702,928.37 USD	-13,000.00 USD <input type="checkbox"/>						
Look Ahead Excess Liquidity	701,844.12 USD	710,344.12 USD	-8,500.00 USD <input type="checkbox"/>						
Overnight Available Funds	689,928.37 USD	702,928.37 USD	-13,000.00 USD <input type="checkbox"/>						
Overnight Excess Liquidity	701,844.12 USD	710,344.12 USD	-8,500.00 USD <input type="checkbox"/>						
Buying Power	2,318,893.27 USD		<input type="checkbox"/>						
Leverage			0.92 <input type="checkbox"/>						
Look Ahead Next Charge	0 16.00 00		<input type="checkbox"/>						
Day Trades Left (C... T...)			Unlimited <input type="checkbox"/>						
Market Value - Real FX Balance									
Current Total Cash	92,419.96	885,771.51	17,635.00	115.00	0.00	995,826.47	186,480.41	0.00	<input type="checkbox"/>
FX Portfolio - Virtual FX Position									
Contract Details: Currency, Position, Market Value, Market Price, Average Price, Unrealized P/L, Realized P/L, Unrealized Loss									
Last updated: 8/14/09									

Brokers will see a drop-down *Select Account* field on the *Account* and *Summary* tabs to select either an individual account or an account group.



On the Account page, elect to display account information for All accounts, any individual account including the Master, or a user-defined Account Group, which includes a subset of accounts (in the image above, **Group 1** is a user-defined account groups).

On the Summary page, choose to view the account summary for All accounts, or for any Account Group.

Advisors can also print the summary page by selecting *Print Summary* from the **File** menu.

View Account Balances

The Balances section shows your account balances for securities, commodities and in total. These balances don't include margin requirements.

To view all *Balances* values, expand the section using the green plus (+) sign. To customize this view to show only the values you want to see, put a check next to these parameters and click the green minus (-) sign to contract the section.

Parameter	Total	Securities	Commodities
Net Liquidation Value	995,826.47 USD	986,326.47 USD	9,500.00 USD <input checked="" type="checkbox"/>
Equity With Loan Value	969,191.47 USD	968,691.47 USD	500.00 USD <input checked="" type="checkbox"/>
Previous Day Equity with Loan Value	961,403.48 USD	961,403.48 USD	<input type="checkbox"/>
Reg T Equity with Loan Value	968,691.47 USD	968,691.47 USD	<input type="checkbox"/>
Securities Gross Position Value	1,154,181.51 USD	903,406.51 USD	<input type="checkbox"/>
Cash	92,419.96 USD	82,919.96 USD	9,500.00 USD <input checked="" type="checkbox"/>
Accrued Interest	0.00 USD	0.00 USD	0.00 USD <input type="checkbox"/>

Real-time Margin Monitoring

Use real-time margin monitoring to see your current margin requirements at a glance, and to understand the margin implications of any transaction before you transmit an order. The Account window shows your account details, including the current market value and portfolio. Use the *Margin Requirements and Trading Limits* section to monitor your margin.

Margin Requirements				
Parameter	Total	Securities	Commodities	
RegT Margin	442,885.75 USD	442,885.75 USD		<input type="checkbox"/>
Current Initial Margin	277,013.10 USD	265,763.10 USD	11,250.00 USD	<input checked="" type="checkbox"/>
Current Maintenance Margin	267,347.35 USD	258,347.35 USD	9,000.00 USD	<input checked="" type="checkbox"/>
Look Ahead Initial Margin	288,263.10 USD	265,763.10 USD	22,500.00 USD	<input type="checkbox"/>
Look Ahead Maintenance Margin	276,347.35 USD	258,347.35 USD	18,000.00 USD	<input type="checkbox"/>
Overnight Initial Margin	288,263.10 USD	265,763.10 USD	22,500.00 USD	<input type="checkbox"/>
Overnight Maintenance Margin	276,347.35 USD	258,347.35 USD	18,000.00 USD	<input type="checkbox"/>

You can also see the margin impact for a single order using the right-click *Preview Order* command from an order line on the trading window. An example of the Order Preview window is shown below.

IB Order Preview						
APPLE INC						
Contract	Last	Bid	Ask			
AAPL NASDAQ.NMS	340.76	340.72	340.76			
Order Description						
BUY 100						
Order Type	LMT	Routing	SMART	Time in Force	DAY	
Limit Price	340.60					
Amount	Margin Impact					
Amount	34,060 USD	Equity With Loan	12,617,752	Change	0	Post-trade
Commission (est.)	0.42 ... 1.02 USD	Initial Margin	902,417	10,219	912,636	
Total	n/a	Maintenance Margin	840,900	10,219	851,119	
		<input type="button" value="Transmit"/> <input type="button" value="Close"/>				

To preview margin impact

1. Use the right-click menu from an order line to select **Check Margin**.
2. View the order details before you transmit, including commissions, margin impact and the order description.
3. Click **Transmit** to send the order from the Preview window, or **Close** to modify before sending.

This feature is valid only for single-account orders. It does not work for allocated orders.

Monitor Margin Requirements

Margin is calculated at three periods during the day: the market's open, the market's close, and overnight. The *Margin Requirements* section shows your current margin, projected margin for the next period of margin calculation (Look Ahead) and the Overnight calculation (valid for futures only).

- » The *Current* margin is your real-time requirement right now. If you happen to be viewing this screen at 1:00 AM, your current and overnight margin values for your futures positions will be identical. If you're viewing this screen during trading hours, your current margin requirements for futures will be less than or equal to the overnight requirement.
- » The *Look Ahead* projects what your margin requirements will be at the **next** margin calculation, based on what you have in your portfolio now. If you're viewing this screen at 2:00 PM, the **next** calculation will be at the close. If you're viewing this screen at 1:00 AM, the **next** calculation will be at the open.
- » *Overnight* is the requirement after regular market hours and only applies to futures.

To view all *Margin Requirements* values, expand the section using the green plus (+) sign. To customize this view to show only the values you want to see, put a check next to these parameters and click the green minus (-) sign to contract the section.

Try PM

Click to see how your margin requirements would be different if you had a portfolio margin account instead of a RegT margin account.

Margin Warnings

To help you stay on top of your margin requirements, we now provide pop-up messages and color-coded account information to notify you that you are approaching a serious margin deficiency. TWS will highlight the row whose value is in the distress state. The colors on your account screen tell you the following:

Yellow - You have only a 5% cushion above the margin requirement

Orange - Your margin cushion is depleted and you have a short time to enter into margin-reducing trades before your positions are liquidated. During this time you should be able to enter a trade that will decrease your margin requirement, but not increase.

Red - Your positions will shortly start to be liquidated as necessary to bring your account back within the margin limits.

For more information

» See the [Margin](#) pages on the IB website for details on margin calculations.

View Available for Trading Values

If you look at nothing else on the Account Screen, the Available for Trading values let you know the state of your account at a glance. Your Available Funds tells you if you can put on a trade. Your Excess Liquidity tells you whether you have sufficient cushion to maintain your current positions, and your Buying Power tells you how much you have at your disposal including your equity and IB's margin.

To view all *Available for Trading* values, expand the section using the green plus (+) sign. To customize this view to show only the values you want to see, put a check next to these parameters and click the green minus (-) sign to contract the section.

Available for Trading			
Parameter	Total	Securities	Commodities
Current Available Funds	701,178.37 USD	702,928.37 USD	-1,750.00 USD <input checked="" type="checkbox"/>
Current Excess Liquidity	710,844.12 USD	710,344.12 USD	500.00 USD <input checked="" type="checkbox"/>
Special Memorandum Account	1,194,607.88 USD	1,194,607.88 USD	<input checked="" type="checkbox"/>
Look Ahead Available Funds	689,928.37 USD	702,928.37 USD	-13,000.00 USD <input type="checkbox"/>
Look Ahead Excess Liquidity	701,844.12 USD	710,344.12 USD	-8,500.00 USD <input type="checkbox"/>
Overnight Available Funds	689,928.37 USD	702,928.37 USD	-13,000.00 USD <input type="checkbox"/>
Overnight Excess Liquidity	701,844.12 USD	710,344.12 USD	-8,500.00 USD <input type="checkbox"/>
Buying Power	2,318,801.27 USD		<input checked="" type="checkbox"/>
Leverage		0.92	<input type="checkbox"/>
Look Ahead Next Change	@ 16:00:00		<input type="checkbox"/>
Day Trades Left (T,...,T+4)	Unlimited		<input type="checkbox"/>

View Market Value

The Market Value section shows you total value for all assets sorted by currency. Accounts with the ability to make transfers between brokers will also have an *In Transit* tab to monitor DVPs and other position

transfers. In addition, the Cash column of this section is where you can view your real-time FX position information.

Currency	Cash	Stock	Options	Futures	FOPs	Net Liquidatio...	Unrealized P&L	Realized P&L
AUD	-19.92	0.00	0.00	0.00	0.00	-19.92	0.00	0.00
CAD	-41.45	0.00	0.00	0.00	0.00	-41.45	0.00	0.00
EUR	-11.16	0.00	0.00	0.00	0.00	-11.16	0.00	0.00
HKD	-249.97	0.00	0.00	0.00	0.00	-249.97	0.00	0.00
USD	25,021.17	6,228.00	0.00	0.00	0.00	31,311.42	94.9999	0.00
Total (in USD)	24,916.12	6,228.00	0.00	0.00	0.00	31,206.37	94.9999	0.00

View FX Portfolio Values

This section shows activity only for currency pair trades. The "Position" value reflects the sum of trades executed in the FX market only, and consequently does not reflect a real-time FX position. Check the value in the *Cash* field of the Market Value section for real-time FX position information.

Cntrct Descrptr	Position	Currency	Market Value	Market Price	Average Price	Unrlzd P&L	Realized P&L	Liquidate Last
JPY.USD	100,655	USD	948.77	0.00943	0.00967	-25.05	0.00	No
EUR.USD	18,057	USD	28,010.92	1.55125	1.57251	-383.86	0.00	No
CAD.USD	1,340	USD	1,345.29	1.00395	0.9884	20.84	0.00	No
USD.CHF	13	CHF	13.56	1.04315	1.0331	0.13	0.00	No
USD.GBP	-4,200	GBP	-2,141.79	0.50995	0.50359	-26.71	0.00	No
GBP.USD	-15,385	USD	-30,170.75	1.96105	1.97497	214.17	0.00	No
EUR.GBP	-18,000	GBP	-14,238.45	0.79102	0.7846	-115.65	0.00	No
USD.EUR	-1,498,427	EUR	-965,960.94	0.64465	0.64799	5,004.77	0.00	No

View Portfolio Values

The Portfolio section shows the current value of each position and allows you to mark any position to be liquidated last in the event of a margin call. Accounts with the ability to make transfers between brokers will also have an *In Transit* tab to monitor DVPs and other position transfers.

Cntrct Descrptr	Pos	Currency	Market V.	Market Price	Average Pr.	Unrealized	Realized P&L	Liquidate Last
VIND	200	USD	4,915.00	10.385	15.5033	254.00	0.00	No
VTRF	1	USD	0.01	0.01115	0.01	-0.04	0.00	No
TOO	100	USD	2,716.00	27.16	20.31	685.00	0.00	No
COOQ	200	USD	10,927.00	54.635	52.98	331.00	0.00	No
MRF	400	USD	11,214.00	28.035	25.9693	826.43	0.00	No
FOCV.OLD	0	USD	2.80			0.00	0.00	No
IDCV	1	USD	1.20	1.20	3.559	-2.37	0.00	No
BM 3M2011 L...	4	USD	6,450.00	16.125	6.37205	3,821.09	0.00	No
BM 3M2011 L...	5	USD	85.00	0.17	10.037	-4,933.50	0.00	No
BM	700	USD	102.16...	145.958	136.9187	6,329.70	0.00	No

The Right-Click Portfolio Menu

If you select an asset in the Portfolio section and click your right mouse button, you will have access to a BUY and SELL buttons as well as the following menu items.



For more information

- » To learn more about other real-time activity monitoring tools, including the Trades window, Portfolio Rebalance tool, Audit Trails, and Bulletins and System Status, see the [TWS Users' Guide](#).

Reporting

This section describes the account statements and reports available to you from within Account Management, including the following:

- » [Activity Statements](#)
- » [Customized Statements](#)
- » [Activity Downloads](#)
- » [Trade Confirmations](#)
- » [Flex Queries](#)
- » [Margin Reports](#)
- » [Stress Test Report](#)
- » [Value at Risk Report](#)
- » [Client Summary Report](#)
- » [Broker Client Revenue and Expense Summary](#)
- » [PortfolioAnalyst](#)

For more information

- » For complete details on all of the statements and reports available, see the [Reporting Guide](#).

Activity Statements

Activity statements contain information about account activity, such as positions, cash balances and transactions. Statements are generated daily, monthly, and yearly for all accounts. As a Advisor, you can view statements for your advisor account, for individual client accounts, or a consolidated statement which can include some or all of your accounts. In addition, clients also have the ability to access their statements electronically through Account Management.

- » Activity Statements include these features:
- » Expandable and contractible sections with click-down detail.
- » Performances summary by asset class for a quick view of an account's profitability.

- » Profit and loss across all transactions, positions, underlying instrument and asset class, under First In, First Out (FIFO), Last In, First Out (LIFO), Maximize Losses and Mark-to-Market (MTM) calculation methods, depending on the client's selection.
- » Details of change in position value for the statement period.
- » Calculation of FX translation gains and losses for accounts with multiple currencies.

To generate an activity statement

1. Log in to your Master account via Account Management.
2. Click **Reports > Activity > Statements**.

Activity Statements

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

3. Use the Account Selector at the top of the page to select one or more accounts on which to report. To include activity from accounts you have recently closed, select the Include Closed Accounts check box. If you choose to include closed accounts, those accounts appear in the Account Selector.

4. In the View Statements section of the page, make the following selections:
 - In the Statements list, select the statement you want to use for the statement.
 - 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 Format field, select either HTML/WEB, PDF or Excel, depending on how you want to view the statement.
 - In the Language field, select your desired language.
 - If you selected more than one account in the Account Selector, and want to view a consolidated statement, select the **Consolidate Selected** check box. This check box ONLY appears if you selected more than one account in the Account Selector (or if you selected one or more accounts in a Household in the selector). You can also generate statements for all accounts in a single statement (multiple statements are joined together in a single statement) if you select your own master account in the Account Selector and then select the **Concatenate All** check box.
 - If you select your own master account in the Account Selector, you have access to client-only consolidated and concatenated statements.
5. 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.

Here is an example of an HTML-based Activity Statement.

Interactive Brokers Activity Statement
November 6, 2013

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

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Account Information

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

Net Asset Value (NAV) In Base Currency

	Prior Period		Current Period		Total	Change
	Total	Long	Short	Total		
Cash	724.82	724.82	0.00	724.82	724.82	0.00
Total	724.82	724.82	0.00	724.82	724.82	0.00

Cash Report

	Total	Securities	Futures	IB-U.K.L.	Month to Date	Year to Date
Base Currency Summary						
Starting Cash	724.82	724.82	0.00	0.00		
Ending Cash	724.82	724.82	0.00	0.00		
Ending Settled Cash	724.82	724.82	0.00	0.00		

Base Currency Exchange Rate

Codes

Notes/Legal Notes

General:

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

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

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

For more information

- » To learn more about activity statements, including an explanation of each statement section, see the [Reporting Guide](#).

Customized Activity Statements

For those who require a simpler statement format, IB allows you to create and save customized statement. These customized statements allow you to include or exclude specific statement sections as well as set a variety of additional statement options.

You create customized activity statements on the Reports > Activity > Statements page in Account Management.

For more information

- » For more information on how to create a customized activity statement, see [Customized Statements](#) in the Reporting Guide.

Third-Party Downloads

IB offers a number of special download formats for activity statements so you can integrate your statements with third-party applications, including:

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

In addition, the following downloads are available upon request:

- » Daily Captools Downloads - Daily Captools downloads are available for customers upon request. Send your request to enable Captools downloads to reportingintegration@interactivebrokers.com. If you request Daily Captools Downloads, the Activity Downloads page will contain an additional section for Daily Captools Downloads. PortfolioCenter® (intended for institutional accounts; you must request downloadable files from your IB Sales Representative first).

Access these download formats in Account Management by clicking **Reports > Activity > Downloads**.

For more information

- » For more information about activity downloads, see the [Third-Party Downloads](#) topic in the Reporting Guide.

- » For a complete list of offerings for institutional accounts, including PortfolioCenter®, open the Reference Menu in Account Management (click **Reference** in the lower right corner of any screen in Account Management), then click **Reports > Third Party Integration**.

Trade Confirmations

Real-time trade confirmations are generated for all executions. The Trade Confirmation report will list trade executions separately, by asset class. Trade confirmations are available for the entire previous calendar year and from the start of the current calendar year.

Access Trade Confirmations in Account Management by clicking **Reports > Trade Confirmations > Reports**.

Here is an example of a Trade Confirmation report.

Interactive Brokers Trade Confirmation Report
August 1, 2013 - November 7, 2013

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

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Account Information

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

Trades

Acct ID	Symbol	Trade Date	Settle Date	Buy/Sell	Exchange	Quantity	Price	Proceeds	Comm	Tax	Order Type	Code
Stocks - Held with Interactive Brokers (U.K.) Limited carried by Interactive Brokers LLC												
USD												
+F *****	IBM	2013-08-09, 15:34:31	2013-08-14	BUY	-	10	187.7600	-1,877.60	-0.71	0.00	LMT	D
+F *****	IBM	2013-08-09, 15:34:31	2013-08-14	ALLOC	-	-10	187.7600	1,877.60	0.71	0.00		T
Total IBM (Bought)						0	0.0000	0.00	0.00	0.00		
Total								0.00	0.00	0.00		

Contract Information

Codes

Order Types

Notes/Legal Notes

General:

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

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

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

For more information

- » For detailed instructions on how to view trade confirmations, see the [Trade Confirmations](#) topic in the Reporting Guide.

Flex Queries

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.

You can create multiple templates with different fields for each statement. All of your templates are stored in and run from Account Management. 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 generate and run Activity Flex Queries from the Activity Flex page. You generate and run Trade Confirms Flex Queries from the Trade Confirmation Flex page. Both are accessible from the **Reports** menu in Account Management.

For more information

- » For detailed instructions, see the [Reporting Guide](#).

Margin Reports

While the real-time margin summary is displayed in the Account Window in Trader Workstation, our Margin Report provides you with a detailed breakdown of your positions and their corresponding margin requirements. In order to view this detail, you must generate the Margin Report from Account Management. The information contained in the Margin Report is based on the margin and equity values which are obtained daily at approximately 16:15 ET for all positions across all asset classes. Margin reports show the margin requirements for all open single and combination positions and are available for the previous 90 days.

Margin Reports can be accessed from the **Reports > Risk > Margin** menu in Account Management.

Here is an example of a margin report for an Advisor client.



Margin Report

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

Interactive Brokers (U.K.) Ltd.
5th Floor, 1 Carey Lane, London EC2V 8AE, UK. Regulated by FSA[Help](#) | [Expand All](#) | [Contract All](#) | [Print](#)

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

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

For more information

- » For detailed instructions on how to view a margin report, see the [Margin Reports](#) topic in the Reporting Guide.

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%.

You access the Stress Test report by clicking **Reports > Risk > Stress Test** in Account Management.

Here is an example of a Stress Test Report.

For more information

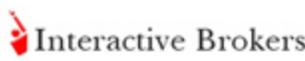
- » For detailed instructions, see the [Stress Test Report](#) topic in the Reporting Guide.

Value at Risk Report

The Value at Risk Summary report calculates your Value at Risk (VAR) at a 99, 99.5 and 100% confidence levels using Principle Component Analysis. Because of the complexity of the calculations required, this report is completed overnight and is only available once a day. If you need real-time VAR, use the IB Risk NavigatorSM in Trader Workstation, which uses a simpler calculation.

Access the Value at Risk report in Account Management by clicking **Reports > Risk > Value at Risk**.

Here is an example of a Value at Risk report.

 **Value at Risk Report**
April 8, 2014

Interactive Brokers LLC, Two Pickwick Plaza, Greenwich, CT 06830 [Help](#) | [Expand All](#) | [Contract All](#) | [Print](#)

Account Information ?

Value at Risk Summary ?

Account	Variance-Covariance Method VaR	Historical Method VaR
USD (Base Currency) LXXXXXX	599.66	1,607.67

Value at Risk Details ?

Underlying Symbol	Underlying Description	Price	Value	Variance-Covariance Method			Historical Method		
USD (Base Currency)				Price	Change %	P/L	Price	Change %	P/L
Sub-Portfolios									
AAPL	APPLE INC	523.44	523.44	518.86	-0.87	-4.58	494.85	-5.46	-28.59
ALME	ALAMO ENERGY CORP	0.0145	0.36	0.0130	-10.05	-0.04	0.0159	9.72	0.04
CAD	CAD	0.9114	-1,057.03	0.9136	0.25	-2.59	0.8980	-1.47	15.53
DHT	DHT HOLDINGS INC	8.0100	64.08	7.9313	-0.98	-0.63	7.4148	-7.43	-4.76
DISCA	DISCOVERY COMMUNICATIONS-A	80.4200	804.20	79.2843	-1.41	-11.36	75.0428	-6.69	-53.77
EPB	EL PASO PIPELINE PARTNERS LP	31.6100	474.15	31.2464	-1.15	-5.45	29.8085	-5.70	-27.02
EPD	ENTERPRISE PRODUCTS PARTNERS	71.0500	7,141.10	70.5551	-0.70	-47.06	66.9609	-5.76	-381.33
FCG	FIRST TRUST ISE-REV NAT GAS	21.3300	469.26	20.9194	-1.93	-9.03	19.3494	-9.29	-43.57
GBP	GBP	1.6606	25,219.73	1.6535	-0.43	-107.30	1.6531	-0.45	-113.84
GE	GENERAL ELECTRIC CO	25.7500	283.25	25.3511	-1.55	-4.39	24.0656	-6.54	-18.53
GSS	GOLDEN STAR RESOURCES LTD	0.6766	16.92	0.5990	-11.47	-1.94	0.6116	-9.61	-1.62
HL	HECLA MINING CO	3.1100	152.39	2.8824	-7.32	-11.15	2.8928	-6.98	-10.64
HON	HONEYWELL INTERNATIONAL INC	91.9700	899.91	90.4967	-1.60	-33.32	84.8969	-7.69	-208.64
IBB	ISHARES NASDAQ BIOTECHNOLOGY	225.83	451.66	221.09	-2.10	-9.48	211.88	-6.18	-27.89
IEZ	ISHARES U.S. OIL EQUIPMENT &	67.9700	679.70	66.2569	-2.52	-17.13	60.7918	-10.56	-71.78
IPT	IMPACT SILVER CORP	0.6200	169.51	0.6118	-1.32	-1.83	0.6200	0.00	-2.49
NES	NUVERRA ENVIRONMENTAL SOLUTI	19.6200	39.24	18.6784	-4.80	-1.88	18.5516	-5.45	-2.14
PAL	NORTH AMER PALLADIUM LTD	0.3932	78.64	0.3512	-10.69	-8.40	0.3266	-16.95	-13.33
PM	PHILIP MORRIS INTERNATIONAL	83.8200	8,382.00	82.1778	-1.96	-164.22	80.1089	-4.43	-371.11
SNDK	SANDISK CORP	78.7400	551.18	77.7044	-1.32	-7.25	72.2117	-8.29	-45.70
SRCL	STERICYCLE INC	113.88	1,138.80	111.48	-2.10	-23.97	107.06	-5.99	-68.20
TJX	TJX COMPANIES INC	60.4500	6,044.99	59.7948	-1.08	-65.44	58.2362	-3.66	-221.29
TNG	TRANSGAMING INC	0.1900	34.63	0.1804	-5.05	-1.67	0.1713	-9.86	-3.87
USD	USD	1.0000	16,967.10	1.0000	0.00	0.00	1.0000	0.00	0.00
ZGLDUS	ZKB GOLD ETF-A (USD)	1,282.38	3,847.14	1,276.33	-0.47	-18.15	1,316.55	2.66	102.50
ZSILUS	ZKB SILVER ETF USD	194.82	1,948.20	190.68	-2.12	-41.39	194.26	-0.29	-5.59
Total			75,324.55			-599.66			-1,607.67
Currency Risk Factors									
CAD		0.9114		0.9136	0.25		0.8980	-1.47	
GBP		1.6606		1.6535	-0.43		1.6531	-0.45	

Notes ?

For more information

- » For additional information on how to generate the report, see the [Value at Risk](#) topic in the Reporting Guide.

Client Summary Report

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

Access this report by clicking **Reports > Supplemental > Client Summary** in Account Management.

Here is an example of a Client Summary report:

Interactive Brokers Client Summary Report
November 12, 2013

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

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Account Information		?
Name	TEST ACCOUNT	
Account Alias	Alias	
Account	FXXXXXX (Consolidated)	
Account Type	Advisor Master	
Customer Type	Individual	
Account Capabilities	Cash	
Trading Permissions	Forex	
Base Currency	USD	

Client Summary Overview		?
Total Commissions Paid	0.00	
Equity with Loan Value	2,771.80	
Net Liquidation Value	2,771.80	
Trade Cash	2,771.84	
Settled Cash	2,771.84	
Initial Margin	0.00	
Available Funds	2,771.80	
Maintenance Margin	0.00	
Excess Liquidity	2,771.80	
Total MTM P&L	0.00	

Client Summary		?

Generated at: 2013-11-13, 14:22:26 EST

For more information

- » For additional information on how to generate the report, see the [Client Summary Report](#) topic in the Reporting Guide.

Client Revenue and Expense Summary

Broker run this report to view a snapshot of client daily, month-to-date and year-to-date expenses, revenues, net revenue, gross margin and aggregate client MTM. Access this report in Account Management by clicking **Reports > Supplemental > Client Revenue & Expense**.

Here is the page in Account Management:

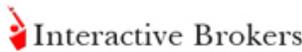
Client Revenue and Expense Summary

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

Date	Format	Language
April 15, 2014	HTML/WEB	English

View ➔

Here is an example of a Revenue & Expense Summary report:



Revenue & Expense Summary Report

February 28, 2014

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

Account Information						
Name	Acme SIPP Trustees UK Ltd					
Account	XXXXXXXX (Consolidated)					
Account Type	Pension Scheme Administrator					
Customer Type	Corporate					
Account Capabilities	Cash					
Base Currency	GBP					

Daily Revenue & Expense by Product						
Product	Revenue	Expense	Net Revenue	Gross Margin	Client MTM	
GBP						
Stocks	7.44	-7.44	0.00	0%	-7,296.08	
Total	7.44	-7.44	0.00	0%	-7,296.08	

MTD Revenue & Expense by Product						
Product	Revenue	Expense	Net Revenue	Gross Margin	Client MTM	
GBP						
Stocks	68.53	-68.53	0.00	0%	47,686.76	
Forex	1.23	-1.23	0.00	0%	0.00	
Total	69.75	-69.75	0.00	0%	47,686.76	

YTD Revenue & Expense by Product						
Product	Revenue	Expense	Net Revenue	Gross Margin	Client MTM	
GBP						
Stocks	132.36	-132.36	0.00	0%	27,333.77	
Equity and Index Options	0.54	-0.54	0.00	0%	-12.69	
Forex	1.23	-1.23	0.00	0%	0.00	
Total	134.13	-134.13	0.00	0%	27,321.09	

Generated at: 2014-03-27, 15:00:19 EDT

For more information

- » For additional information on how to generate the report, see the [Reporting Guide](#).

PortfolioAnalyst

PortfolioAnalyst allows you to evaluate the performance of your IB portfolio by creating and saving reports based on a set of measurement criteria and optionally comparing their data to selected industry benchmarks. You can create Detailed Reports, which let you select any combination of report sections for a variety of performance analyses, or Snapshot Reports, which are one-page summaries of an account's return, NAV, asset allocation and distribution of returns. Once you create and save reports, you can run, edit or delete them.

Brokers can also create and save cover letters called *synopses* and assign them to Detailed PDF reports.

You access PortfolioAnalyst in Account Management by clicking **Reports > PortfolioAnalyst**.

For more information

- » For detailed instructions on using PortfolioAnalyst, see the [Reporting Guide](#).

Other Features

This section introduces you to some of the other features available to Brokers at IB, including the following:

- » [Open a Paper Trading Account](#)
- » [Broker White Branding](#)
- » [Configure OATS Settings for Client Accounts](#)
- » [Update Your Broker Information](#)
- » [Customer Activity Monitor](#)
- » [Administrators](#)

Opening a Paper Trading Account

Once your regular trading account has been approved and funded, you are eligible to open a Paper Trading Account. All paper trading accounts start with 1,000,000 USD of paper trading equity, which allows you experiment with the full range of IB trading facilities in a simulated environment which uses real market conditions.

Once you complete the application, the paper trading account is available within 24 hours under normal business circumstances. You will be notified by email when the account is ready for trading.

To apply for a paper trading account

1. [Log in to Account Management](#).
2. Click **Manage Account > Settings > Paper Trading**.

Paper Trading

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

Trading permissions, market data subscriptions, base currency, and customer type configurations in your Paper Trading Account will be the same as those in your normal account. You can use your Paper Trading Account activity in Trader Workstation (TWS) or Application Program Interface (API).

Click **Continue** to activate your Paper Trading Account.

Continue →

3. Click **Continue**.

The following page opens:

Paper Trading

Specify a Paper Trading Account Username prefix and password. Your full Username will be displayed once accepted by the system on the next page.

Username must include six lower case letters and three different numbers.

Enter a six to eight character password with at least one numeric digit and no spaces. Note this password for future use, as it will not be shown again.

The screenshot shows a form titled "Paper Trading" with three input fields: "Username:", "Password:", and "Confirm Password:". Each field has a corresponding text input box. Below the fields are two buttons: "Back" with a left-pointing arrow and "Continue" with a right-pointing arrow.

4. Type a five-character paper trading account username in the field provided.
5. 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.
6. Re-type the password in the field provided, then click **Continue**. The system will generate a full username for you when you click **Continue**.
7. 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.

For more information

- » For details on managing your PaperTrader account, see the [Account Management User's Guide](#).

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.

Simply log in to Account Management with your paper trading account username and password, then click **Trade > Paper Trading Account Reset**.

Paper Trading Account Reset

All customers will start with USD 1,000,000 of paper trading Equity with Loan Value, and this equity will fluctuate in the same manner as production accounts.

You may reset this amount at any time by selecting an amount below and clicking *Continue*.

Select the reset amount for your paper account and click *Continue*:

Select Reset Amount

Only the cash amount will be reset. For a full reset, you should close all positions in the paper account before resetting the cash amount. The reset will apply to both the master and associated client/sub paper trading accounts. Paper account reset requests received by 1600 ET will be processed by the next day.

Continue 

Paper Trading Account Statements

The Paper Trading Account Statements page lets you view and print daily statements for your paper trading account, and download trade information to Microsoft Word and Microsoft Excel. Daily statements cover the last 45 days.

Log into Account Management with your paper trading account username and password, then click **Reports > Activity > Statements**.

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

DF

Activity Statements

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

View Statements

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

Statements	Date(s)	Format	Language	Options
Default Simple <input type="text"/>	Period: Custom Date Range <input type="text"/> From: April 01, 2014 <input type="text"/> To: May 02, 2014 <input type="text"/>	HTML/Web <input type="text"/>	English <input type="text"/>	<input type="checkbox"/> Consolidated <input type="checkbox"/> Concatenate All

View 

[Customize Statements](#)

White Branding for Brokers

We provide Brokers with the ability to “White Brand” specific areas of our software and documentation. White Branding gives you the ability to display your own logos and company information on our trading platforms and reporting systems, including Trader Workstation, WebTrader, Account Management, statements, our registration system and the TWS Users’ Guide.

You set up your White Branding from the White Branding page in the Account Administration section of Account Management.

To set up White Branding

1. [Log in to Account Management](#).
2. Click **Manage Account > Settings > White Brand**.
3. Follow the instructions on the screen to complete the form for the category or categories of White Branding you require.

White Branding ID

Your White Branding ID is currently set to **asterix**. You can change it anytime by entering a new ID below. Your ID must be six to ten characters long and can include letters, numbers and underscore characters (_). Remember to update all your White Branding URLs with your new ID.

Trader Workstation

Web Trader

Registration System, Account Management, Statements and PortfolioAnalyst

Emails

Trader Workstation Users' Guide

Contract Database

4. Click **Submit**. Note that each category of White Branding has its own Submit button.

Under normal circumstances, White Branding changes/requests made before 5:00 PM EST go into effect by 8:00 PM EST the same day. Changes made after 5:00 PM EST will take effect the following day 8:00 PM EST.

For more information

- » For additional information about White Branding, see the [Account Management Users' Guide](#).
- » For issues regarding White Branding, send us an email at whitebranding@interactivebrokers.com.

Configuring OATS Settings for Client Accounts

The Financial Industry Regulatory Authority (FINRA) established the Order Audit Trail System (OATS), which is an integrated audit trail of order, quote and trade information for Nasdaq securities. Broker masters are required to supervise the OATS settings of their client accounts. You configure the following OATS settings for your client accounts:

- » Override the Master Default Settings for institutional accounts.
- » Respond to flashing red alerts for pending client accounts.
- » Modify OATS permissions for a specific client account.

You configure your clients' OATS settings on the **Reports > Settings > Client OATS Settings** page in Account Management.

Client OATS Details

Click on the tabs below to see Client OATS Settings or OATS Permissions.

Client OATS Settings

OATS Permissions

OATS Master Default Settings are as follows:
ACCOUNT TYPE = R (retail customers)
MEMBER TYPE = N (non-FINRA member)
MPID is null

I-BROKERS are required to supervise the OATS settings of their client accounts. If there is an OATS DEFAULT ALERT displayed below, the client has answered in their application a question with a response that deviates from the OATS Master Default settings stated above. In order for this applicant to enter orders, the I-BROKER must review the applicant responses and if required, override the master default settings.

Click on an institution account below to override the OATS Master Default Settings

The I-BROKER must take some action to resolve all ALERTS marked in the list of pending accounts below that have a flashing red 'YES' in the ALERT column. If the I-BROKER finds that the client has not responded appropriately in their pending applications, the I-BROKER can contact the customer to request that they correct their application response to prevent any delay in the acceptance of the application. If a client finalizes their application prior to the account being corrected the open client account will be listed with an alert in the OPEN client account section. The I-BROKER can make changes to the client accounts by clicking on the client account number and changing data in the following screen. If the I-BROKER agrees with the client responses, the I-BROKER must press the approve button for the client responses to be accepted and processed.

For more information

» For more details, see the [Client Oats Settings](#) topic in the Account Management Users Guide.

Updating Your Broker Information

You can update your broker registration information on the **Manage Account > Account Information > Broker Declaration** page in Account Management. The Broker Declaration page lets you update such information as securities and commodities/futures trading registration, and information about your brokerage business.

Broker Declaration

Registration/Licensing

Is your firm licensed/registered to provide brokerage services? Yes No

Country of licensing/registration

Is your firm licensed/registered to provide brokerage services in securities or commodities or both?

Securities Trading

Registration/License Number

National Securities Regulator Name

Location of Regulator

Website Address of this Regulator (enter N/A if not available)

Securities Regulator Contact Name

Securities Regulator Email Address

What percentage of the total number of orders that you will introduce to us will be orders for the following products (Provide percentage number)

Exchange-listed Stocks (e.g. NYSE)

Over-the-counter Stocks (e.g. Nasdaq)

Equity and Equity Index Options

Commodities/Futures Trading

Forex Trading

Registration/License Number

For more information

» For details, see the [Broker Declaration](#) topic in the Account Management Users Guide.

Customer Activity Monitor

The IB Customer Activity Monitor (CAM) helps Advisors quickly find and view all client activities, including the complete order history and its routing sequence. Our robust user interface displays:

- » Real-time Queries: IB CAM communicates directly with the IB order routing system, which ensures real-time data results for order and execution queries. Flexible search filters let you narrow your queries to include specific criteria, and you can view search results in ascending or descending order by date, underlying, price, and so on.
- » Audit Trails: Track up to five days' order history, from order initiation to order execution, including modified, cancelled and rejected orders. Also, export queries to any spreadsheet application.
- » Account Status: Find account information for any of your clients, including real-time account balances, margin requirement and trading limits, market value and portfolio.

Access the IB CAM from the [Customer Activity Monitor](#) page on our website, or from the **Reports** menu in Account Management. The username and password for accessing the CAM will be the same as the ones created during the master account opening process.

The screenshot displays the IB Customer Activity Monitor interface. The main window shows search filters and a table of execution records. Below the execution table, there is an audit history section for a specific order, which includes a detailed table of CCP record types and their associated data.

Time	Action	Qty	Underl.	Descr.	Price	Dest	Cust Order ID	IB Order ID	Exchange ID	Exec ID	Order Ref
2006/11/20 13:50:53	BOLD	10	FD	OPT JA	1.6	PSE	952134840.0	0002724d.0000d5e.456e891.0001	353786499S	000114e4.430dcb9a.01.01	OptTrader
2006/11/30 14:45:13	BOT	1	IBM	STK	92.43	ISLAND	1649154216.0	0002724d.0000d5e.456e891.0001	266698061B	00018037.441d8b1a.01.01	
2006/11/30 14:38:51	BOLD	0	SPY	STK	140.87	ISLAND	1649154184.0	0002724d.0000d5e.456e891.0001	266693324S	00018037.441d89e7.01.02	

CCP RECORD TYPE	ORDER ID	TIME	SIDE	SIZE	SYMBOL	ORDER TYPE	LIMIT PRICE	AUX PRICE	EXEC PRICE	TIME IN FORCE	CUSTOMER ORDER ID
SUBMIT-L-min130	0002724d.0000d5e.456e891.0001 (0002724d.0000d5e.456e891.0001)	11/30 14:45:10.161	B	1	IBM	Limit	92.43			Day	1649154216.0
CREDIT CHECK-L	0002724d.0000d5e.456e891.0001	11/30 14:45:10.161									
SUBMIT-O-98297	0002724d.0000d5e.456e891.0001 (0002724d.0000d5e.456e891.0001)	11/30 14:45:10.164	B	1	IBM		92.43				
SUBMIT-L-min130	0002724d.0000d5e.456e891.0001 (0002724d.0000d5e.456e891.0001)	11/30 14:45:10.164	S	1	SPY	Limit	140.91			Day	1649154217.0
CREDIT CHECK-L	0002724d.0000d5e.456e891.0001	11/30 14:45:10.164									

Totals		Buy	Sell	Net
Contract	IBM STK	1	0	1
	FD OPT JAN07 40 P	0	-10	-10

Eastern Standard Time User: train130 14:32:51

For more information

- » For detailed instructions on how to use the Customer Activity Monitor, see our [Customer Activity Monitor Users' Guide](#).

Administrators

Administrators are users who have registered with Interactive Brokers for the purpose of performing third-party administration such as reporting for other accounts. Administrators open their own accounts and you can shop for Administrators in the Administrator Marketplace.

- » An Administrator account applicant completes the Administrator registration process. Information entered into the application is added to the Administrator Marketplace upon account approval.
- » The Administrator logs into Account Management and modifies his or her Marketplace information if necessary.
- » You open the Administrator Marketplace in Account Management to search for an Administrator.
- » You select an Administrator in the Marketplace and a request is sent to the Administrator.
- » You can also link directly to a selected Administrator by entering the Administrator's account number.
- » The Administrator is notified of the linking request and accepts (or rejects) the request in Account Management. Once accepted, the Administrator is linked to the requesting account.
- » You assign client accounts to the linked Administrator.

For more information

- » To learn more about Administrators, see [Administrators](#) in the Account Management Users' Guide.

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