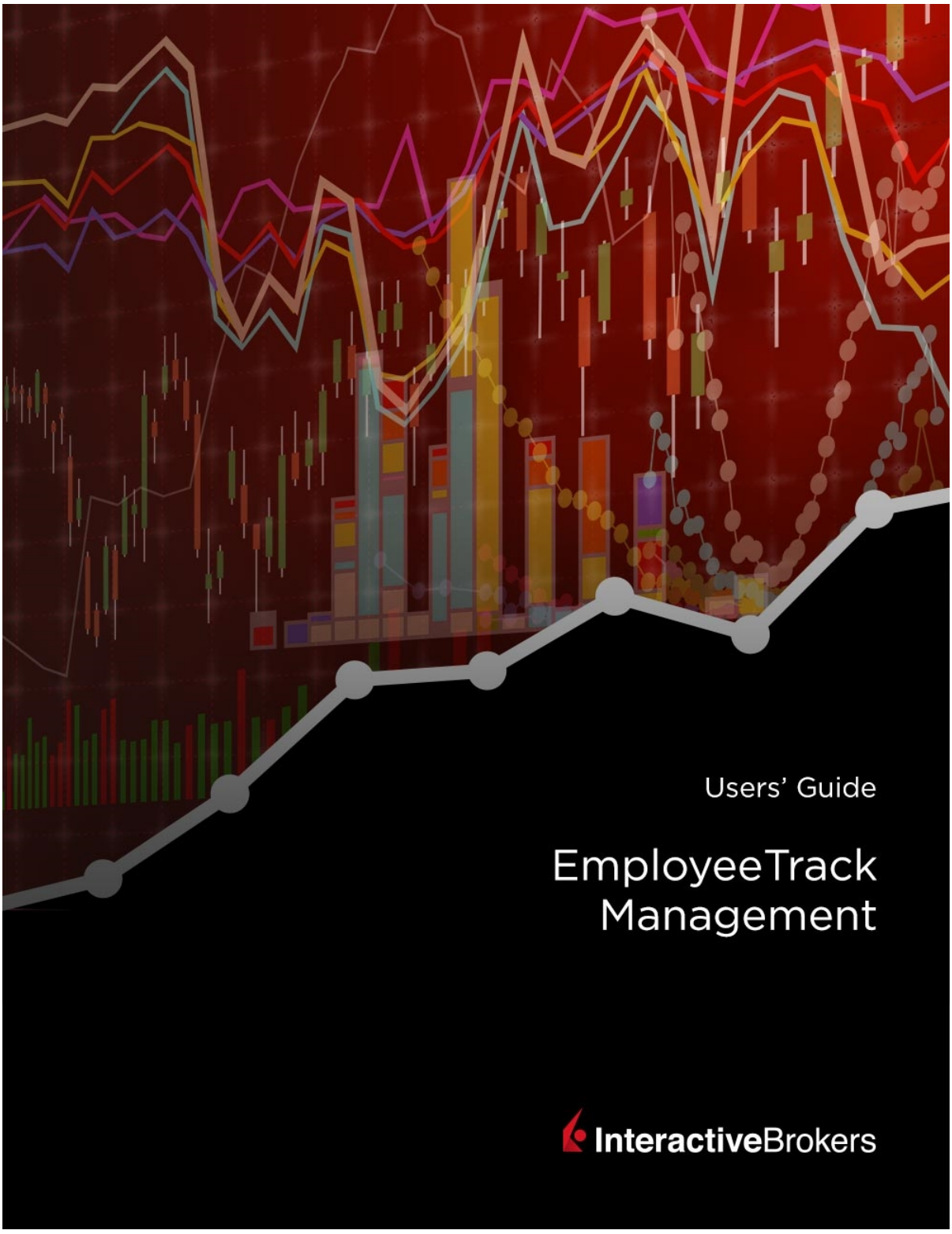

Users' Guide

EmployeeTrack Management

InteractiveBrokers

EmployeeTrack Management Users' Guide

June 2017

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Any symbols displayed within these pages are for illustrative purposes only, and are not intended to portray any recommendation.

Contents

Contents i

EmployeeTrack Management Users' Guide **5**

Getting Started 5

Overview 5

EmployeeTrack Registration and Setup 6

Logging in to EmployeeTrack Management 7

Failed Login Attempts 7

Automatic Logoff 8

EmployeeTrack Management Home Page 8

Summary 9

Edit an Employee 11

View the Audit Trail Log 12

Pending Accounts 14

Messages 16

EmployeeTrack Management Menus 16

Navigating the EmployeeTrack Management Menus 17

Getting Help 18

Dynamic Help 19

EmployeeTrack Management Users' Guide 19

Navigating EmployeeTrack Management Pages 20

Changing the Display Language 20

Logging Out 21

Reports **23**

Compliance 23

Employee Statements 23

Search by Symbol 25

Search by Volume 28

Search by Performance 30

Statement Audit Report 31

Activity 35

Activity Statements 35

Default Statements 35

Activity Statement Archive Policy 35

Viewing an Activity Statement 36

Guidelines for Viewing Activity Statements 36

Customized Statements 39

Settings for Delivered Statements 42

Activity Flex Queries 42

Batch Reports 45

Trade Confirmations 46

Trade Confirmations 46

Trade Confirms Flex Queries 47

Settings 50
Delivery Settings for Activity Statements and Trade Reports 51
Delivery Settings for Flex Queries 52
Using the Flex Web Service 54
Flex Web Service Version 2 54
Flex Web Service Version 3 57
Version 3 Error Codes 61
Manage Account **63**
Compliance Officer Information 63
User Access Rights 65
Access Rights and Access Groups 66
Viewing Access Rights for an Individual User 69
Modifying User Access Rights 70
Deleting a User 72
Security 73
Change Password 73
Change Email Address 74
Manage Employees **77**
Summary 77
Edit an Employee 79
View the Audit Trail Log 80
Pending Accounts 82

Link Employees 84
Existing IB Brokerage Accounts 84
Invite and Link New IB Brokerage Account 86
Bulk Employee Upload 86
Trading Restrictions 88
Support **89**
Customer Service Message Center 89
Message Center Window 90
Viewing Tickets and Unread Messages 91
Changing the Display Language 92
Viewing the Legend 92
Creating a New Ticket 93
Modifying a Ticket 95
Setting Ticket Notification Preferences 96
Closing a Ticket 97
Live Chat 98
Knowledge Base 100
System Status 101
Customer Service Contact Information 102
Service Tips 102
Index **105**

1

EmployeeTrack Management Users' Guide

Getting Started

This chapter includes the following topics:

- Overview
- EmployeeTrack Registration and Setup
- Logging in to EmployeeTrack Management
- EmployeeTrack Management Home Page
- EmployeeTrack Management Menus
- Getting Help
- Navigating EmployeeTrack Management Pages
- Logging Out

Overview

EmployeeTrack provides a simple solution for organizations such as exchanges, hedge funds, mutual funds, brokers, banks, and insurance companies, who are required to monitor their employees' outside trading activity.

EmployeeTrack Management is a version of our Account Management system modified specifically for an organization’s compliance officer who needs to monitor employees’ brokerage accounts at Interactive Brokers and other brokerage firms.

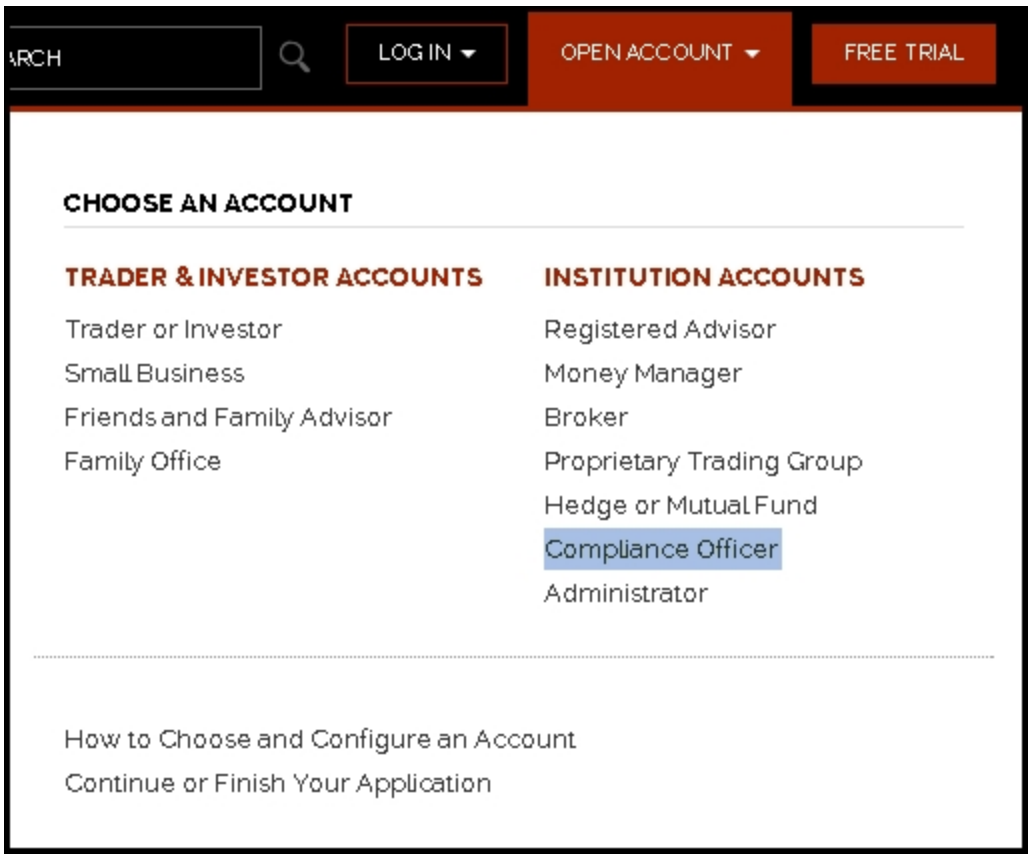
We work directly with your compliance group to implement a custom report layout that is compatible with your network, and that completely satisfies your reporting requirements. This feature ensures that your compliance department always has the latest employee account data, and eliminates the need to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

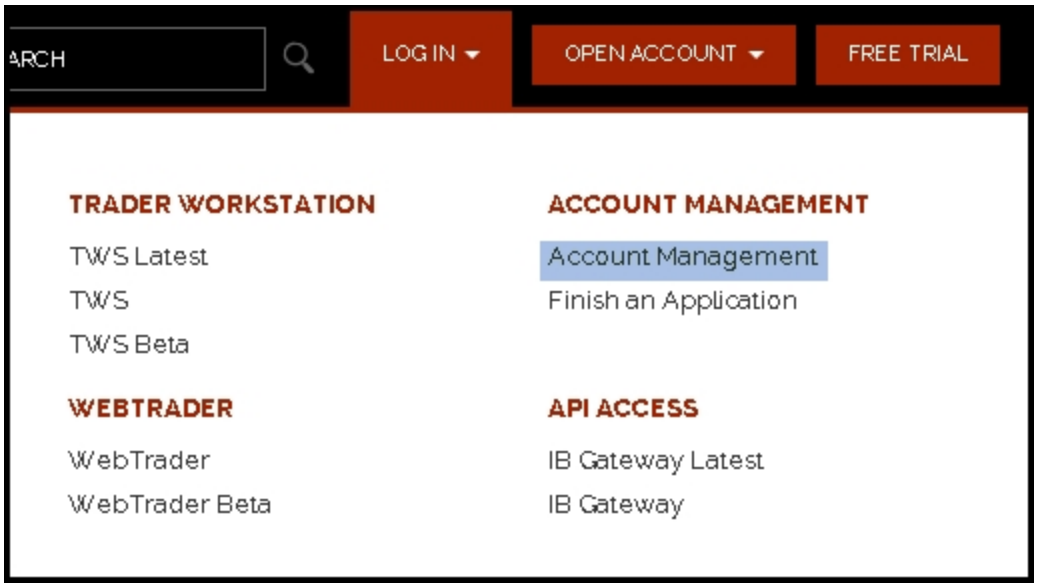
The first time you log into EmployeeTrack Management, there will be no active employee accounts listed. A list of all linked employee IB accounts appear on the EmployeeTrack Management home page on subsequent logins.

5. Click **Manage Employees > Link Employees > Link Existing Employees**, then 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 **Account Management** from the LOGIN menu.



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 EmployeeTrack 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.

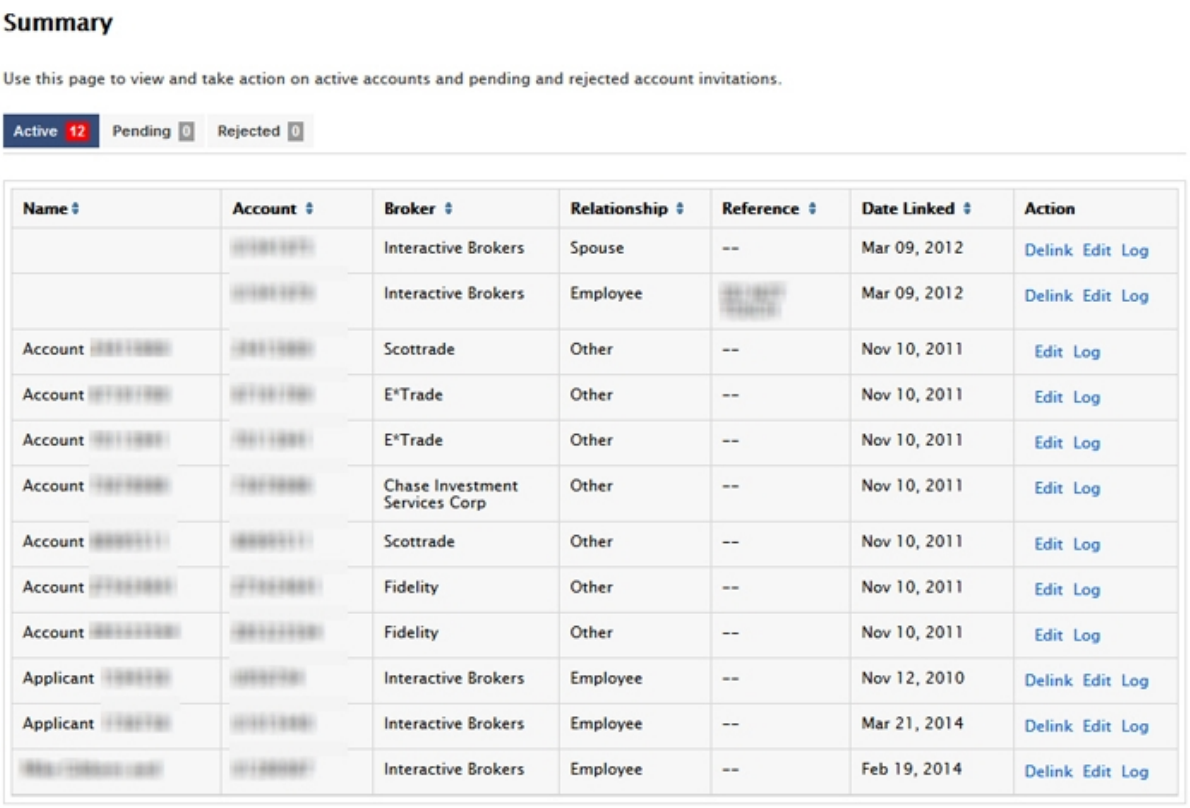
Once your session expires, another message appears informing you that your session has expired and you have been logged out. You must re-login to start a new EmployeeTrack Management session.

EmployeeTrack Management Home Page

This page appears on the Home page when you first log into EmployeeTrack Management.

The EmployeeTrack Management Home page includes:

- Summary Page -Displays all active, pending and rejected employee accounts. Each category is displayed on its own tabbed page. Note that this page is also available by clicking **Manage Employees > View**.



Summary

Use this page to view and take action on active accounts and pending and rejected account invitations.

Active 12 Pending 0 Rejected 0

Name	Account	Broker	Relationship	Reference	Date Linked	Action
		Interactive Brokers	Spouse	--	Mar 09, 2012	Delink Edit Log
		Interactive Brokers	Employee		Mar 09, 2012	Delink Edit Log
Account		Scottrade	Other	--	Nov 10, 2011	Edit Log
Account		E*Trade	Other	--	Nov 10, 2011	Edit Log
Account		E*Trade	Other	--	Nov 10, 2011	Edit Log
Account		Chase Investment Services Corp	Other	--	Nov 10, 2011	Edit Log
Account		Scottrade	Other	--	Nov 10, 2011	Edit Log
Account		Fidelity	Other	--	Nov 10, 2011	Edit Log
Account		Fidelity	Other	--	Nov 10, 2011	Edit Log
Applicant		Interactive Brokers	Employee	--	Nov 12, 2010	Delink Edit Log
Applicant		Interactive Brokers	Employee	--	Mar 21, 2014	Delink Edit Log
		Interactive Brokers	Employee	--	Feb 19, 2014	Delink Edit Log

Summary

The Summary 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.

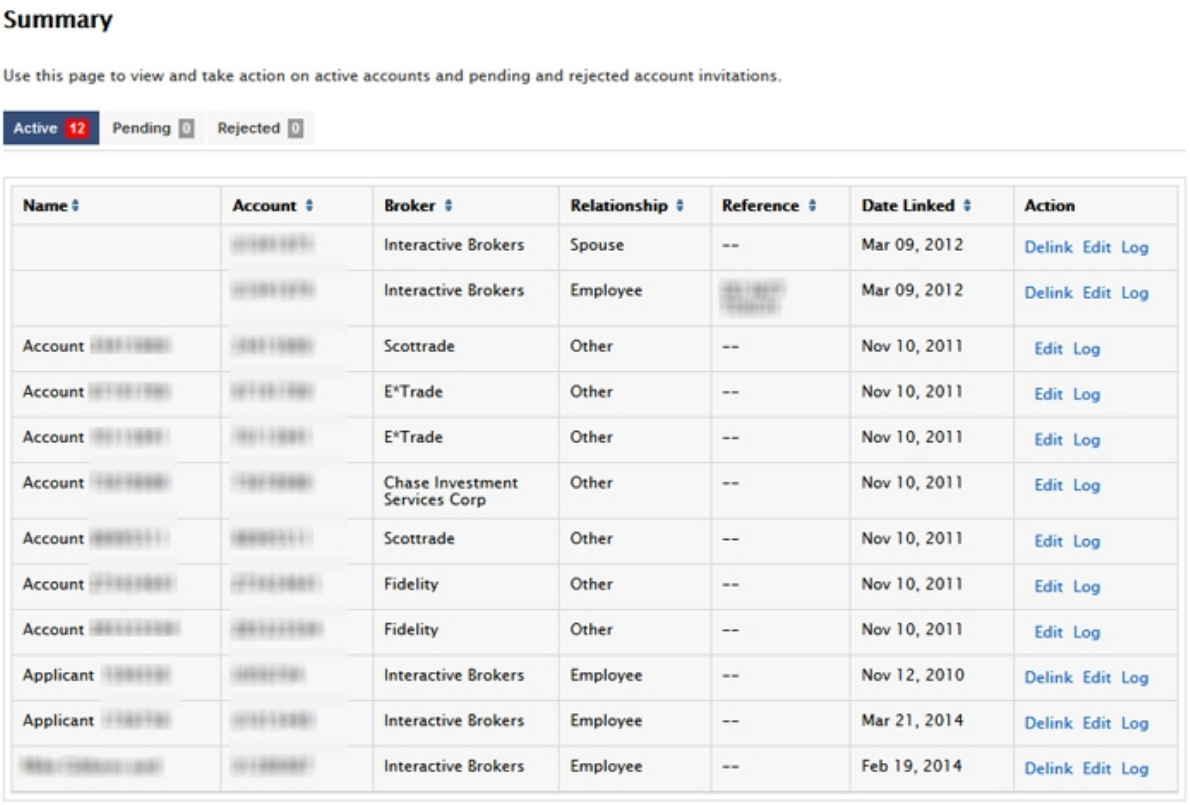
On this page, a compliance officer can:

- View all active linked employee IB accounts, including the account number, reference ID, email address and status of each account, as well as all pending and rejected accounts.
- 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 Summary page

1. Click **Manage Employees > View** (or click the red icon on the left side of the menu to go to the **Home** page). The Summary page is the first page that opens when you log into EmployeeTrack Management.

   Lists of active, pending and rejected employee accounts are each shown on their own tabbed pages. The current numbers of Active, Pending and Rejected accounts are displayed on each tab. By default, the Active tab displays.



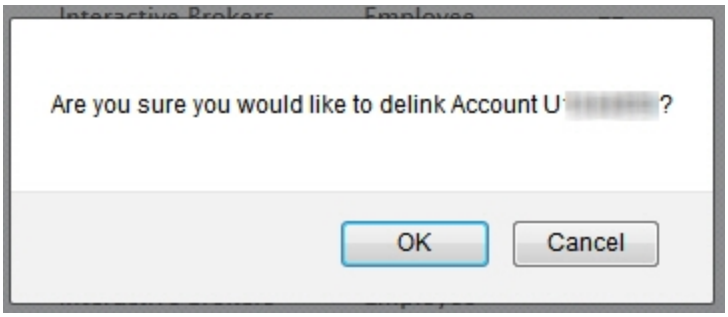
Summary

Use this page to view and take action on active accounts and pending and rejected account invitations.

Active 12 Pending 0 Rejected 0

Name	Account	Broker	Relationship	Reference	Date Linked	Action
		Interactive Brokers	Spouse	--	Mar 09, 2012	Delink Edit Log
		Interactive Brokers	Employee		Mar 09, 2012	Delink Edit Log
Account		Scottrade	Other	--	Nov 10, 2011	Edit Log
Account		E*Trade	Other	--	Nov 10, 2011	Edit Log
Account		E*Trade	Other	--	Nov 10, 2011	Edit Log
Account		Chase Investment Services Corp	Other	--	Nov 10, 2011	Edit Log
Account		Scottrade	Other	--	Nov 10, 2011	Edit Log
Account		Fidelity	Other	--	Nov 10, 2011	Edit Log
Account		Fidelity	Other	--	Nov 10, 2011	Edit Log
Applicant		Interactive Brokers	Employee	--	Nov 12, 2010	Delink Edit Log
Applicant		Interactive Brokers	Employee	--	Mar 21, 2014	Delink Edit Log
		Interactive Brokers	Employee	--	Feb 19, 2014	Delink Edit Log

2. Click one of the tabs to view a list of pending or rejected client accounts.
3. 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.
   - A message appears asking you to confirm your delink request. Click **OK**.



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.

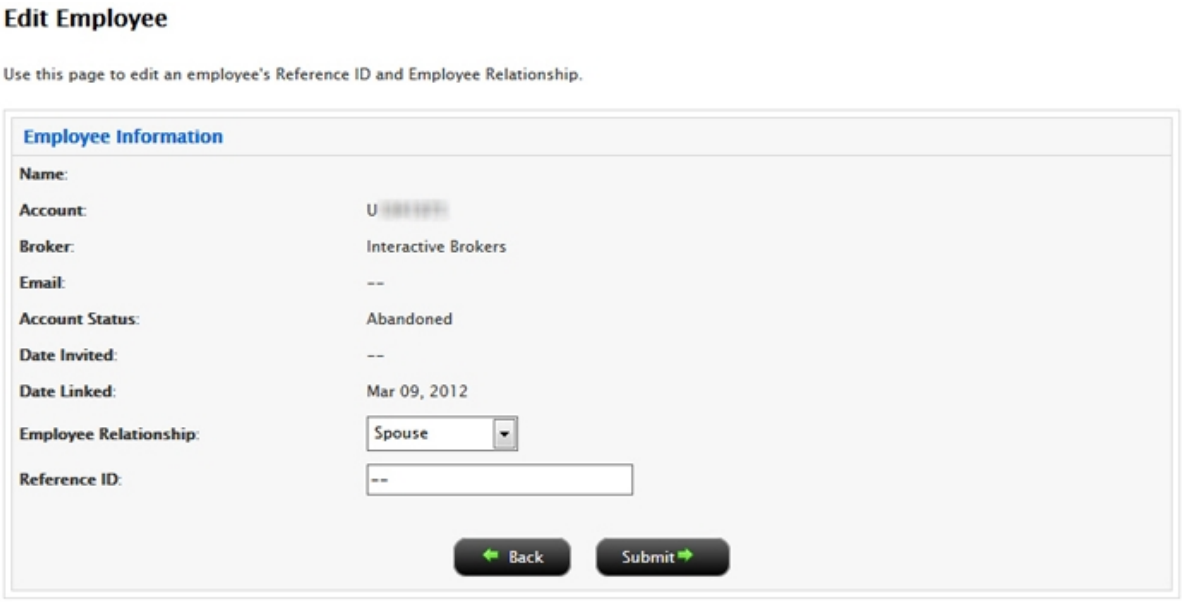
You specified the employee's relationship when you entered employee information on the Link Employees page.

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 **Home**. The Employee Accounts is the first page that opens when you log into EmployeeTrack Management.
2. To edit an employee account, click *Edit* in the Action column for the desired employee account.

   The Edit Employee page appears.



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**.

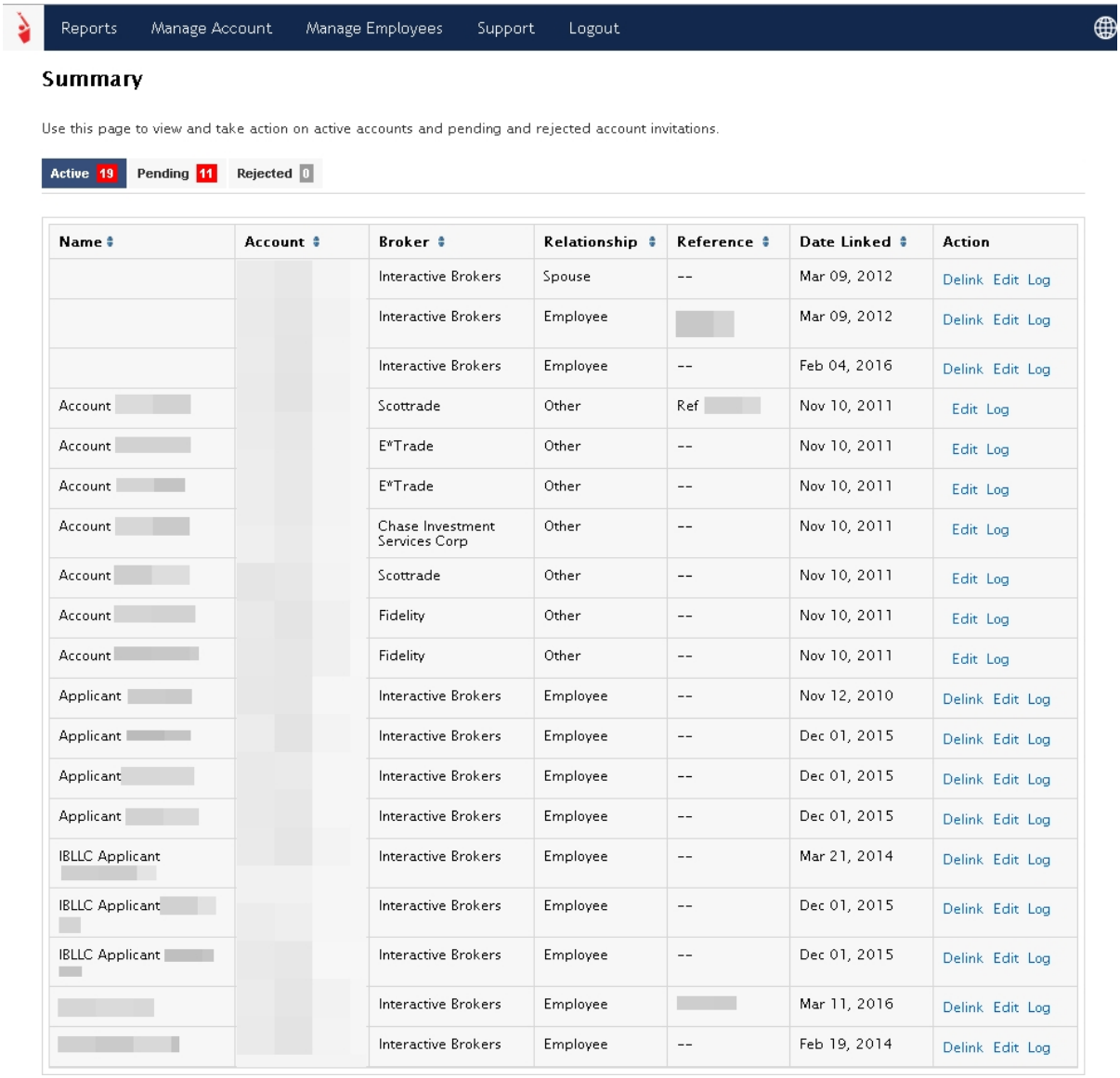
   The Employee Accounts page displays, along with a message informing you the the account update was successful.

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.

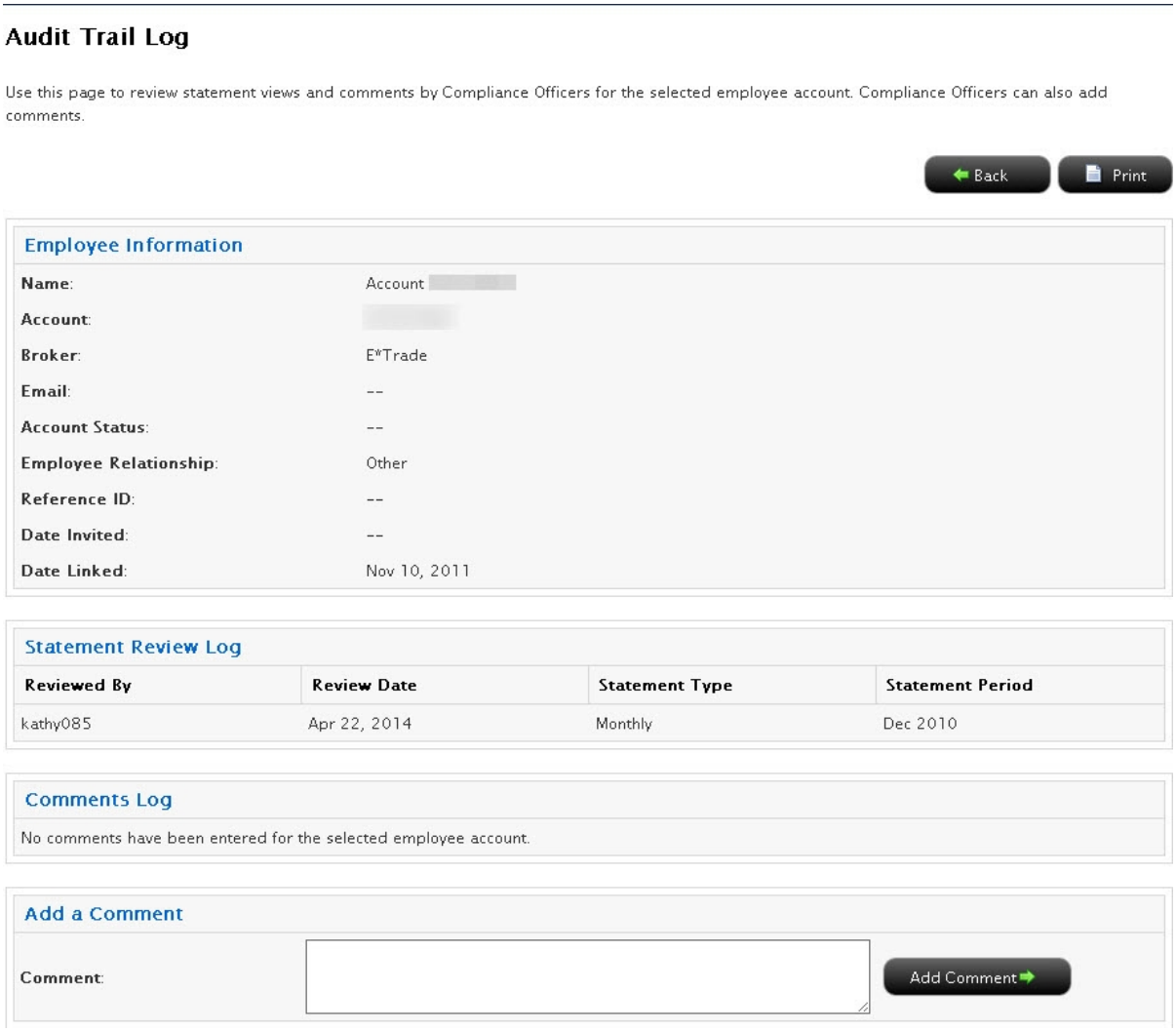
To view the audit trail for an employee account

1. Click **Home**. The Employee Accounts is the first page that opens when you log into EmployeeTrack Management.



2. Click *Log* in the Action column for the desired employee account.

   The Audit Trail Log page appears.



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.
5. Click the **Print** button to print the Audit Trail Log page.
6. Click the **Back** button to return to the home page.

Pending Accounts

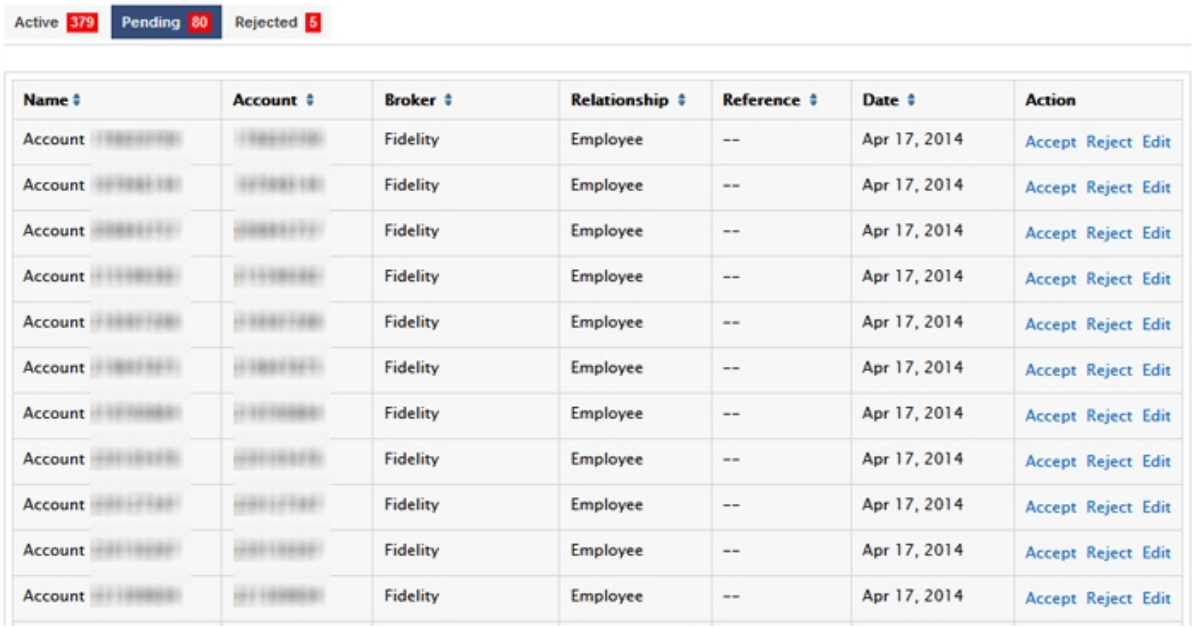
The Pending tab of the Summary page displays all pending employee accounts invitations.

On this page, a Compliance Officer can:

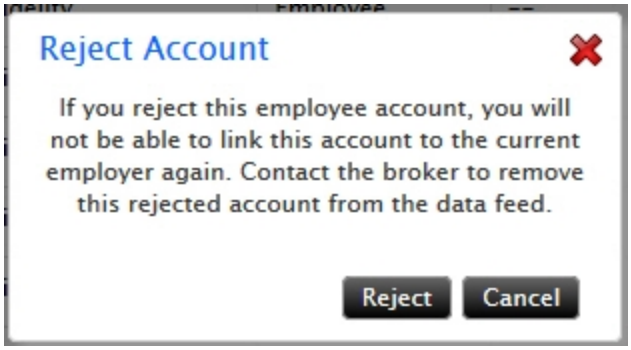
- Accept pending account invitations.
- Reject pending account invitations.
- Change the employer for a pending account.

To take action on a Pending account

1. On the Summary page, click the **Pending** tab.

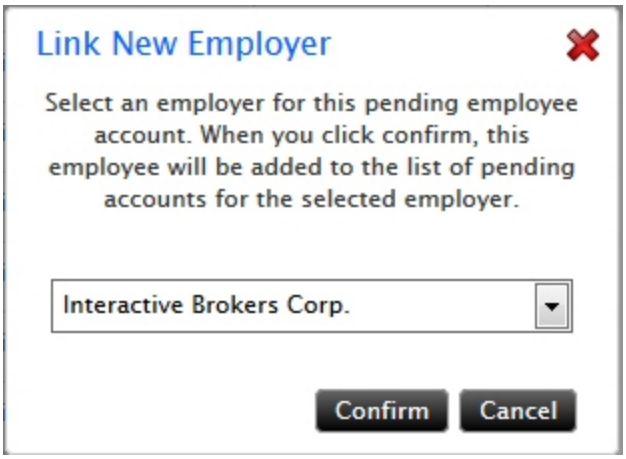


2. Do one of the following:
   - Accept a pending account invitation by clicking the **Accept** link in the Action column. Once you click the link, the account will be linked to your EmployeeTrack account.
   - Reject a pending account invitation by clicking the **Reject** link in the Action column. When you click the link, a confirmation dialog opens.



Read the note in the dialog. If you are sure that you want to reject the account invitation, click **Reject**. If you change your mind and do not want to reject the account invitation, click **Cancel**.

- Change the employer for a pending account invitation by clicking the **Edit** link in the Action column. For example, your organization might contain several divisions, each one treated as a different employer in EmployeeTrack. When you click this link, the Link New Employer dialog opens.



Select an employer for the pending account by selecting one from the drop-down list. Click **Confirm** to save your selection and close the box. Click **Cancel** if you change your mind.

Messages

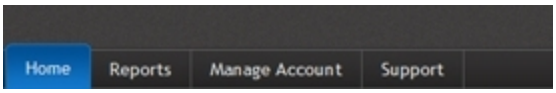
If you have pending Customer Service inquiries, including messages in response to inquiry tickets, they appear on the Message Center page. A quick glance at the Message Center tab under the Home menu lets you know how many Customer Service messages you have.

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

EmployeeTrack Management Menus

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

The top-level menu is constant; no matter what your account type, the top-level menu is always the same.



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

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

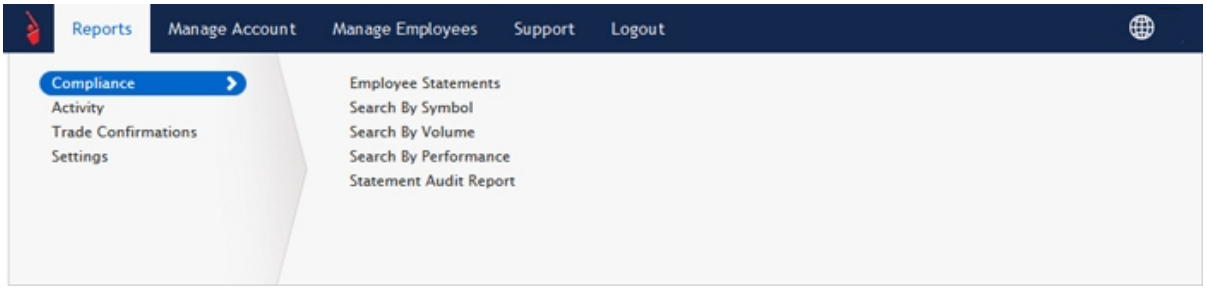
Navigating the EmployeeTrack Management Menus

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

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

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

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



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

5. Click any item in the **Compliance** menu to open that page.

Getting Help

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

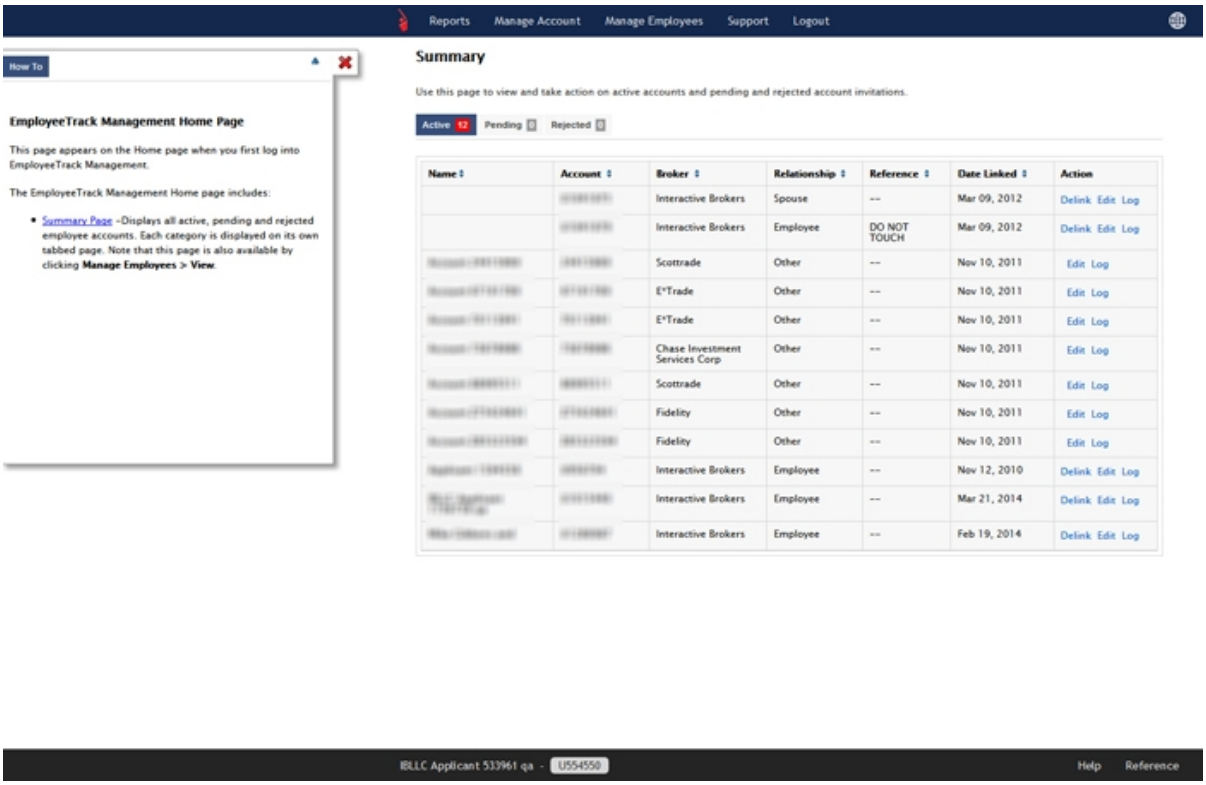
- Dynamic Help
- Users' Guide

Access Dynamic Help using the links located in the lower right portion of the screen.

You can also click the **PDF** link to create and save a PDF file of the current page.

Dynamic Help

On most pages, you can display a help panel that contains simple step-by-step instructions. To display the dynamic help panel, click **Help** link on the lower right. The help panel slides in from the left side of the screen. To close the help panel, click the red X.

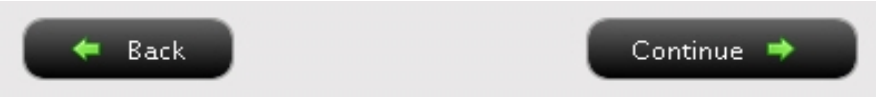


EmployeeTrack Management Users' Guide

This Guide contains detailed instructions on how to use the different functions in EmployeeTrack Management.Access this guide from within dynamic help topics, or by clicking the book icon to open the Reference menu, or from the Documentation page in the Traders' University on our website.

Navigating EmployeeTrack Management Pages

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



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.

Changing the Display Language

You can change the display language in EmployeeTrack Management using the Language Menu located at the top right of the screen. Your language selection will also be applied to the Customer Service Message Center and Tools.

To change the display language

1. Log into EmployeeTrack Management.
2. Click the globe icon located at the top right of the screen.
3. The language settings appear:

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

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

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

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

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

Logging Out

To log out of EmployeeTrack Management

1. Click **Logout** on the main menu.

2

Reports

This chapter describes the functions available in the Reports menu.

The following topics are included:

- Compliance
- Activity
- Trade Confirmations
- Delivery Settings

Compliance

The **Reports > Compliance** menu includes the following functions, which are accessible to Compliance Officers whose employees have accounts with Interactive Brokers:

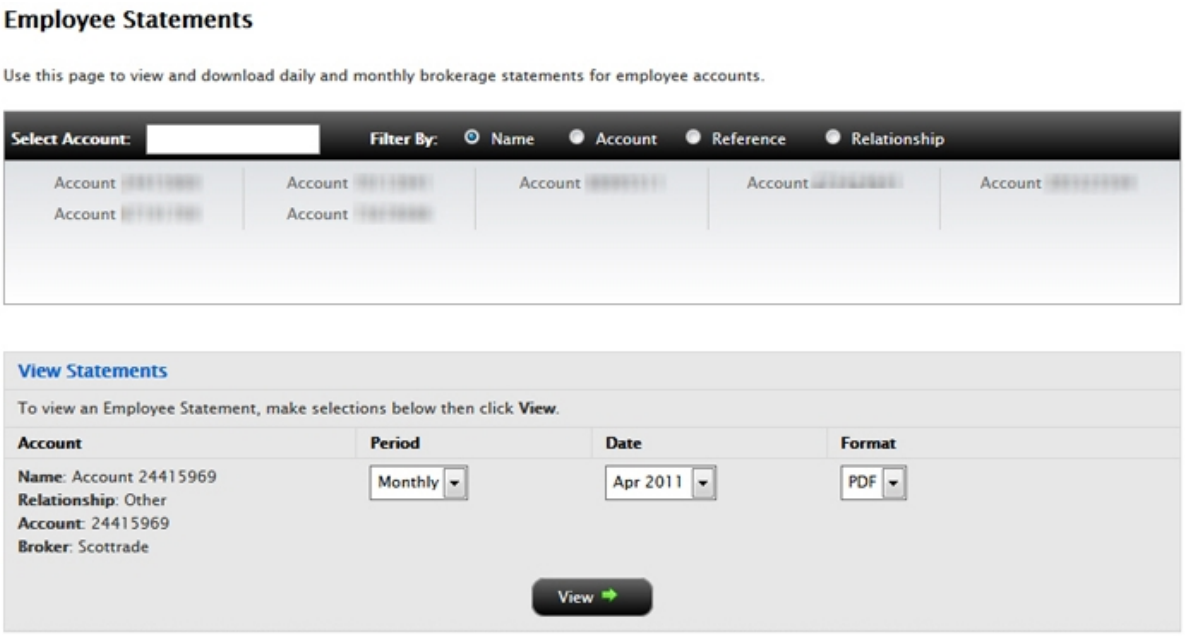
- Employee Statements
- Search by Symbol
- Search by Volume
- Search by Performance
- Statement Views Audit

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.

To use the Employee Statements page

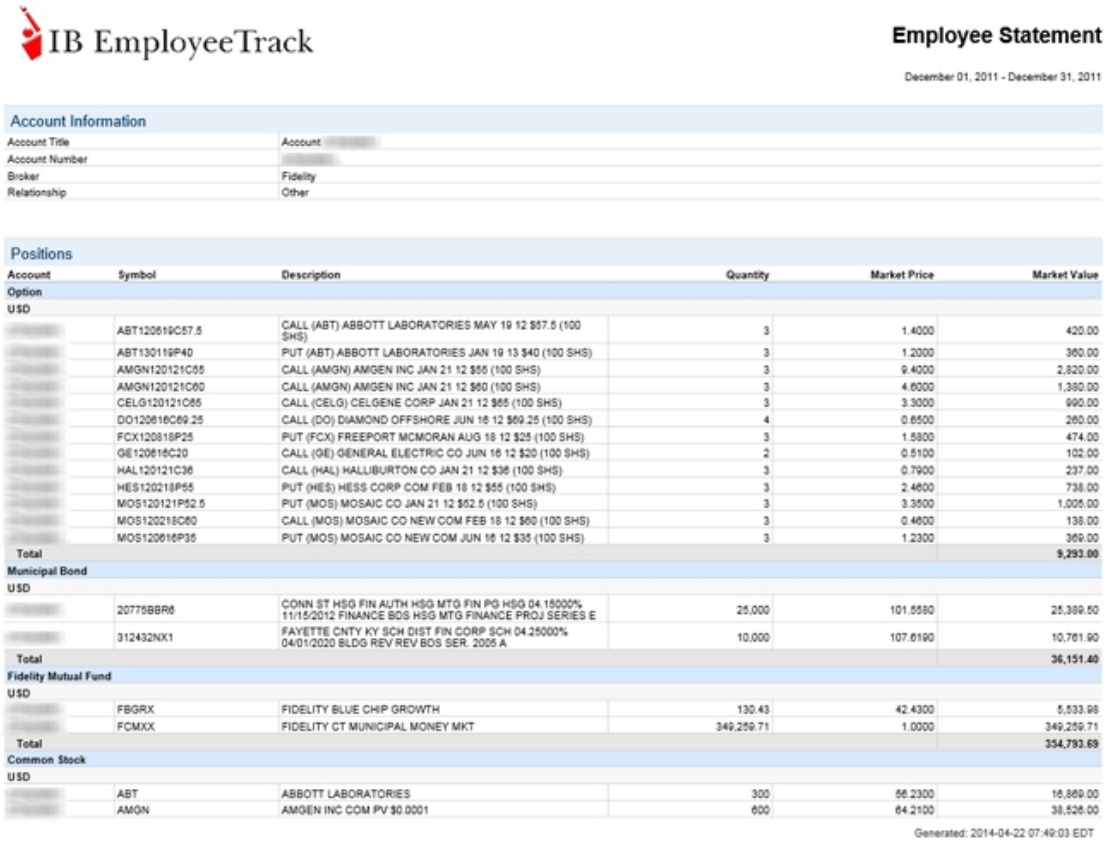
1. Click **Reports > Compliance > Employee Statements**.



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:
   - In the Period column, use the radio buttons to select either a **Daily** or **Monthly** statement.
   - In the Date field, select either a specific date for a daily statement, or a specific month/year for a monthly statement.
   - 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.
4. Click **View**.
   - If you selected *HTML* as the Format, the statement will open in a new browser tab or window.
   - If you selected *PDF* or *CSV* as the Format, save the file to your computer when prompted.

   Here is an example of a PDF-formatted employee statement:



IB EmployeeTrack

Employee Statement

December 01, 2011 - December 31, 2011

Account Information

Account Title	Account
Account Number	
Broker	Fidelity
Relationship	Other

Positions

Account	Symbol	Description	Quantity	Market Price	Market Value
Option					
USD					
	ABT120519C57.5	CALL (ABT) ABBOTT LABORATORIES MAY 19 12 $57.5 (100 SHS)	3	1.4000	420.00
	ABT130119P40	PUT (ABT) ABBOTT LABORATORIES JAN 19 13 $40 (100 SHS)	3	1.2000	360.00
	AMGN120121C55	CALL (AMGN) AMGEN INC JAN 21 12 $55 (100 SHS)	3	9.4000	2,820.00
	AMGN120121C60	CALL (AMGN) AMGEN INC JAN 21 12 $60 (100 SHS)	3	4.6000	1,380.00
	CELG120121C65	CALL (CELG) CELGENE CORP JAN 21 12 $65 (100 SHS)	3	3.3000	990.00
	DO120616C69.25	CALL (DO) DIAMOND OFFSHORE JUN 16 12 $69.25 (100 SHS)	4	0.6500	260.00
	FCX120818P25	PUT (FCX) FREEPORT MCMORAN AUG 18 12 $25 (100 SHS)	3	1.5800	474.00
	GE120616C20	CALL (GE) GENERAL ELECTRIC CO JUN 16 12 $20 (100 SHS)	2	0.5100	102.00
	HAL120121C36	CALL (HAL) HALLIBURTON CO JAN 21 12 $36 (100 SHS)	3	0.7900	237.00
	HES120218P55	PUT (HES) HESS CORP COM FEB 18 12 $55 (100 SHS)	3	2.4600	738.00
	MOS120121P52.5	PUT (MOS) MOSAIC CO JAN 21 12 $52.5 (100 SHS)	3	3.3500	1,005.00
	MOS120218C60	CALL (MOS) MOSAIC CO NEW COM FEB 18 12 $60 (100 SHS)	3	0.4600	138.00
	MOS120616P35	PUT (MOS) MOSAIC CO NEW COM JUN 16 12 $35 (100 SHS)	3	1.2300	369.00
Total					**9,293.00**
Municipal Bond					
USD					
	20775BBR6	CONN ST HSG FIN AUTH HSG MTG FIN PG HSG 04.15000% 11/15/2012 FINANCE BDS HSG MTG FINANCE PROJ SERIES E	25,000	101.5580	25,389.50
	312432NX1	FAYETTE CNTY KY SCH DIST FIN CORP SCH 04.25000% 04/01/2020 BLDG REV REV BDS SER. 2005 A	10,000	107.6190	10,761.90
Total					**36,151.40**
Fidelity Mutual Fund					
USD					
	FBGRX	FIDELITY BLUE CHIP GROWTH	130.43	42.4300	5,533.98
	FCMXX	FIDELITY CT MUNICIPAL MONEY MKT	349,259.71	1.0000	349,259.71
Total					**354,793.69**
Common Stock					
USD					
	ABT	ABBOTT LABORATORIES	300	56.2300	16,869.00
	AMGN	AMGEN INC COM PV $0.0001	600	64.2100	38,526.00

Generated: 2014-04-22 07:49:03 EDT

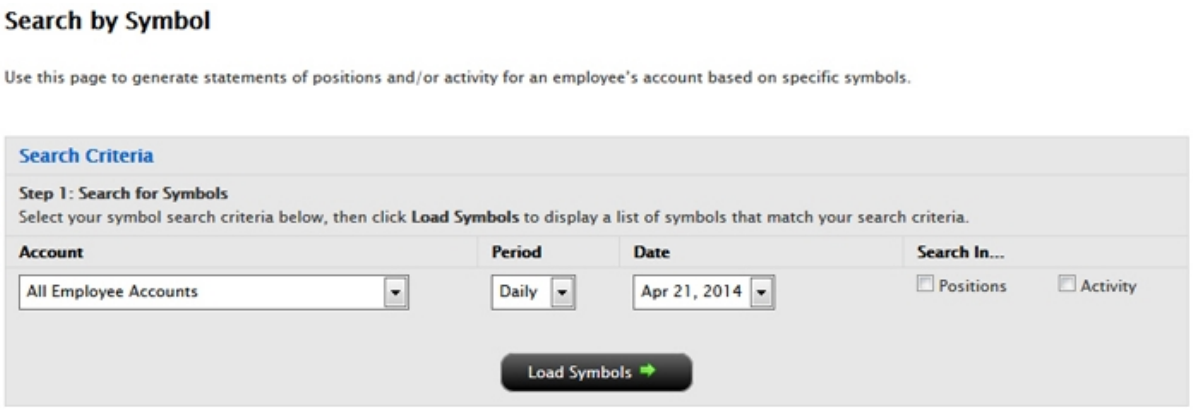
Search by Symbol

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.

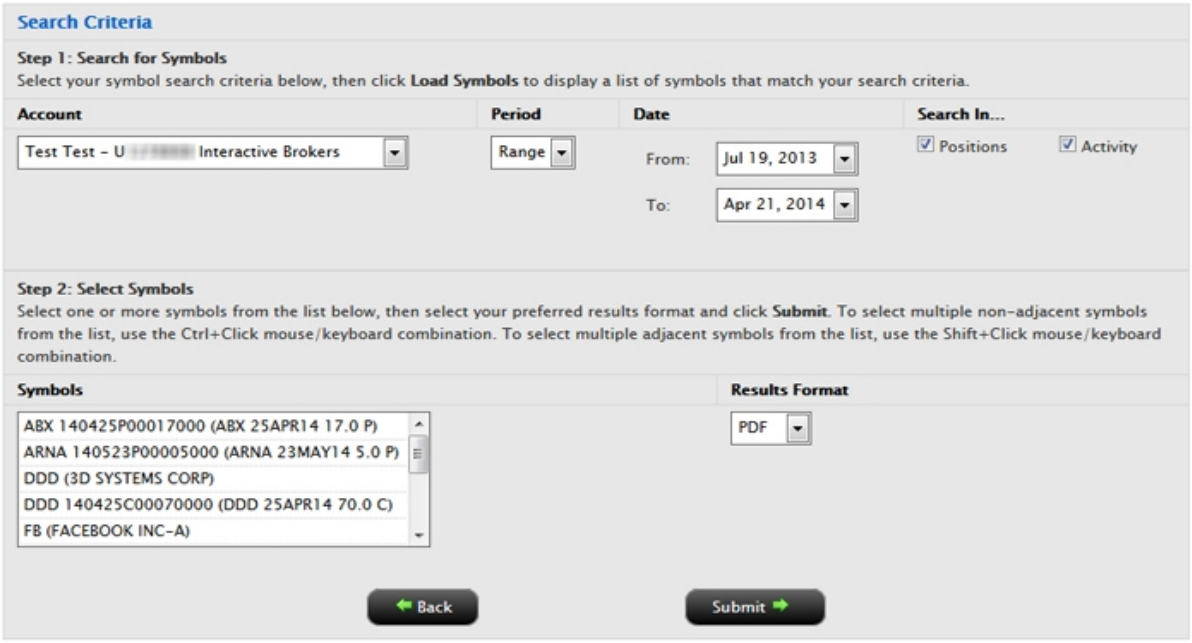
To use this page, first search for symbols by account, date range (which cannot exceed 365 days) and positions and or activity. The page returns all matching symbols. Then select one or more symbols and generate the desired statements. Compliance Officers can view and download PDF or HTML files for employees 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 **Reports > Compliance > 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. Note that you can select Daily and Range dates back to 2009.
   - Select **Positions** and/or **Activity** to search for symbols with any positions and/or activity in the selected account.



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



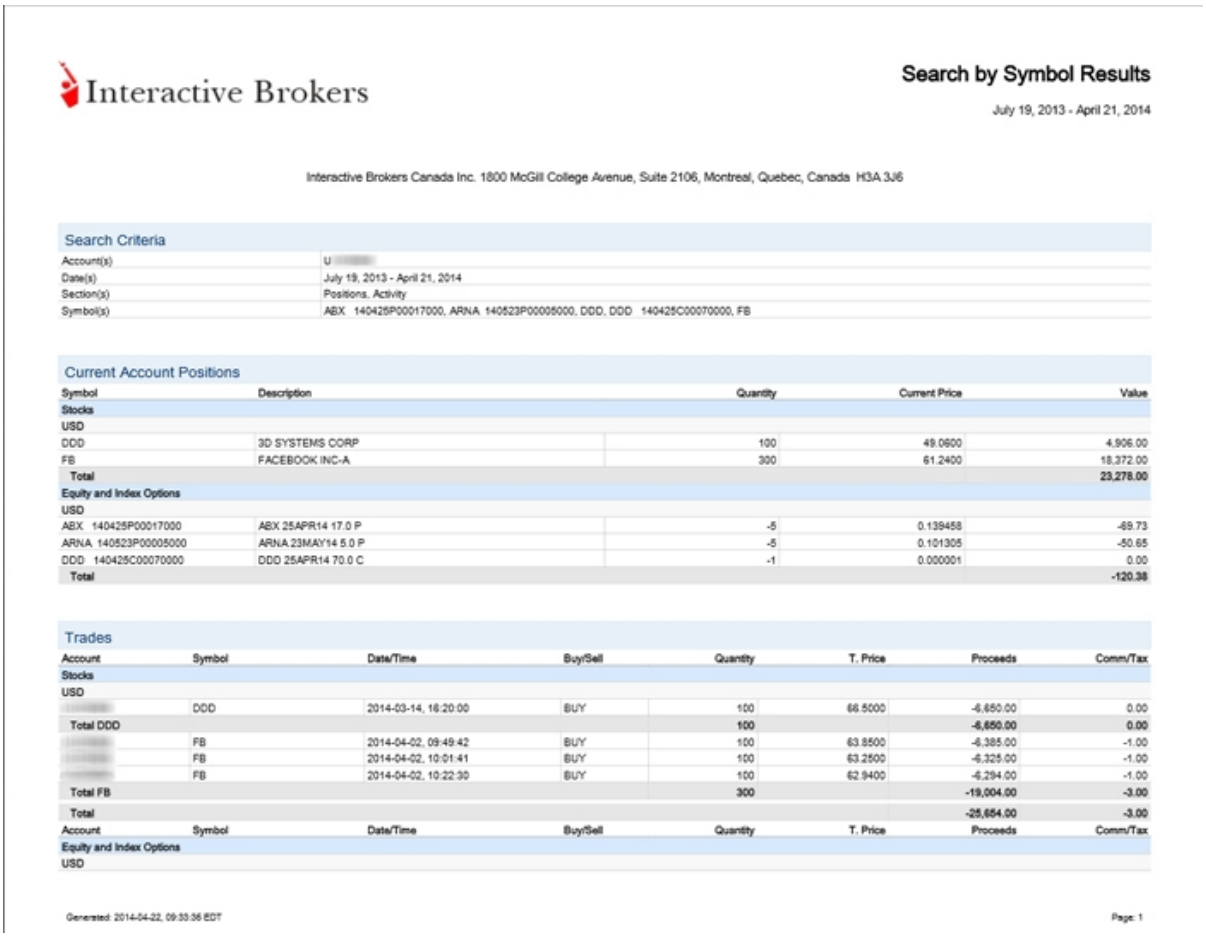
4. Select one or more symbols from the Symbols list (these are the search results).
5. Select a format for your search results in the Results Format list.

   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

Search by Symbol Results

July 19, 2013 - April 21, 2014

Interactive Brokers Canada Inc. 1800 McGill College Avenue, Suite 2106, Montreal, Quebec, Canada H3A 3J6

Search Criteria

Account(s)	U
Date(s)	July 19, 2013 - April 21, 2014
Section(s)	Positions, Activity
Symbol(s)	ABX 140425P00017000, ARNA 140523P00005000, DDD, DDD 140425C00070000, FB

Current Account Positions

Symbol	Description	Quantity	Current Price	Value
Stocks				
USD				
DDD	3D SYSTEMS CORP	100	49.0600	4,906.00
FB	FACEBOOK INC-A	300	61.2400	18,372.00
Total				**23,278.00**
Equity and Index Options				
USD				
ABX 140425P00017000	ABX 25APR14 17.0 P	-5	0.139458	-69.73
ARNA 140523P00005000	ARNA 23MAY14 5.0 P	-5	0.101305	-50.65
DDD 140425C00070000	DDD 25APR14 70.0 C	-1	0.000001	0.00
Total				**-120.38**

Trades

Account	Symbol	Date/Time	Buy/Sell	Quantity	T. Price	Proceeds	Comm/Tax
Stocks							
USD							
	DDD	2014-03-14, 16:20:00	BUY	100	66.5000	-6,650.00	0.00
Total DDD				**100**		**-6,650.00**	**0.00**
	FB	2014-04-02, 09:49:42	BUY	100	63.8500	-6,385.00	-1.00
	FB	2014-04-02, 10:01:41	BUY	100	63.2500	-6,325.00	-1.00
	FB	2014-04-02, 10:22:30	BUY	100	62.9400	-6,294.00	-1.00
Total FB				**300**		**-19,004.00**	**-3.00**
Total						**-25,654.00**	**-3.00**
Account	**Symbol**	**Date/Time**	**Buy/Sell**	**Quantity**	**T. Price**	**Proceeds**	**Comm/Tax**
Equity and Index Options							
USD							

Generated: 2014-04-22, 09:33:36 EDT

Page: 1

Search by Volume

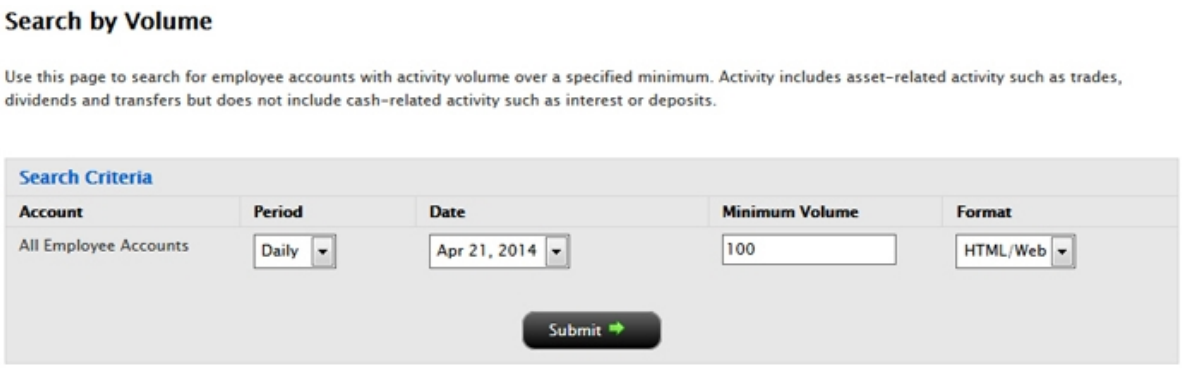
The Search by Volume page lets Compliance Officers search all employee accounts for accounts that have trading volume over a specified value and view a report of the results. Activity includes trades, dividends and transfers but does not include cash-related activities such as interest or deposits.

The Search by Volume results sorts employee accounts by the number of transactions in descending order, and include performance in Net Asset Value (NAV) for each account. The results do not specify specific activity.

To use the Search by Volume page

1. Click **Reports > Compliance > Search by Volume**.
2. Enter search criteria:

- Select *Daily* or *Range* in the Period field.
- If you selected Daily as the Period, select a specific date from the Date drop-down. If you selected *Range* as the Period, select a From and To date in the Date Range fields. Note that you can select Daily and Range dates back to 2009.
- In the Minimum Volume field, enter a volume threshold. The number you enter must be an integer greater than 0. The results will include employee accounts that have activity volume equal to or higher than the value you enter.
- In the Format field, select your desired output format (*HTML/Web* or *PDF*).



3. Click **Submit**.

- If you selected *HTML/Web* as the Format, the statement will open in a new browser tab or window.
- If you selected *PDF* as the Format, save the file to your computer when prompted.

The following image shows an HTML/Web-formatted Search by Volume result with the minimum volume set to 50.

Search by Performance

The Search by Performance page lets Compliance Officers search all employee accounts for accounts with performance greater than and/or less than a specified Net Asset Value (NAV) percentage and view a report of the results.

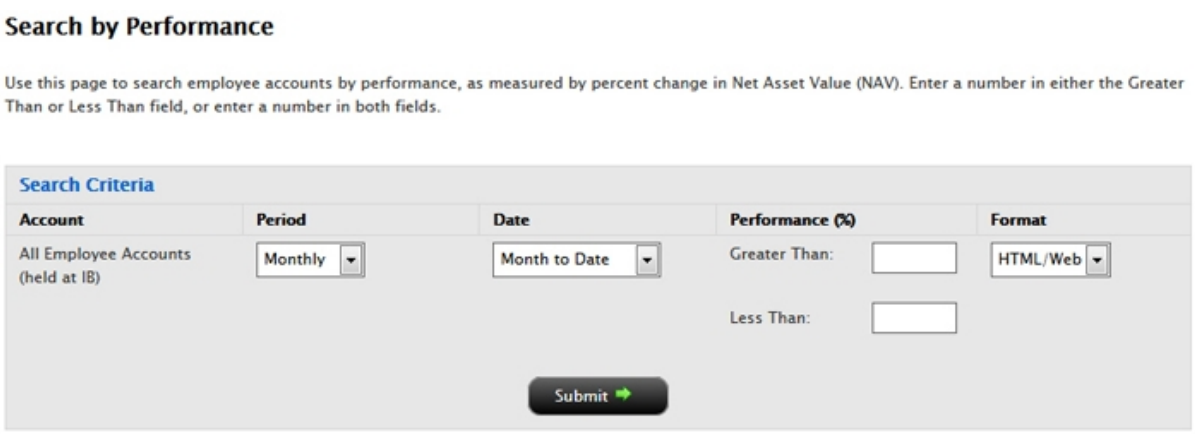
The Search by Performance results display employee Account IDs and Names as well as the number of transactions for each account, and sorts the results by percent change in NAV in descending order. Performance changes do not include deposits or withdrawals.

To use the Search by Performance page

1. Click **Reports > Compliance > Search by Performance**.
2. Enter search criteria:
   - Select *Monthly*, *Quarterly* or *Yearly* in the Period field.
   - Select *Month to Date*, *Quarter to Date* or *Year to Date*, or select a specific month, quarter or year in the Date field.
   - In the Performance (%) fields, enter a performance threshold (percent NAV) in either the Greater Than or Less Than field, or enter a number in both fields to expand your search.

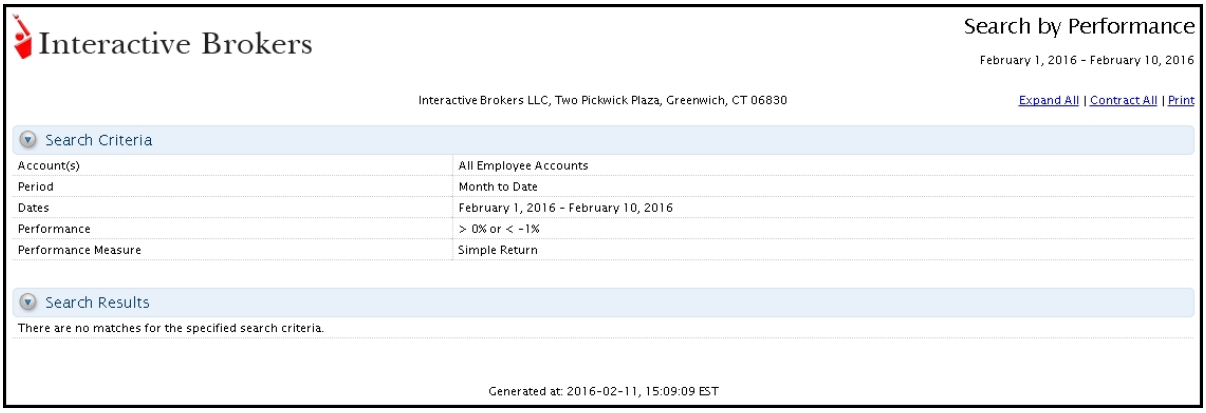
     In the Greater Than field, enter a positive number to see all employee accounts that have a percent NAV equal to or greater than the value you enter.

     In the Less Than field, enter a negative number to see all employee accounts that have a percent NAV equal to or less than the value you enter.
   - In the Format field, select your desired output format (*HTML/Web* or *PDF*).



3. Click **Submit**.
   - If you selected *HTML/Web* as the Format, the statement will open in a new browser tab or window.
   - If you selected *PDF* as the Format, save the file to your computer when prompted.

The following image shows an HTML/Web-formatted Search by Performance result with the minimum NAV percentage set to 1.00.

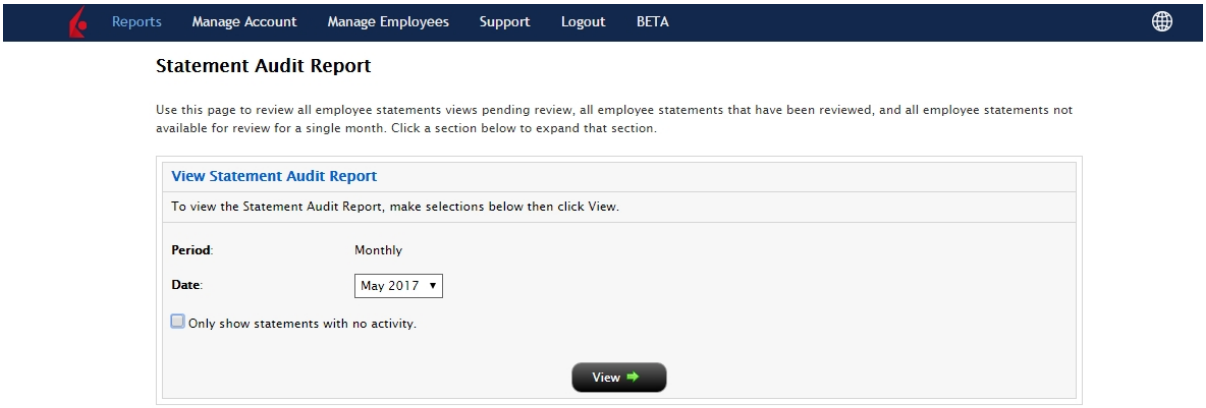


Statement Audit Report

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 Views Audit page

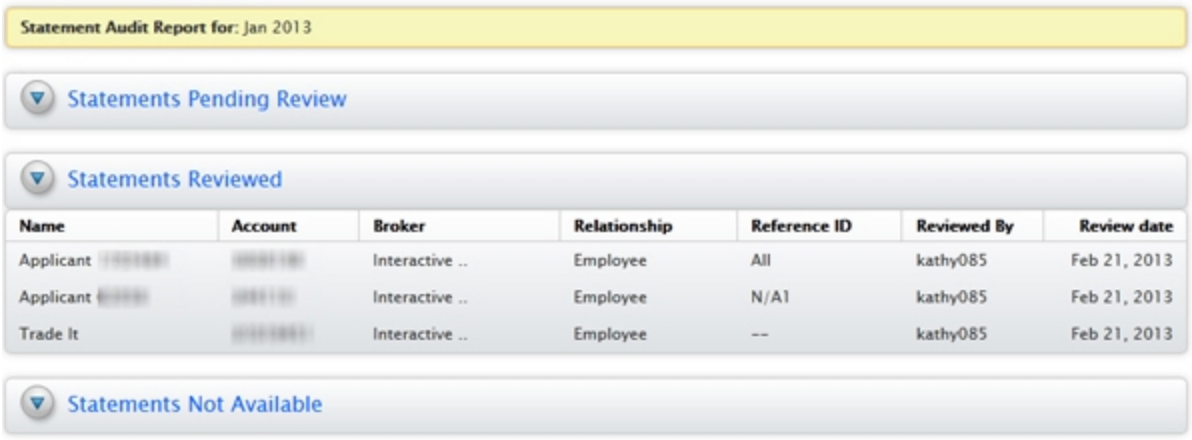
1. Click **Reports > Compliance > Statement Views Audit**.



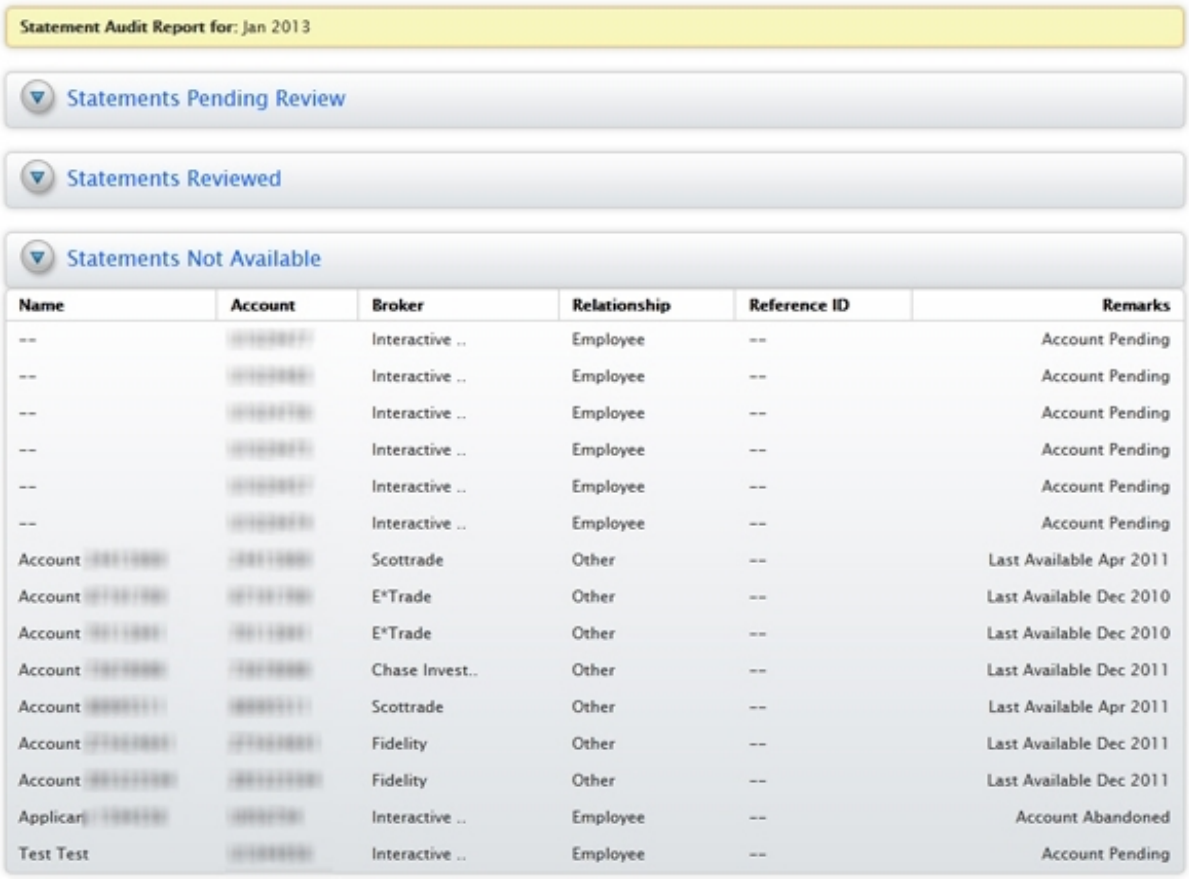
2. Optionally, check **Only show statements with no activity**. If enabled, the report will only show statements with no asset activity for the selected date.
3. Select a month and year from the Date drop-down, then click **View**.
4. There are three views:
   - Statements Pending Review - A list of 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.

Statements Pending Review

Statements Reviewed

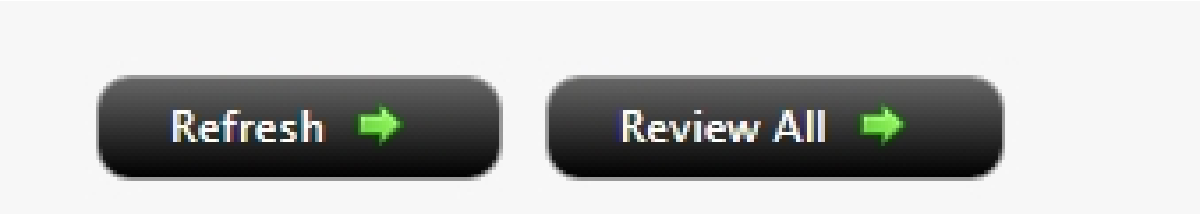


Statements Not Available



Name	Account	Broker	Relationship	Reference ID	Remarks
--		Interactive ..	Employee	--	Account Pending
--		Interactive ..	Employee	--	Account Pending
--		Interactive ..	Employee	--	Account Pending
--		Interactive ..	Employee	--	Account Pending
--		Interactive ..	Employee	--	Account Pending
--		Interactive ..	Employee	--	Account Pending
Account		Scottrade	Other	--	Last Available Apr 2011
Account		E*Trade	Other	--	Last Available Dec 2010
Account		E*Trade	Other	--	Last Available Dec 2010
Account		Chase Invest..	Other	--	Last Available Dec 2011
Account		Scottrade	Other	--	Last Available Apr 2011
Account		Fidelity	Other	--	Last Available Dec 2011
Account		Fidelity	Other	--	Last Available Dec 2011
Applicar		Interactive ..	Employee	--	Account Abandoned
Test Test		Interactive ..	Employee	--	Account Pending

4. Click the arrow to expand or collapse a view. A sample of each view is shown below.
5. Click **Review All** to approve all the statements in the list at once. The page will refresh and say, "All Statements have been reviewed."



Activity

The **Reports > Activity** menu includes the following functions, which are intended for Compliance Officers whose linked employees have Interactive Brokers accounts:

- Activity Statements
- Activity Flex Queries
- Batch Reports

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.

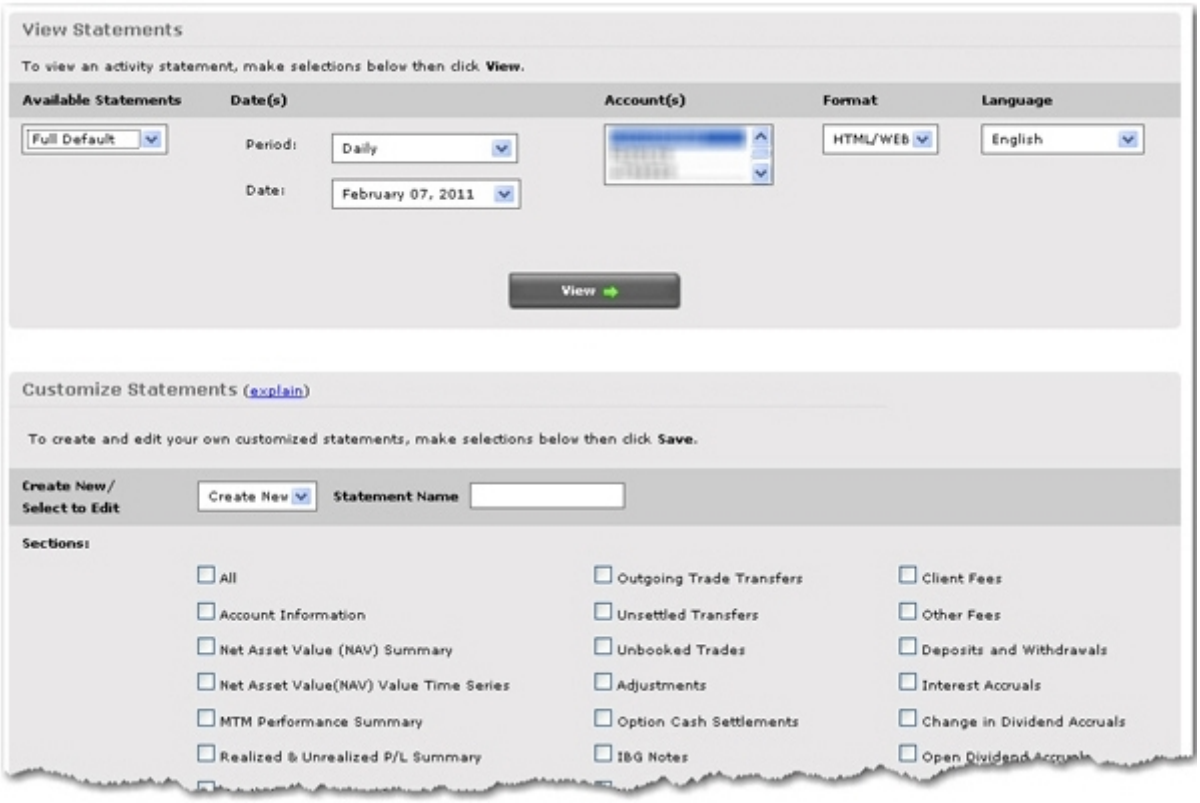
Information included in an Activity Statement is presented in expandable and collapsible sections with click-down detail. There are three default statements to choose from, but you can also create your own customized statements to include or exclude individual sections as well as set various other options.

Default Statements

- *Default Full* - includes all sections in the statement.
- *Default Simple* - a simpler monthly or daily view that excludes some sections from the statement.
- *Default Summary* - a simple summary statement that includes only these sections: NAV Summary, Profit and Loss Summary, Account Detail Section: Positions and Trades, Cash Report.

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.



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.

Viewing an Activity Statement

Guidelines for Viewing Activity Statements

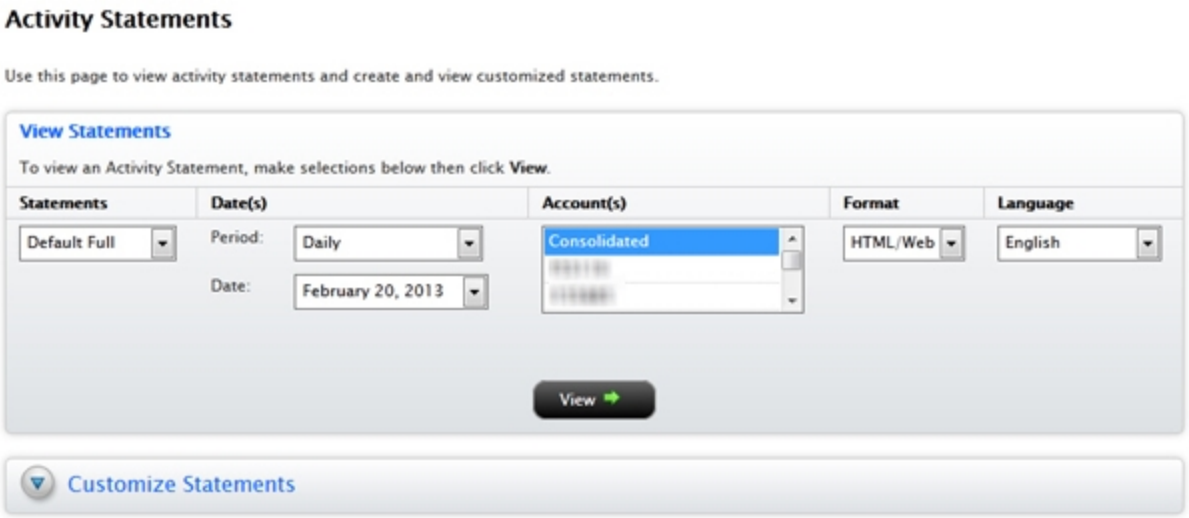
Make a note of the following guidelines when viewing activity statements:

- Compliance Officers can select one or more linked employee accounts from the Account(s) list or *Consolidated* to view all employee IB 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.

To view an activity statement from Account Management

1. Click **Reports > Activity**.

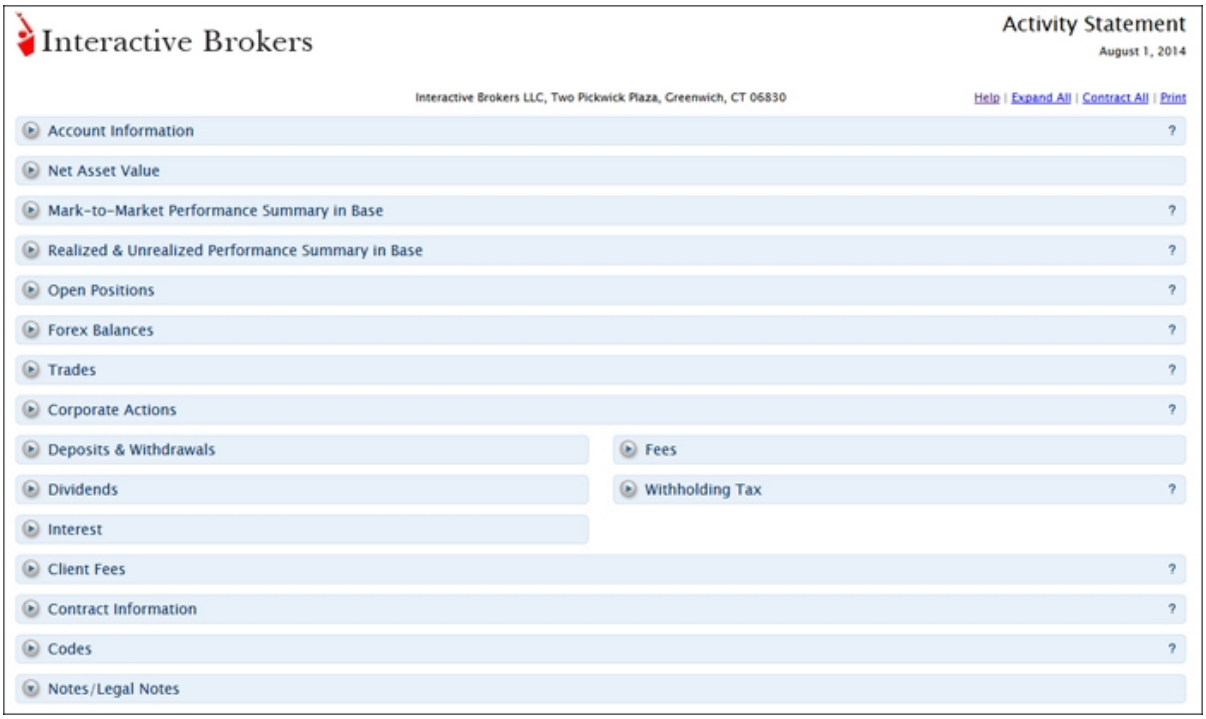
- To include activity from accounts you have recently closed, select the *Include Closed Accounts* check box.

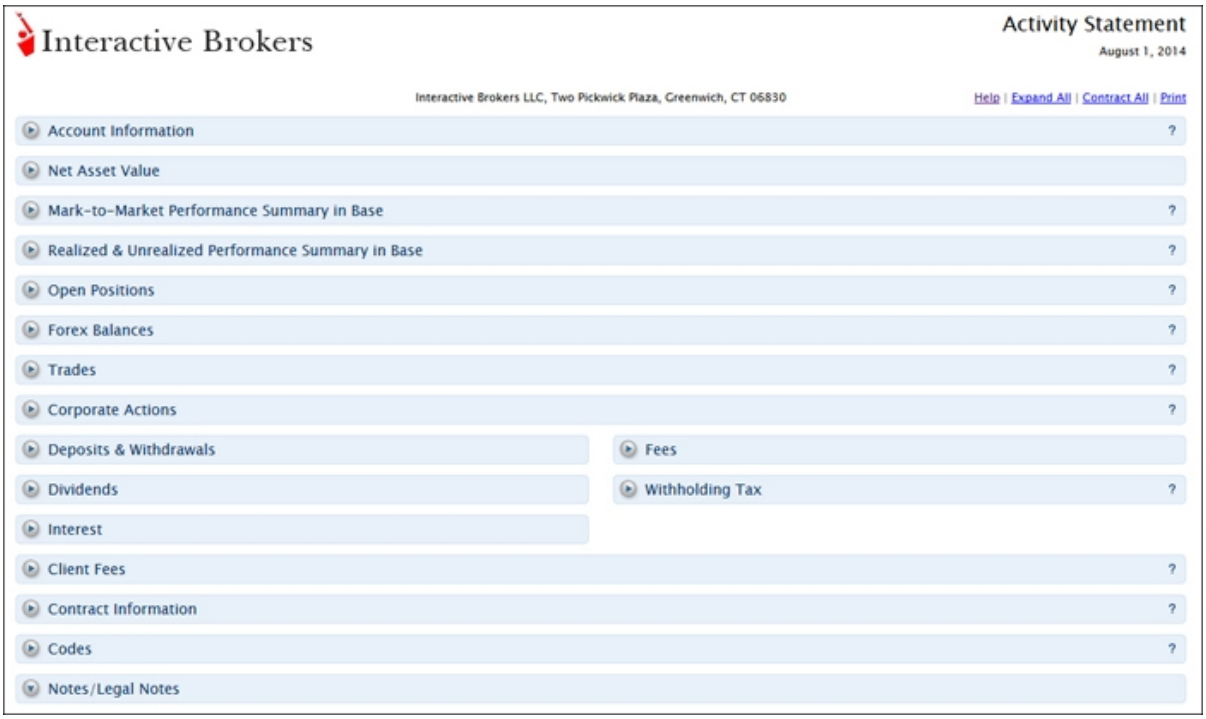


2. In the View Statements section make the following selections:
   - In the Template list, select the statement you want to use for the statement. Select *Default Full* to include all sections in the statement, *Default Simple* to view a simpler monthly or daily view that excludes some sections from the statement, *Default Summary* to view a simple summary statement that includes only a few sections, or select one of your own saved customized statements.
   - 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.
   - In the Language field, select a language.
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.



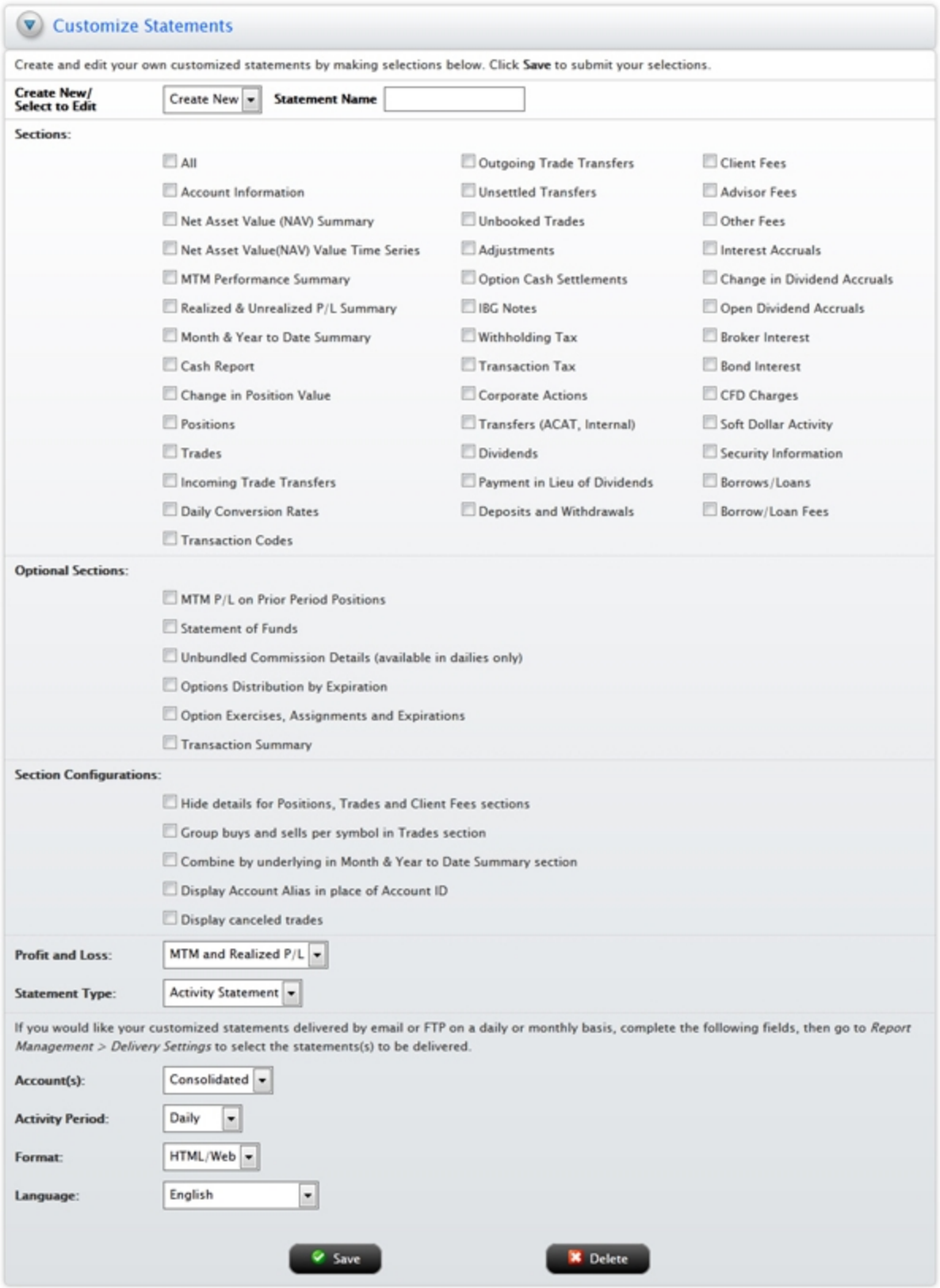


Customized Statements

You can create and save customized statements that let you exclude unnecessary information from activity statements for your linked employees with Interactive Brokers accounts. 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 **Reports > Activity**.
2. Scroll down to the *Customize Statements* section of the page.


Customize Statements
Create and edit your own customized statements by making selections below. Click Save to submit your selections.
Create New/ Select to Edit
Create New
Statement Name
Sections:
All
Account Information
Net Asset Value (NAV) Summary
Net Asset Value(NAV) Value Time Series
MTM Performance Summary
Realized & Unrealized P/L Summary
Month & Year to Date Summary
Cash Report
Change in Position Value
Positions
Trades
Incoming Trade Transfers
Daily Conversion Rates
Transaction Codes
Outgoing Trade Transfers
Unsettled Transfers
Unbooked Trades
Adjustments
Option Cash Settlements
IBG Notes
Withholding Tax
Transaction Tax
Corporate Actions
Transfers (ACAT, Internal)
Dividends
Payment in Lieu of Dividends
Deposits and Withdrawals
Client Fees
Advisor Fees
Other Fees
Interest Accruals
Change in Dividend Accruals
Open Dividend Accruals
Broker Interest
Bond Interest
CFD Charges
Soft Dollar Activity
Security Information
Borrows/Loans
Borrow/Loan Fees
Optional Sections:
MTM P/L on Prior Period Positions
Statement of Funds
Unbundled Commission Details (available in dailies only)
Options Distribution by Expiration
Option Exercises, Assignments and Expirations
Transaction Summary
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
Display canceled trades
Profit and Loss:
MTM and Realized P/L
Statement Type:
Activity Statement
If you would like your customized statements delivered by email or FTP on a daily or monthly basis, complete the following fields, then go to Report Management > Delivery Settings to select the statements(s) to be delivered.
Account(s):
Consolidated
Activity Period:
Daily
Format:
HTML/Web
Language:
English
Save
Delete

3. Select *Create New*, then enter a name for the statement. 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.
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. 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.

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

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.

You select customized activity statements for delivery on the Delivery Settings page.

Activity Flex Queries

The Activity Flex Queries page lets you create highly customized report templates for Activity Statements for your employees with Interactive Brokers accounts. 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.

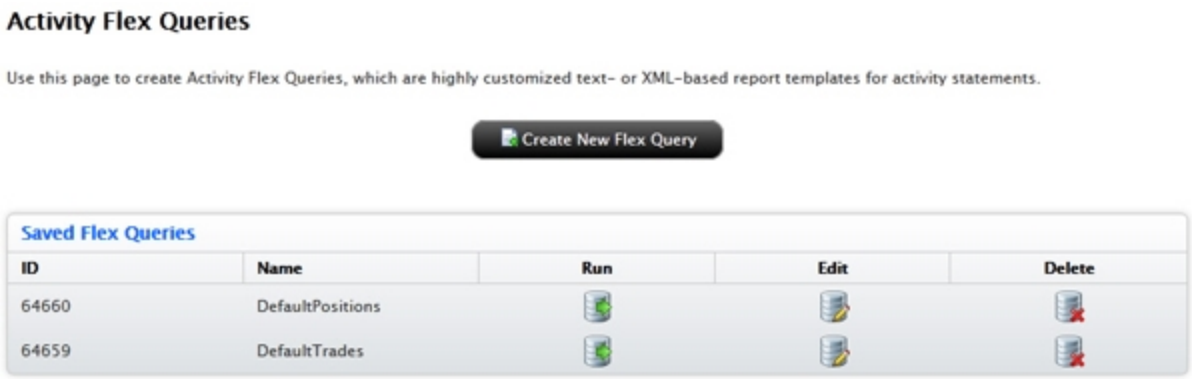
Activity Flex Queries in EmployeeTrack Management are identical to those in Account Management.

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 **Reports > Activity > Flex Queries**. Any Activity Flex Queries that you previously created are listed on the page.



2. Perform one of the following tasks:

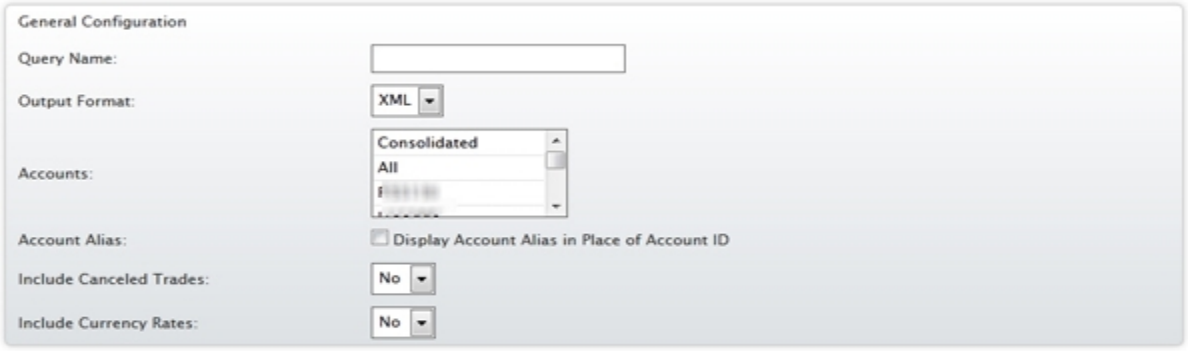
   - To run an existing query, click **Run** for the query.
   - To delete an existing query, click **Delete**.
   - To add the Default Trades query, click **Add Default Trades Query**.
     To add the Default Positions query, click **Add Default Positions Query**.

     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**.

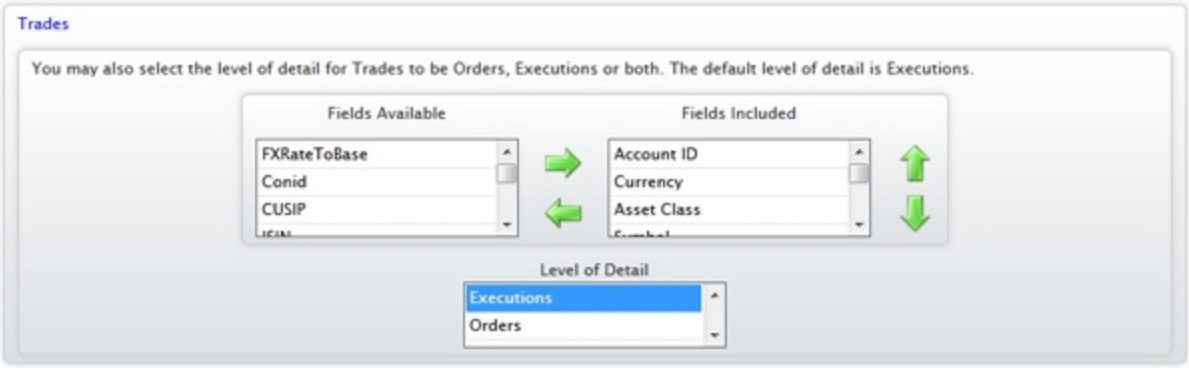
3. Set up a new query as described below:

   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.



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

   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).



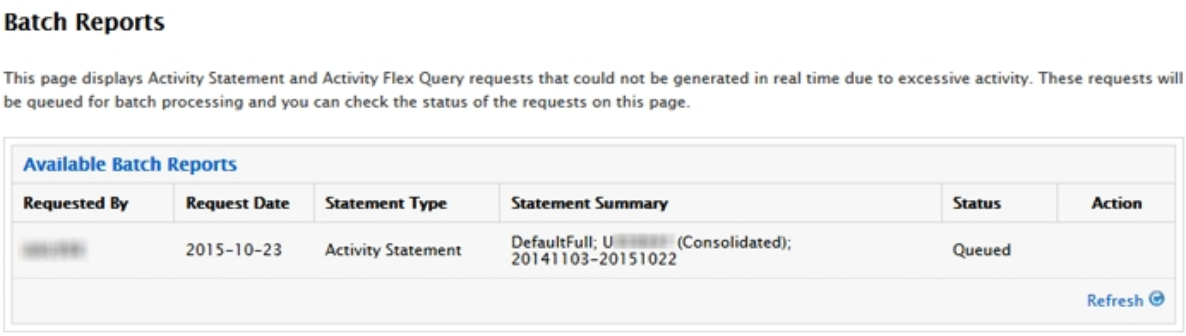
The saved query will now appear in the list of saved queries on the Activity Flex Queries page.

Batch Reports

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

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

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



To view the status of reports queued for batch processing

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

Trade Confirmations

The **Reports > Trade Confirmations** menu includes the following functions, which are intended for Compliance Officers whose linked employees have Interactive Brokers accounts:

- Trade Confirmation Reports
- Trade Confirms Flex Queries

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 **Reports > Trade Confirmation**.

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 vew 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.
   - In the Language field, select a language.
3. Click **View**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.

Trade Confirms Flex Queries

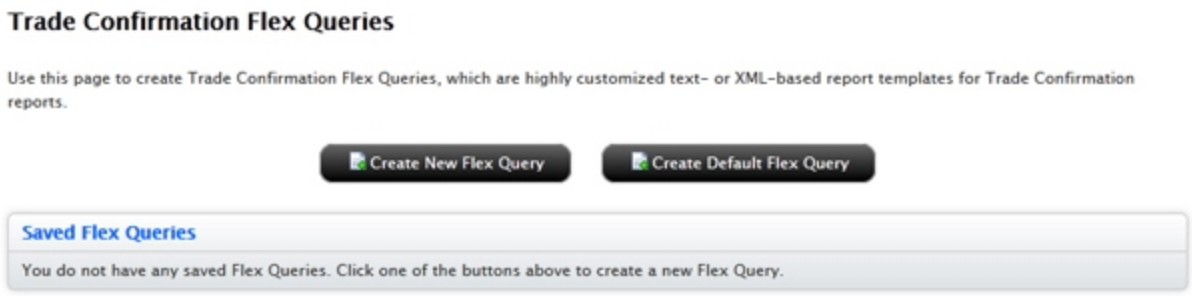
The Trade Confirms Flex Queries page lets you create multiple, customized report templates for trade confirmations for your linked employees with Interactive Brokers accounts. A trade confirmation Flex query lets you specify the exact fields you want to view in your report, the time period you want the 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 EmployeeTrack Management.

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

To use Trade Confirm Flex queries

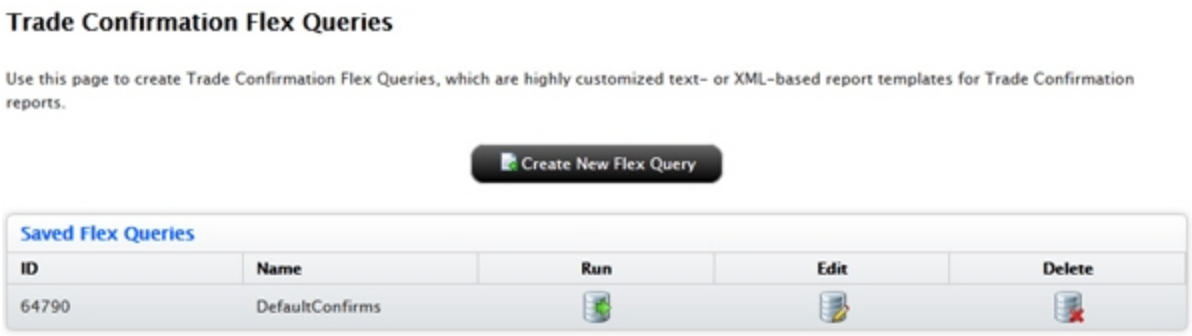
1. Click **Reports > Trade Confirmations > Flex Queries**.



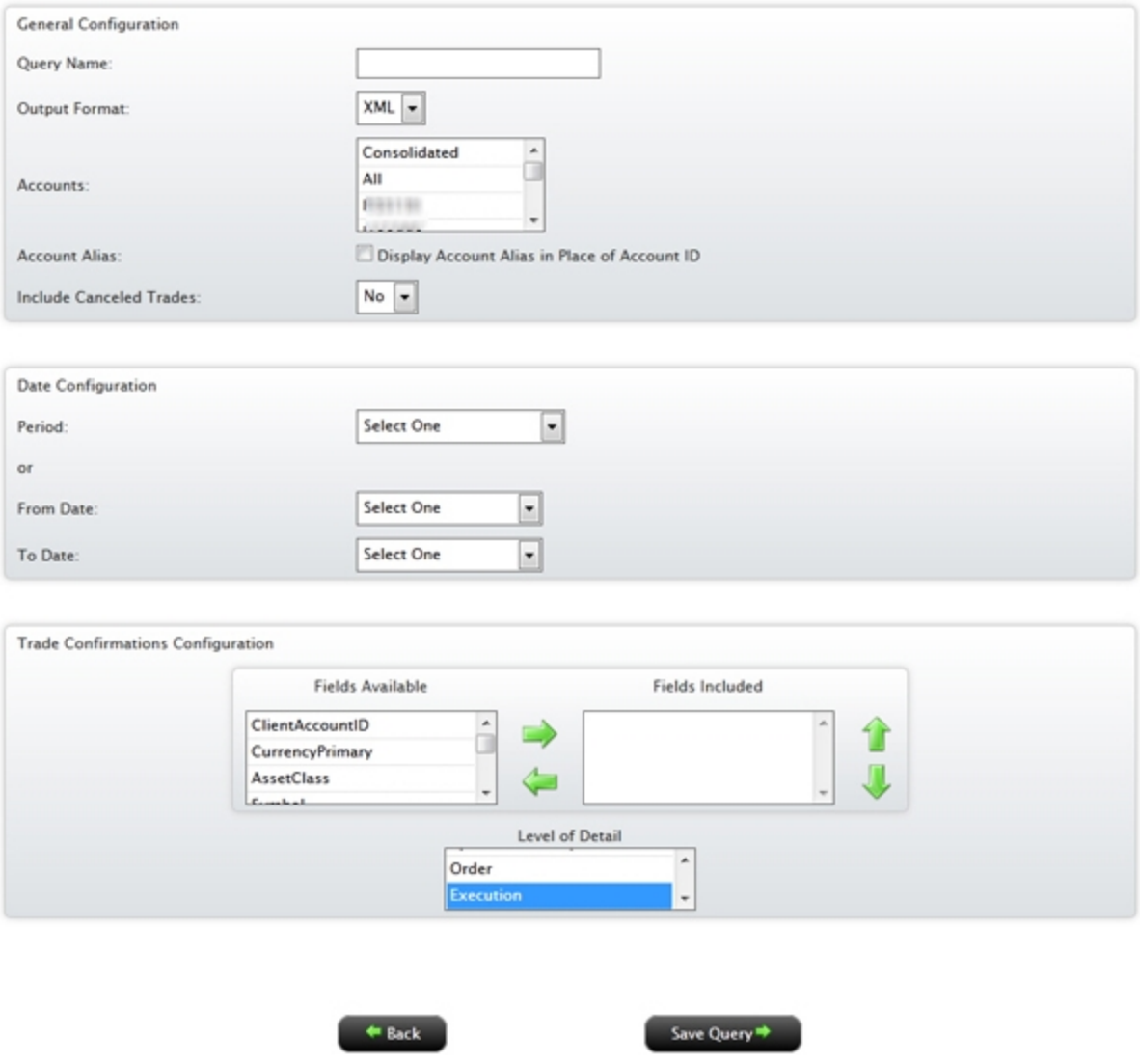
2. Do any of the following:

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

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



3. If you clicked **Create New Flex Query**, a new page appears on which you create your new flex query. Enter information in the General Configuration and Date Configuration sections.



- In the Query Name field, enter the name of the flex query.
- In the Output Format list, select Text or XML. If you select Text, you must also choose a delimiting character (comma, pipe or tab character), and optionally choose to include header and trailer records; column headers; and section code and line descriptors.
- Select the account or accounts whose trade confirmations you wish to include.
- Select other options as required.
- In the Period list, select the period for the flex query, or enter a range of dates in the From Date and To Date fields.

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

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

Settings

The **Reports > Settings** menu gives you access to report-related settings, including delivery settings, on the following pages:

- Activity Statements and Trade Reports - Select delivery settings for your customized activity statements.
- Flex Queries - Select delivery settings for your saved Flex Queries.
- Flex Web Service - Access your pre-configured flex queries via HTTPS protocol without logging into EmployeeTrack Management.

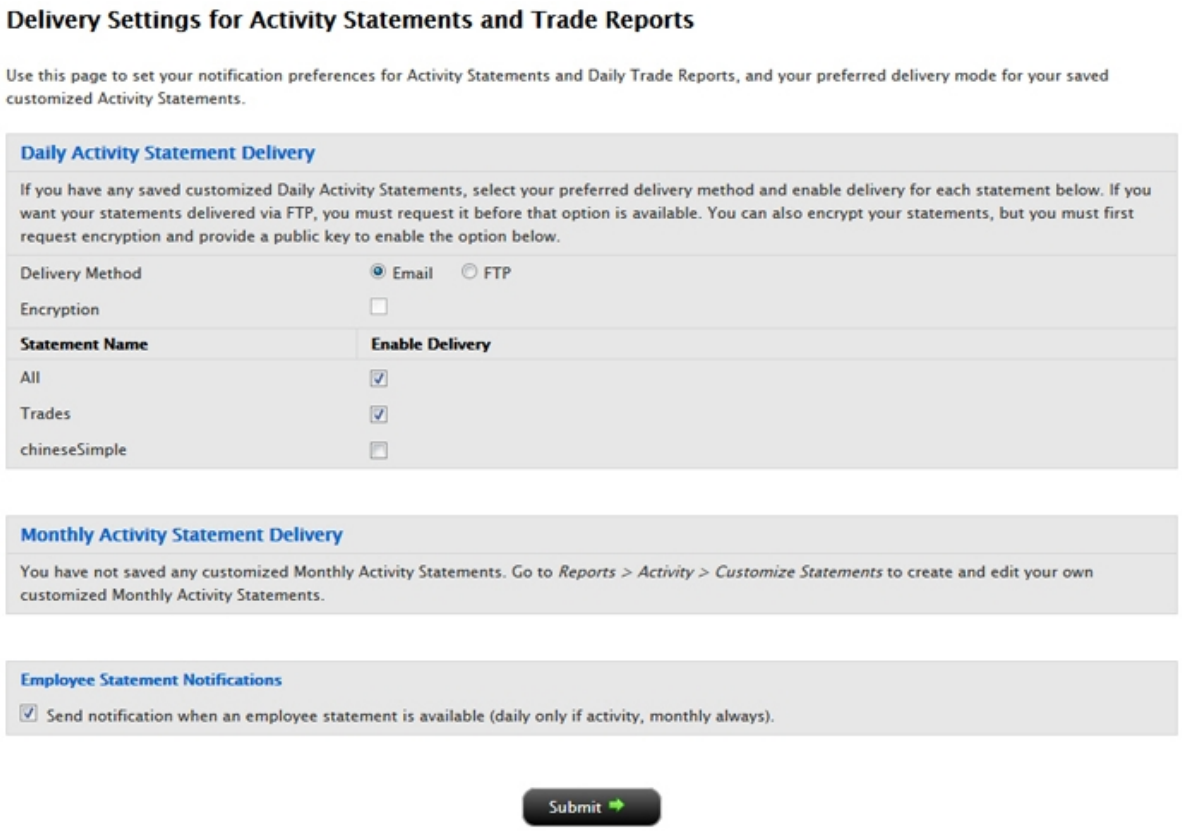
Delivery Settings for Activity Statements and Trade Reports

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 for your linked employees with Interactive Brokers accounts. You will only see Activity Statement Flex and/or Trade Confirmation Flex sections of the page if you have created Flex queries.

1. Click **Reports > Settings > Activity Statements & Trade Reports**.

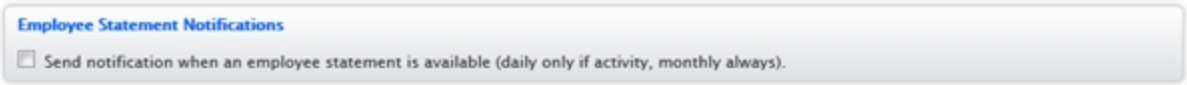
   All saved daily and monthly activity statements, and saved activity and trade confirmation flex queries are listed on the page.

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



2. In the Daily and/or Monthly Activity Statement 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.
   - For each statement listed, click the **Enable Delivery** check box to enable delivery using the selected delivery mode..

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

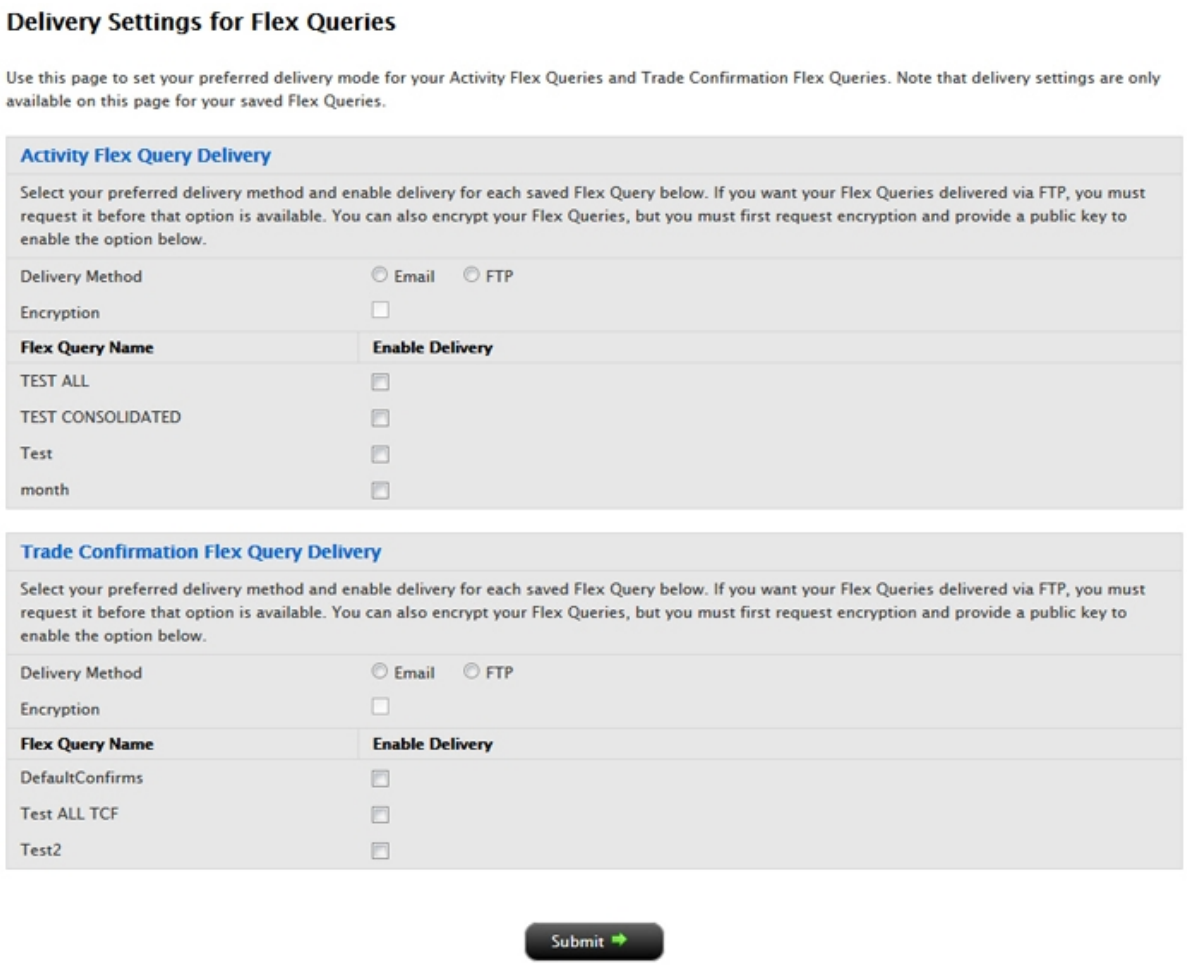


3. In the Employee Statement Notification section, click the check box if you want to be notified when an employee statement is available.

Delivery Settings for Flex Queries

Use this page to set your preferred delivery mode for your Activity Flex Queries and Trade Confirmation Flex Queries. Note that delivery settings are only available on this page for your saved Flex Queries.

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



2. Select your preferred delivery method and enable delivery for each saved Flex Query that you have created.
   - Select **Email** or **FTP** as the Delivery Mode.
   - Click the Encryption check box to encrypt your statements.Note: You must request FTP delivery and Encryption to enable those options. Contact your IB Sales Representative to make these requests.
   - For each Flex Query listed, click the Enable Delivery check box to enable delivery using the selected delivery mode.
3. Click **Submit**.

Using the Flex Web Service

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

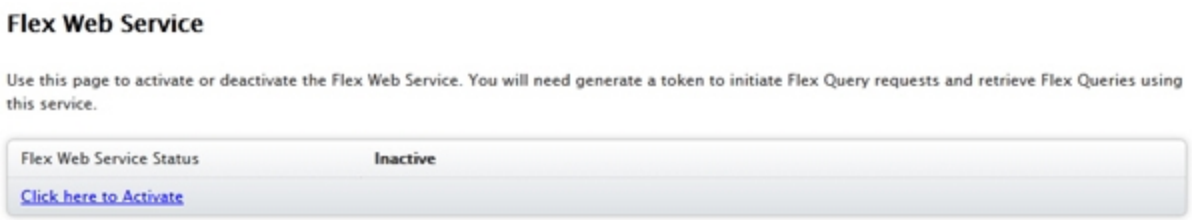
There are currently two versions of the Flex Web Service available:

- Version 2 - Version 2 is the default version if you do not specify a specific version in your query.
- Version 3 - Version 3 returns more meaningful error messages.

Flex Web Service Version 2

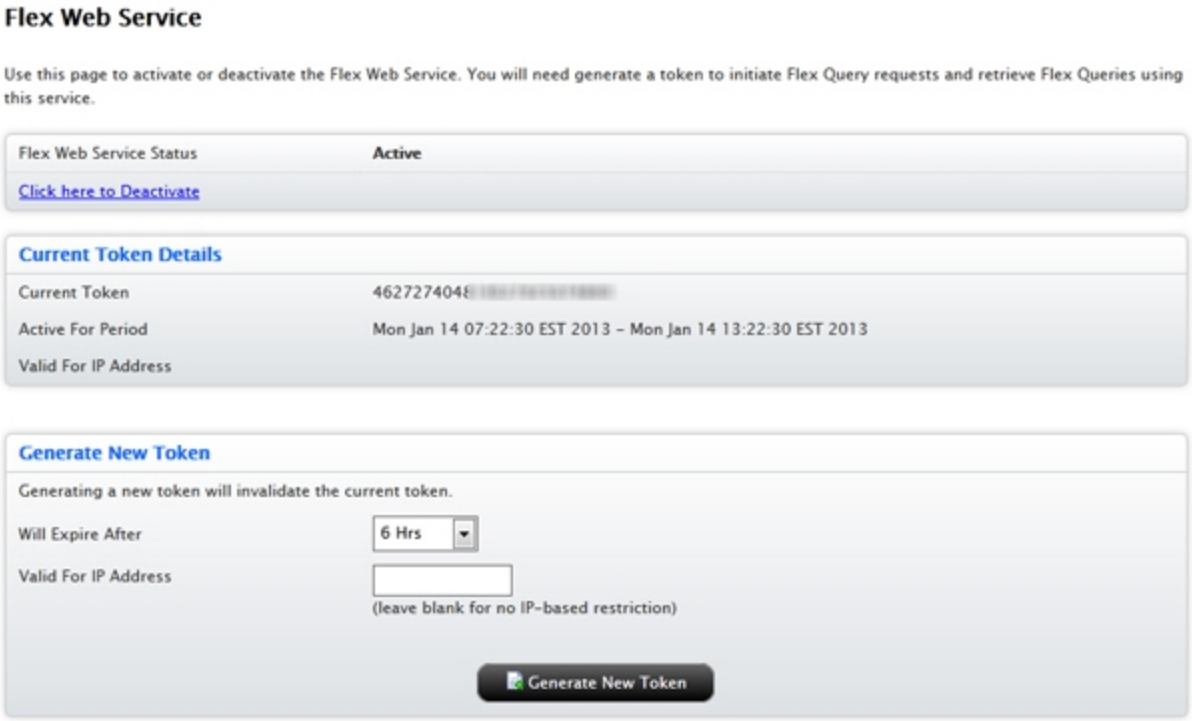
To use the Flex Web Service Version 2

1. Click Reports > Delivery Settings > Flex Web Service.



2. Activate the Flex Web Service by clicking the *Click Here to Activate* link.

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



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

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

4. Initiate an automated Flex Web Service request:
    a. Make sure you have the following information:

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

    Programmatic access requres the User-Agent HTTP header to be set. Accepted values are: Blackberry or Java

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

https://www.in-
ter-
activebrokers.com/Universal/servlet/FlexStatementService.SendRequest?t=TOKEN&q=QUERY
ID&v=2

Where:
TOKEN is your current token
QUERY_ID is the Flex Query ID
v=2 specifies that you are using Flex Web Service Version 2. Note that if you omit this parameter, the system will use Version 2.

You will receive an XML response from 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 receive an error message as the code.
- *Response URL* - This is the URL to be used to retrieve the Flex report.

Here is a sample successful XML response using Version 2:

```
<FlexStatementResponse timestamp="28 August, 2012 11:26 AM EDT">
<code>5372466165 </code>
<url>https://www.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement</url>
</FlexStatementResponse>
```

Here is a sample unsuccessful XML response Version 2:

```
<FlexStatementResponse timestamp="28 August, 2012 11:26 AM EDT">
<code>Invalid request or unable to validate request.</code>
<url>https://www.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement</url>
</FlexStatementResponse>
```

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

https://www.interactivebrokers.com/Universal/servlet/FlexStatement
Service.GetStatement?q=REFERENCE_CODE&t=TOKEN

&v=VERSION

Where:
REFERENCE_CODE is the code you received as part of the response when you placed the request
TOKEN is your current token
VERSION is the version of the Flex Web Service Version you are using. You can set this to 2 or 3. Note that if you do not specify a Version, the system will use Version 2.

You will receive the Flex data as the response if the request was successful. Otherwise, you will receive a XML based response informing you that the request was invalid. Here is an example of an unsuccessful request to retrieve the Flex data:

```
<FlexStatementResponse timestamp="28 August, 2012 11:26 AM EDT">
<code>Invalid request or unable to validate request.</code>
</FlexStatementResponse>
```

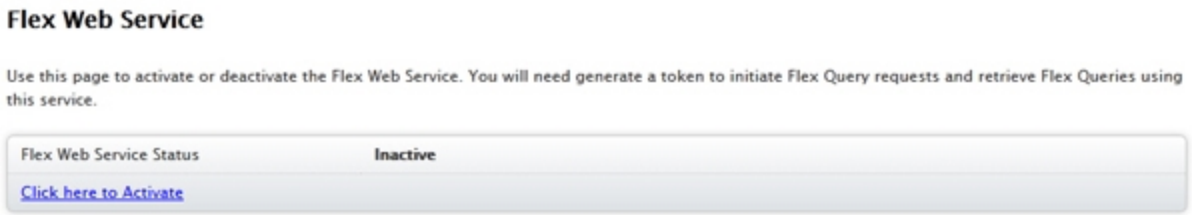
For more information

- Using the Flex Web Service
- Flex Web Service Version 3

Flex Web Service Version 3

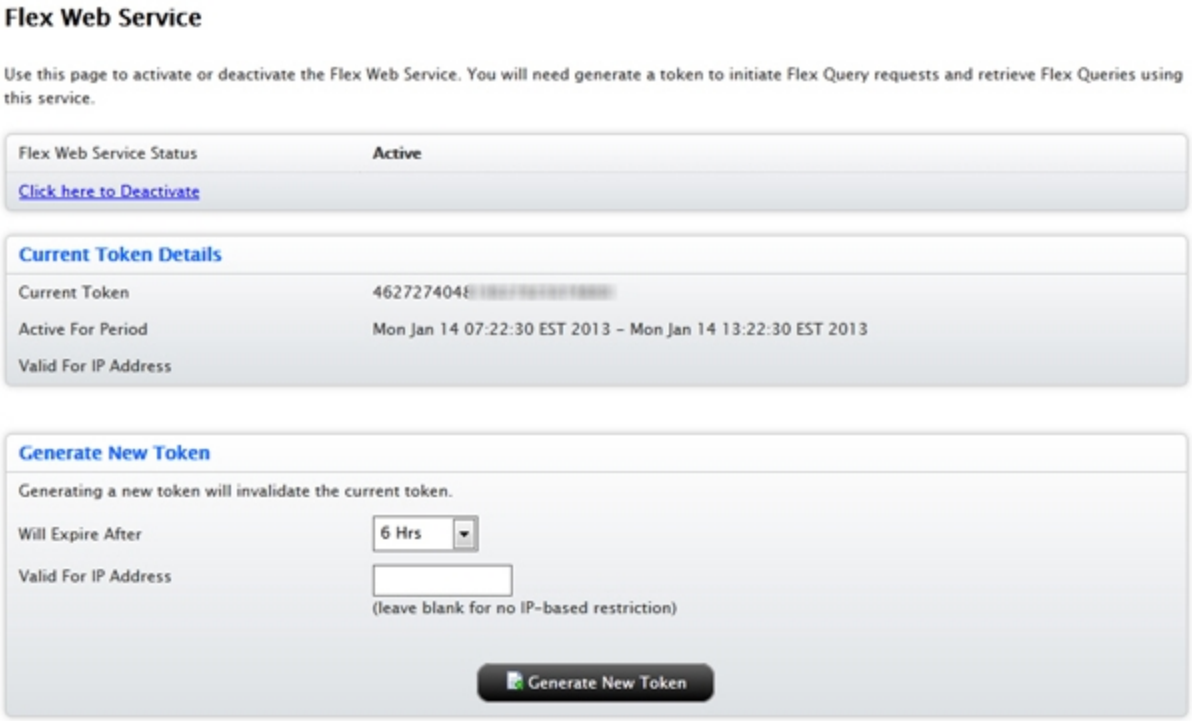
To use the Flex Web Service Version 3

1. Click Reports > Delivery Settings > Flex Web Service.



2. Activate the Flex Web Service by clicking the *Click Here to Activate* link.

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



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

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

4. Initiate an automated Flex Web Service request:
    a. Make sure you have the following information:

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

    Programmatic access requires the User-Agent HTTP header to be set. Accepted values are: Blackberry or Java.

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

https://www.interactivebrokers.com/Universal/servlet/FlexStatementService.SendRequest?t=TOKEN&q=QUERY_ID&v=3

Where:
TOKEN is your current token
QUERY_ID is the Flex Query ID
v=3 specifies that you are using Flex Web Service Version 3. Note that if you do not specify a Version, the system will use Version 2.

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

- *Status* - If the request was successful, Status will be Success. If the request was unsuccessful, Status will be Fail.
- *Reference Code* - If the request was successful, the XML response will contain a numeric reference code. This code will be used to retrieve the generated Flex query.
- *Response URL* - This is the URL to be used to retrieve the Flex report.

Here is a sample successful XML response Version 3:

```
<FlexStatementResponse timestamp="28 August, 2012 10:37 AM EDT">
<Status>Success</Status>
<ReferenceCode>1234567890 </ReferenceCode>
<URL>https://www.interactivebrokers.com/Universal/servlet/FlexStatementService.GetStatement</URL>
</FlexStatementResponse>
```

If the request was unsuccessful, the response will contain the following parameters:

<Status>Fail</Status>

<ErrorCode>XXXX</ErrorCode>
where XXXX = a numeric error code.

<ErrorMessage>TEXT</ErrorMessage>
Where TEXT is a text description of the specific error.

See Version 3 Error Codes for a list of all error codes and error messages.

Here is a sample unsuccessful XML response Version 3:

```
<FlexStatementResponse timestamp="28 August, 2012 10:37 AM EDT">
<Status>Fail</Status>
<ErrorCode>1012</ErrorCode>
<ErrorMessage>Token has expired.</ErrorMessage>
</FlexStatementResponse>
```

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

    https://www.interactivebrokers.com/Universal/servlet/FlexStatement Service.GetStatement?q=REFERENCE_CODE&t=TOKEN &v=VERSION

    Where:
    REFERENCE_CODE is the code you received as part of the response when you placed the request
    TOKEN is your current token
    VERSION is the version of the Flex Web Service Version you are using. You can set this to 2 or 3. Note that if you do not specify a Version, the system will use Version 2.

    You will receive the Flex data as the response if the request was successful. Otherwise, you will receive a XML based response informing you that the request was invalid. Here is an example of an unsuccessful request to retrieve the Flex data using Version 3:

```
<FlexStatementResponse timestamp="28 August, 2012 10:37 AM EDT">
<Status>Fail</Status>
<ErrorCode>1015</ErrorCode>
<ErrorMessage>Token is invalid.</ErrorMessage>
</FlexStatementResponse>
```

For more information

- Using the Flex Web Service
- Flex Web Service Version 2

Version 3 Error Codes

The following table lists all of the error codes and error descriptions returned in the ErrorCode and ErrorMessage parameters used by Version 3 of the Flex Web Service.

ErrorCode	ErrorMessage
1001	Statement could not be generated at this time. Please try again shortly.
1003	Statement is not available.
1004	Statement is incomplete at this time. Please try again shortly.
1005	Settlement data is not ready at this time. Please try again shortly.
1006	FIFO P/L data is not ready at this time. Please try again shortly.
1007	MTM P/L data is not ready at this time. Please try again shortly.
1008	MTM and FIFO P/L data is not ready at this time. Please try again shortly.
1009	The server is under heavy load. Statement could not be generated at this time. Please try again shortly.
1010	Legacy Flex Queries are no longer supported. Please convert over to Activity Flex.
1011	Service account is inactive.
1012	Token has expired.
1013	IP restriction.
1014	Query is invalid.
1015	Token is invalid.

ErrorCode	ErrorMessage
1016	Account in invalid.
1017	Reference code is invalid.
1018	Too many requests have been made from this token. Please try again shortly.
1019	Statement generation in progress. Please try again shortly.
1020	Invalid request or unable to validate request.
1021	Statement could not be retrieved at this time. Please try again shortly.

3

Manage Account

This chapter describes the functions available in the Manage Account menu.

The chapter includes the following topics:

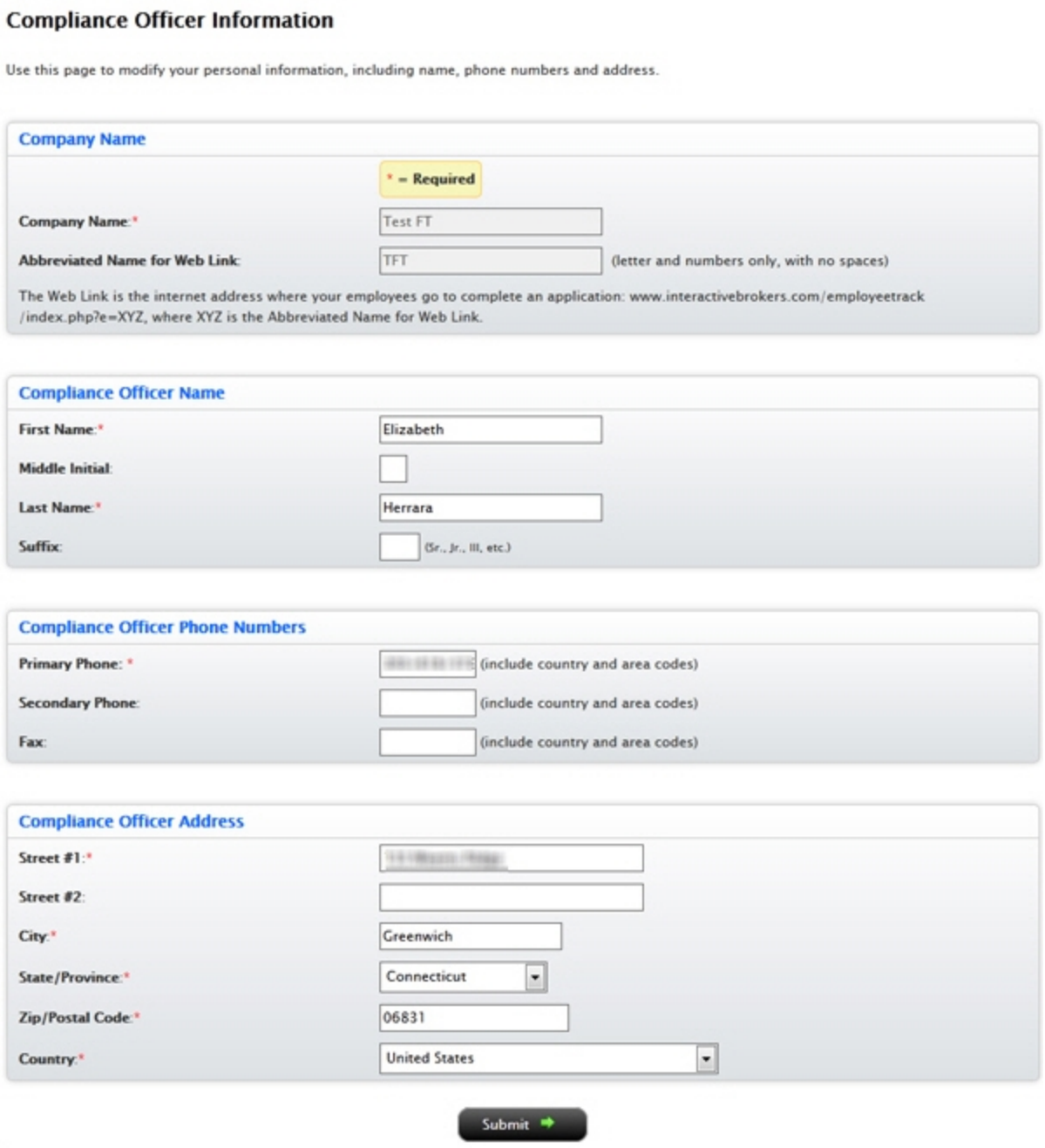
- Compliance Officer Information
- User Access Rights
- Security

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.

To modify your Compliance Officer information

1. Click **Manage Account > 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.

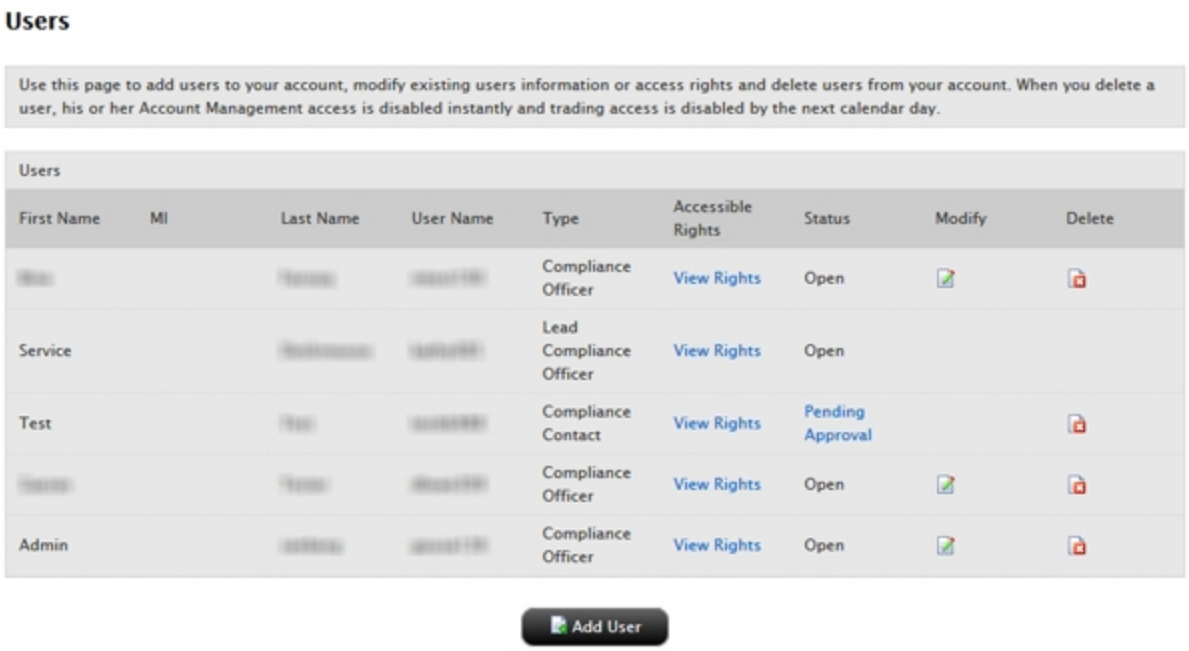
User Access Rights

User access rights lets you create sub compliance users and assign them rights to access the different functions in EmployeeTrack Management, 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.

Manage Account > User Access Rights opens the Users page, where you can:

- Add users to your account and assign them access rights;
- View existing users' access rights;
- Modify existing users' access rights;
- Delete users from your account.

The Users page displays all open and pending users. You can view the first and last name, EmployeeTrack user name, type of user, a link to view access rights, and account status of each user at a glance. Links to modify and delete each user also appears.



Access Rights and Access Groups

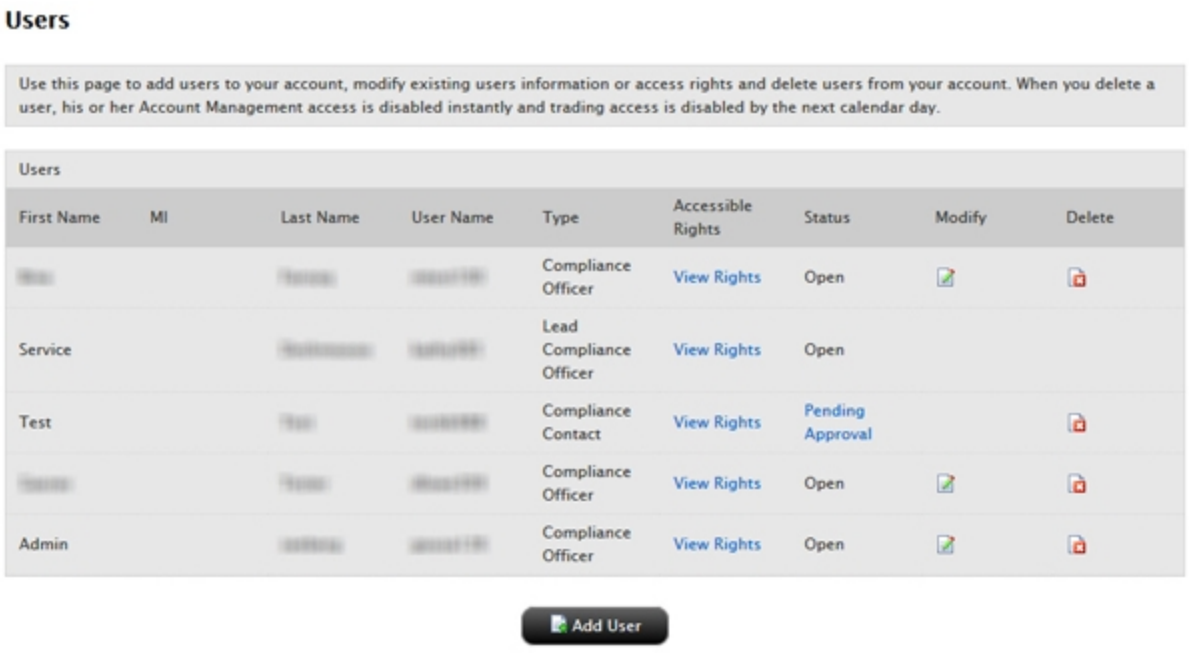
User access rights are organized into access groups. Each access group contains several functions, which themselves correspond to the individual functions in EmployeeTrack Management. When assigning access rights to a user, you can assign access rights to an entire access group and all of its individual functions, or you can assign access rights to the individual functions themselves.

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

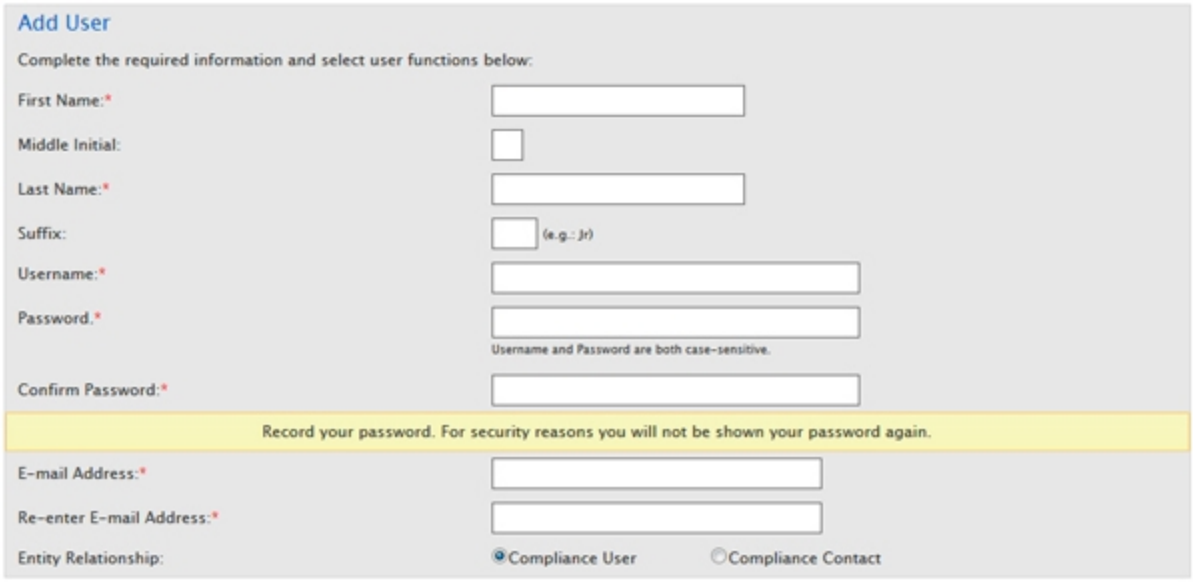
To add a user

1. Click **Manage Account > User Access Rights**.

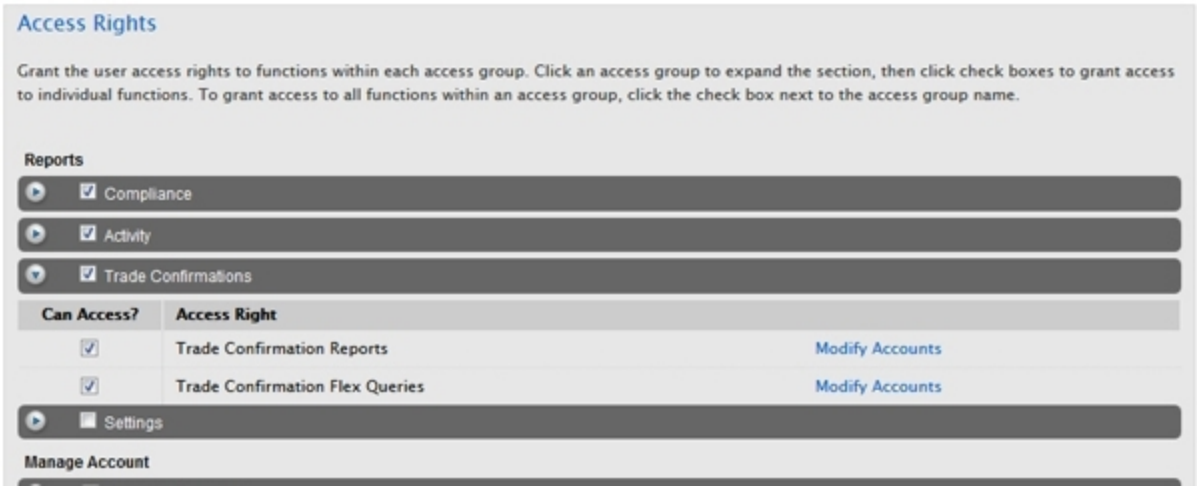
   The User Access Rights page opens.



2. Click **Add User**. The Add User page opens.



3. Enter all required information, including name, five-character username prefix, password, and email address.
4. In the Access Rights section of the page, select the EmployeeTrack Management functions that you want this new user to access.
   - Click an access group to expand the section, then click check boxes to grant access to individual functions.
   - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access that function in EmployeeTrack Management.



When you click a check box for an access group or for an individual function inside an access group, the Assign Accounts box opens.

5. Use the Assign Accounts box to select which accounts you want this user to be able to access for the selected function or group of functions. You can select:

   - *All* for all accounts, including the Master and all sub accounts;
   - *Master* to grant access to only the Master account;
   - *Sub All* to grant access to all sub accounts;
   - *Sub Specific*, to grant access to individual sub accounts. If you select this option, the Assign Accounts box expands to allow you to select individual accounts.

     Select accounts from the Available Clients list and move them to the Selected Clients list by clicking the right arrow button. Remove accounts from the Selected Clients list by clicking the left arrow button.

6. Click **Continue**.
7. Note that for each checked function in the Access Rights section of the Users page, a *Modify Accounts* link now appears. Click this link to change the account assignments for that function.
8. Verify that all the information is correct, then click **Continue.**

   If you need to make further changes, click **Back**, then make corrections before submitting.
9. Enter the confirmation number sent to you via email, then click **Continue**.

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

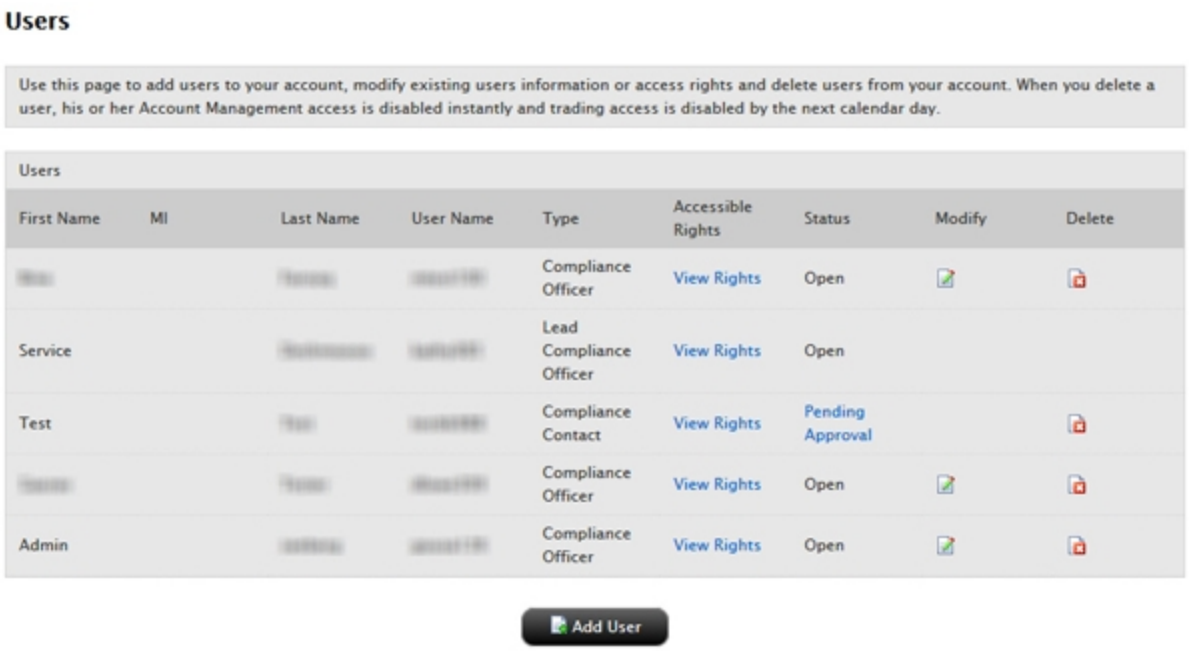
Viewing Access Rights for an Individual User

You can quickly view an individual user's EmployeeTrack Management access rights from the Users page.

To view the access rights for an individual user

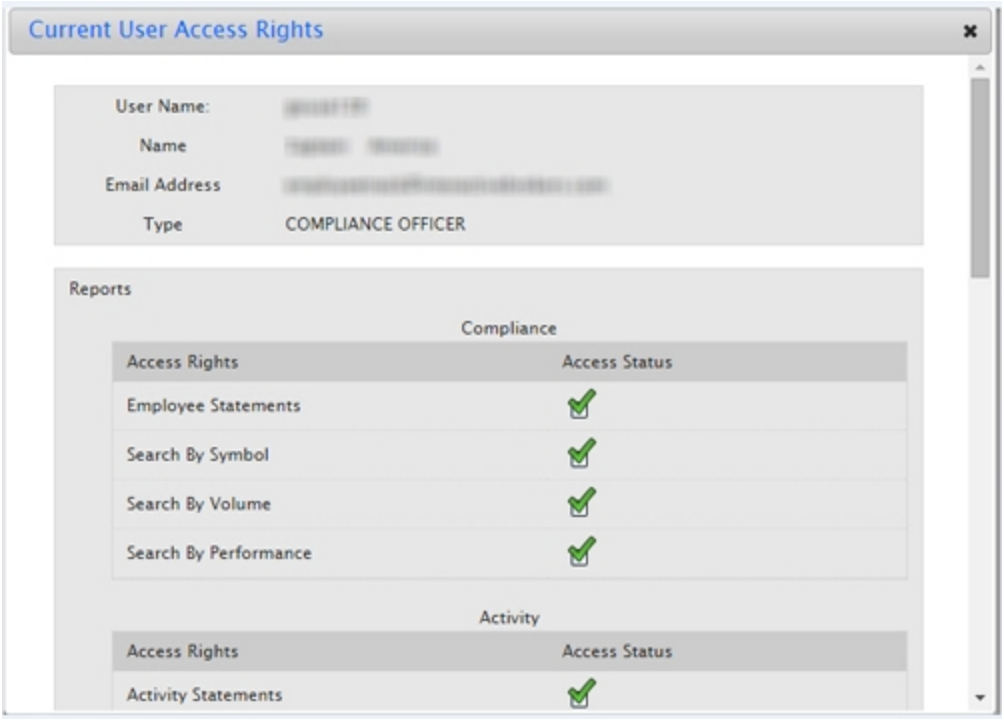
1. Click **Manage Account > User Access Rights**.

   The Users page opens.



2. Click the *View Rights* link for any user listed.

   The Current User Access Rights box opens.



3. Click the **X** in the upper corner of the box to close it.

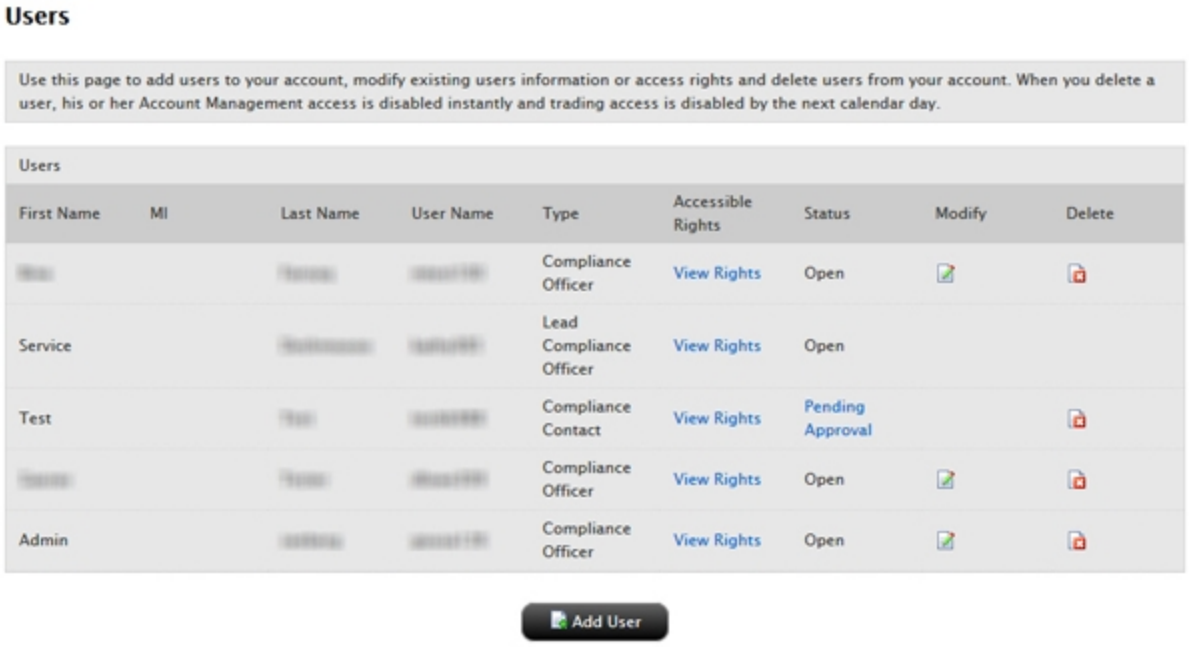
Modifying User Access Rights

You can modify a user's EmployeeTrack Management access rights from the Users page. For example, if you add a user to your account, you may want to modify the user's access rights at a later date.

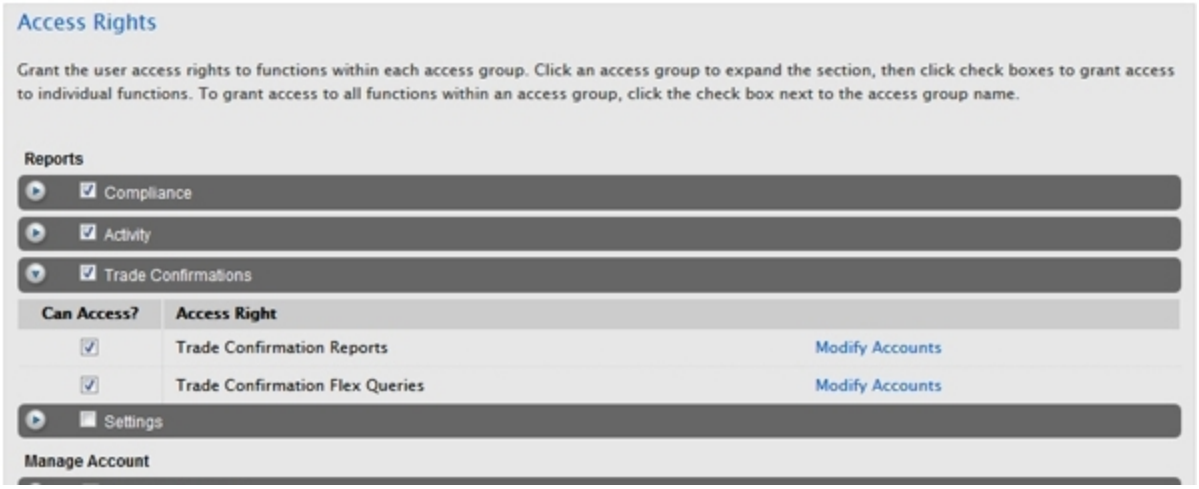
To modify access rights for an existing user

1. Click **Manage Account > User Access Rights**.

   The Users page opens.



2. Click the **Modify** icon corresponding to the user whose access rights you want to modify.
3. On the next page, modify the access rights for the user by selecting or deselecting check boxes next to the available functions.
    - Click an access group to expand the section, then click check boxes to grant access to individual functions.
    - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access that function in EmployeeTrack Management.
    - Click the *Modify Accounts* link to change the account assignments for a particular function.



4. Click **Continue** when you are done.
5. Verify that all the information is correct, then click **Continue.**

   If you need to make further changes, click **Back**, then make corrections before submitting.
6. Enter the confirmation number sent to you via email, then click **Continue**.

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

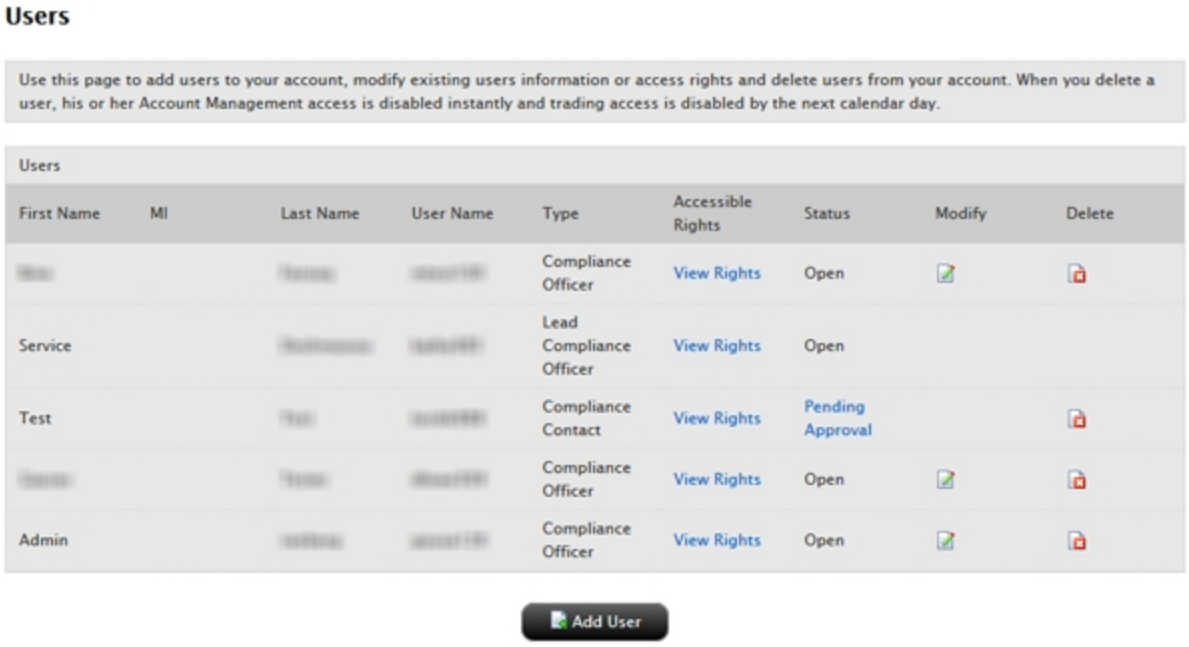
Deleting a User

You can delete users from the Users page.

To delete a user

1. Click **Manage Account > User Access Rights**.

   The Users page opens.



2. Click the **Delete** icon that corresponds to the user you want to delete.

   EmployeeTrack Management access for that user is disabled instantly

Security

The **Manage Account > Security** menu includes the following functions:

- Change Password
- Change Email Address

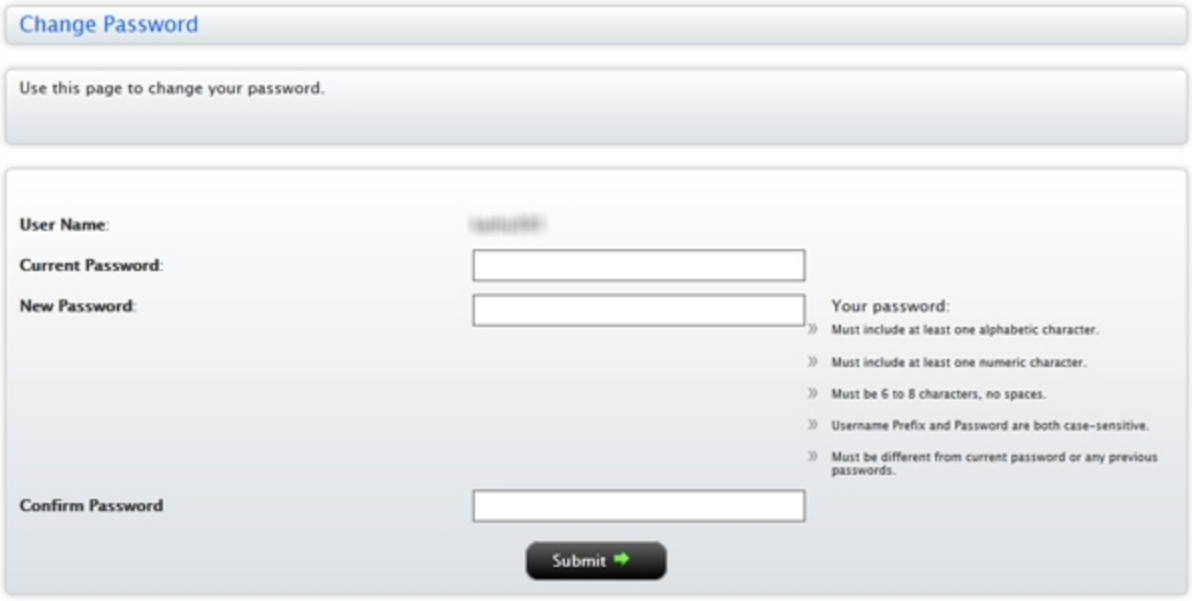
Change Password

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.

To change your EmployeeTrack password

1. Click **Manage Account > Security**. The Change Password page opens.



2. Type your current password in the field provided.
3. Type a new password in the field provided, then type it again in the Confirm Password field. The password must be six to eight characters long, and must contain at least one number and no spaces.
4. Click **Submit**.
5. A confirmation number is immediately sent to your email address. Type the confirmation number you received in the field provided, then click **Submit**.

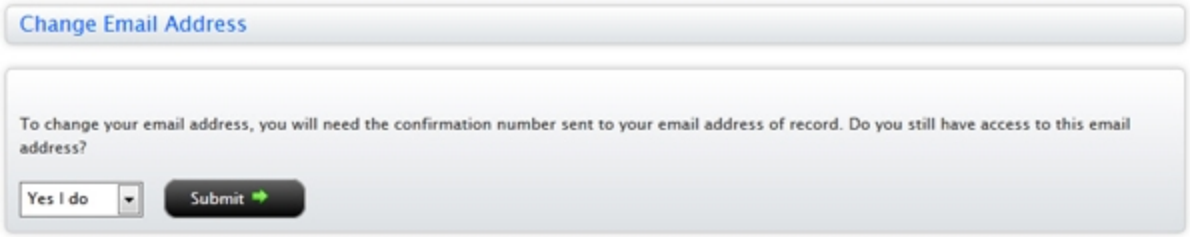
   The password change is effective immediately.

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

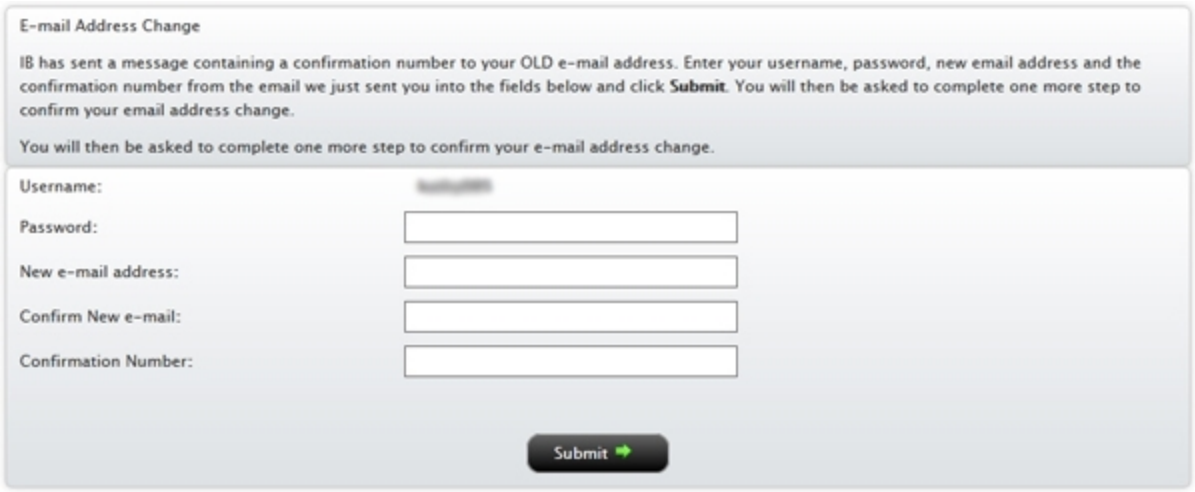
1. Click Manage **Account > Security > Change Email Address**.



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.



   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**.

4

Manage Employees

This chapter describes the functions available in the Manage Employees menu. The chapter includes the following topics:

- View - View and take action on active accounts and pending and rejected account invitations.
- Link Employees - Link employees with existing IB brokerage accounts, link employees who want to open new IB brokerage accounts, and create and upload a mass employee file to link to multiple employees at once.
- Trading Restrictions - Restrict employees from trading specific symbols.

Summary

The Summary 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.

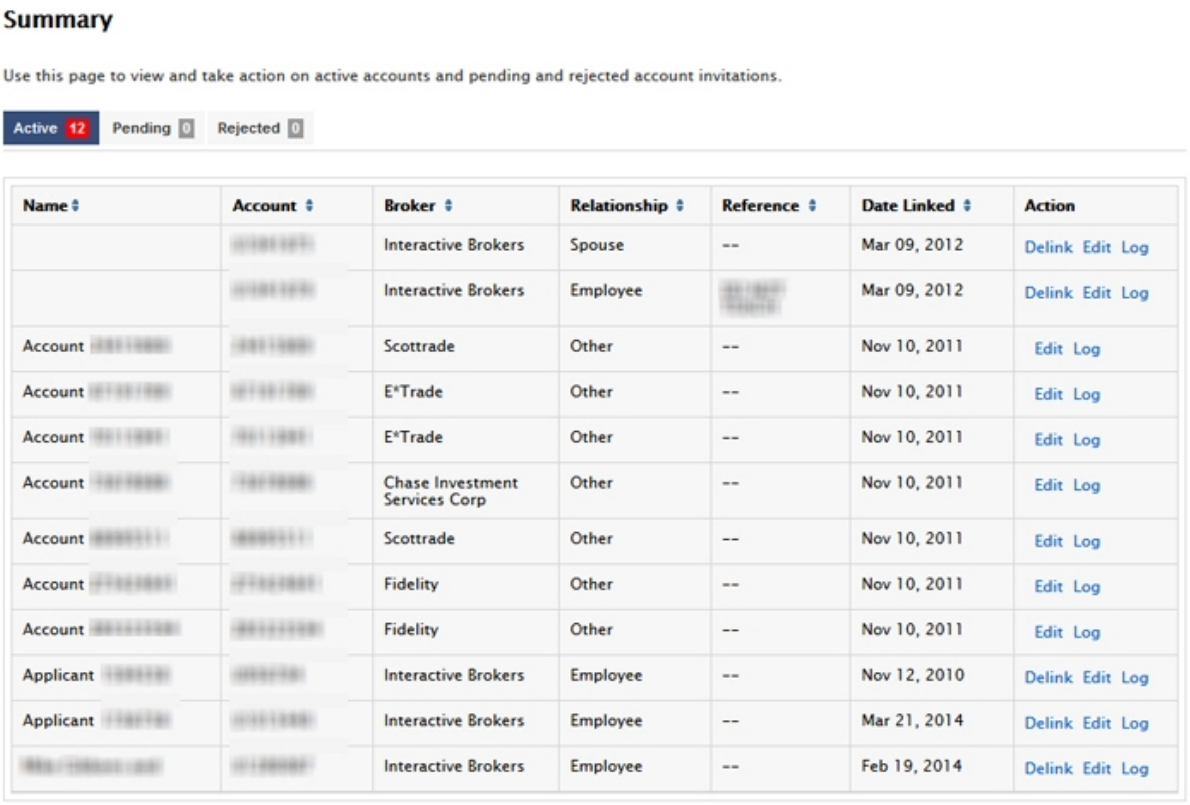
On this page, a compliance officer can:

- View all active linked employee IB accounts, including the account number, reference ID, email address and status of each account, as well as all pending and rejected accounts.
- 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.

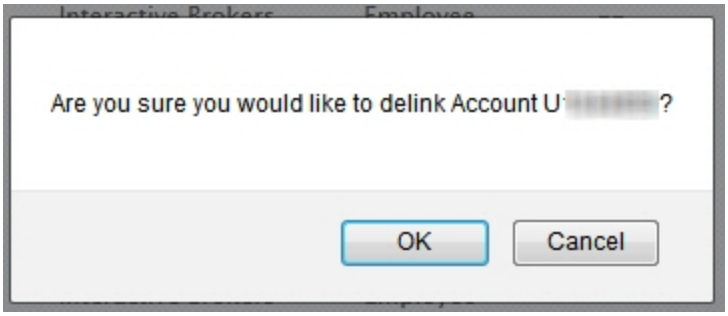
To use the Summary page

1. Click **Manage Employees > View** (or click the red icon on the left side of the menu to go to the **Home** page). The Summary page is the first page that opens when you log into EmployeeTrack Management.

Lists of active, pending and rejected employee accounts are each shown on their own tabbed pages. The current numbers of Active, Pending and Rejected accounts are displayed on each tab. By default, the Active tab displays.



2. Click one of the tabs to view a list of pending or rejected client accounts.
3. 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.
    - A message appears asking you to confirm your delink request. Click **OK**.



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.

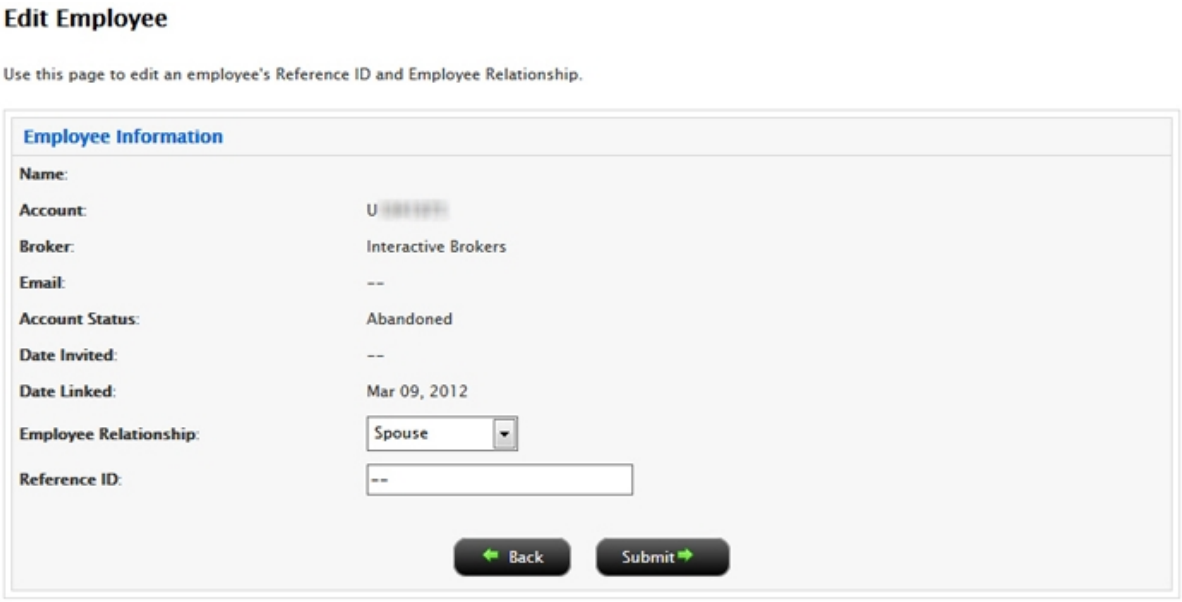
You specified the employee's relationship when you entered employee information on the Link Employees page.

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 **Home**. The Employee Accounts is the first page that opens when you log into EmployeeTrack Management.
2. To edit an employee account, click *Edit* in the Action column for the desired employee account.

   The Edit Employee page appears.



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**.

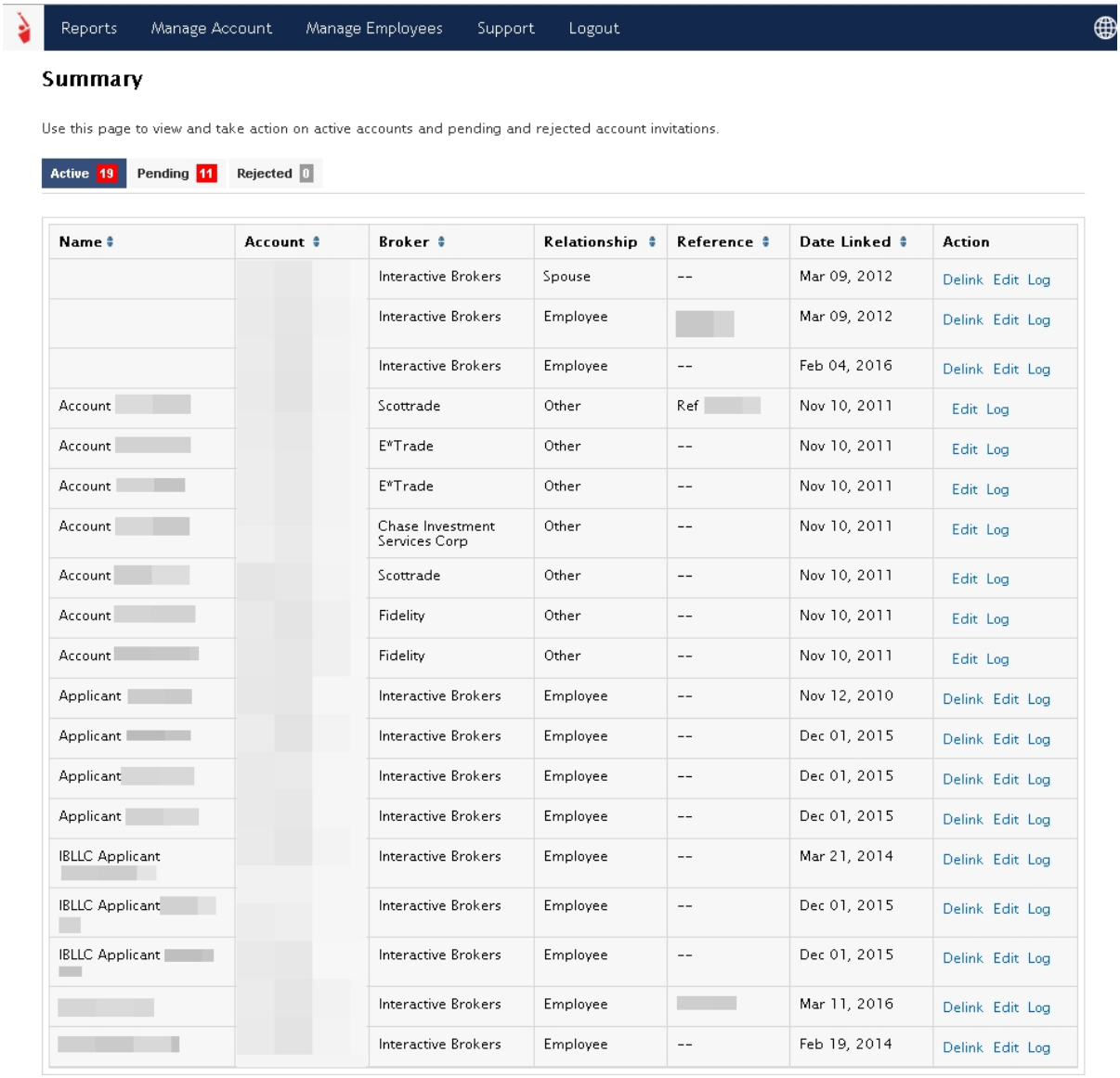
   The Employee Accounts page displays, along with a message informing you the the account update was successful.

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.

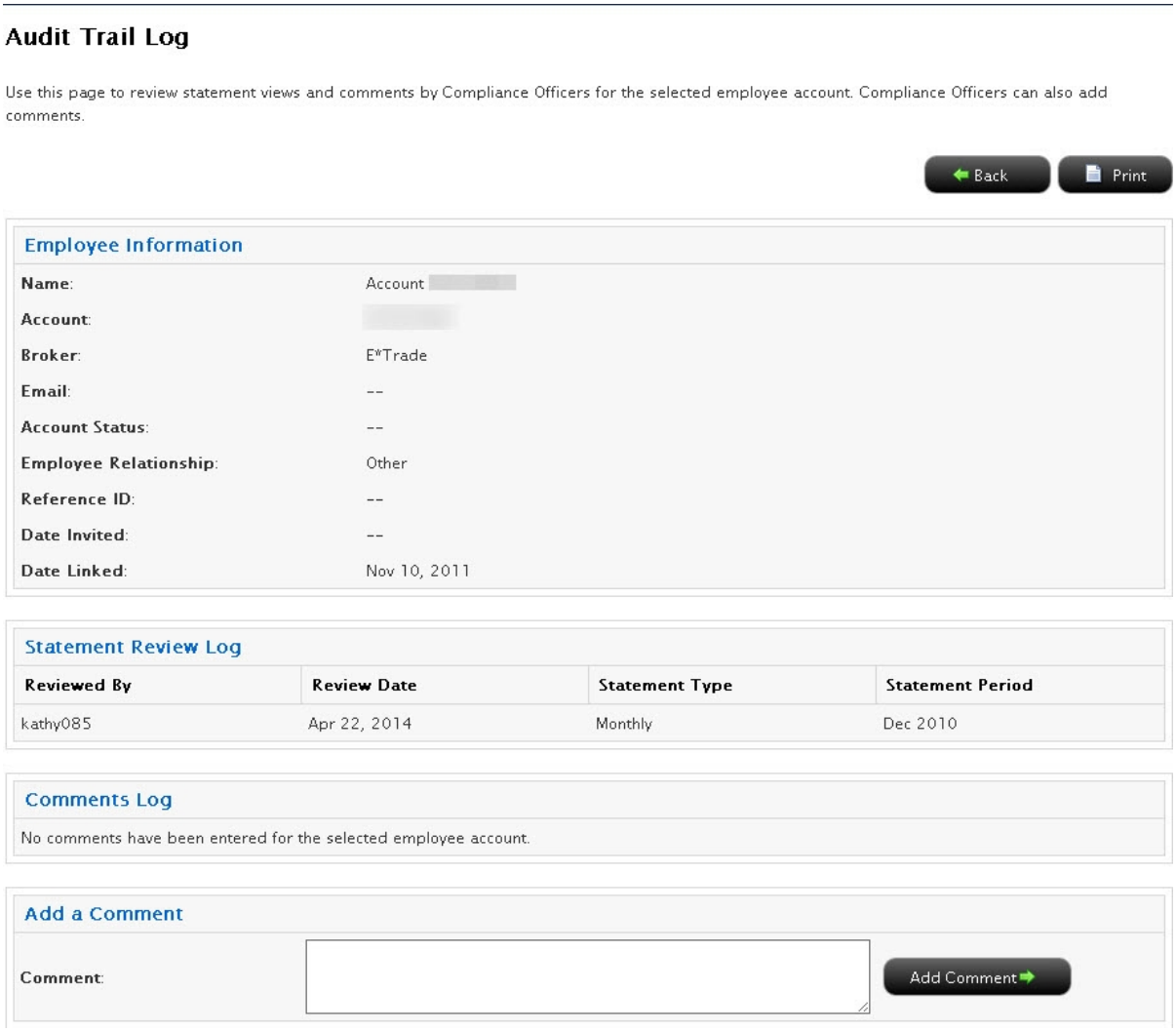
To view the audit trail for an employee account

1. Click **Home**. The Employee Accounts is the first page that opens when you log into EmployeeTrack Management.



2. Click *Log* in the Action column for the desired employee account.

   The Audit Trail Log page appears.



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.
5. Click the **Print** button to print the Audit Trail Log page.
6. Click the **Back** button to return to the home page.

Pending Accounts

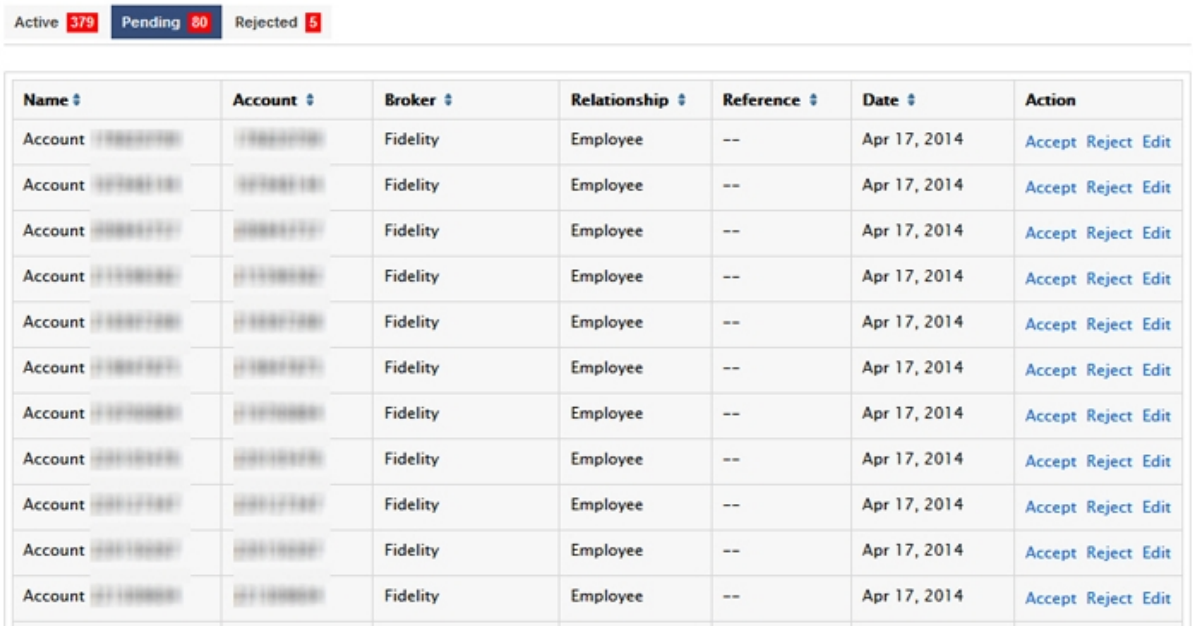
The Pending tab of the Summary page displays all pending employee accounts invitations.

On this page, a Compliance Officer can:

- Accept pending account invitations.
- Reject pending account invitations.
- Change the employer for a pending account.

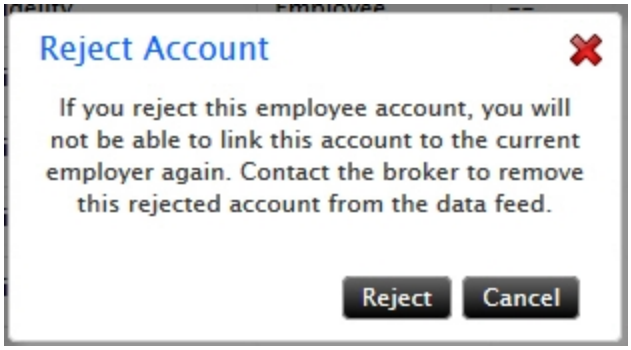
To take action on a Pending account

1. On the Summary page, click the **Pending** tab.



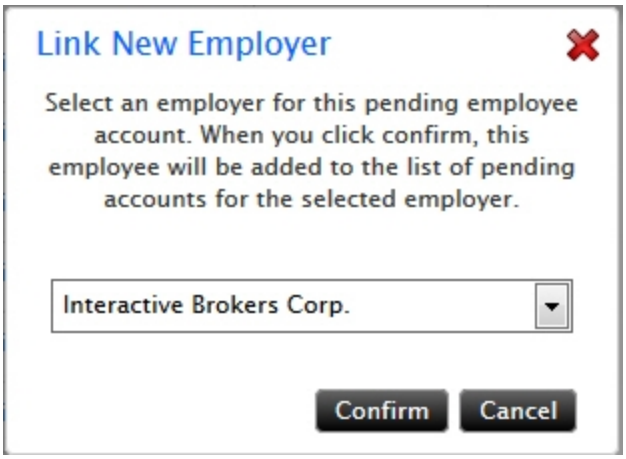
2. Do one of the following:

   - Accept a pending account invitation by clicking the **Accept** link in the Action column. Once you click the link, the account will be linked to your EmployeeTrack account.
   - Reject a pending account invitation by clicking the **Reject** link in the Action column. When you click the link, a confirmation dialog opens.



Read the note in the dialog. If you are sure that you want to reject the account invitation, click **Reject**. If you change your mind and do not want to reject the account invitation, click **Cancel**.

- Change the employer for a pending account invitation by clicking the **Edit** link in the Action column. For example, your organization might contain several divisions, each one treated as a different employer in EmployeeTrack. When you click this link, the Link New Employer dialog opens.



Select an employer for the pending account by selecting one from the drop-down list. Click **Confirm** to save your selection and close the box. Click **Cancel** if you change your mind.

Link Employees

The **Manage Employees > Link** menu includes the following functions:

- Link Existing IB Brokerage Accounts
- Link New IB Brokerage Accounts
- Mass Employee Upload

Existing IB Brokerage Accounts

The Existing IB Brokerage Accounts page lets you link an employee's IB account to EmployeeTrack. You link an employee by entering employee information on the Existing IB Brokerage Accounts 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

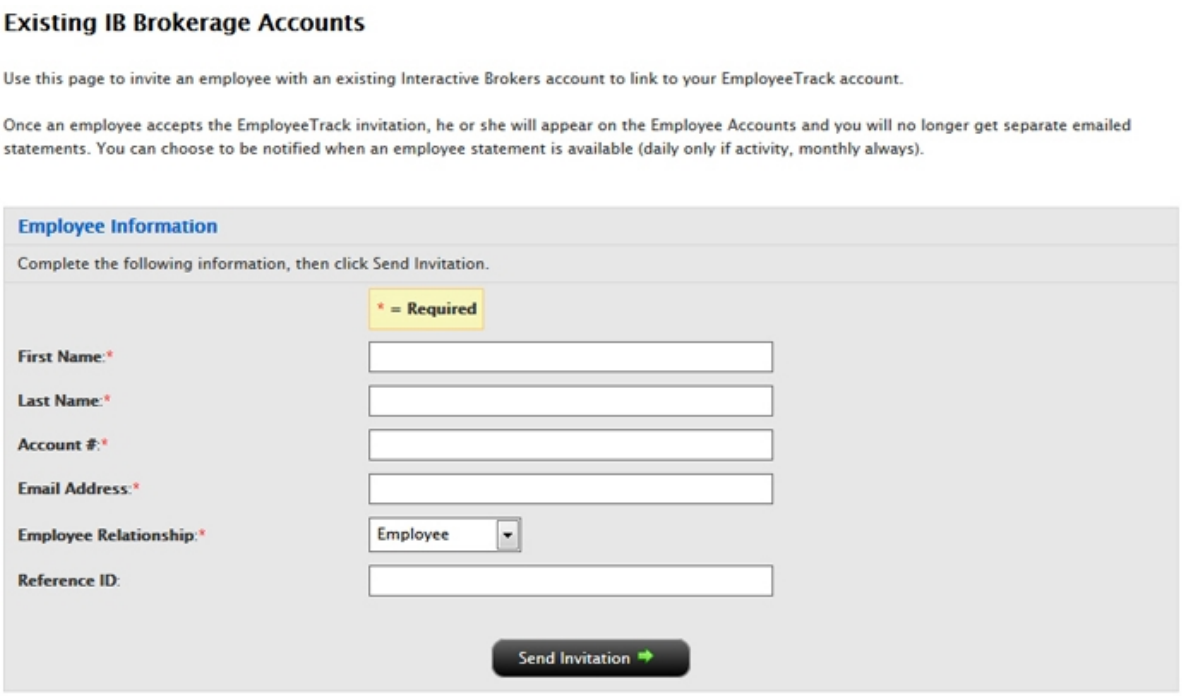
employee IB accounts to your legal department to ensure ongoing compliance with in-house and external reporting requirements.

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 Mass Employee Upload file.

To link an employee to EmployeeTrack

1. Click **Manage Employees >Link Employees > Existing IB Brokerage Accounts**. The Existing IB Brokerage Accounts page opens.



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.

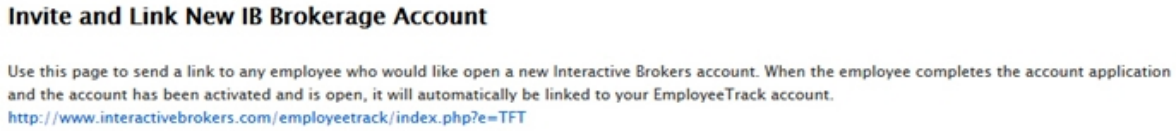
   Once the employee accepts the invitation, his or her IB account will appear in the list of Active Employee Accounts in EmployeeTrack Management.

Invite and Link New IB Brokerage Account

Compliance Officers use the Link New Employees 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 EmployeeTrack Management, click **Manage Employees > Link Employees > Invite and Link New IB Brokerage Account**.



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

Bulk Employee Upload

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.

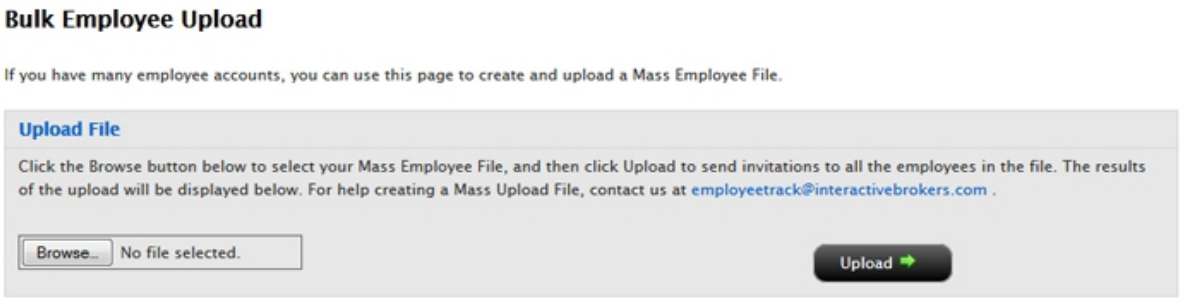
To link multiple employees to EmployeeTrack using a Bulk Employee File

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 EmployeeTrack Management, click **Manage Employees > Link Employees > Bulk Employee Upload**.



4. 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.

Trading Restrictions

Set all trading restrictions in the Pre-Trade Compliance program. Click the **Launch Pre-Trade Compliance** button to open the program.

For more information, see the Pre-Trade Compliance tool users' guide.

5

Support

The Support menu gives you quick access to our Customer Service offerings.

This chapter includes the following topics:

- Message Center
- Live Chat
- Knowledge Base
- System Status
- Contacts
- Service Tips

Customer Service Message Center

The Customer Service Message Center lets you submit questions directly to IB Customer Service using inquiry tickets and track the status of your Customer Service inquiries.

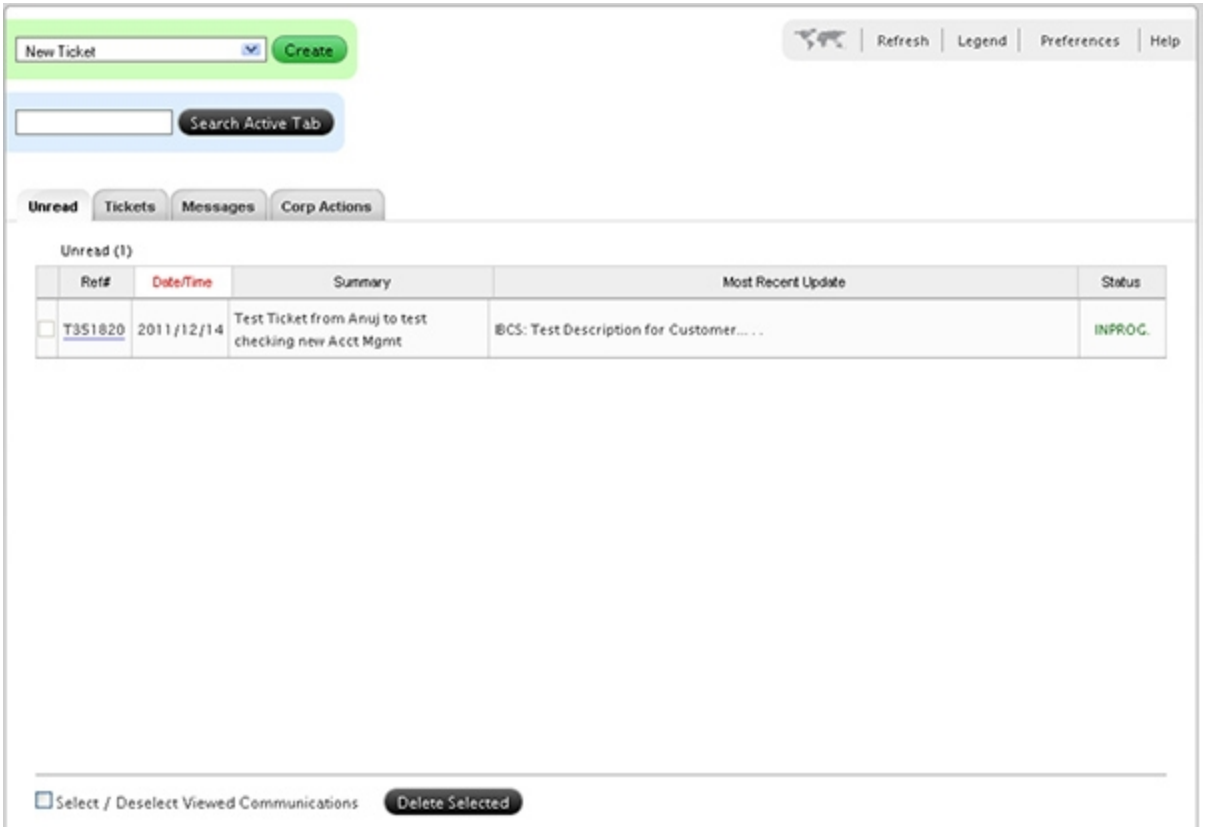
Use the Customer Service Message Center to:

- Create a new inquiry ticket, and attach a file to the ticket
- Modify an existing inquiry ticket
- Set Ticket Notification Preferences
- Cancel or close a inquiry ticket

The Customer Service Message Center includes the following features:

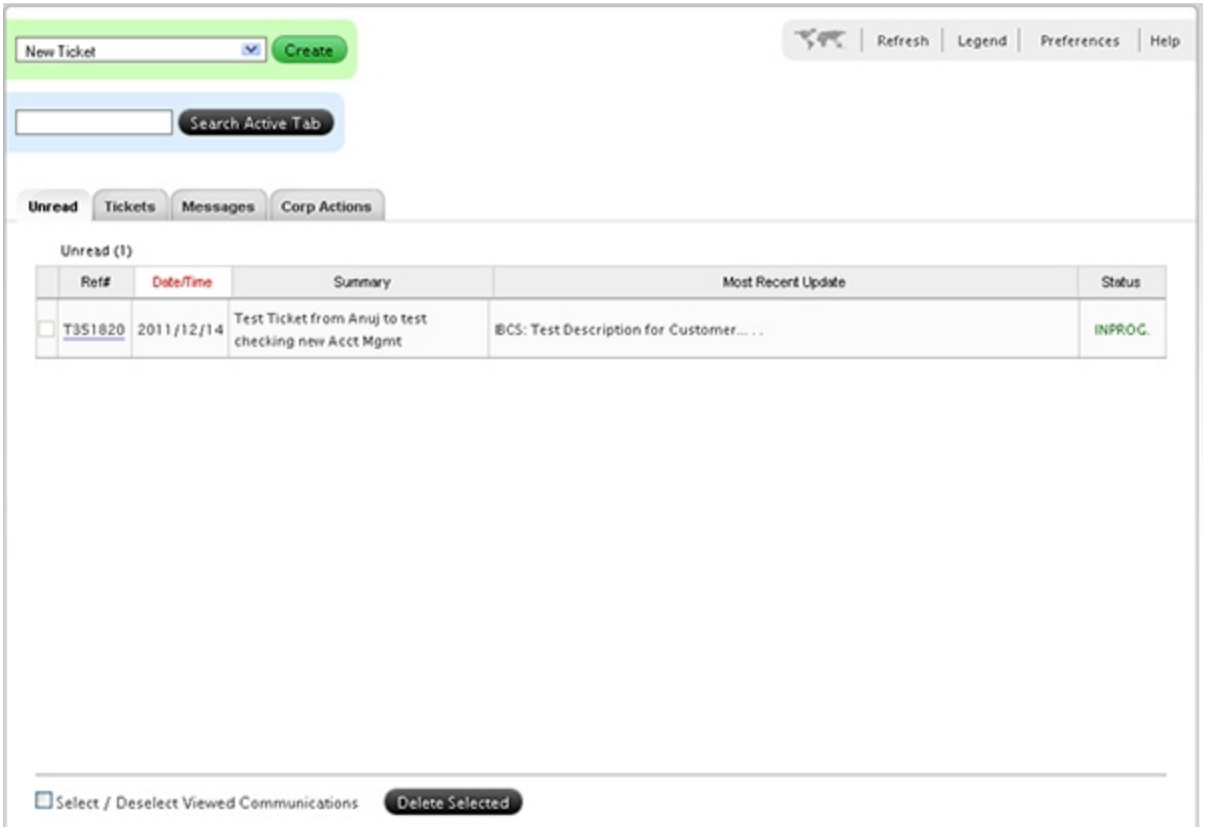
- Every inquiry is assigned a reference number, called a ticket. This reference number can be used to efficiently track the progress of the inquiry.
- The real-time status of an inquiry is always displayed in the main Message Center window. You will know if the issue has been picked up by an IB service expert, which expert is handling your issue, and whether it is being addressed by our main help team or by a specialty team.
- Both customers and IB staff can refine or add information to the ticket, permitting easy clarifications or follow up to the original inquiry. In addition, customers can cancel or close tickets once the issue has been addressed, giving them greater control over the process.

- History of both open and completed inquiries.
- Fast response - Tickets are assigned to an IB representative usually within a few minutes and always within 2 hours during European and North American trading hours. During Asian trading hours, response times may be longer.



Message Center Window

When you click **Support > Message Center**, the Message Center appears.

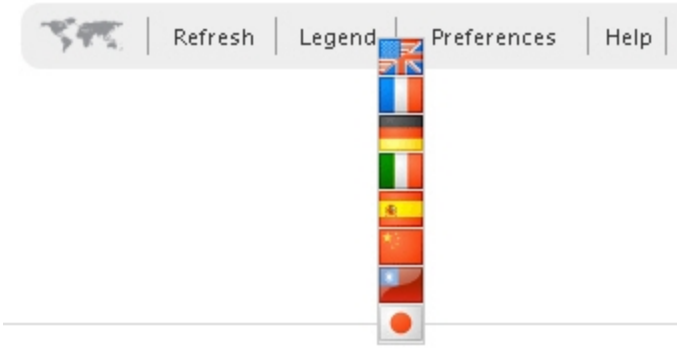


Viewing Tickets and Unread Messages

- View a list of the most recent inquiry tickets and unread messages by clicking the appropriate tab in the Customer Service Message Center window.
- For each ticket or message in the list, the Message Center displays the Ref# (unique for each message), the date and time, a summary of the ticket or message, the most recent update, the person or group assigned (usually IBCS for IB Customer Service), and the status.
- View an individual inquiry ticket or message by clicking anywhere on the item in the list.
- View the status of an inquiry ticket in the Status column. The Legend defines all possible statuses.
- Sort a list of tickets or messages by clicking on any column heading.
- Sort the list by read and unread items by clicking the **Sort Read/Unread** button.
- Update the list of messages or tickets by clicking the **Refresh** button.
- Use the Search function to search for specific tickets or messages on the current tab. Type the word or phrase you want to find, then click **Search Active Tab**.
- Delete old items from the list by checking the check box on the left side of an item, then click the **Delete Selected** button at the bottom of the window.

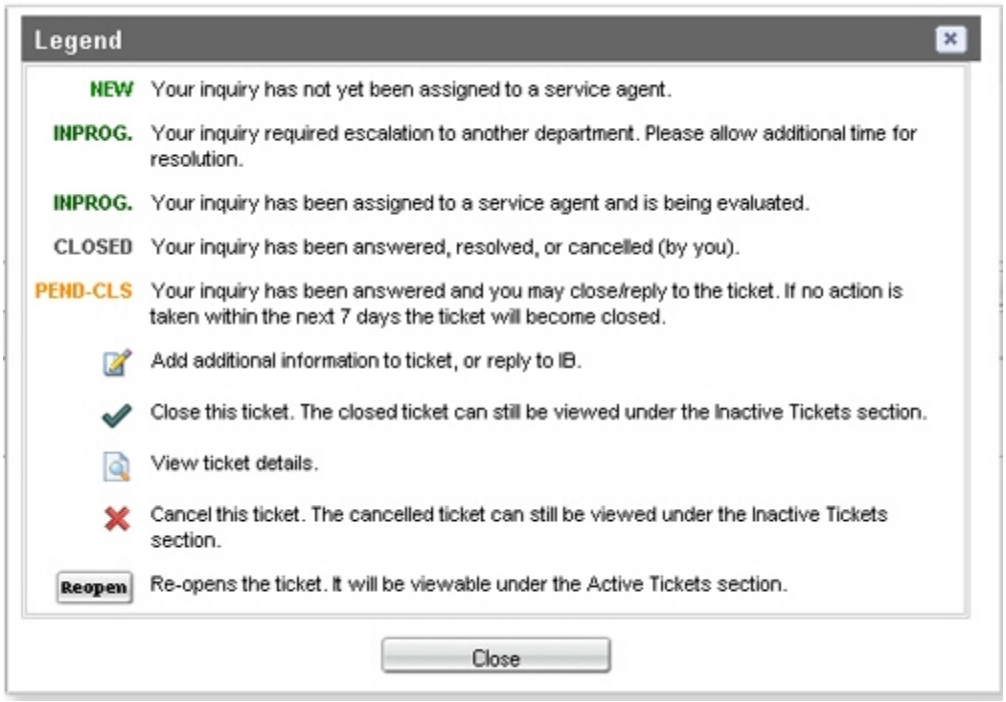
Changing the Display Language

You can change display language to any of the following languages by clicking the map icon, then selecting the appropriate flag icon:



Viewing the Legend

The Customer Service Message Center Legend shows what all the possible inquiry statuses and icons mean. To view the Legend, click the Legend button.

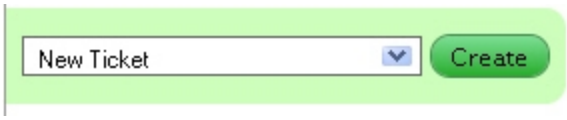


Creating a New Ticket

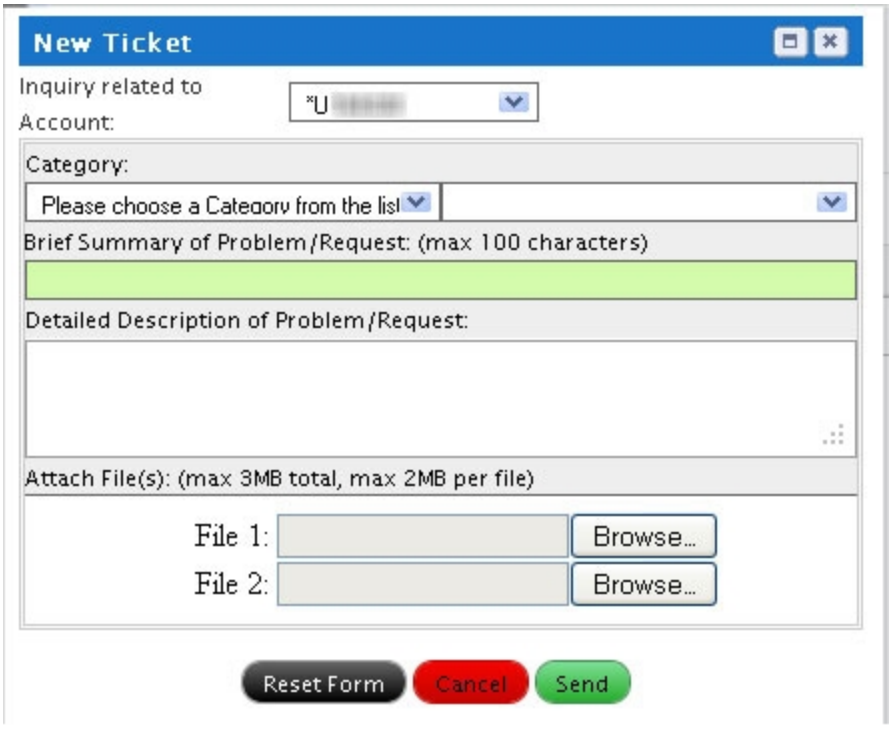
You create a new ticket in the Message Center. Before you create a new ticket, make sure that pop-ups are allowed in your web browser.

To create a new inquiry ticket

1. Click **Support**. The Message Center appears.
2. In the Message Center window, make sure New Ticket is selected in the list, then click **Create**.

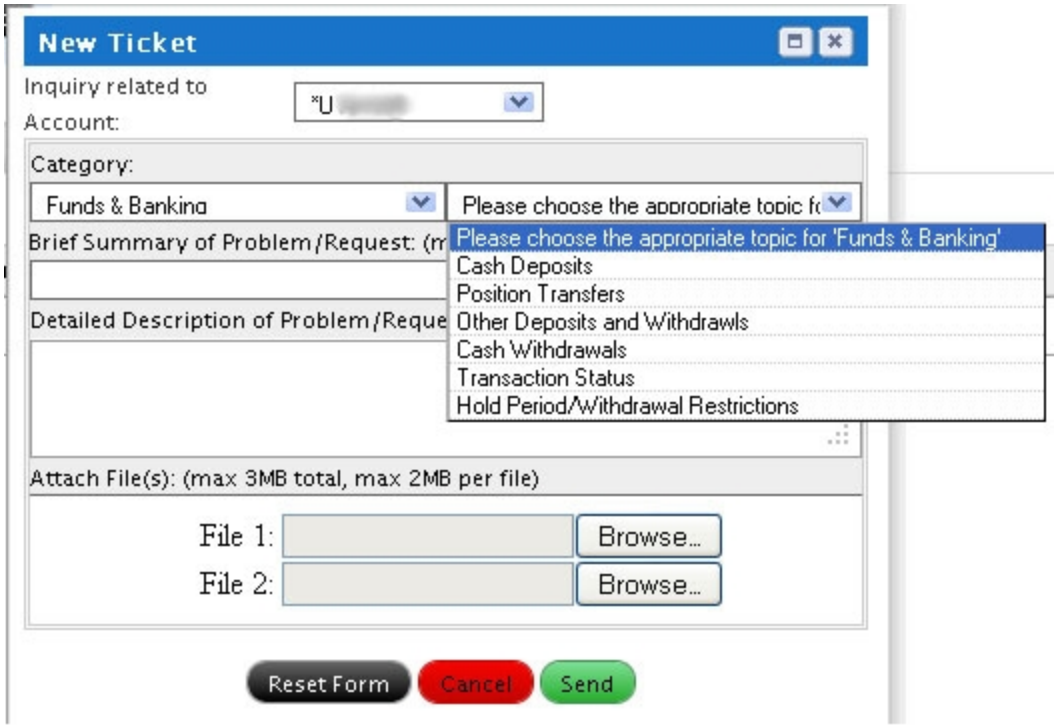


The New Ticket window opens.



3. Select a category and subcategory for the inquiry. The combination of categories and subcategories let us route your inquiry to the IB Expert who is specialized or is most experienced for your particular

issue.

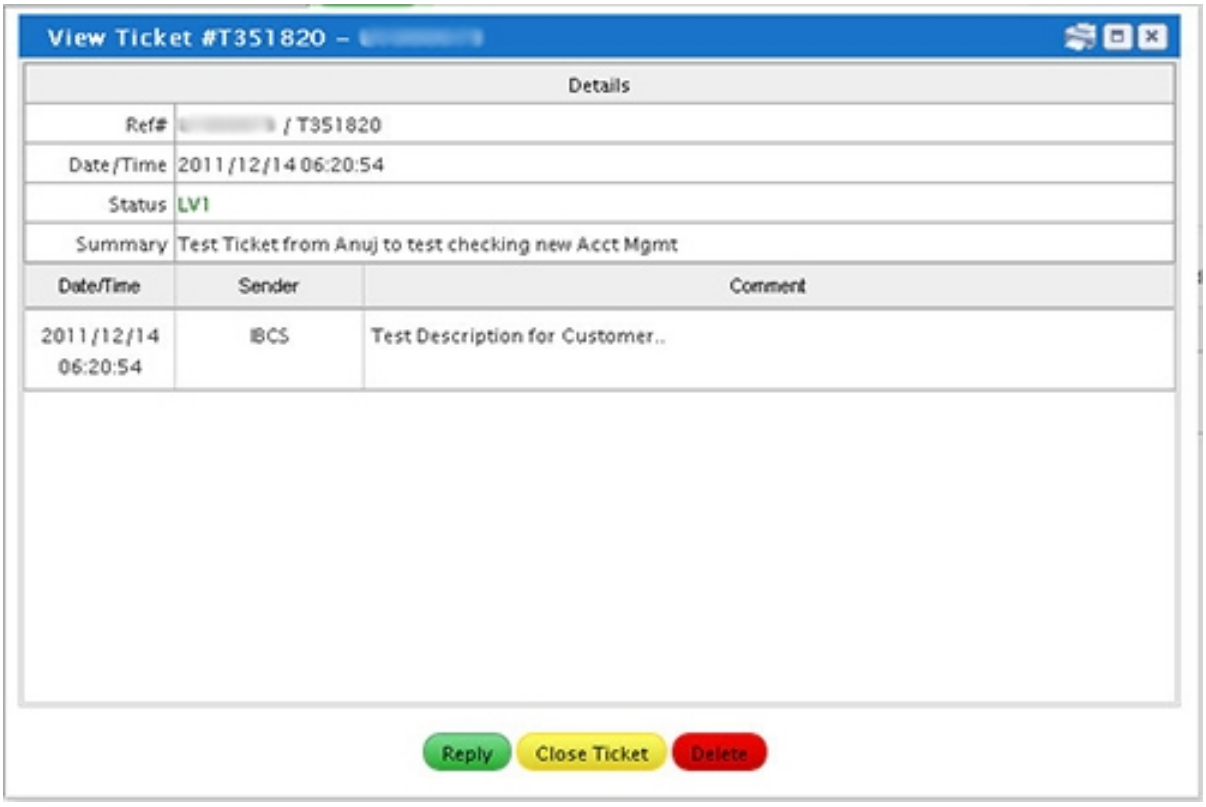


4. In the Brief Summary field, modify the brief description of your inquiry. This is the text that appears in the Summary column of the list of tickets in the main Message Center window.
5. In the Detailed Description field, modify the detailed description or question. Please be as specific and complete as possible (for example, exact dates/times, TWS version, and so on), as this lets us accurately research your inquiry to give you the best and fastest response. The Detailed Description field expands as you type, so don't worry about running out of space in which to describe your issue.
6. Optionally attach up to two files to your inquiry using the Attach Files fields. Click the Browse button to select a file on your computer. You can attach files with a total size of 3MB, and each file you attach must not be more than 2MB.
7. Click **Send**, then click **OK** to dismiss the confirmation message that appears.
   Click **Cancel** if you change your mind and do not want to submit the ticket, or **Reset Form** to reset all the fields in the New Ticket to blank.
8. Your new inquiry is listed on the Tickets tab in the Message Center, along with the ticket reference number and a status of NEW.

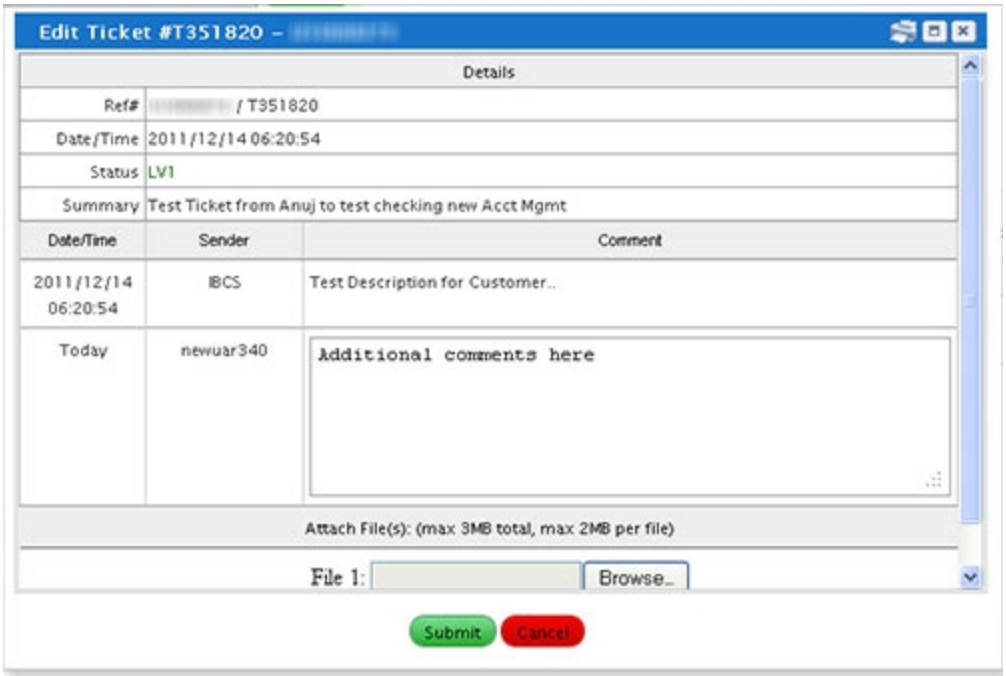
Modifying a Ticket

To modify an existing inquiry ticket

1. Click **Support**. The Message Center appears.
2. Click the Tickets tab to view all of your tickets.
3. Click the row that contains the ticket you want to modify. The View Ticket window opens.



4. Click **Reply**. The Edit Ticket window opens.



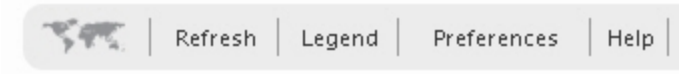
5. In the text box, replace the text "Additional comments here" with your own text, and attach any additional files using the File fields at the bottom of the window.
6. Click **Submit**.

Setting Ticket Notification Preferences

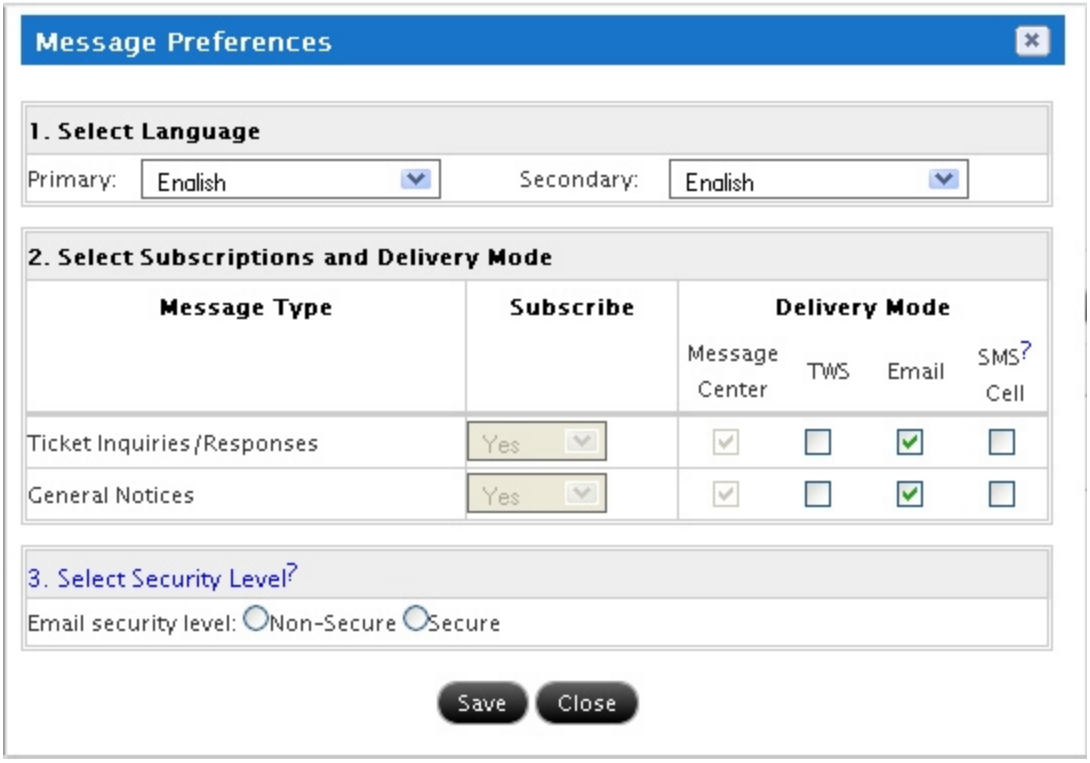
If you prefer, you can tell IB to send you additional notification when an inquiry ticket is updated. You can be notified via email, TWS or SMS (Short Message Service) on your mobile telephone.

To set ticket notification preferences

1. Click **Support**. The Message Center appears.
2. Click **Preferences** in the top right corner of the Message Center.



The Message Preferences window appears.



3. Select a primary and secondary language for messages.
4. For each Message Type, select one or more the three available notification methods (TWS, Email or SMS) by clicking the appropriate check box.
5. For email and SMS notification, select **Secure** or **Non-Secure** by clicking the appropriate radio button.
    - Secure notification - you will be send a generic notification that contains no private information.
    - Non-secure notification - you will receive the actual reply content. Note that this option may result in the content being viewable by an unauthorized third party.
6. Click **Save**.

Closing a Ticket

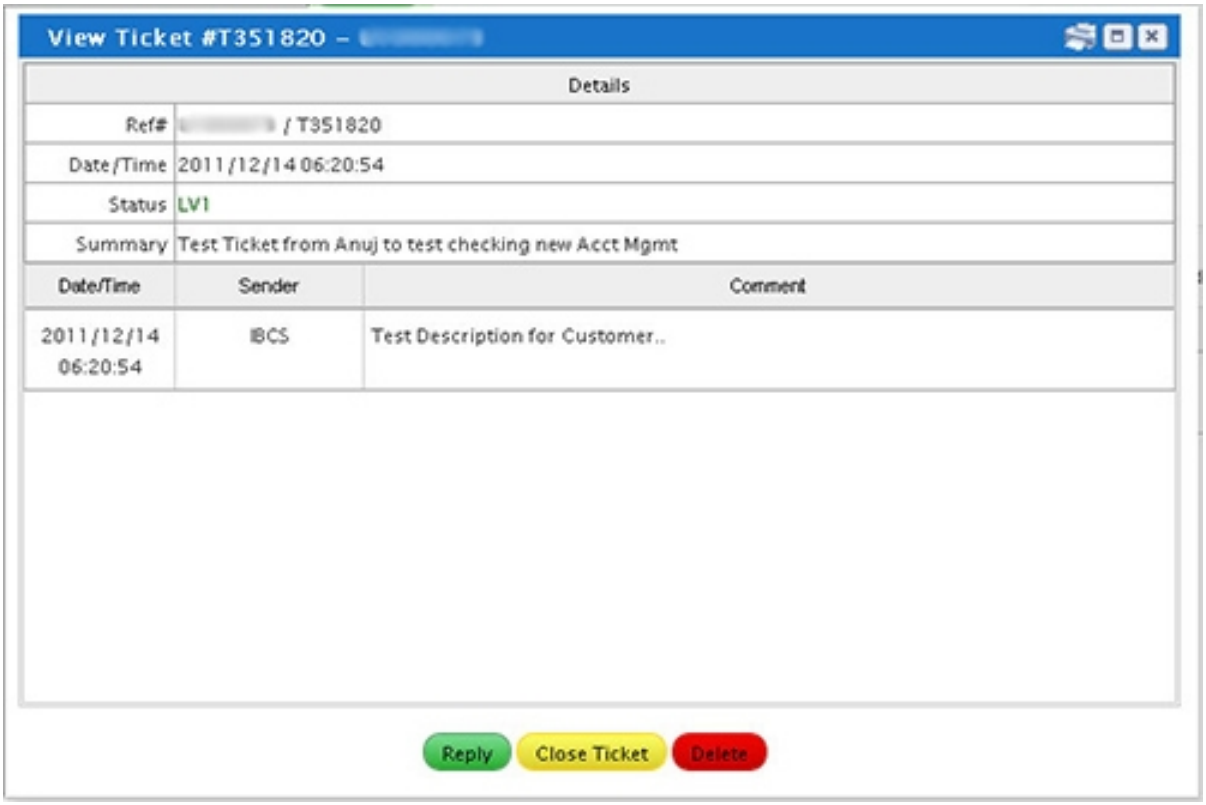
You can close open inquiry tickets in the Customer Service Message Center.

Close an open ticket when your inquiry has been resolved (for example, an exchange access problem that has already been fixed), or you if you have received a satisfactory answer. This changes the status of the ticket Closed. Close tickets as soon as possible once you are satisfied. IB Customer Service managers

may close tickets in cases where the ticket appears to be fully answered but has not been closed by the customer.

To close an open inquiry ticket

1. Click **Support**. The Message Center appears.
2. In the Message Center, click the Tickets tab.
3. Click the row that contains the ticket you want to close. The View Ticket window opens.



4. Click **Close Ticket** to cancel the ticket.
5. View closed inquiry tickets on the Tickets tab by clicking the **Show All** radio button.

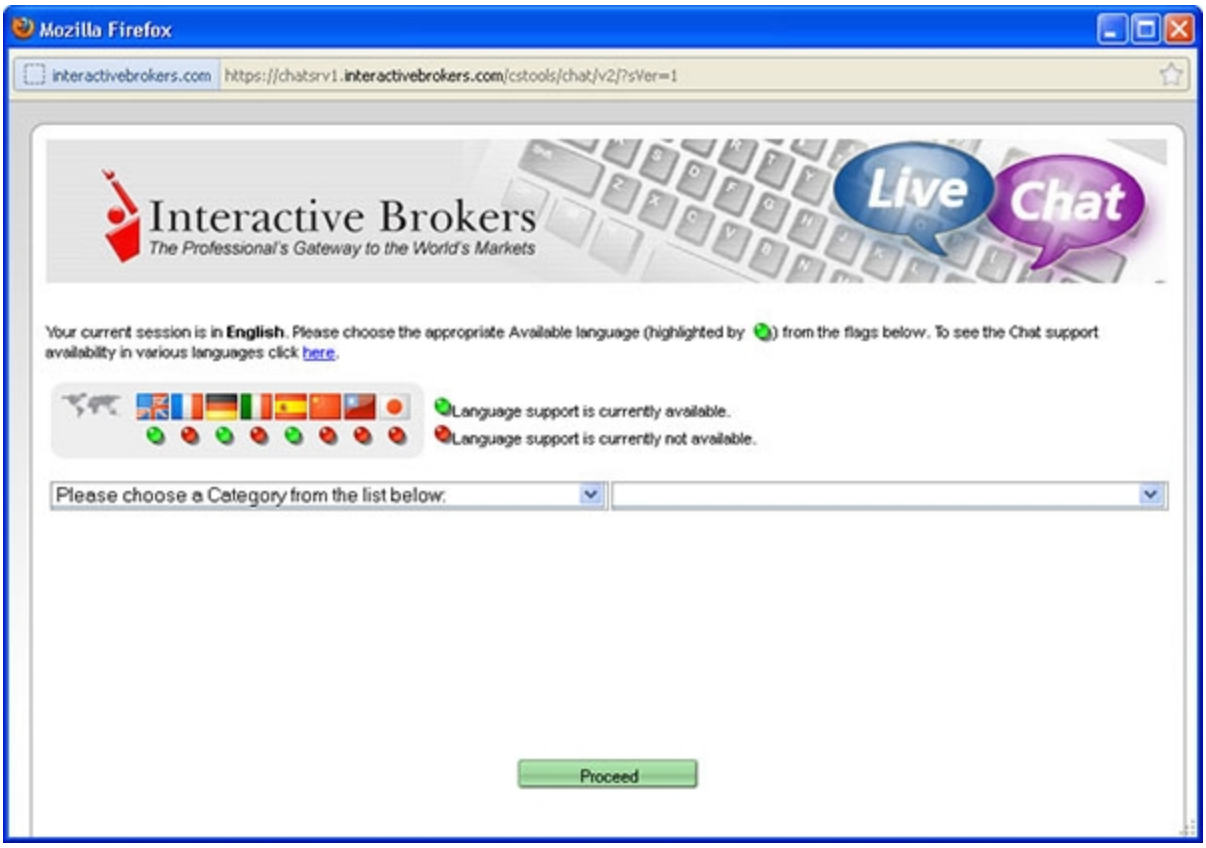
Live Chat

Customer Service Live Chat lets you communicate directly with an IB Customer Service representative in real time. Because it is authenticated and uses secure communications, IB staff are able to provide account

specific information in a secure manner. Transcripts are available on demand. We recommend using the Customer Service Live Chat for funding/banking and account application inquiries.

To access Customer Service Live Chat

1. Click **Support > Live Chat**. The Live Chat window opens.



2. In the Customer Service Live Chat window, select a category from the Category list. This is the subject on which you are seeking assistance.
3. Select a subcategory from the Sub-Category list.
4. Select your language by clicking the appropriate flag. A flag with a green dot below it indicates that support is currently available in that language. A flag with a red dot indicates that support is NOT currently available in that language.
5. Click **Proceed**.

   An IB Customer Service representative will appear online in a few moments.

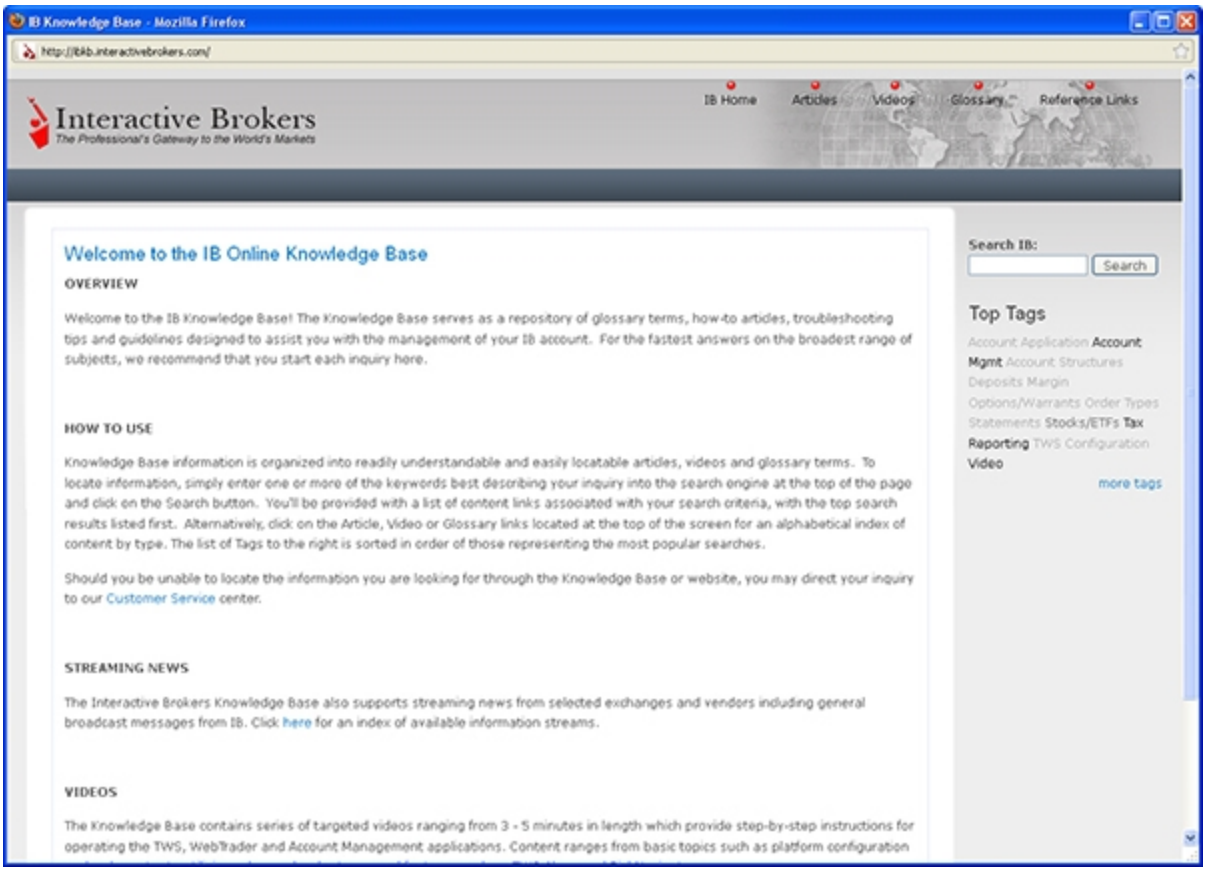
Knowledge Base

The Knowledge Base is a repository of glossary terms, how-to articles, troubleshooting tips and guidelines designed to assist IB customers with the management of their IB accounts.

To access the Knowledge Base from EmployeeTrack Management

1. Click **Support > Knowledge Base**.

   The Knowledge Base opens in a new window.



   To locate information, enter one or more of the keywords best describing your inquiry into the search field at the top of the page, then click **Search**. A list of content links associated with your search criteria appears, with the top search results listed first.

You can also click the **Article**, **Video** or **Glossary** links at the top of the page for an alphabetical index of content by type. The list of Tags to the right is sorted in order of those representing the most popular searches.

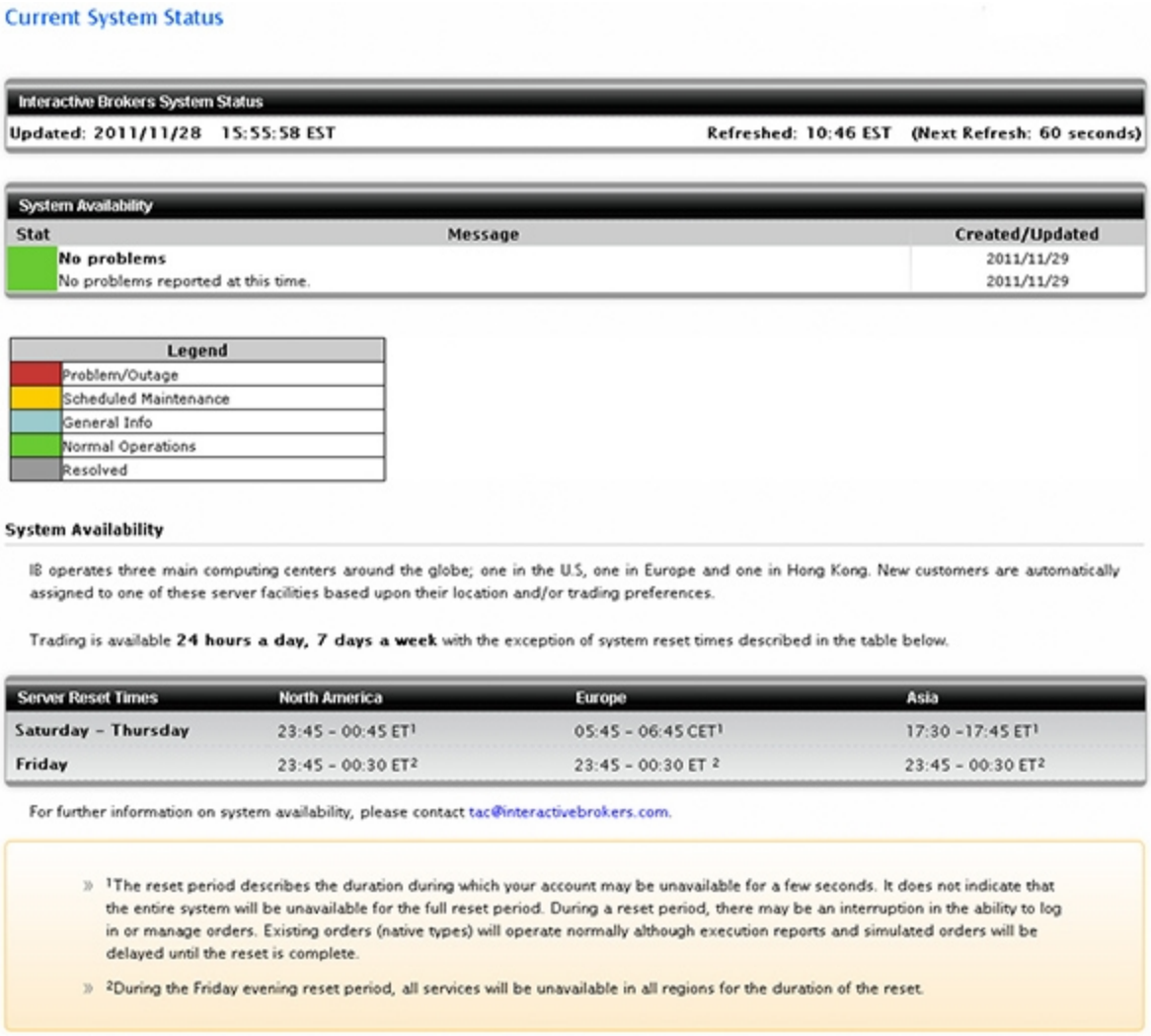
System Status

This page lets you see the status of our system at a glance.

To view the System Status page

1. Click **Support > System Status**.

   The System Status page automatically displays in a new window.



Current System Status

Interactive Brokers System Status

Updated: 2011/11/28 15:55:58 EST Refreshed: 10:46 EST (Next Refresh: 60 seconds)

System Availability

Stat	Message	Created/Updated
	No problems No problems reported at this time.	2011/11/29 2011/11/29

Legend
Problem/Outage
Scheduled Maintenance
General Info
Normal Operations
Resolved

System Availability

IB operates three main computing centers around the globe; one in the U.S, one in Europe and one in Hong Kong. New customers are automatically assigned to one of these server facilities based upon their location and/or trading preferences.

Trading is available **24 hours a day, 7 days a week** with the exception of system reset times described in the table below.

Server Reset Times	North America	Europe	Asia
Saturday – Thursday	23:45 – 00:45 ET[1]	05:45 – 06:45 CET[1]	17:30 –17:45 ET[1]
Friday	23:45 – 00:30 ET[2]	23:45 – 00:30 ET [2]	23:45 – 00:30 ET[2]

For further information on system availability, please contact tac@interactivebrokers.com.

» [1]The reset period describes the duration during which your account may be unavailable for a few seconds. It does not indicate that the entire system will be unavailable for the full reset period. During a reset period, there may be an interruption in the ability to log in or manage orders. Existing orders (native types) will operate normally although execution reports and simulated orders will be delayed until the reset is complete.

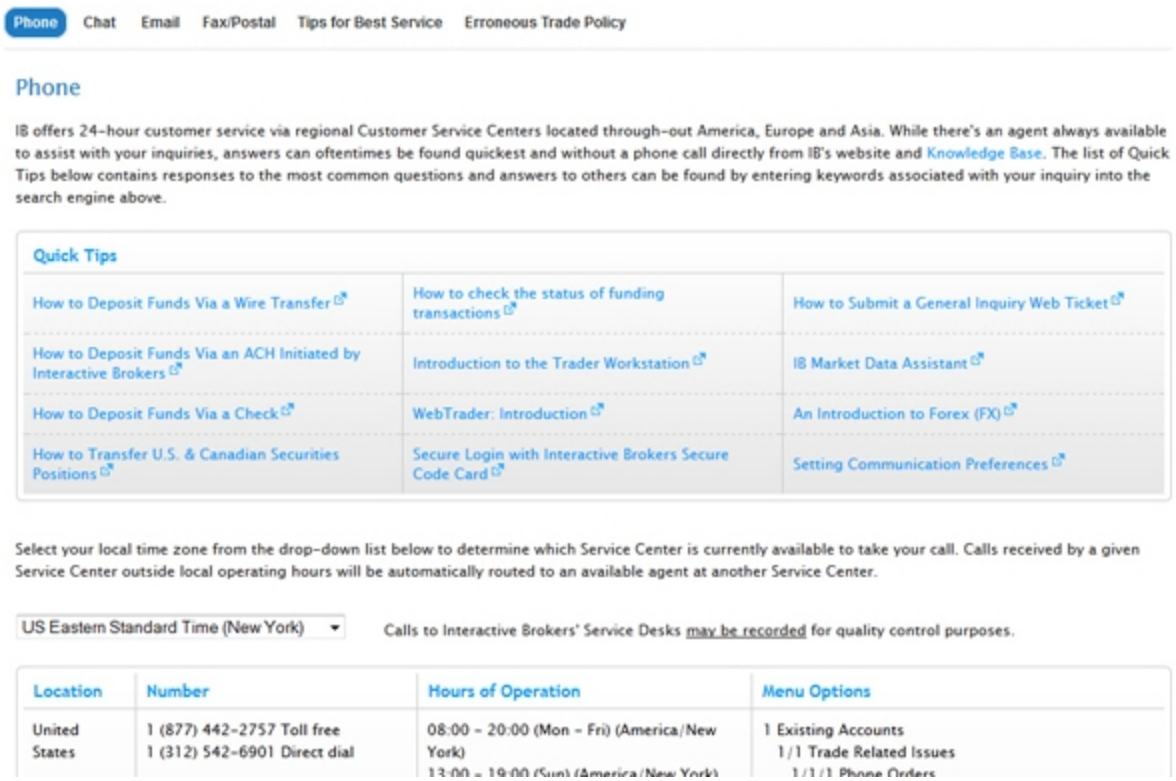
» [2]During the Friday evening reset period, all services will be unavailable in all regions for the duration of the reset.

Customer Service Contact Information

This page gives you all the information you need to contact our Customer Service department.

To access the Contacts page

1. Click **Support > Contacts**.

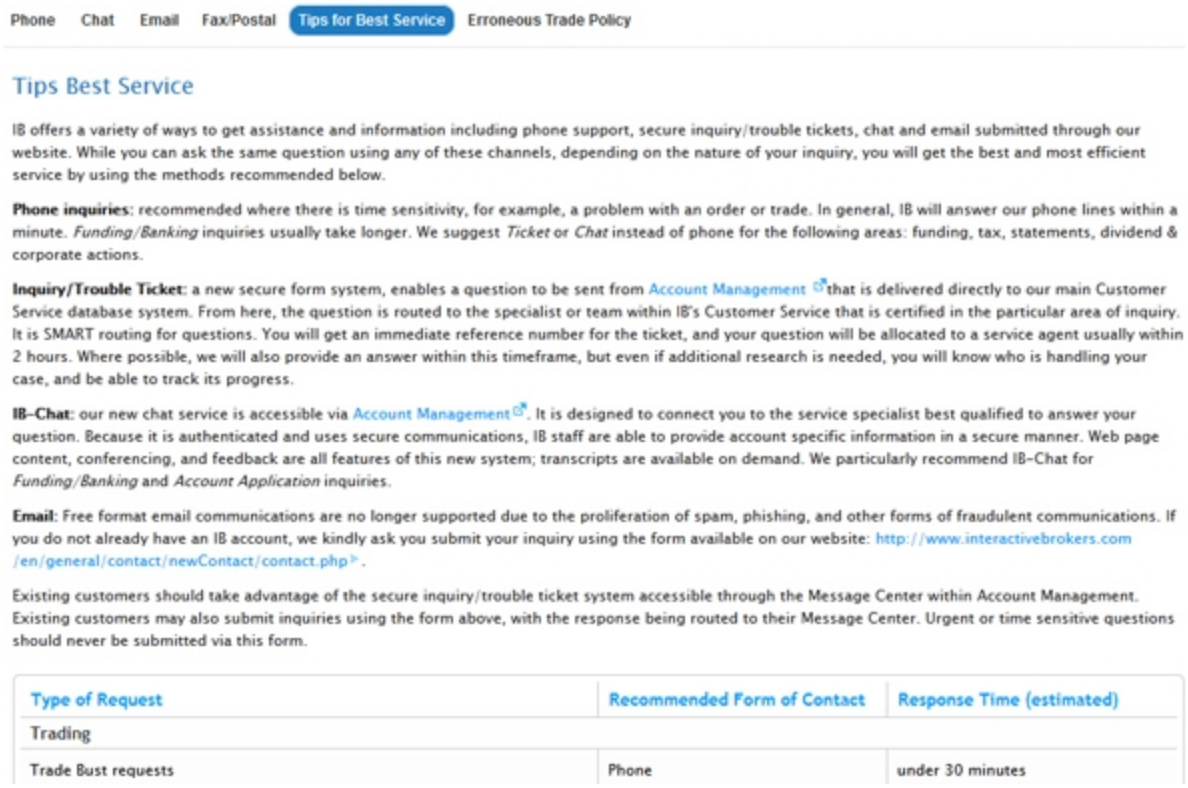


Service Tips

The Service Tips page contains information to help you get the most out of your experience with IB Customer Service.

To view the Service Tips page

1. Click **Support > Service Tips**.



Phone Chat Email Fax/Postal Tips for Best Service Erroneous Trade Policy

Tips Best Service

IB offers a variety of ways to get assistance and information including phone support, secure inquiry/trouble tickets, chat and email submitted through our website. While you can ask the same question using any of these channels, depending on the nature of your inquiry, you will get the best and most efficient service by using the methods recommended below.

Phone inquiries: recommended where there is time sensitivity, for example, a problem with an order or trade. In general, IB will answer our phone lines within a minute. *Funding/Banking* inquiries usually take longer. We suggest *Ticket* or *Chat* instead of phone for the following areas: funding, tax, statements, dividend & corporate actions.

Inquiry/Trouble Ticket: a new secure form system, enables a question to be sent from Account Management that is delivered directly to our main Customer Service database system. From here, the question is routed to the specialist or team within IB's Customer Service that is certified in the particular area of inquiry. It is SMART routing for questions. You will get an immediate reference number for the ticket, and your question will be allocated to a service agent usually within 2 hours. Where possible, we will also provide an answer within this timeframe, but even if additional research is needed, you will know who is handling your case, and be able to track its progress.

IB-Chat: our new chat service is accessible via Account Management. It is designed to connect you to the service specialist best qualified to answer your question. Because it is authenticated and uses secure communications, IB staff are able to provide account specific information in a secure manner. Web page content, conferencing, and feedback are all features of this new system; transcripts are available on demand. We particularly recommend IB-Chat for *Funding/Banking* and *Account Application* inquiries.

Email: Free format email communications are no longer supported due to the proliferation of spam, phishing, and other forms of fraudulent communications. If you do not already have an IB account, we kindly ask you submit your inquiry using the form available on our website: http://www.interactivebrokers.com/en/general/contact/newContact/contact.php.

Existing customers should take advantage of the secure inquiry/trouble ticket system accessible through the Message Center within Account Management. Existing customers may also submit inquiries using the form above, with the response being routed to their Message Center. Urgent or time sensitive questions should never be submitted via this form.

Type of Request	Recommended Form of Contact	Response Time (estimated)
Trading		
Trade Bust requests	Phone	under 30 minutes

Index

A

access right groups 66

Activity Flex Queries 42

Activity menu 35

activity statement archive policy 35

activity statements 35

- customized statements for 39
- profit and loss 41
- settings for delivered statements 42
- viewing 36

activity volume 28

adding a user 65

adding comments to the Audit Trail Log 12, 80

Audit Trail Log 9, 12, 77, 80

auditing statement views 31

automatic logoff 8

B

batch reports 45

bulk employee upload 86

C

change in Net Asset Value 30

changing display language 20

changing EmployeeTrack email address 74

changing EmployeeTrack password 73

closing an inquiry ticket 97

Compliance menu 23

Compliance Officer Information 63

contact email 88

contacting customer service 102

Continue and Back buttons 20

creating a new support ticket 93

customer service 89

- contacts 102

customer service live chat 98

Customer Service Message Center 89-90

Customer Service messages 16

customer service tips 102

customized statements for Activity Statements 39

D

default activity statements 35

deleting users 72

delivery settings 51

delivery settings for flex queries 52

display language 20

  Message Center 92

E

editing employee relationship 11, 79

editing Reference IDs 11, 79

email address 74

Employee Accounts 9, 77

employee Reference ID

  editing 11, 79

employee relationship

  editing 11, 79

employee statements 23

Employee Statements 23

EmployeeTrack

  Compliance Officer Information 63

  overview 5

  registration and setup 6

EmployeeTrack Management menu 16

error codes for Flex Web Service Version 3 61

expiring sessions 8

F

failed login attempts 7

flex queries

  delivery settings for saved 52

  via HTTPS 54

Flex Web Service 54, 57

  error codes for Version 3 61

Flex Web Service Version 2 54

Flex Web Service Version 3 57

G

getting help 18

Getting Started 5

H

help 18

Home page 8

  messages 16

I

inquiry tickets 93

  closing 97

modifying 95

preferences for 96

K

Knowledge Base 100

L

Language menu 20

legend

Message Center 92

Link Employees menu 84

Link Existing Employee 84

link new employees 86

linking an employee to EmployeeTrack 84

linking employees

new employee accounts 86

Live Chat 98

logging in 7

failed login attempts 7

logging out 21

M

Manage Account menu 63

Manage Employees menu 77

map icon 20

message center 89

Message Center

changing display language 92

legend 92

modifying a ticket 95

new ticket 93

Message Center Window 90

Messages tab 16

modifying an inquiry ticket 95

modifying user access rights 70

modifying users 70

N

navigating pages 20

P

password 73

pending accounts 14, 82

pending employee accounts 8

Pending tab 14, 82

profit and loss

in activity statements 41

R

Reference ID

editing 11, 79

registering for EmployeeTrack 6

reports 23, 35, 46

Reports menu 23

S

Search by Performance 30

Search by Symbol 25

Search by Volume 28

Security menu 73

selecting profit and loss in activity statements 41

sending new account link to employees 86

Settings menu 50

Statement Audit Report 31

statement views 31

statements 35

statements for employee accounts 23

sub compliance officers 65

support

tips for best service 102

Support menu 89

system status 101

T

ticket notification preferences 96

Trade Confirmation Flex Queries 47

Trade Confirmations 46

Trade Confirmations menu 46

trading restrictions 88

U

uploading multiple employees 86

user access rights 65

access groups 66

modifying 70

viewing on the Users page 69

Users page 65

V

viewing a list of pending accounts 14, 82

viewing Activity Statements 36

viewing employee accounts 9, 77

viewing pending accounts on the Home page 8

viewing user access rights for an individual user 69