User Guide

Compliance Portal

InteractiveBrokers
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Getting Started with EmployeeTrack

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 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.

Registration and Setup

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

1. From the Interactive Brokers web site, select Open Account, then from the Other Services menu, click Compliance Officer.
2. On the *Open an Account* page, click the **Start Application** button.

3. Complete the EmployeeTrack account application.

4. When you complete the application, you will be able to log in to the Compliance Portal immediately.

   The first time you log into Compliance Portal, there will be no active employee accounts listed. Employee accounts will be displayed on the homepage as employees open new accounts and when existing accounts are linked.
5. Click the Invite/Import (+) icon, then follow the instructions on the screen to link employees’ IB accounts to EmployeeTrack.

6. Invitations to employees with existing accounts are sent by email with a link that takes the employee to log in to their account. Upon logging in to Client Portal, 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.

7. Invitations are sent to employees to open new accounts.

Log in and Log Out of Compliance Portal

1. From the IB home page, click Login.

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

Failed Login Attempts

After ten failed login attempts in 24 hours, your Compliance Portal login will be disabled. If this happens, contact Customer Service.

Automatic Logoff

If you are logged into Compliance Portal but don’t do anything for 30 minutes (the system detects no activity), your Compliance Portal 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 Compliance Portal session.

Log Out

1. From the main menu, click the username.
2. Click Log Out.

Navigate the Compliance Portal Menus

Find information in Compliance Portal by simply clicking an item on the top-level menu to display the available menu items.

1. The main menu on the left contains top-level headings. Reports and Settings contain sub-level headings where you can find further content.

![Compliance Portal Menus](image)

2. In the following screenshot, notice that the top-level heading Reports, is expanded to show Statements and Flex Queries.
3. Click any sub-heading to open that page.

Get Help

You can get additional information about Compliance Portal in the following ways:

» Contextual Help
» User Guide

Contextual Help

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

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

The EmployeeTrack home page uses a summary dashboard that allows compliance officers to monitor and manage personal brokerage account activity for employees with Interactive Brokers accounts.

The home page includes:
- Account ID: Internal or external accounts
- Broker: Interactive Brokers or an external broker
- Relationship
- Account Status: Open, Closed, Abandoned or Funded Pending
- Account Type: If internal, the account can be of type Individual, Joint, or Organization.
- Link Status: Activated, Pending or Rejected
- Date Added
- Date Opened
- Date Closed

Compliance Portal User Guide

This Guide contains detailed instructions on how to use the different functions in Compliance Portal. Access this guide from within most contextual help windows, from the Support screen, or from the Documentation page in the Traders’ University on our website.
Home Page

The Compliance Portal Home page contains the Employees section, which displays all active employee accounts as well as any pending or rejected invitations.

On this page, a compliance officer can:

» Invite employees to open new IB accounts that are automatically linked to your EmployeeTrack account.
» Link existing employee accounts to your EmployeeTrack account.
» 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.
» Sort accounts by a specific column by clicking on the column header.
» Search accounts by entering the account holder name and account number.

The Employees page is the first page that opens when you log into Compliance Portal.

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.

1. Click Home. The Employee Accounts is the first page that opens when you log into Compliance Portal.
2. To edit an employee account, select the Info icon next to the employee’s name.
3. Go to the Employee Details box and select the Configure (gear) icon.

The Edit Employee page appears.

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

**Pending Review**

The Pending Review icon is displayed when an account has unreviewed monthly statements. Click Pending Review to review the statement.

1. From the Home page in Compliance Portal, in the Employees list, find an account that has Pending Review.

![Account List](image)

2. Click the Pending Review icon to review the most recent monthly statement that is pending review.
   The monthly statement opens on the same page.

3. To go back to the homepage, click on the Home menu or click on Home from the breadcrumb trail.
4. When you navigate away from the statement, the statement will be automatically marked as reviewed.
Invite or Import Accounts

You can invite employees to open new IB accounts and link existing employee accounts to your EmployeeTrack account. If you have multiple employee accounts to link, you can also send link invitations to accounts in bulk by creating and uploading a Mass Employee upload file in CSV format.

Invite a New Brokerage Account

1. From the Home page in Compliance Portal, click "+" and select **Invite New IBKR Brokerage Account**.

The Invite New IBKR Brokerage Account page appears.
2. Click Continue.
3. Review the employee information you entered and click OK.

Invite an Existing Brokerage Account

1. To link existing IB accounts, from the EmployeeTrack home page, select the '+' icon from the upper-right corner and select Invite Existing IBKR Brokerage Account.
2. Complete the information associated with the employee.

3. Click OK.
4. When the employee accepts the invitation, they will appear on the Employee Accounts list.

Add Multiple Employees with Excel

1. Select the '+' icon from the upper-right corner and select Import Employees by CSV file.
2. Click the Download our Excel Template link in the Add Employees with Excel dialog box.
3. Enter employee information into the Excel template.

4. Return to the dialog box and click Choose a File.

Invitations will then be sent to all employees listed in the file.

View the Statement Review Log

The Statement Review Log section shows each instance when the account statement was reviewed. The log contains the date of the review, who it was reviewed by, the type of review, and the statement period.

1. From the Home page in Compliance Portal, click the "i" Info icon next to an employee account.

   The Employee page opens.
Chapter 1

View or Add Comments to an Account

2. View the entries in the Statement Review log.

<table>
<thead>
<tr>
<th>Review Date</th>
<th>Reviewed By</th>
<th>Statement Type</th>
<th>Statement Period</th>
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<tr>
<td>2019-05-08</td>
<td>ibcor951</td>
<td>MONTHLY</td>
<td>Dec 2010</td>
</tr>
<tr>
<td>2019-05-08</td>
<td>ibcor951</td>
<td>MONTHLY</td>
<td>Dec 2010</td>
</tr>
<tr>
<td>2019-05-08</td>
<td>ibcor951</td>
<td>MONTHLY</td>
<td>Dec 2010</td>
</tr>
<tr>
<td>2019-05-07</td>
<td>ibcor951</td>
<td>MONTHLY</td>
<td>Dec 2010</td>
</tr>
</tbody>
</table>

**View or Add Comments to an Account**

1. From the Home page in Compliance Portal, click the "i" Info icon next to an employee account.

   The Employee page opens.

2. View the entries in the Comments section.

3. To add a new comment, click the "+" Add icon.

   The Add Comment page opens.

4. Enter text into the comment field and click Add.
View the Statement Audit

The Statement Audit feature allows you to review all pending statements for a specific month with the option to review pending statements with no activities with a single click.

1. From the Home page in Compliance Portal, click the Statement Audit icon in the top right corner.

The Statement Audit page opens.

2. Select the month.
3. Click Review to review all pending statements for the selected month.
4. Click Next to navigate to the next employee account statement until all pending statements are reviewed.
5. (Optional) To only view statements with no activities, select the Only Show Statements with No Activity checkbox and click Review. This allows you to view all statements with no activities with a single click.
6. Click View Log to view all employee accounts for the specific month with statements categorized by Pending Review, Reviewed, and Not Applicable.
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.
Reports

This section describes the reporting features of Compliance Portal.

» **Statements**: learn how to run a statement, create a custom statement, trade confirmations and delivered statements.

» **Flex Queries**: learn how to run a flex query, create an activity flex query, trade confirmation flex query, and edit flex query templates.

**Statements and Trade Confirmations**

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

» **Run a Statement or Trade Confirmation Report** - Run different kinds of statements, including your own saved custom statements, trade confirmations and third-party downloads.

» **Create Custom Statements** - Create and save custom Activity Statements.

» **Delivered Statements** - Configure custom statements and flex queries for delivery.

In this topic:

» **About Activity Statements**

» **Statement Cut-off Times**

» **Activity by Account Type**

» **Activity Statement Archive Policy**

**About Activity Statements**

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

» Information included in an Activity Statement is presented in expandable and collapsible sections with click-down detail, and you can create customized statements to include or exclude individual sections.

You can also choose to include closed accounts in your statement. You are notified via email when there is account activity.
Activity Statements in Mobile Account Management include information about your account activity, which can be generated on a daily or monthly basis and for a custom date range for all accounts. Prices in statements are displayed with a minimum of four decimal places to a maximum of seven decimal places. Sections that display price include Trades and Open Positions.

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

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

Statement Cutoff Times

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

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

Activity by Account Type

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

We provide access to activity statements as follows:

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

How to Run a Statement

There are two ways to run a statement:

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

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

- Run a saved Activity Flex Query.
- Run a saved Trade Confirmation Flex Query.

Set Up and Run a Statement with Additional Options

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

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

   The Statements screen opens.
Chapter 2

How to Run a Statement

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

4. Select the Period you want the report to cover. Select Daily, Custom Date Range, Monthly, Annually or Year to Date.

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

### Run a Saved Custom Statement

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

3. In the Custom Statements panel, click the Run icon next to the saved custom statement you want to run.
4. If you selected multiple accounts in the Account Selector, a popup opens to allow you to download a consolidated statement.

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

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

---

**Types of Statements**

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

**Standard Statements**

- Model Statements - Advisors and their clients can view these statements provided models have been created in Trader Workstation. Model Statements include additional information about the selected model in the Account Information section.
- MTM Summary - A simpler statement that includes NAV and Position and MTM profit and loss summaries as well as other summary information related to changes in NAV.
- Accounts Summary - Available for clients who manage or maintain multiple accounts.
Realized Summary - A simpler statement that includes NAV, Positions and realized P&L summaries as well as other summary information related to changes in NAV.

Trade Confirmation Report - Real-time trade confirmations are generated for all executions. You can view a trade confirmations report, which lists trade confirmations separately by asset class. Trade confirmations are available for the four previous calendar years and from the start of the current calendar year.

Trade Allocation Report - Real-time trade confirmations are generated for all executions. You can view a trade confirmations report, which lists trade confirmations separately by asset class. Trade confirmations are available for the four previous calendar years and from the start of the current calendar year.

Aggregate Costs and Charges (IB Uk/UKL only) - Shows information about the costs and charges applied to accounts in the previous 12 months (or less) reporting period.

Custom Statements
- Saved Custom Activity Statements

Flex Queries
- Activity Flex Queries
- Trade Confirmation Flex Queries

Third-Party Downloads
Download daily and monthly statements into a variety of different software programs.

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

You can also view, edit and delete saved custom statement templates on the Statements > Custom Statements screen.

When you create a custom statement template, you do not save the period or date with the template. You select these options when you run the statement from the Statements screen.
1. Click **Reports > Statements**. The Statements screen opens.

2. In the Custom Statements panel, click the Configure (gear) icon. The Create an Activity Statement screen opens.

3. Click the + icon to open a new statement template.

4. In Activity Statement Details, enter the name of the custom statement, and select an output format and language.
Activity Statement Details

Statement Name

Required

Format

HTML/Web

Language

English

5. In Sections, click each section that you want to appear in your custom statement. Select sections appear with a check mark.
6. In Section Configurations, select YES for each option that you want to turn on in your custom statement.

- For Profit and Loss, select the profit and loss format for the statement. Select *MTM and Realized P/L, Realized P/L Only, MTM Only*, or *None*.

For more information about profit and loss on statements, see [Profit and Loss Selection](#).
7. Click CONTINUE.
8. Review your statement template and click Create.

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

View, Edit and Delete Statement Templates

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

- View all of your saved Activity Statement templates.
- Edit an existing template.
- Delete an existing template.
- Create a new Activity Statement template.

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

The Statements screen opens.

3. In the Custom Statements panel, click the Configure (gear) icon.
Chapter 2  
Customized Statements Profit and Loss Selection

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

4. Each saved custom statement template is displayed on its own expanding and collapsing row. Click an individual template to expand it and display all of the details about the statement.
5. To edit an existing template, click the Edit (pencil) icon for the template. Make changes as required.
6. To delete an existing template, click the X icon for the template. Once you delete a template, you can no longer run that statement.

**Customized Statements Profit and Loss Selection**

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

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

Your selection affects which sections and which columns appear in certain sections in your statement.

Note that default statements use the MTM and Realized P/L Profit and Loss setting.

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

Real-time trade confirmations are generated for all executions. On the Reports > Statements screen, you can run any of the following types of trade confirmation reports:

» **Trade Confirmation Reports** - Shows your trade confirmations separately by asset class for a specific day or range of dates.

» **Trade Allocations** - Proprietary Trading Group Master or sub accounts who subscribe to our IBEx-execution Service can view pre-trade and post-trade allocation details.

On the Reports > Flex Queries screen, you can also create **Trade Confirmation Flex Queries** - which are highly customized trade confirmation report templates in text or XML format.

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

Run Trade Confirmation reports from the Run a Statement panel on the Statements screen.

1. Click Reports > Statements.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.
   The Statements screen opens.
3. In the Run a Statement panel, select Default Statements as the Statement Type.

   ![Run a Statement Panel](image)

4. Select Trade Confirmation as the Standard Statement Type.
5. Select the Period you want the report to cover. Select Daily or Custom Date Range.
6. Select a date. If you selected Custom Date Range, enter From and To Dates.
7. Select the output format: HTML/Web or PDF.
8. Select the language you want for the report.
9. Click Run Statement.
   Click Reset to clear all the fields.
10. If you selected PDF as the Format, you will be prompted to save the file to your computer.
Delivered Statements

You can configure the default method of notification for daily and monthly Activity Statements and Daily Trade Reports, and enable and configure delivery for your saved daily and monthly Activity Statements.

The Statements Delivery screen lets you set up notification and delivery preferences. Non-disclosed Broker Masters can also specify delivery settings for client statements.

In this topic:

- Delivery Guidelines
- Configure Notification Defaults and Delivery Settings

Delivery Guidelines

- Notifications are delivered only when there is trading activity.
- In multi-account structures (for example, Registered Advisors, Fully Disclosed Brokers or Non-disclosed Brokers), these notifications are for the master account only. They are not consolidated across all client accounts.
- Using a Registered Advisor as an example, the daily Activity Statement or Daily Trade Report would only be delivered to the master account user if there were trade allocations. The daily Activity Statement or Daily Trade Report would not be delivered to a Fully Disclosed or Non-disclosed Broker Master.
- Multi-account structures looking to receive daily or monthly statements on a consolidated basis should set up a customized activity statement for the master account user.

Configure Notification Defaults and Delivery Settings

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

   The Statements screen opens.
3. In the Delivered Statements panel, click the Configure (gear) icon.
The Statements Delivery screen shows your notification defaults, and delivery settings for all of your saved daily statements, monthly statements, Activity Flex Queries and Trade Confirmation Flex Queries in separate panels.
4. To set notification defaults:
   » Click the Configure (gear) icon in the Notification Defaults panel.

   ![Notification Defaults Panel]

   » For Daily and Monthly Activity Statements, choose how you want to be notified: Email with Attachment (the statement will be attached to the email), Email (with no statement attached; you will have to run the statement yourself in Account Management), Message Center or Disable (for no notification).

   » For Daily Trade Reports, choose how you want to be notified: Email with Attachment, or Disable (no notification).

   » Click CONTINUE.

   » Confirm your selections by clicking CONTINUE again.

   » Click Ok to return to the Delivered Statements screen.

5. To enable and configure delivery for daily and monthly statements and for your saved Flex Queries (the procedure is the same for all):
Chapter 2

Configure Notification Defaults and Delivery Settings

- On the Delivered Statements screen, click the Configure (gear) icon in the panel.

![Configure Delivery Method]

- Select your preferred delivery method from the drop-down. This will apply to ALL reports enabled for delivery. FTP is available by request only; if you do not request FTP delivery (contact Client Services), then Email is the only delivery method you can choose.
- If you requested Encryption, select YES for Encryption. Encryption is available by request only and applies to both email and FTP delivery.
- Click the check box next to each report that you want delivered.
- If you maintain or manage multiple accounts, you can configure reports to be delivered to them. Click the **Add/Edit Account(s)** button, and then select desired accounts in the Account Selector and click **CONTINUE** to close the Account Selector. The selected accounts now appear next to the report enabled for delivery.

![Reports]
Once you select multiple accounts for report delivery, you can choose how you want those reports delivered. Choose *Consolidate Selected* to consolidate the data for all accounts in a single report. Choose *Zip* to deliver separate reports for each account in a single zipped file.

- Click **CONTINUE**.
- Confirm your selections by clicking **CONTINUE** again.
- Click **Ok** to return to the Delivered Statements screen.

## Flex Queries

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

- Run a Flex Query
- Create a Custom Activity Flex Query
- Create a Custom Trade Confirmation Flex Query
- View, create, edit and delete Custom Flex Queries.

### About Flex Queries

Flex Queries are highly customized report templates for Activity Statements and Trade Confirmation Reports. Flex Queries let you specify exactly which fields you want to view, the time period you want the report to cover, the order in which you want the fields to appear, and the output format, TEXT or XML, in which you want to save your report data for viewing in a program such as Microsoft Excel.

You can create multiple Flex Queries with different fields for each report. A Flex Query is different from an Activity Statement or a Trade Confirmation Report in that you can customize a Flex Query at the field level, allowing you to include and exclude detailed field information. Customized Activity Statements only let you include and exclude sections, while you cannot customize a Trade Confirmation Report.

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

## How to Run a Flex Query

Once you create a custom Flex Query, you can run it in Account Management using one of two methods:
Quickly run a saved Activity or Trade Confirmation Flex Query from the Run a Flex Query panel on the Flex Queries screen.

Run a Custom Activity or Trade Confirmation Flex Query from the Custom Flex Queries panel on the Flex Queries screen.

Quickly Run a Saved Flex Query

1. Click Reports > Flex Queries.

The Flex Queries screen opens.

2. In the Run a Flex Query panel, select a Flex Query type. Select Activity Flex Query or Trade Confirmation Flex Query.
3. Select the saved Flex Query that you want to run.
4. In the Options drop-down, select how you want the Flex Query to be configured for multiple selected accounts and/or partitions. Consolidated statements combine the data for multiple accounts into a single statement, while ZIP saves separate Flex Queries for selected accounts in a single zipped file.
5. Click Run Flex Query.
6. When prompted, save the Flex Query or zipped file to your computer.
7. You can open your Flex Queries in a program that can read text or XML files.

Run a Custom Flex Query

1. Click Reports > Flex Queries.
2. The Flex Queries screen opens.
3. In the Custom Flex Queries panel, click the Run icon for the saved Flex Query that you want to run.

4. If you selected multiple accounts in the Account Selector, a popup opens to allow you to download a single consolidated Flex Query for all selected accounts or a .zipped file containing separate Flex Queries for selected accounts.

5. Click the **DOWNLOAD** button next to the desired option.

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

**Create an Activity Flex Query**

You create Activity Flex Queries on the Custom Flex Queries screen.

1. Click **Reports > Flex Queries**.
   The Flex Queries screen opens.
2. In the Custom Flex Queries panel, click the Configure (gear) icon.

The Custom Flex Queries screen opens.
3. Click + icon in the Activity Flex Query Templates section.

4. In Activity Flex Query Details, enter the name of the Flex Query and select the output format (XML or Text).

If you select Text as the format, select additional options. Choose a default or base currency P&L format. Also select options to include canceled trades, include currency rates, display your account alias and the statement type.

5. In Date Configuration, enter the period, date and time format and date/time separator.
Date Configuration

Date Period

Date Format

Time Format

Date/Time Separator

6. In Sections, click each section that you want to appear in your Flex Query.
7. As you select each section, a popup opens with all possible fields in the selected section.
   - Click each field that you want to appear in the Flex Query.
   - Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
   - Click **Save**.
7. In Account Configuration, select the accounts and applicable trading models, then choose if you want multiple accounts consolidated into one statement or delivered separately as a ZIP file.
8. Click **Continue**.

9. Review your Flex Query and click **Create**.
   
   You can now run your new Flex Query.

### Trade Confirmation Flex Queries

You create Trade Confirmation Flex Queries on the Custom Flex Queries screen.

1. Click **Reports > Flex Queries**.
   
   The Flex Queries screen opens.

2. In the Custom Flex Queries panel, click the Configure (gear) icon.
3. Click + icon in the Trade Confirmation Flex Query Templates section.

4. In Trade Confirmation Flex Query Details, enter the name of the Flex Query and select the output format (XML or Text).
   If you select Text as the format, select additional options. Choose a default or base currency P&L format. Also select options to include canceled trades and display your account alias.
5. In Date Configuration, enter the period, date and time format and date/time separator.

**Date Configuration**

- **Date Period**: Today
- **Date Format**: yyyyMMdd
- **Time Format**: HHmmss
- **Date/Time Separator**: ; (semi-colon)

6. In Sections, click each section that you want to appear in your Flex Query.

**Sections**

- Trade Confirmation

7. As you select each section, a popup opens with all possible fields in the selected section.
Select level of detail options at the top of the popup.

- Click each field that you want to appear in the Flex Query.
- Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
- Click **Save**.

7. Click **CONTINUE**.

8. Review your Flex Query and click **Create**.

You can now run your new Flex Query.
View, Edit and Delete Flex Query Templates

The Custom Flex Query screen displays all of your saved custom Activity and Trade Confirmation Flex Queries. Custom Flex Queries are saved as templates. On the Custom Flex Queries screen, you can:

- **View** all of your saved Activity and Trade Confirmation Flex Query templates.
- **Edit** an existing template.
- **Delete** an existing template.

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

The Flex Queries screen opens.

3. In the Custom Flex Queries panel, click the Configure (gear) icon.
The Custom Flex Queries screen opens. Activity Flex Query and Trade Confirmation Flex Query templates are displayed in their own separate panels.

4. Each saved custom statement template is displayed on its own expanding and collapsing row. Click an individual template to expand it and display all of the details about the statement.

5. To edit an existing template, click the Edit (pencil) icon for the template. Make changes as required.

6. To delete an existing template, click the X icon for the template. Once you delete a template, you can no longer run that statement.
Delivered Flex Queries

You can set your preferred delivery method for your saved Activity Flex Queries and Trade Confirmation Flex Queries.

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

   The Statements screen opens.

3. In the Delivered Flex Queries panel, click the Configure (gear) icon.

   ![Flex Queries Delivery](image)

   The Flex Queries Delivery screen shows your delivery settings for all of your saved Activity Flex Queries and Trade Confirmation Flex Queries in separate panels.
4. You enable and configure delivery for your saved Activity Flex Queries and Trade Confirmation Flex Queries separately (the procedure is the same for both):
   - On the Flex Queries Delivery screen, click the Configure (gear) icon in the appropriate panel. The Configure Delivery Method screen opens.
Select your preferred delivery method from the drop-down. This will apply to ALL reports enabled for delivery. FTP is available by request only; if you do not request FTP delivery (contact Client Services), then Email is the only delivery method you can choose.

If you requested Encryption, select YES for Encryption. Encryption is available by request only and applies to both email and FTP delivery.

Click the check box next to each Flex Query that you want delivered.

Click CONTINUE.

Confirm your selections by clicking CONTINUE again.

Click Ok to return to the Flex Queries Delivery screen.
Settings

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

Topics include:

» Account Settings
» User Settings

The Difference Between Account Settings and User Settings

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

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

Account Settings

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

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

» Profile(s) - Modify personal information such as name and address for individual or entity account holders.
» Reporting - Access the Flex Web Service to access your pre-configured flex queries via HTTPS protocol without logging into Compliance Portal.
**Users & Access Rights** - Displays a list of existing users, lets you add users and set their access rights and create user roles. Security Officers can view account-level access rights and configure the number of authorizers.

**View, Edit, and Delete Profiles**

Shows a list of the people and or entities associated with your account, including any people or entity with ownership stakes. These profiles may or may not have their own usernames and passwords.

**View User Profiles**

1. In Compliance Portal, click **Settings > Account Settings**.
2. In the Profile(s) section, choose a user and click the "i" icon.

   The user’s profile information opens.

**Edit Profiles**

1. In the Profile(s) section, choose a user and click the Edit "pencil" icon.

   The Edit Profile screen opens.

2. Edit any information for this user and then click **Continue**.

**Delete Profiles**

In the Profile(s) section, choose a user and click the Delete "X" icon.

**Activate the Flex Web Service**

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

1. In Compliance Portal, select **Settings > Account Settings**.
2. In the Reporting section, click the configure icon for **Flex Web Service**.

   The Configure Flex Web Service dialog box opens.
3. Click **Flex Web Service Status** and then click **Save**.

**Users and Access Rights**

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

**Account Settings > Users & Access Rights** opens the Users page, where you can:

- Add users to your account and assign them access rights.
- View existing users’ access rights.
- Edit 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 appear.
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. 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.

Add Users to Your Account

1. In Compliance Portal, click Settings > Account Settings.
2. In the Users & Access Rights section, click the Configure icon.
3. In the Users section, click the Add "+" icon.
4. The Add User page opens.
5. Complete the user information and click **Continue**.

6. The User Settings Access page opens.

7. Click **Continue**.

8. The Reporting Access page opens.
9. Select the following:
   » Choose the account type or click Apply All.
   » Select one or more statements and then choose the account type to apply.
   » Select delivery settings and choose the account type to apply.

10. Click **Continue**.

    The Account Settings Access page opens.

11. Make your selections and then click **Continue**.

    The Client Management Access page opens.

12. Make your selections and then click **Continue**.

13. Review all the user information you entered and click **Continue**.

**View, Edit and Delete Access Rights for a User**

From the Users and Access Rights page you can view or edit the access rights for a user or delete the user.

![Note](NoteIcon.png) **Note:** If you delete a user, their Account Management access is disabled instantly.

- View a User's Access Rights
- Edit a User's Access Rights
- Delete a User

**View a User's Access Rights**

1. Click **Settings > Account Settings**.
2. In Users & Access Rights, select the configure icon.
3. Click the Info "i" icon next to a user.
4. View the current user settings and click **Close**.

**Edit a User's Access Rights**

1. Click **Settings > Account Settings**.
2. In Users & Access Rights, click the configure icon.
3. In the Users section, click the Edit "pencil" icon next to a user.
4. Edit any settings and click **Continue** to cycle through the user settings pages.
5. Review the information that you edited and click **Continue**.
6. On the Verify Your Identity page, enter the confirmation number you received by email.
7. Click **Resend Confirmation Number** if you did not receive an email or click **Continue**.

### Delete a User

1. Click **Settings > Account Settings**.
2. In Users & Access Rights, click the configure icon.
3. Click the Delete "X" icon next to a user.
4. The Delete User Profile dialog box opens.
5. Click **Yes** to delete the user.

### Add User Roles

A user role contains a set of access rights to the functions in Compliance Portal that you can apply to new users without having to grant individual access rights across several screens.

1. In Compliance Portal, select **Settings > Account Settings**.
2. In Users & Access Rights, click the configure icon.
3. In the User Roles section at the bottom of the screen click the Add "+" icon.
   
   The User Role Information page opens.

4. Enter a Role Name and click **Continue**.
   
   The User Settings Access page opens.

5. Click **Continue**.
6. On the Reporting Access page, select the following:
   
   - Select one or more statements.
   - Select delivery settings.

7. Click **Continue**.
8. On the Account Settings Access page, select the following:
   
   - Account Configuration
   - Profile

9. Click **Continue**.
10. On the Client Management Access page, click View Accounts if you would like to include accounts in management activities.
11. Click Continue.
12. Review the information you added for the user role and click Continue.
13. On the Verify Your Identity page, enter the confirmation number you received by email.
14. Click Resend Confirmation Number if you did not receive an email or click Continue.

User Settings

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

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

Login Settings

- **Password** - Change your account password.

Communication Settings

- **Email Address** - Change your email address.
- **Mobile Number** - Change your mobile number.

Reporting Settings

- **Statements Delivery** - Configure statement delivery settings.
- **Flex Queries Delivery** - Configure flex statement delivery settings.

Change Password

As a Compliance Officer, you can change your Compliance Portal password any time using the Change Password page in Compliance Portal.
Note: This page is identical to the Change Password page in Account Management.

1. Click Settings > User Settings.
2. In the Login section, click the configure icon next to Password.
3. The Change Password page opens.

4. Type your current password in the field provided.
5. Type a new password in the field provided, then type it again in the Confirm Password field. The password must be six to eight characters long, and must contain at least one number and no spaces.
6. Click Continue.
7. 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 Your Email Address and Mobile Number

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

The Mobile Number screen lets you add, edit, and delete mobile phone numbers from your account. IB accounts require at least one verified primary mobile number.

» Change Your Email Address
» Change Your Mobile Number

Change Your Email Address
1. Click **Settings > User Settings**.
2. In the Communication section, click the configure icon for **Email Address**.
3. The Email Address Change page opens.

   ![Email Address Change Page](image)

   Confirm if you still have the email address listed.

4. Enter your new email address twice and click **Continue**.
5. When you receive the verification email, enter the Confirmation Number on this page and click **Continue**.

**Change Your Mobile Number**

1. Click **Settings > User Settings**.
2. In the Communication section, click the configure icon next to **Mobile Number**.
3. The Configure & Confirm Mobile Numbers page opens.
4. Choose the country for the phone number.
5. Enter your phone number.
6. Click **Yes** or **No** if you would like to receive text messages.
7. Click **Continue**.
8. Click **Verify** if the information is correct. Otherwise, click the pencil icon next to the phone number to edit it.

9. A validation code is sent to your phone number. When you receive it, enter the number and click **Continue**.

---

### Reporting

From the User Settings page you can configure delivery settings for the following reports:

- Statements Delivery
- Flex Queries Delivery

### Configure Statements Delivery

1. Select **Settings > User Settings**.
2. In the Reporting section, click the configure icon next to Statements Delivery.

3. Click the configure icon to edit the settings.
4. Choose an option from Daily Activity Statement:
   - Email
   - Email with Attachment
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Reporting

» Message Center
» Disable

5. Choose an option from Monthly Activity Statement:
   » Email
   » Email with Attachment
   » Message Center

6. Choose an option for Daily Trade Report:
   » Email with Attachment
   » Disable

7. Click Continue and then OK.

Configure Flex Queries Delivery

1. Select Settings > User Settings.

2. In the Reporting section, click the configure icon next to Flex Queries Delivery.

3. Click the configure icon to edit the settings.

4. For Delivery Method, choose Email or FTP.

5. For Encryption, click Yes or No.
6. Click **Continue**.
Support

The Support menu gives you quick access to Client Services.

Topics include:

- Message Center
- Contract Search
- Tax Form Correction
- Market Data Assistant
- PRIIPS KID
- FX Browser
- Trade Cancellation Request
- Short Stock (SLB) Availability
- Live Chat
- Pattern Day Trader Reset
- Corporate Action Manager
- IBOT Automated Help
- Knowledge Base
How to Contact Client Services

You can contact Client Services using any of these methods:

- Submit a new support inquiry from the Message Center. From within Account Management, first click **Support**, and then click **Message Center**. In the Message Center, click **Compose > New Ticket**.
- For information about contacting us via phone, email or other methods, see **Client Services** on our website. The Client Services page includes a list of contact phone numbers, quick tips and other information about contacting us.

Message Center

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

Use the Message Center to:

- **Create an inquiry ticket**
- **Modify an existing inquiry ticket**
- **Cancel or close an inquiry ticket**
- **View corporate actions**
- **View expired inquiry tickets**
- **Submit a Tax Correction Form**
- **Submit a Trade Cancellation request**
- **Submit a Pattern Day Trader Reset request**

The Message Center includes the following features:
Every inquiry is assigned a reference number, called a ticket. This reference number can be used to efficiently track the progress of the inquiry.

The real-time status of an inquiry is always displayed in the main Message Center window. You will know if the issue has been picked up by an service expert, which expert is handling your issue, and whether it is being addressed by our main help team or by a specialty team.

Both customers and staff can refine or add information to the ticket, permitting easy clarifications or follow up to the original inquiry. In addition, customers can cancel or close tickets once the issue has been addressed, giving them greater control over the process.

History of both open and completed inquiries.

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

**Message Center Screen**

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

**Parts of the Message Center**

- By default, the Message Center shows your current Inquiries.
- For each ticket or message in the list, the Message Center displays the Ref# (unique for each message), the date/time, a summary of the ticket or message, and the status.
- View an individual inquiry ticket or message by clicking anywhere on the item in the list.
- View the status of an inquiry ticket in the Status column.
The INBOX menu on the left displays the number of unread messages you have in a circle. Click the INBOX menu to expand it to access Inquiries, Corporate Actions and Other Messages. Click any of those items to view them.

Expand the EXPIRED menu on the left to view expired messages.

Click the Compose button to create a new inquiry, or to submit a Tax Correction Form, Trade Cancellation Request or Pattern Day Trader Reset request.

Click the Preferences (gear) icon to access Message Center Preferences.
If you have more messages in your inbox than can be displayed on a single screen, use the page controls on the lower right of the Message Center to quickly navigate to another page of messages.

Delete old items from the list by checking the check box on the left side of an item, then click the Delete Selected button at the bottom of the window.
Create a New Ticket

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

To create a new inquiry ticket

1. Click **Support**.

2. Click **Message Center**.

3. Click **Compose** and then click **New Ticket**.

Compliance Portal User Guide
You will first be asked to describe the issue for quick automated answers from IBot before continuing to submit the ticket.
4. Select the account for which you are submitting a ticket.

5. Select a category and subcategory for the inquiry. The combination of categories and subcategories let us route your inquiry to the expert who is specialized or is most experienced for your particular issue.
For example, if you select Account Services as the Category, the following subcategories are available:

6. In the Detailed Description field, enter the description of your inquiry. Please be as specific and complete as possible (for example, exact dates/times, IB TWS version, and so on), as this lets us accurately research your inquiry to give you the best and fastest response. The Detailed Description field expands as you type, so don’t worry about running out of space in which to describe your issue.
7. Optionally attach up to two files to your inquiry. Click the paper clip icon, and then click the **Browse** button to select a file on your computer. You can attach files with a total size of 3MB, and each file you attach must not be more than 2MB. Clear **Clear** to remove an attachment from your ticket.

![Attachments](image)

8. Click **Send**, then click **OK** to dismiss the confirmation message that appears. Click **Cancel** if you change your mind and do not want to submit the ticket, or **Reset Form** to reset all the fields in the New Ticket to blank.

9. Your new inquiry is listed on the Tickets tab in the Message Center, along with the ticket reference number and a status of NEW.

**Modify a 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**.

## Close a Ticket

You can close open inquiry tickets in the Message Center.

Close an open ticket when your inquiry has been resolved (for example, an exchange access problem that has already been fixed), or you if you have received a satisfactory answer. This changes the status of the ticket Closed. Close tickets as soon as possible once you are satisfied. Customer Service managers may close tickets in cases where the ticket appears to be fully answered but has not been closed by the customer.

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.

![View Ticket window]

4. Click **Close Ticket** to cancel the ticket.

5. View closed inquiry tickets on the Tickets tab by clicking the **Show All** radio button.

**View Corporate Actions**

You can view and participate in corporate actions in the Message Center.

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

1. Click **Support**.
2. Click **Message Center**.

3. Click **INBOX** on the left to expand it.

4. Click **Corporate Actions**. The list of messages updates to display available corporate actions.
Click the View icon to display details and a full description of the corporate action.

Click the Edit icon to open the Voluntary Corporate Action (CA) Election tool, which lets you submit instructions on voluntary corporate actions during an open election period. You can also access Corporate Actions using the Corporate Action Tool, available on the Customer Service Tools page.

The following figure shows an example of a corporate action notification.

**View Expired Inquiry Tickets**

You can view closed inquiry tickets as well as Opt Out messages in the Message Center.

1. Click **Support**.

2. Click **Message Center**.
3. Click EXPIRED on the left to expand it.

4. Click Closed to view inquiry tickets that have been closed. The list of messages updates accordingly.

**Message Center Preferences**

You can configure the following Message Center preferences:

- Set your preferred and secondary languages for message.
- Tell us how to deliver inquiry ticket updates and general notices.
- Set your email security level.

1. Click Support.
2. Click **Message Center**.

3. Click the Preferences (gear) icon on the right side of the Message Center.

   The Message Preferences window appears.
4. Select a Preferred and Secondary Language for messages using the drop-downs.

5. For ticket inquiries, select one or more notification methods:
   
   - Message Center
   - Trader Workstation
   - Email
   - SMS/Text Message

5. General notices, set select one or more notification methods.

7. Click **Save** to save your changes.

**Contract Search**
The Contract Search allows you to search our database for information about instruments available through our trading platform.

**Submit a Tax Correction Form**

You can submit a Tax Correction Form. Use this form to request changes or report problems with one of the tax statements (1099, 1042, T3/T5, etc). By submitting this special form instead of submitting a normal inquiry ticket, you will help us process your requested corrections as quickly as possible.

1. Click **Support**.

   ![Support Menu](image)

   1. Click **Tax Form Correction**.

   The Tax Correction Form opens.

   **Note:** You can also access the Tax Correction Form by clicking the **Compose** button in the Message Center.
3. Select the tax year for which you wish to report a correction from tax year list.
4. Select your taxpayer status from the drop-down:
   - U.S. Taxpayer
   - Canadian Taxpayer
   - Non-U.S. Taxpayer

   All available tax forms for your selected taxpayer status display in the Type of Correction section.

5. Optionally, type the reason for the correction.
6. Click the tax form you want to correct. The section expands to display the parts of the selected tax form that can be corrected.
7. Make your corrections to the tax form.
8. When you are finished correcting tax forms, click **Submit**.

**Market Data Assistant**

This search tool helps you select the appropriate market data subscription service for the stock(s) and derivatives you wish to trade.

The search results also shows all exchanges, pro/non-pro, and depth-of-market variations so you can select only what you need and economize on exchange data fees.
Chapter 2

PRIIPS KID

If you are a client of one of our Introducing Brokers, please check if your Broker provides KID information on BROKER KID Tab below:

To learn more about PRIIPs regulation, refer to our IB Knowledge Base article.

FX Browser

To learn more about Forex Execution Statistics, refer to our IB Knowledge Base article.
Canceling a Trade

You can bust a trade using the Order Cancellation Request form. After you submit this form to inform us of problem or erroneous trades, we will report these trades to the appropriate exchange on a best efforts basis. Please note that this is a time-sensitive process. Most exchanges have very short time periods (as little as 8 minutes), during which they will accept a request for cancellation.

We recommend that traders find and report problematic trades using this tool and thereafter follow up immediately, contacting us by telephone. In addition to uncertainties in response speed, trade cancellation requests initiated by telephone are prone to delays identifying the correct account and transactions.

To request a trade cancellation

To submit a Tax Reporting Correction Form

1. Click **Support**.

2. Click **Tax Form Correction**.

   The Order Cancellation Form opens.
Chapter 2  Canceling a Trade

Note: You can also access the Order Cancellation Request by clicking the Compose button in the Message Center.

3. Select the Account in which the trade occurred, the date of the trade (based on Eastern Standard Time), and contract type from the drop-downs.
4. Click Get Trades to display all available trades of the selected instrument type on the selected date.
5. Type the reason for the request in the Reason for Request box.
6. Read the statement at the bottom of the form, then click the check box to confirm your agreement.
7. Click Submit to submit the form.

(missing or bad snippet)

» Erroneous Trade Policy
Short Stock (SLB) Availability

Use this tool to check on real time availability of stocks from IBKR’s SLB desk for borrowing/shorting purposes. Where available, we will also provide indicative borrow rates. These are rates at which dealers in the Securities Lending/Borrowing Market are willing to transact today. Stock transactions executed today will settle in 3 business days and the borrow rates may change during this time, sometimes significantly.

Live Chat

Customer Service Live Chat lets you communicate directly with a Customer Service representative in real time. Because it is authenticated and uses secure communications, staff are able to provide account specific information in a secure manner. Transcripts are available on demand. We recommend using the Customer Service Live Chat for funding/banking and account application inquiries.

To access Customer Service Live Chat

1. Click Support > Chat. You will be asked to describe your issue for automated answering before continuing to a live representative.
2. In the Customer Service Live Chat window, select a category from the Category list. This is the subject on which you are seeking assistance.

3. Select a subcategory from the Sub-Category list.

4. Select your language by clicking the appropriate flag. A flag with a green dot below it indicates that support is currently available in that language. A flag with a red dot indicates that support is NOT currently available in that language.

5. Click Proceed.

A Customer Service representative will appear online in a few moments.

Pattern Day Trader Reset

To learn more about PDT restrictions, refer to our IB Knowledge Base article.
Corporate Action Manager

This tool allows you to review information on upcoming corporation actions relating to positions held in the account. This will include both mandatory and voluntary action types. This tool will also allow you to submit elections to IB for voluntary offers.

IBot Automated Help

The IBot automated response system can help you find quick answers to simple questions.
Write a brief summary of the issue

e.g. 'What is the margin requirements for shorting stocks?'

Find Answers Faster with IBot Automated Responses

Our natural language-based interface provides immediate help when available, with answers to general questions and guidance for issues specific to your setup. Simply type your question, for example:

'how do I withdraw funds?'
or
'what are the commissions for US stock orders?'

For issues that require human intervention, submit a ticket or give us a call.
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