

User Guide

Compliance Portal

 **InteractiveBrokers**

## **Compliance Portal User Guide**

**August 2019**

© 2019 Interactive Brokers LLC. All rights reserved.

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

# Contents

---

<b>Contents</b> .....	<b>i</b>
<b>Getting Started with EmployeeTrack</b> .....	<b>5</b>
Registration and Setup .....	5
Log in and Log Out of Compliance Portal .....	7
Log Out .....	8
Navigate the Compliance Portal Menus .....	8
Get Help .....	9
Contextual Help .....	9
Compliance Portal User Guide .....	10
<b>Home Page</b> .....	<b>11</b>
Edit an Employee .....	11
Pending Review .....	13
Invite or Import Accounts .....	13
View the Statement Review Log .....	16
View or Add Comments to an Account .....	17
View the Statement Audit .....	18
<b>Trading Restrictions</b> .....	<b>20</b>
<b>Reports</b> .....	<b>21</b>
Statements and Trade Confirmations .....	21
About Activity Statements .....	21

- Statement Cutoff Times .....22
- Activity by Account Type .....22
- Activity Statement Archive Policy .....23
- How to Run a Statement .....23
- Types of Statements .....26
- Create a Custom Statement .....27
  - View, Edit and Delete Statement Templates .....31
  - Customized Statements Profit and Loss Selection .....32
- Trade Confirmations .....33
  - Trade Confirmation Reports .....34
- Delivered Statements .....35
  - Delivery Guidelines .....35
  - Configure Notification Defaults and Delivery Settings .....35
- Flex Queries .....39
  - About Flex Queries .....39
  - How to Run a Flex Query .....39
  - Create an Activity Flex Query .....42
  - Trade Confirmation Flex Queries .....48
  - View, Edit and Delete Flex Query Templates .....52
  - Delivered Flex Queries .....54
- Settings .....57**
  - The Difference Between Account Settings and User Settings .....57

Account Settings .....	57
View, Edit, and Delete Profiles .....	58
Activate the Flex Web Service .....	58
Users and Access Rights .....	59
Access Rights and Access Groups .....	60
Add Users to Your Account .....	60
View, Edit and Delete Access Rights for a User .....	62
Add User Roles .....	63
User Settings .....	64
Login Settings .....	64
Communication Settings .....	64
Reporting Settings .....	64
Change Password .....	65
Change Your Email Address and Mobile Number .....	65
Reporting .....	67
<b>Support .....</b>	<b>70</b>
How to Contact Client Services .....	71
Message Center .....	71
Message Center Screen .....	72
Parts of the Message Center .....	72
Create a New Ticket .....	75
Modify a Ticket .....	79

---

Close a Ticket .....	80
View Corporate Actions .....	81
View Expired Inquiry Tickets .....	83
Message Center Preferences .....	84
Contract Search .....	86
Submit a Tax Correction Form .....	87
Market Data Assistant .....	89
PRIIPS KID .....	90
FX Browser .....	90
Canceling a Trade .....	91
Short Stock (SLB) Availability .....	93
Live Chat .....	93
Pattern Day Trader Reset .....	94
Corporate Action Manager .....	95
IBot Automated Help .....	95
<b>Index .....</b>	<b>97</b>

# 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**.

CH

LOG IN

OPEN ACCOUNT

FREE TRIAL

### CHOOSE AN ACCOUNT

#### TRADER & INVESTOR ACCOUNTS

- Individual Investor or Trader
- Family Office
- Small Business
- Friends and Family Advisor

#### INSTITUTION ACCOUNTS

- Registered Investment Advisor
- Hedge Fund
- Money Manager
- Proprietary Trading Group
- Introducing Broker
- Incentive Plan Admin

#### OTHER SERVICES

- Compliance Officer
- Administrator
- Educator
- Referrer
- Hedge Fund Allocators

How to Choose and Configure an Account

Continue or Finish Your Application

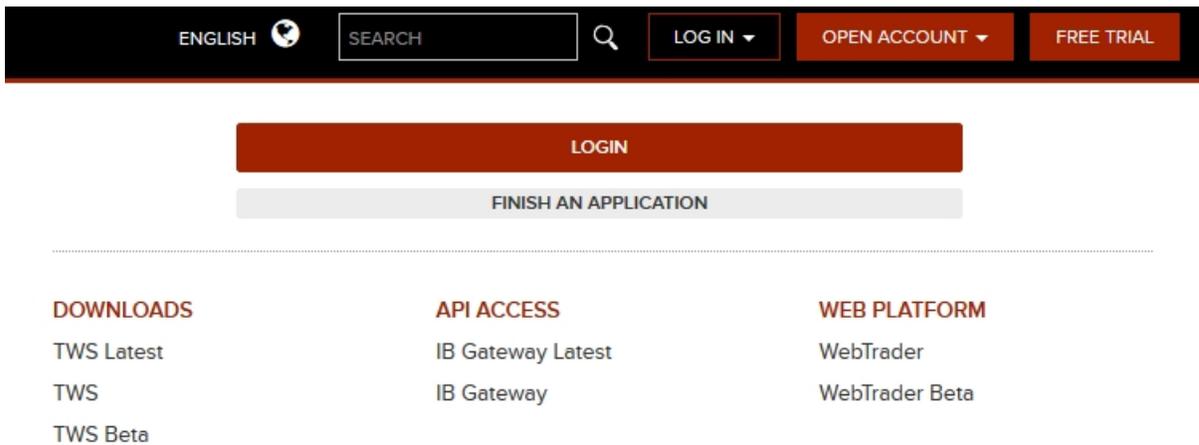
2. On the *Open an Account* page, click the **Start Application** button.
3. Complete the EmployeeTrack account application.
4. When you complete the application, you will be able to log in to the Compliance Portal immediately.

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.

---

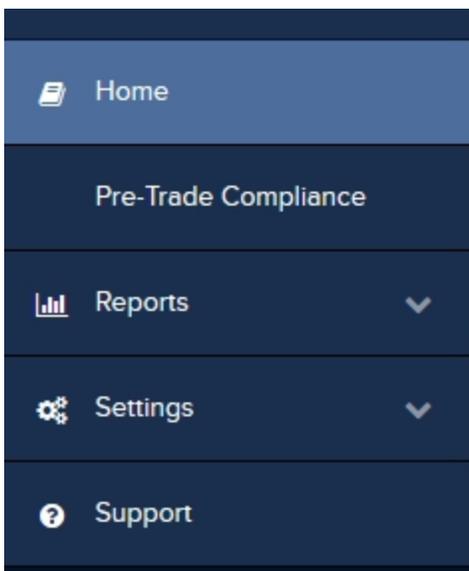
## Log Out

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

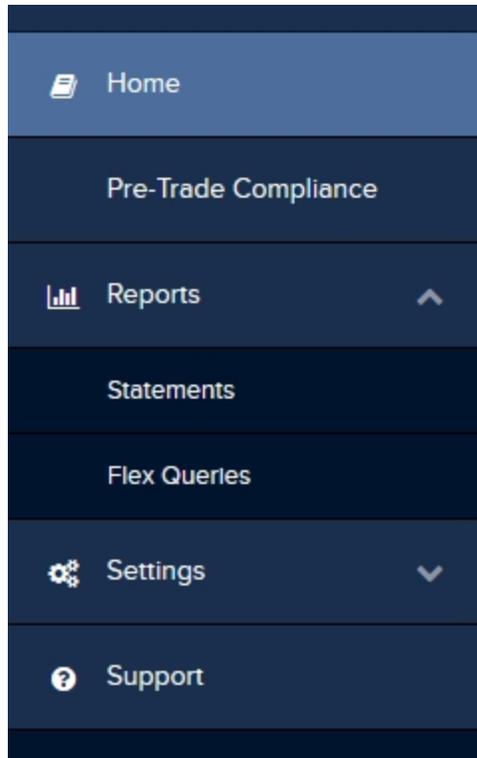
## Navigate the Compliance Portal Menus

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.



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.

Help



## 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**

[CLOSE](#)

## 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.

Info	Title	Account#	Broker	Relationship	Account Status	Account Type	Link	Statement	Date Added	Date Opened	Date Closed	
	Applicant 147126	U [REDACTED]	Interactive Brokers	Employee	Open	Individual	Activated		2018-07-06	2014-09-03		
	Applicant 147126	U [REDACTED]	Interactive Brokers	Employee	Open	Individual	Activated		2018-07-06	2004-05-17		
	Applicant 1759153	DU [REDACTED]	Interactive Brokers	Employee	Open	Organization	Activated		2018-08-01	2016-05-04		
	Applicant 3583053	F [REDACTED]	Interactive Brokers	Employee	Open	Organization	Rejected			2018-01-18		

## 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, click *Edit* in the Action column for the desired employee account.

The Edit Employee page appears.

The screenshot shows a dark blue header with the text "Employee" and a close icon (X). Below the header is a form with the following fields:

Name	[Redacted]
Account	[Redacted]
Account Status	account.state.
Broker	Wells Fargo
Date Invited	2012-06-14
Date Linked	
Employee Relationship	Employee
Reference ID	Optional

At the bottom of the form, there are two buttons: "CANCEL" on the left and "SAVE" on the right.

3. Do any of the following:
  - o Change the Employee Relationship. Select *Employee, Spouse, Family Member, Friend* or *Other* from the drop-down list.
  - o Change the Employee Reference ID.

4. Click **Save**.

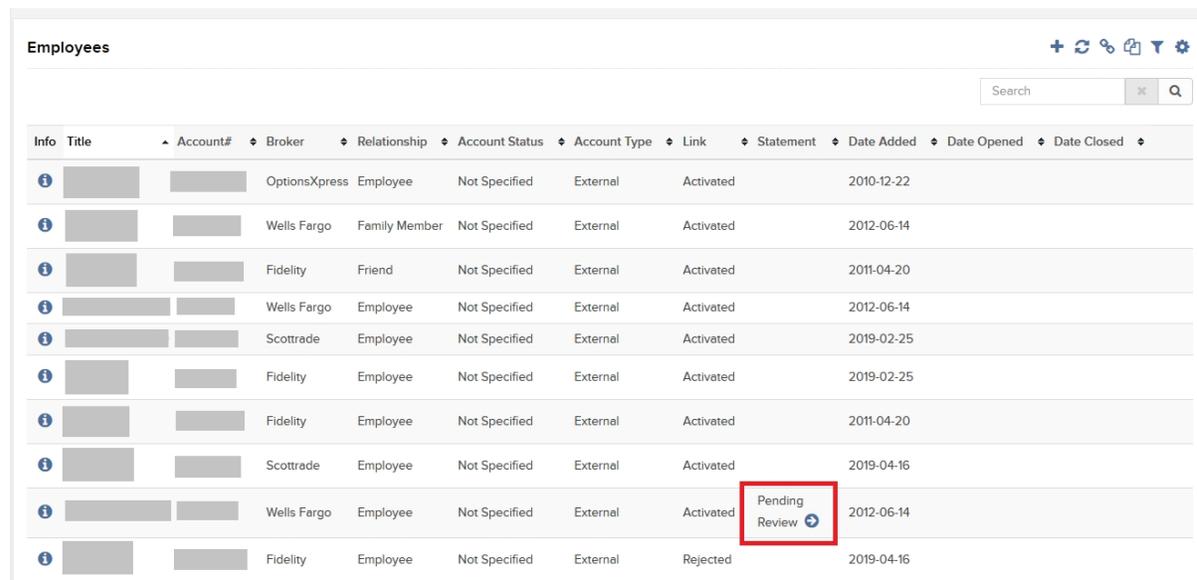
The Employee Accounts page displays, along with a message informing you the account update

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.



Info	Title	Account#	Broker	Relationship	Account Status	Account Type	Link	Statement	Date Added	Date Opened	Date Closed
			OptionsXpress	Employee	Not Specified	External	Activated		2010-12-22		
			Wells Fargo	Family Member	Not Specified	External	Activated		2012-06-14		
			Fidelity	Friend	Not Specified	External	Activated		2011-04-20		
			Wells Fargo	Employee	Not Specified	External	Activated		2012-06-14		
			Scottrade	Employee	Not Specified	External	Activated		2019-02-25		
			Fidelity	Employee	Not Specified	External	Activated		2019-02-25		
			Fidelity	Employee	Not Specified	External	Activated		2011-04-20		
			Scottrade	Employee	Not Specified	External	Activated		2019-04-16		
			Wells Fargo	Employee	Not Specified	External	Activated	Pending Review	2012-06-14		
			Fidelity	Employee	Not Specified	External	Rejected		2019-04-16		

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.

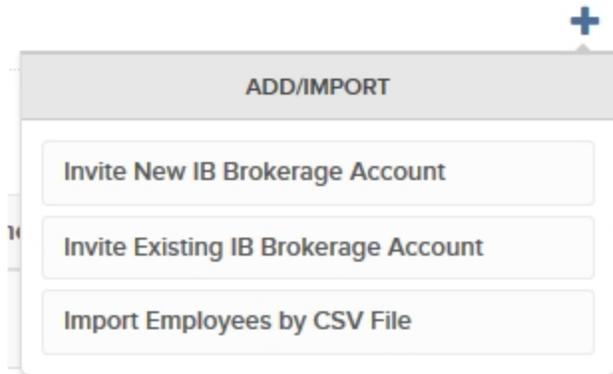
3. To go back to the homepage, click on the Home menu or click on Home from the breadcrumb trail.
4. When you navigate away from the statement, the statement will be automatically marked as reviewed.

## Invite or Import Accounts

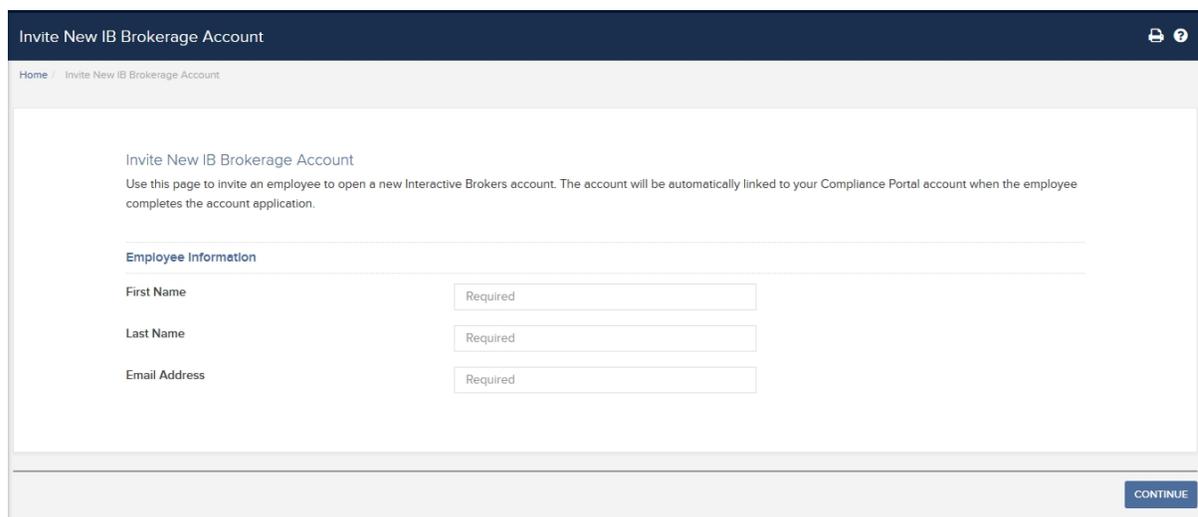
You can invite employees to open new IB accounts and link existing employee accounts to your EmployeeTrack account. If you have multiple employee accounts to link, you can also send link invitations to accounts in bulk by creating and uploading a Mass Employee upload file in CSV format.

## Invite a New Brokerage Account

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



The Invite New IB Brokerage Account page appears.

A screenshot of the "Invite New IB Brokerage Account" page. The page has a dark blue header with the title "Invite New IB Brokerage Account" and a home icon. Below the header is a breadcrumb trail: "Home / Invite New IB Brokerage Account". The main content area has a heading "Invite New IB Brokerage Account" and a sub-heading "Employee Information". Below this is a form with three fields: "First Name", "Last Name", and "Email Address". Each field has a "Required" label next to it. At the bottom right of the page is a blue "CONTINUE" button.

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 IB Brokerage Account**.
2. Complete the information associated with the employee.

#### Invite Existing IB Brokerage Account

Use this page to invite an employee with an existing Interactive Brokers account to link to your EmployeeTrack account. Once the employee accepts the invitation, he or she will appear on the Employee Accounts list and you will no longer receive separate duplicate statements.

#### Employee Information

First Name	Required
Last Name	Required
Account ID	Required
Email Address	Required
Employee Relationship	Choose One ▼
Reference ID	Optional

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.

### Add Employees with Excel ×

If you have many employee accounts, you can use this page to create and upload a Mass Employee File. In order to add employees to our system you must [Download our Excel Template](#) ↓. Your file must not exceed 5MB in size.

Click the button below to select your Mass Employee File, and then click **Upload File** to send invitations to all the employees in the file. The results of the upload will be displayed below. For help creating a Mass Upload File, contact us at [employetrack@interactivebrokers.com](mailto:employetrack@interactivebrokers.com).

**File Upload**  
Acceptable File Formats: XLSX

 CHOOSE A FILE

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.

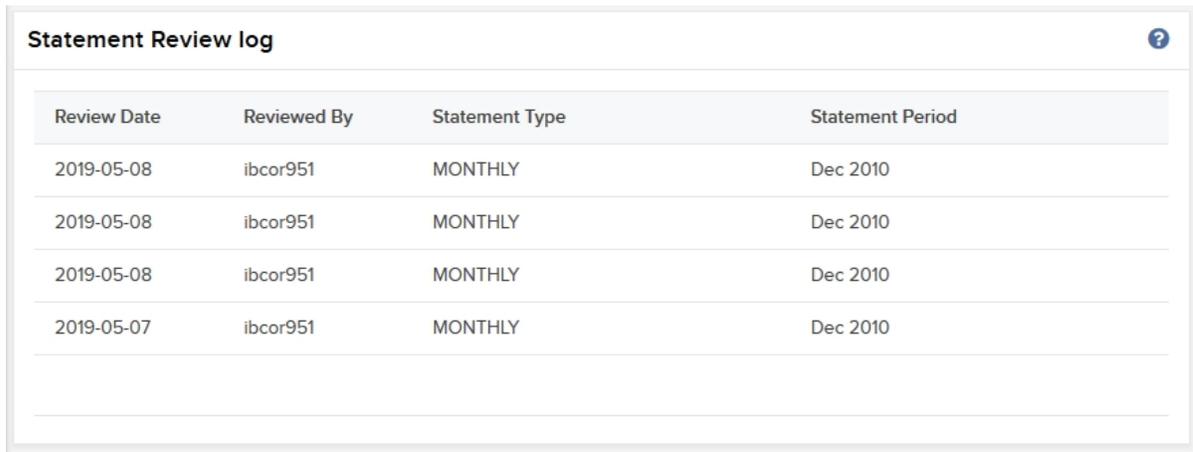
## View the Statement Review Log

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.

2. View the entries in the Statement Review log.



The screenshot shows a table titled "Statement Review log" with a help icon in the top right corner. The table has four columns: "Review Date", "Reviewed By", "Statement Type", and "Statement Period". There are four rows of data, all showing "MONTHLY" statement types for "Dec 2010".

Review Date	Reviewed By	Statement Type	Statement Period
2019-05-08	ibcor951	MONTHLY	Dec 2010
2019-05-08	ibcor951	MONTHLY	Dec 2010
2019-05-08	ibcor951	MONTHLY	Dec 2010
2019-05-07	ibcor951	MONTHLY	Dec 2010

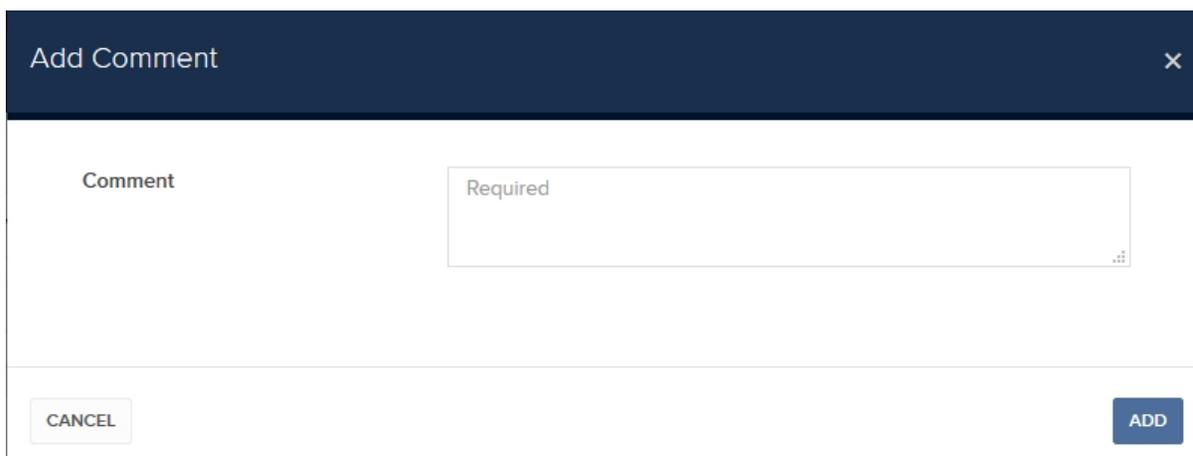
## View or Add Comments to an Account

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.



The screenshot shows a modal window titled "Add Comment" with a close button (X) in the top right corner. The form contains a text input field labeled "Comment" with a "Required" placeholder. Below the input field are two buttons: "CANCEL" on the left and "ADD" on the right.

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.

Statement Audit ×

Use this to review all employee statements views pending review, all employee statements that have been reviewed, and all employee statements not available for review for a single month. Click a section below to expand that section.

Period Monthly

Date 201907 ▼

Only Show Statements with No Activity

---

CANCEL VIEW LOG REVIEW

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](#).

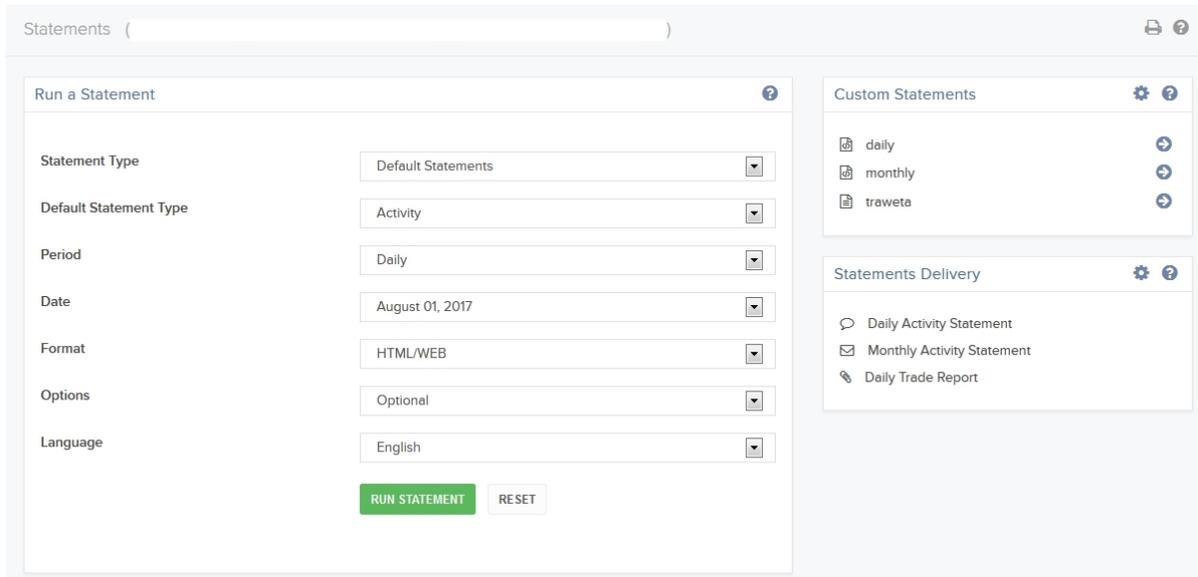
### Set Up and Run a Statement with Additional Options

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

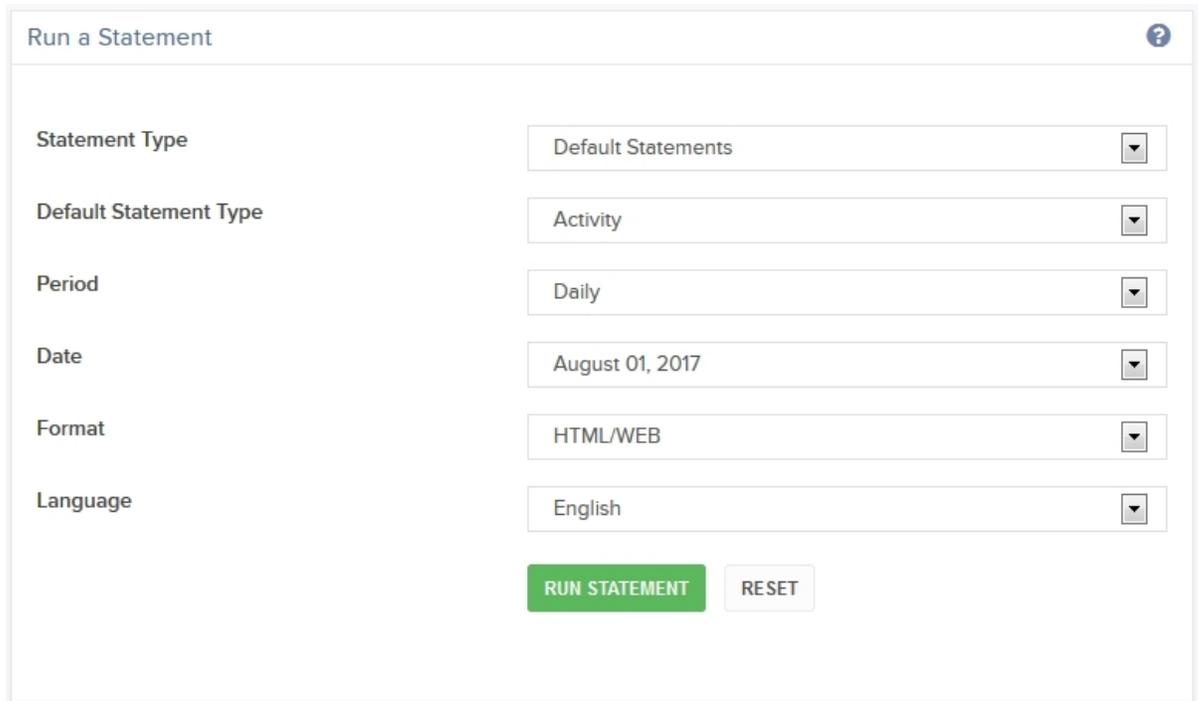
1. Click **Reports > Statements**.
2. If you manage or maintain multiple accounts, the Account Selector opens. Search for and select an account.

The Statements screen opens.

---



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



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

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

The screenshot shows the 'Run a Statement' form with the following fields and values:

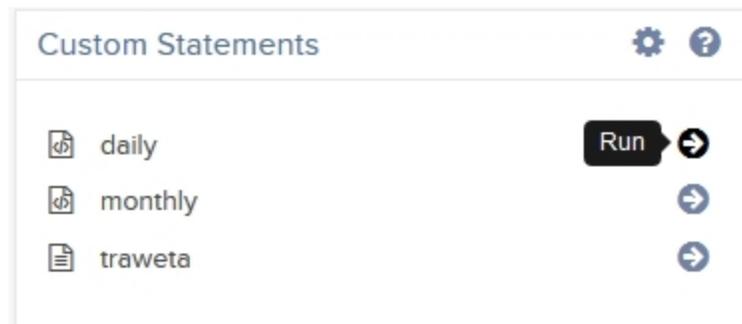
Field	Value
Statement Type	Default Statements
Default Statement Type	Activity
Period	Daily
Date	August 01, 2017
Format	HTML/WEB
Options	Optional
Language	English

Below the form are two buttons: **RUN STATEMENT** (green) and **RESET** (grey).

On the right side of the screen, there are two panels:

- Custom Statements**: A list of saved statements with icons and arrows: daily, monthly, and traweta.
- Statements Delivery**: A list of delivery options: Daily Activity Statement, Monthly Activity Statement, and Daily Trade Report.

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.

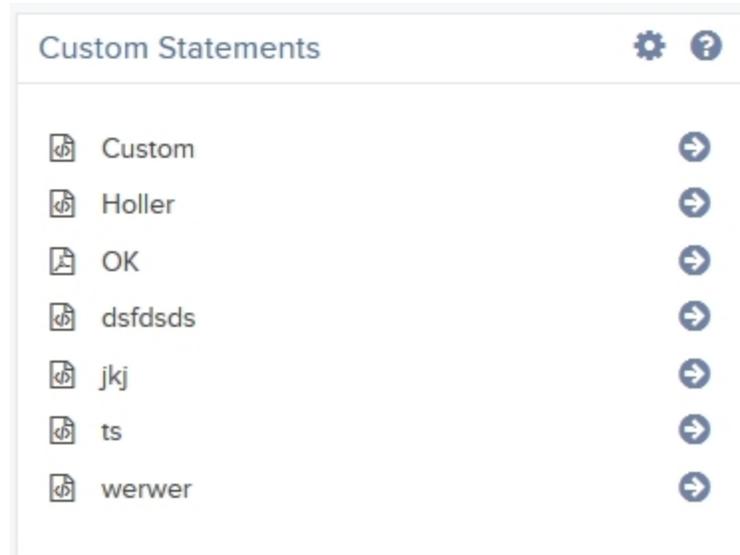
## **Create a Custom Statement**

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.

Sections (Select Multiple)

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

Capture screenshot.

6. In Section Configurations, select YES for each option that you want to turn on in your custom statement.
  - o 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.



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



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

## Customized Statements Profit and Loss Selection

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

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

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

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

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

Statement Sections Affects	Profit and Loss Selection			
	MTM and Realized P/L	Realized P/L Only	MTM Only	None
<b>Mark-to-Market Performance Summary in Base</b>	Included	Not included.	Included	Not included.
<b>Realized &amp; Unrealized Performance Summary in Base</b>	Included	Included	Not included.	Not included.
<b>Month &amp; Year to Date Performance Summary in Base</b>	Included	Not included.	Not included.	Not included.
<b>Change in Position Value</b>	Included	Included	Not included.	Not included.
<b>Long Open Positions<sup>1</sup></b>	Unrealized P/L, and cost information is included.	Unrealized P/L and cost information is included.	Unrealized P/L and cost information is not included.	Unrealized P/L and cost information is not included.
<b>Short Open Positions<sup>1</sup></b>	Unrealized P/L and cost information is included.	Unrealized P/L and cost information is included.	Unrealized P/L and cost information is not included.	Unrealized P/L and cost information is not included.
<b>Trades</b>	Realized P/L and cost information is included; MTM P/L and Close Price column is included	Realized P/L and cost information is included; MTM P/L and Close Price is not included.	MTM P/L and Close Price is included, Realized P/L and cost information is not included.	Realized P/L, cost information and MTM P/L and Close Price are not included.

<sup>1</sup> Long Open Positions and Short Open Positions sections never include MTM P/L.

## Trade Confirmations

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

- » [Trade Confirmation Reports](#) - Shows your trade confirmations separately by asset class for a specific day or range of dates.
- » [Trade Allocations](#) - Proprietary Trading Group Master or sub accounts who subscribe to our IB 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.

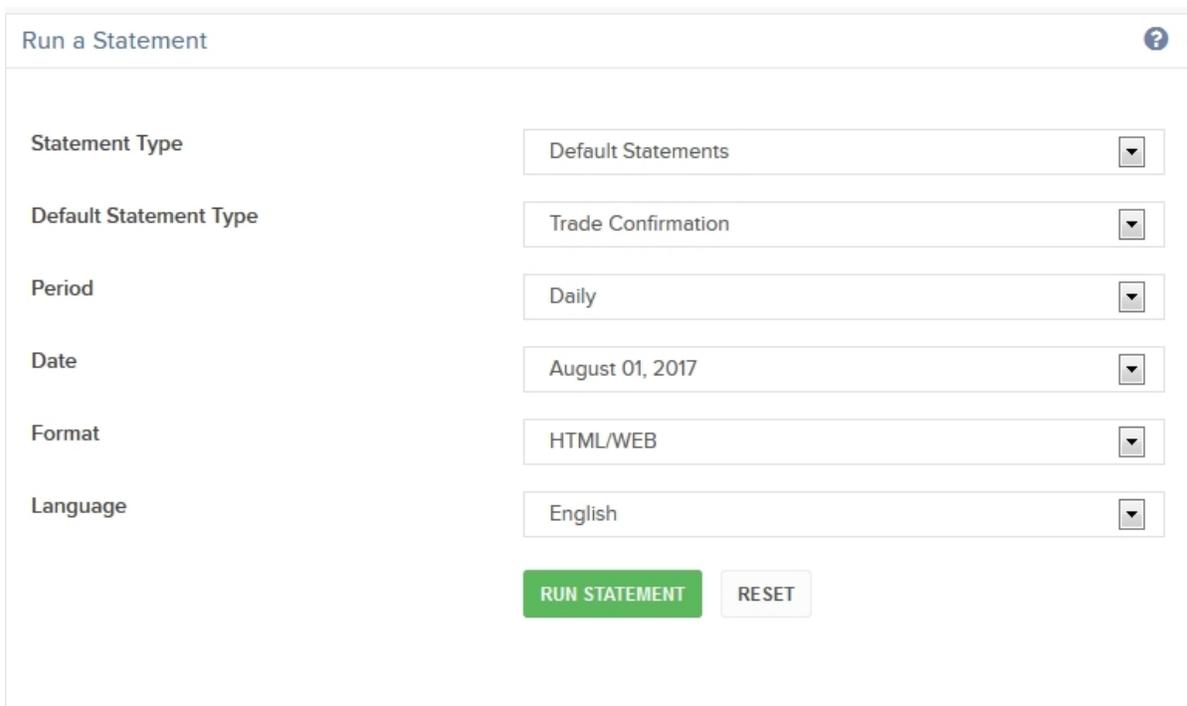
## Trade Confirmation Reports

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.



The screenshot shows the 'Run a Statement' panel with the following settings:

Field	Value
Statement Type	Default Statements
Default Statement Type	Trade Confirmation
Period	Daily
Date	August 01, 2017
Format	HTML/WEB
Language	English

Buttons: **RUN STATEMENT** (green), **RESET** (grey)

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.

The screenshot shows the "Statements Delivery" screen with the following sections:

- Notification Defaults**:

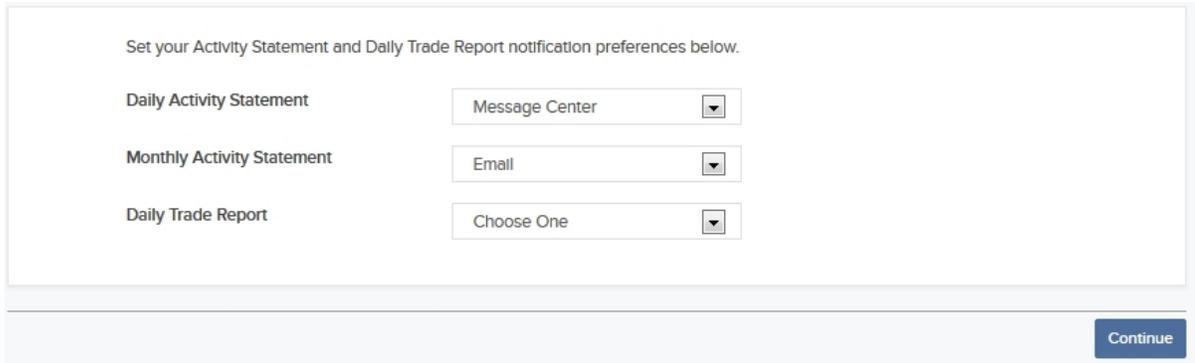
Daily Activity Statement	Message Center
Monthly Activity Statement	Email
Daily Trade Report	Email with Attachment
- Daily Activity Statements**:

Delivery Method	Email
Encryption	No
Reports	
<input type="checkbox"/>	daily
<input type="checkbox"/>	traweta
- Monthly Activity Statements**:

Delivery Method	Email
Encryption	No
Reports	
<input type="checkbox"/>	monthly

## 4. To set notification defaults:

- » Click the Configure (gear) icon in the Notification Defaults panel.



Set your Activity Statement and Daily Trade Report notification preferences below.

Daily Activity Statement	Message Center	▼
Monthly Activity Statement	Email	▼
Daily Trade Report	Choose One	▼

Continue

- » For Daily and Monthly Activity Statements, choose how you want to be notified: *Email with Attachment* (the statement will be attached to the email), *Email* (with no statement attached; you will have to run the statement yourself in Account Management), *Message Center* or *Disable* (for no notification).
  - » For Daily Trade Reports, choose how you want to be notified: *Email with Attachment*, or *Disable* (no notification).
  - » Click **CONTINUE**.
  - » Confirm your selections by clicking **CONTINUE** again.
  - » Click **Ok** to return to the Delivered Statements screen.
5. To enable and configure delivery for daily and monthly statements and for your saved Flex Queries (the procedure is the same for all):

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

**Configure Delivery Method**

FTP Delivery is available by request only. Encryption is available for both Email and FTP delivery methods by request only. Contact your Sales Representative or Client Services to enable these options.

Delivery Method:

Encryption:  YES  NO

Reports	
<input type="checkbox"/>	daily
<input type="button" value="Add/Edit Account(s)"/>	
<input type="checkbox"/>	traweta
<input type="button" value="Add/Edit Account(s)"/>	

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

Reports				
<input checked="" type="checkbox"/>	daily	U	U	<input type="text" value="Consolidate Selected"/>
<input type="button" value="Add/Edit Account(s)"/>				

- 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

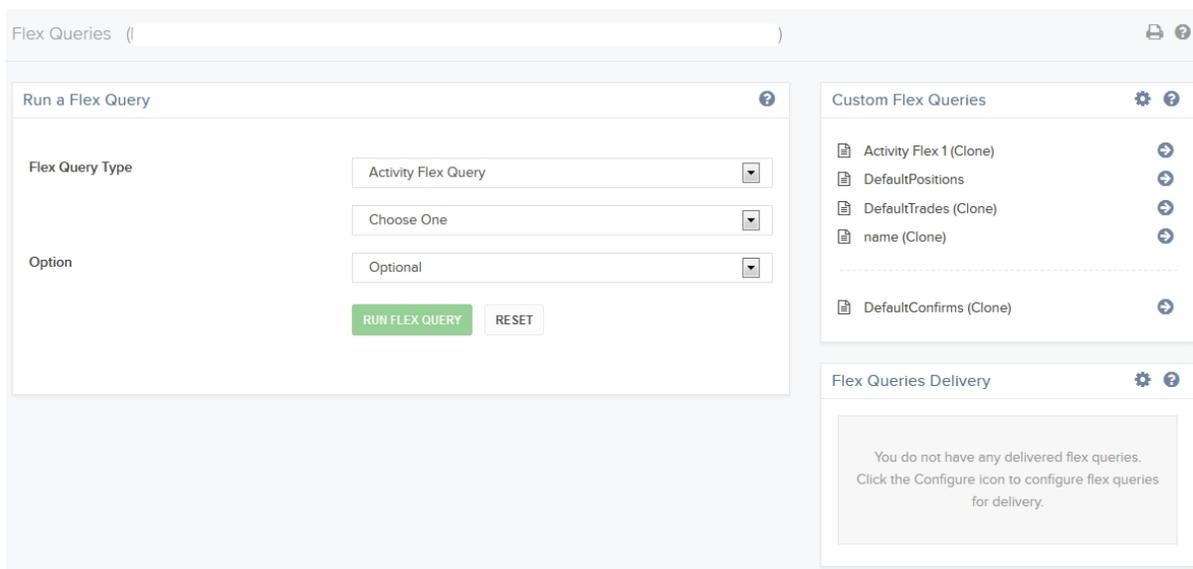
Once you create a custom Flex Query, you can run it in Account Management using one of two methods:

- » [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

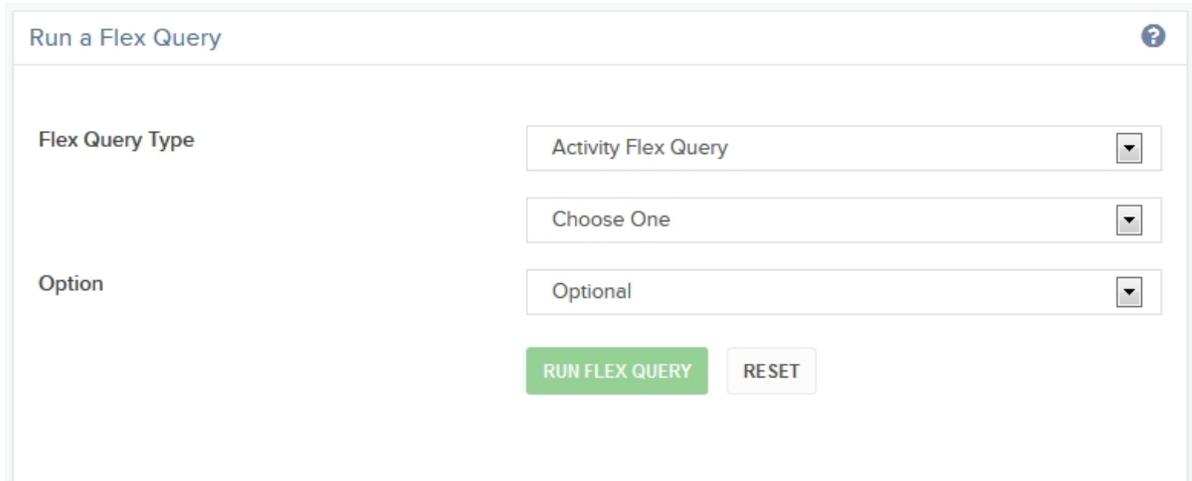
1. Click **Reports > Flex Queries**.

The Flex Queries screen opens.



The screenshot shows the 'Flex Queries' interface. On the left, the 'Run a Flex Query' panel has three dropdown menus: 'Flex Query Type' set to 'Activity Flex Query', 'Choose One' set to 'Choose One', and 'Option' set to 'Optional'. Below these are 'RUN FLEX QUERY' and 'RESET' buttons. On the right, the 'Custom Flex Queries' panel lists several queries: 'Activity Flex 1 (Clone)', 'DefaultPositions', 'DefaultTrades (Clone)', 'name (Clone)', and 'DefaultConfirms (Clone)', each with a right-pointing arrow icon. Below this is the 'Flex Queries Delivery' panel, which contains a message: 'You do not have any delivered flex queries. Click the Configure icon to configure flex queries for delivery.'

2. In the Run a Flex Query panel, select a Flex Query type. Select Activity Flex Query or Trade Confirmation Flex Query.



Run a Flex Query

Flex Query Type: Activity Flex Query

Choose One: Choose One

Option: Optional

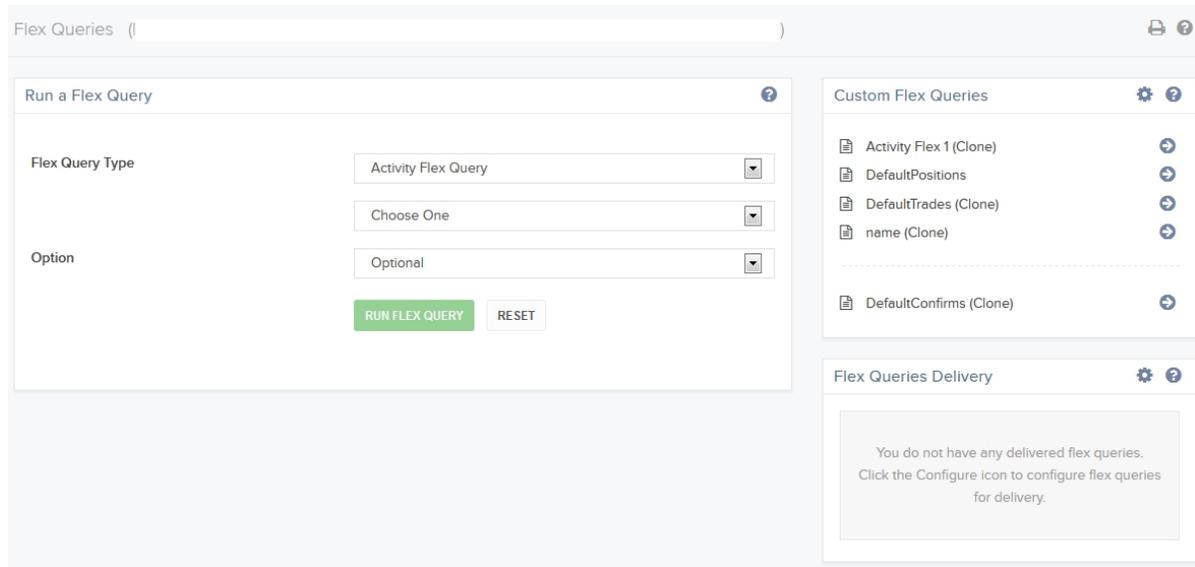
RUN FLEX QUERY RESET

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

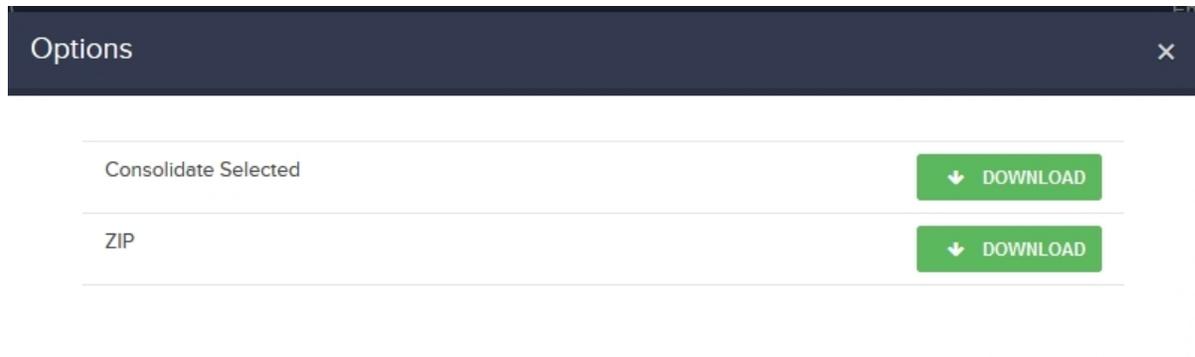
---

### 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.

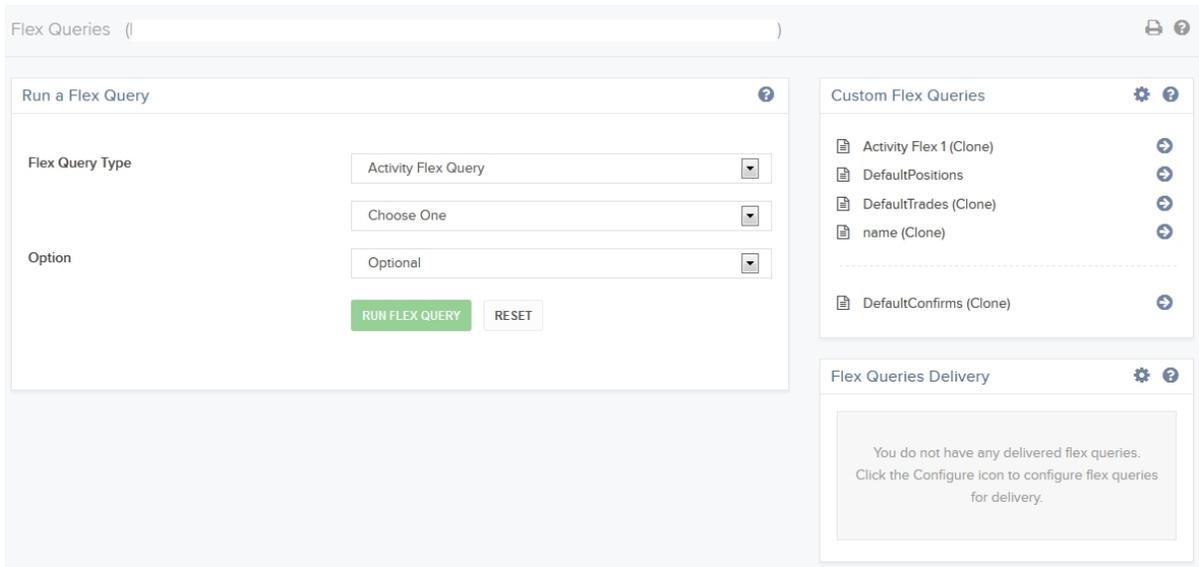


5. Click the **DOWNLOAD** button next to the desired option.
6. You are prompted to save the file to your computer.

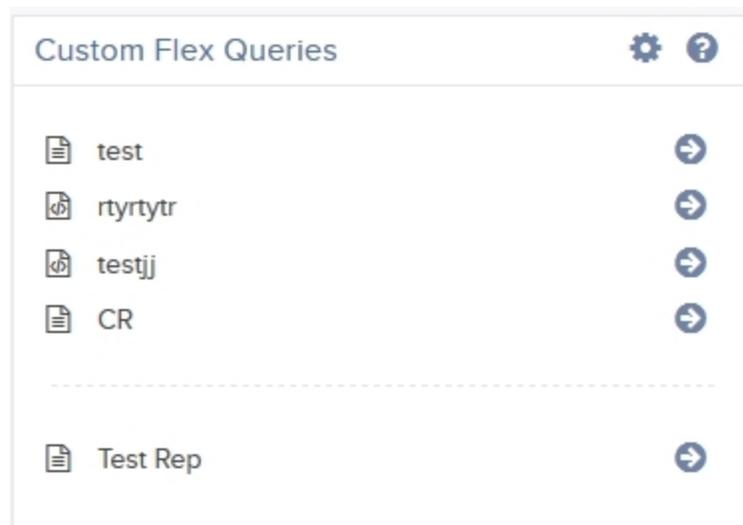
## Create an Activity Flex Query

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

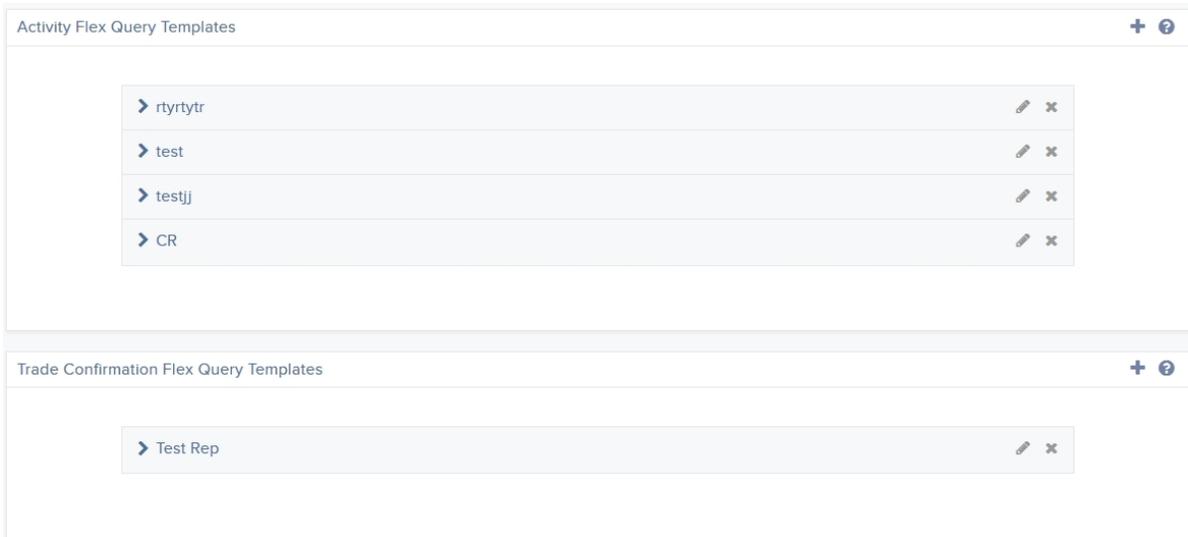
1. Click **Reports > Flex Queries**.  
The Flex Queries screen opens.



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.

Activity Flex Query Details

Query Name	<input type="text" value="Required"/>
Format	<input style="border-bottom: 1px solid #ccc;" type="text" value="XML"/>
Profit and Loss	<input style="border-bottom: 1px solid #ccc;" type="text" value="Default"/>
Include Canceled Trades?	<input type="button" value="YES"/> <input checked="" type="button" value="NO"/>
Include Currency Rates?	<input type="button" value="YES"/> <input checked="" type="button" value="NO"/>
Display Account Alias in Place of Account ID?	<input type="button" value="YES"/> <input checked="" type="button" value="NO"/>
Statement Type	<input style="border-bottom: 1px solid #ccc;" type="text" value="Choose One"/>

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

### Date Configuration

Date Period	Last Business Day	▼
Date Format	yyyyMMdd	▼
Time Format	HHmmss	▼
Date/Time Separator	; (semi-colon)	▼

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

## Sections (Select Multiple)

Account Information ✓	Non-Direct Hard to Borrow Markup Details
Cash Report	Open Dividend Accruals
Cash Transactions	Open Positions
CFD Charges	Option Exercises, Assignments and Expirations
Change in Dividend Accruals	Pending Exercises
Change in NAV	Prior Period Positions
Change in Position Value Summary	Realized and Unrealized Performance Summary in Base
Commission Details	Routing Commissions
Complex Positions	Securities Borrowed/Lent
Corporate Actions	Securities Borrowed/Lent Activity
FDIC-Insured Deposits by Bank	Securities Borrowed/Lent Fee Details
Financial Instrument Information	Statement of Funds
Forex Balances	Trades
Forex P/L Details	Transaction Fees
IBG Notes	Transfers (ACAT, Internal)
Incoming/Outgoing Trade Transfers	Unbooked Trades
Interest Accruals	Unsettled Transfers
Interest Details (Tiers)	
Mark-to-Market Performance Summary in Base	
Month & Year to Date Performance Summary in Base	
Net Asset Value (NAV) in Base	
Net Stock Position Summary	
Non-Direct Hard to Borrow Details	

7. As you select each section, a popup opens with all possible fields in the selected section.
  - Click each field that you want to appear in the Flex Query.
  - Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
  - Click **Save**.

Account Information x

---

<input checked="" type="checkbox"/>	Account ID	≡
<input checked="" type="checkbox"/>	Account Alias	≡
<input checked="" type="checkbox"/>	Model	≡
<input type="checkbox"/>	Currency	≡
<input type="checkbox"/>	Name	≡
<input type="checkbox"/>	Account Type	≡
<input type="checkbox"/>	Customer Type	≡
<input type="checkbox"/>	Account Capabilities	≡
<input type="checkbox"/>	Trading Permissions	≡
<input type="checkbox"/>	Registered Rep Name	≡
<input type="checkbox"/>	Registered Rep Phone	≡
<input type="checkbox"/>	Date Opened	≡
<input type="checkbox"/>	Date Funded	≡
<input type="checkbox"/>	Date Closed	≡
<input type="checkbox"/>	Street (Mailing Address)	≡
<input type="checkbox"/>	Street2 (Mailing Address)	≡
<input type="checkbox"/>	City (Mailing Address)	≡
<input type="checkbox"/>	State (Mailing Address)	≡
<input type="checkbox"/>	Country (Mailing Address)	≡
<input type="checkbox"/>	Postal Code (Mailing Address)	≡
<input type="checkbox"/>	Street (Residential Address)	≡
<input type="checkbox"/>	Street2 (Residential Address)	≡
<input type="checkbox"/>	City (Residential Address)	≡
<input type="checkbox"/>	State (Residential Address)	≡
<input type="checkbox"/>	Country (Residential Address)	≡
<input type="checkbox"/>	Postal Code (Residential Address)	≡

- 7. In Account Configuration, select the accounts and applicable [trading models](#), then choose if you want multiple accounts consolidated into one statement or delivered separately as a ZIP file.

Account Configuration [Applicable for delivery and Flex Web Service]

Account(s)

U

ADD/EDIT ACCOUNT(S)

Models

Select a Model

Independent

8. Click **Continue**.
9. Review your Flex Query and click **Create**.

You can now run your new Flex Query.

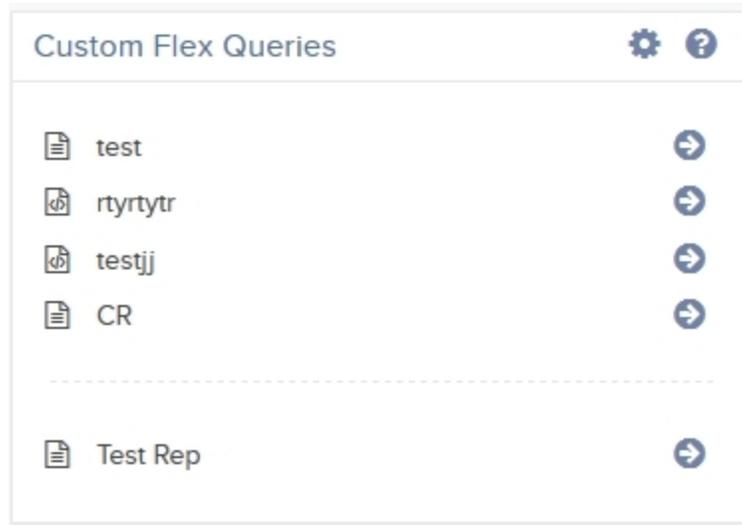
## Trade Confirmation Flex Queries

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

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

The Flex Queries screen opens.

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



The Custom Flex Queries screen opens.



3. Click + icon in the Trade Confirmation Flex Query Templates section.
4. In Trade Confirmation Flex Query Details, enter the name of the Flex Query and select the output format (XML or Text).  
If you select *Text* as the format, select additional options. Choose a default or base currency P&L format. Also select options to include canceled trades and display your account alias.

## Trade Confirmation Flex Query Details

Query Name	<input type="text" value="Required"/>
Format	<input type="text" value="XML"/>
Profit and Loss	<input type="text" value="Default"/>
Include Canceled Trades?	<input type="button" value="YES"/> <input checked="" type="button" value="NO"/>
Display Account Alias in Place of Account ID?	<input type="button" value="YES"/> <input checked="" type="button" value="NO"/>

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

## Date Configuration

Date Period	<input type="text" value="Today"/>
Date Format	<input type="text" value="yyyyMMdd"/>
Time Format	<input type="text" value="HHmmss"/>
Date/Time Separator	<input type="text" value="; (semi-colon)"/>

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

## Sections

<input checked="" type="checkbox"/> Trade Confirmation
--

7. As you select each section, a popup opens with all possible fields in the selected section.

- Select level of detail options at the top of the popup.
- Click each field that you want to appear in the Flex Query.
- Change the order in which the fields will appear by dragging each field to a different position by the bars symbol on the right.
- Click **Save**.

Trade Confirmation
×

---

**Options**

Symbol Summary

Executions ✓

Orders

<input checked="" type="checkbox"/> Account ID	≡
<input checked="" type="checkbox"/> Account Alias	≡
<input type="checkbox"/> Model	≡
<input checked="" type="checkbox"/> Currency	≡
<input checked="" type="checkbox"/> Asset Class	≡
<input type="checkbox"/> Symbol	≡
<input type="checkbox"/> Description	≡
<input type="checkbox"/> Conid	≡
<input type="checkbox"/> Security ID	≡
<input type="checkbox"/> Security ID Type	≡
<input type="checkbox"/> CUSIP	≡
<input type="checkbox"/> ISIN	≡
<input type="checkbox"/> Underlying Conid	≡
<input type="checkbox"/> Underlying Symbol	≡
<input type="checkbox"/> Issuer	≡

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:

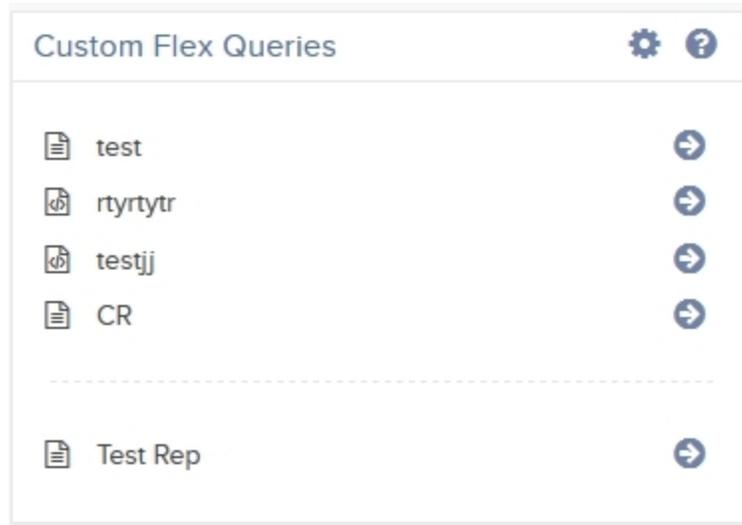
- » [View](#) all of your saved Activity and Trade Confirmation Flex Query templates.
- » [Edit](#) an existing template.
- » [Delete](#) an existing template.

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.

The screenshot shows the 'Flex Queries' interface. At the top, there is a search bar labeled 'Flex Queries (| )' with a print icon and a help icon. Below this, the interface is divided into two main sections. On the left is the 'Run a Flex Query' panel, which contains three dropdown menus: 'Flex Query Type' (set to 'Activity Flex Query'), 'Choose One', and 'Option' (set to 'Optional'). Below these are two buttons: a green 'RUN FLEX QUERY' button and a white 'RESET' button. On the right is the 'Custom Flex Queries' panel, which lists several templates: 'Activity Flex 1 (Clone)', 'DefaultPositions', 'DefaultTrades (Clone)', 'name (Clone)', and 'DefaultConfirms (Clone)'. Each item has a gear icon for configuration and a right-pointing arrow. Below this panel is the 'Flex Queries Delivery' panel, which contains a message: 'You do not have any delivered flex queries. Click the Configure icon to configure flex queries for delivery.'

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.

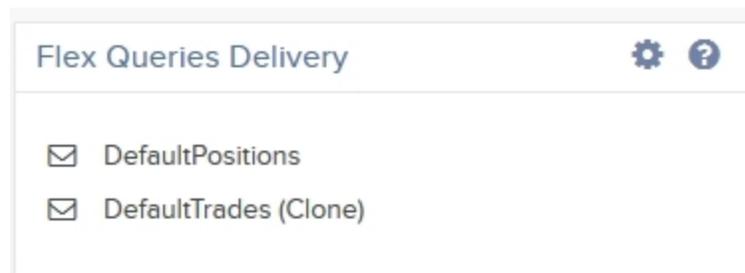
## Delivered Flex Queries

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.



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.

The first screenshot, titled 'Activity Flex Queries', shows a configuration panel with a gear icon in the top right. It includes a 'Delivery Method' dropdown set to 'Email' and an 'Encryption' toggle set to 'No'. Below this is a 'Reports' section with a table:

Reports	
<input type="checkbox"/>	Activity Flex 1 (Clone)
<input checked="" type="checkbox"/>	DefaultPositions U
<input checked="" type="checkbox"/>	DefaultTrades (Clone) U
<input type="checkbox"/>	name (Clone)

The second screenshot, titled 'Trade Confirmation Flex Queries', follows the same layout but only contains one report in the table:

Reports	
<input type="checkbox"/>	DefaultConfirms (Clone)

- 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):
  - o On the Flex Queries Delivery screen, click the Configure (gear) icon in the appropriate panel. The Configure Delivery Method screen opens.

The 'Configure Delivery Method' screen features a title and a note: 'FTP Delivery is available by request only. Encryption is available for both Email and FTP delivery methods by request only. Contact your Sales Representative or Client Services to enable these options.' The configuration options are: 'Delivery Method' set to 'Email', 'Encryption' set to 'NO', and a 'Reports' table:

Reports	
<input type="checkbox"/>	Activity Flex 1 (Clone) U
<input checked="" type="checkbox"/>	DefaultPositions U
<input checked="" type="checkbox"/>	DefaultTrades (Clone) U
<input type="checkbox"/>	name (Clone) U

A green 'CONTINUE' button is located at the bottom right of the screen.

- 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.

### Configure Flex Web Service ×

Use this page to activate or deactivate the Flex Web Service. You will need to generate a token to initiate Flex Query requests and retrieve Flex Queries using this service.

Flex Web Service Status

---

CANCEL SAVE

3. Click **Flex Web Service Status** and then click **Save**.

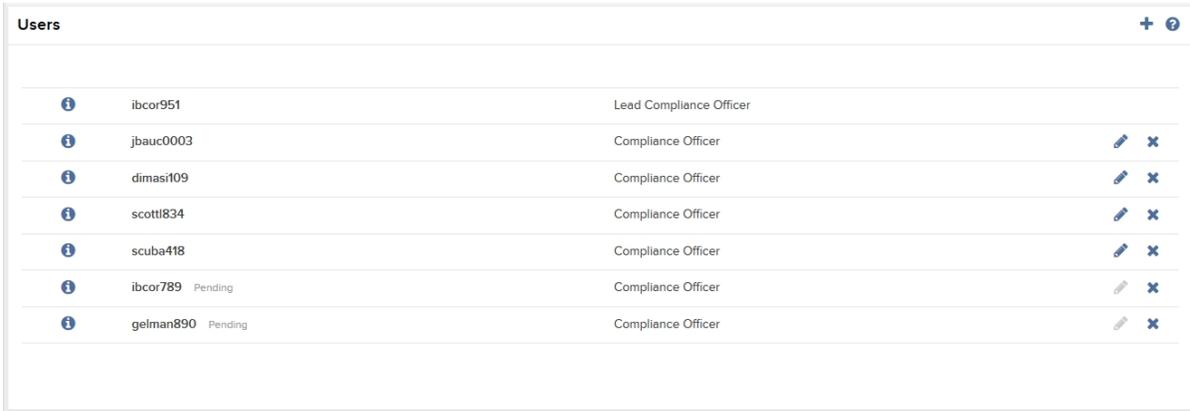
## Users and Access Rights

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.



Users			
	ibcor951	Lead Compliance Officer	
	jbauc0003	Compliance Officer	 
	dimasi109	Compliance Officer	 
	scottl834	Compliance Officer	 
	scuba418	Compliance Officer	 
	ibcor789 Pending	Compliance Officer	 
	gelman890 Pending	Compliance Officer	 

## 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.

The screenshot displays a user creation form with two main sections: 'User Information' and 'Contact Information'. The 'User Information' section includes fields for Username, Password, and Confirm Password, all marked as 'Required'. There is also a question 'Is this user a security officer?' with 'YES' and 'NO' radio buttons. The 'Contact Information' section includes a 'Salutation' dropdown menu (set to 'Choose One'), and fields for First Name, Middle Name(s), Last Name, Suffix, Association Type (set to 'Employee'), Email Address, and Confirm Email Address, all marked as 'Required'.

5. Complete the user information and click **Continue**.
6. The User Settings Access page opens.
7. Click **Continue**.
8. The Reporting Access page opens.

The screenshot shows the 'Reporting Access' page. At the top, it says 'Reporting Access' and 'Reporting rights are related to functions within the Reporting menu.' Below this is a control bar with an 'APPLY ALL' button and a dropdown menu set to 'Master Accounts Only'. The main content area is divided into two sections: 'Statements' and 'Settings'. The 'Statements' section has five items, each with an unchecked checkbox: Trade Confirmation Reports, Trade Confirmation Flex Queries, Activity Flex Queries, Activity Statements, and Flex Web Service. The 'Settings' section has one item with an unchecked checkbox: Delivery Settings For All Reports. At the bottom of the page, there are 'BACK' and 'CONTINUE' buttons.

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:** If you delete a user, their Account Management access is disabled instantly and Trading Access is disabled by the next calendar day.

» [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
13.
  - » 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.
14. On the Verify Your Identity page, enter the confirmation number you received by email.
15. 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

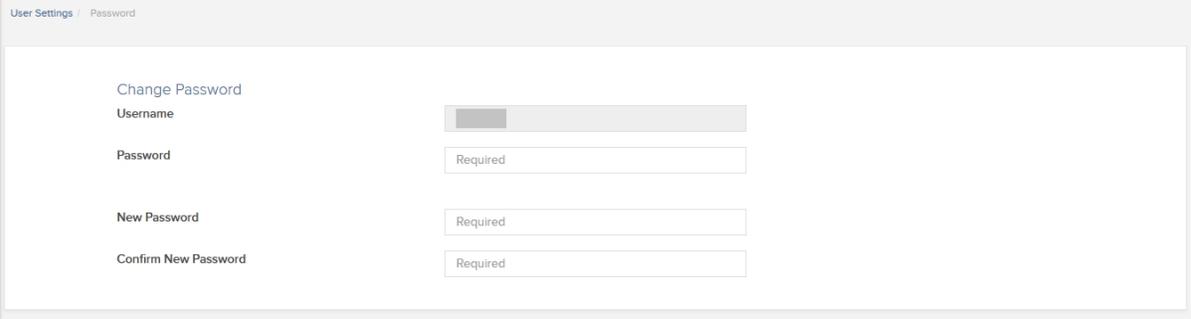
- » [Statements Delivery](#) - Configure statement delivery settings.
- » [Flex Queries Delivery](#) - Configure flex statement delivery settings.

## 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.



The screenshot shows a web form titled "User Settings / Password". The form has four rows of input fields:

- Change Password**: Username field (greyed out)
- Password**: Password field with a "Required" label
- New Password**: New Password field with a "Required" label
- Confirm New Password**: Confirm New Password field with a "Required" label

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.

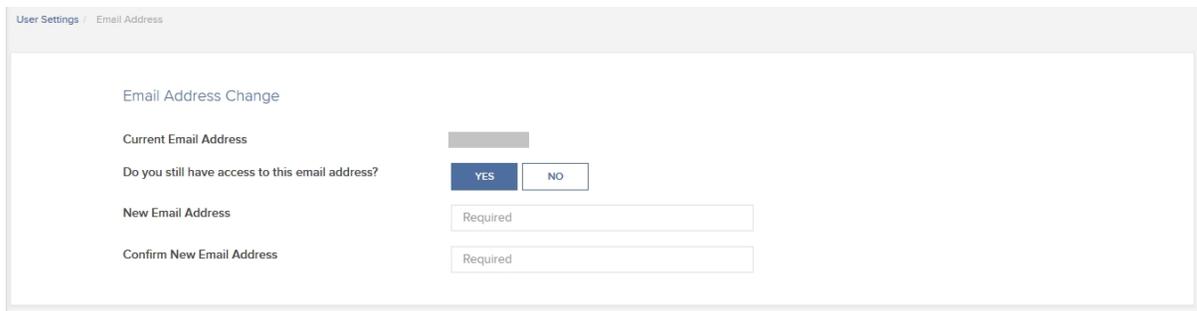
The Mobile Number screen lets you add, edit, and delete mobile phone numbers from your account. IB accounts require at least one verified primary mobile number.

» [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.



The screenshot shows the 'Email Address Change' page. At the top, there is a breadcrumb 'User Settings / Email Address'. The main content area is titled 'Email Address Change'. It contains the following elements:

- 'Current Email Address': A greyed-out text input field.
- 'Do you still have access to this email address?': A question with two buttons: 'YES' (highlighted in blue) and 'NO'.
- 'New Email Address': A text input field with the label 'Required'.
- 'Confirm New Email Address': A text input field with the label 'Required'.

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.
-

User Settings / Configure & Confirm Mobile Numbers

Enter a valid mobile phone number below.

Phone Number(s)

Phone Type

Phone Country

Phone Number

Use for Messaging?  
SMS to this phone number will still be used for authentication purposes

7. Click **Continue**.
8. Click **Verify** if the information is correct. Otherwise, click the pencil icon next to the phone number to edit it.

User Settings / Configure & Confirm Mobile Numbers

You must have a verified **Mobile** number on file. Confirm by clicking the **Verify** button to enter the code which you should receive shortly. *Standard messaging rates apply.*

SMS Verified	Mobile Type	Mobile Number	Country	Use for Messaging
<input type="button" value="VERIFY"/>	Mobile	<input type="text"/>	United States	<input checked="" type="checkbox"/>

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

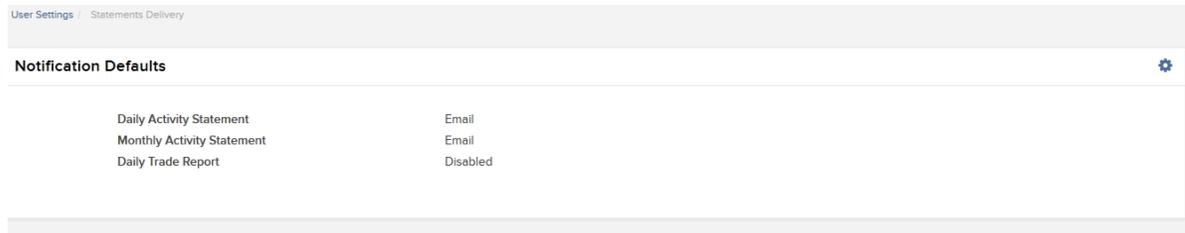
## Reporting

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

- » Statements Delivery
- » Flex Queries Delivery

### Configure Statements Delivery

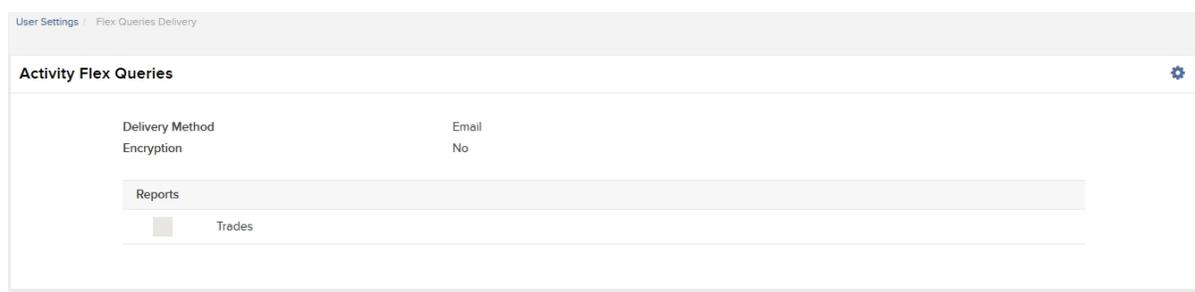
1. Select **Settings > User Settings**.
2. In the Reporting section, click the configure icon next to Statements Delivery.



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

The screenshot shows a web interface for 'User Settings' with a breadcrumb trail: 'User Settings / Flex Queries Delivery / Activity Flex Queries'. The main section is titled 'Delivery Settings' and contains the following elements:

- A note: 'FTP Delivery is available by request only. Encryption is available for both Email and FTP delivery methods by request only. Contact your Sales Representative or Client Services to enable these options.'
- 'Delivery Method': A dropdown menu currently set to 'Email'.
- 'Encryption': Two buttons, 'YES' and 'NO', with 'NO' being the active button.
- 'Reports': A section with a checkbox for 'Trades' which is currently unchecked.

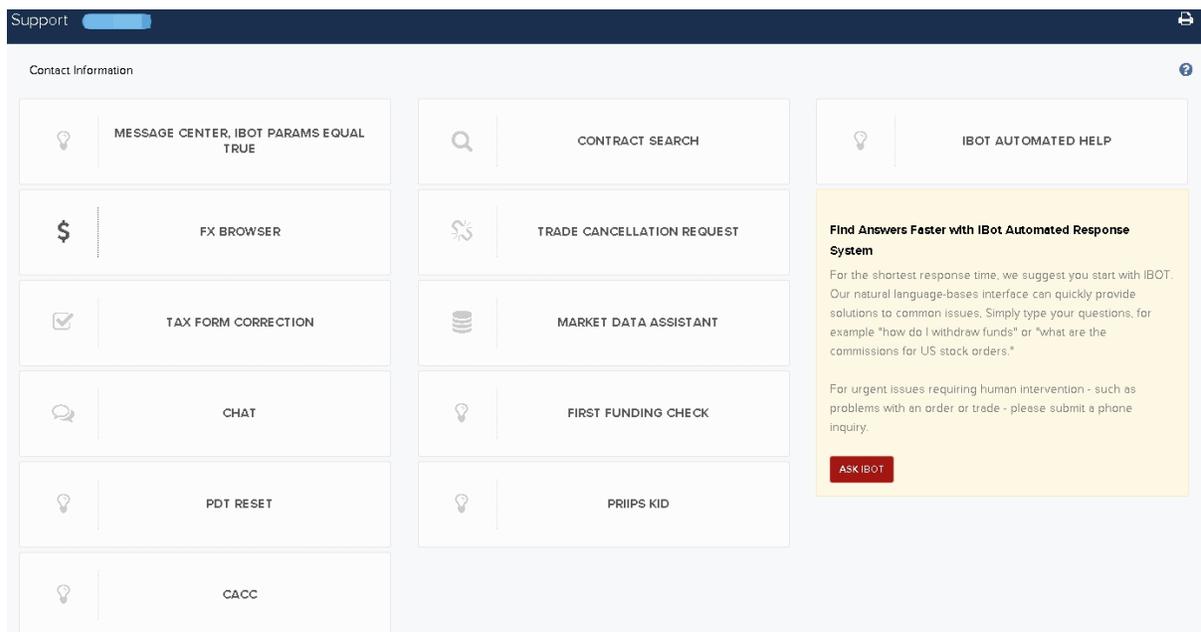
4. For Delivery Method, choose **Email** or **FTP**.
5. For Encryption, click **Yes** or **No**.
6. Click **Continue**.

# 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](#)



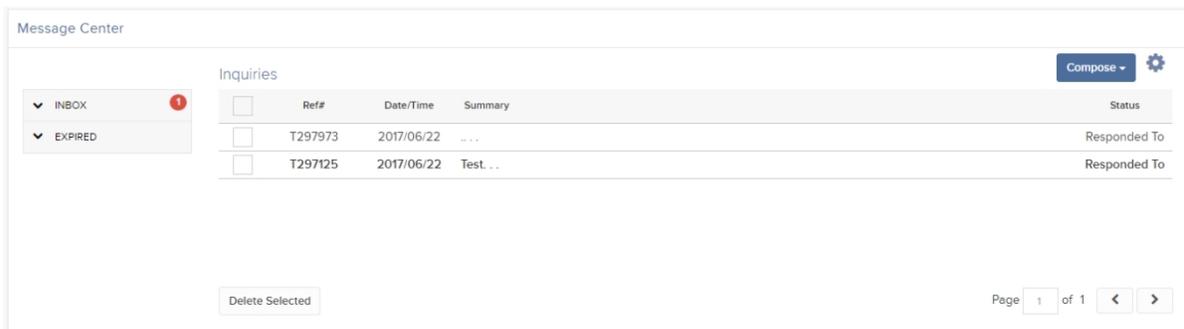
## How to Contact Client Services

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 a inquiry ticket](#)
- » [View corporate actions](#)
- » [View expired inquiry tickets](#)
- » [Submit a Tax Correction Form](#)
- » [Submit a Trade Cancellation request](#)
- » [Submit a Pattern Day Trader Reset request.](#)

The Message Center includes the following features:

- » Every inquiry is assigned a reference number, called a ticket. This reference number can be used to efficiently track the progress of the inquiry.
- » The real-time status of an inquiry is always displayed in the main Message Center window. You will know if the issue has been picked up by a service expert, which expert is handling your issue, and whether it is being addressed by our main help team or by a specialty team.
- » Both customers and staff can refine or add information to the ticket, permitting easy clarifications or follow up to the original inquiry. In addition, customers can cancel or close tickets once the issue has been addressed, giving them greater control over the process.
- » History of both open and completed inquiries.
- » Fast response - Tickets are assigned to a representative usually within a few minutes and always within 2 hours during European and North American trading hours. During Asian trading hours, response times may be longer.

## Message Center Screen

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



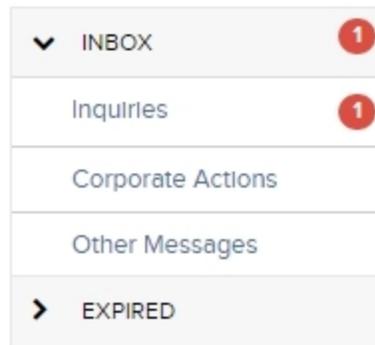
### Parts of the Message Center

- » By default, the Message Center shows your current Inquiries.
- » For each ticket or message in the list, the Message Center displays the Ref# (unique for each message), the date/time, a summary of the ticket or message, and the status.
- » View an individual inquiry ticket or message by clicking anywhere on the item in the list.
- » View the status of an inquiry ticket in the Status column.

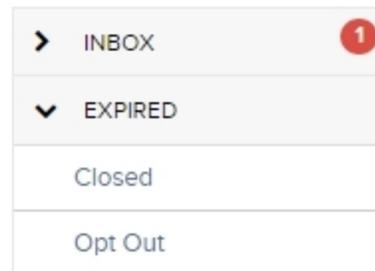
## Inquiries

<input type="checkbox"/>	Ref#	Date/Time	Summary	Status
<input type="checkbox"/>	T297973	2017/06/22	...	Responded To
<input type="checkbox"/>	T297125	2017/06/22	Test...	Responded To

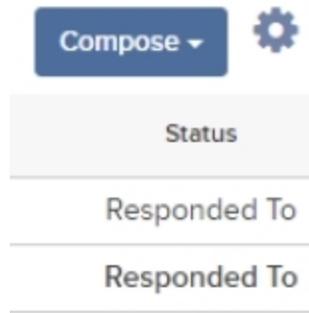
- » The INBOX menu on the left displays the number of unread messages you have in a circle.
- » Click the INBOX menu to expand it to access Inquiries, [Corporate Actions](#) and Other Messages. Click any of those items to view them.



- » Expand the EXPIRED menu on the left to [view expired messages](#).



- » Click the Compose button to [create a new inquiry](#), or to submit a [Tax Correction Form](#), [Trade Cancellation Request](#) or [Pattern Day Trader Reset request](#).
- » Click the Preferences (gear) icon to access Message Center Preferences.



- » If you have more messages in your inbox than can be displayed on a single screen, use the page controls on the lower right of the Message Center to quickly navigate to another page of messages.



- » Delete old items from the list by checking the check box on the left side of an item, then click the **Delete Selected** button at the bottom of the window.

Inquiries

<input type="checkbox"/>	Ref#	Date/Time	Summary
<input type="checkbox"/>	T297973	2017/06/22	...
<input checked="" type="checkbox"/>	T297125	2017/06/22	Test...

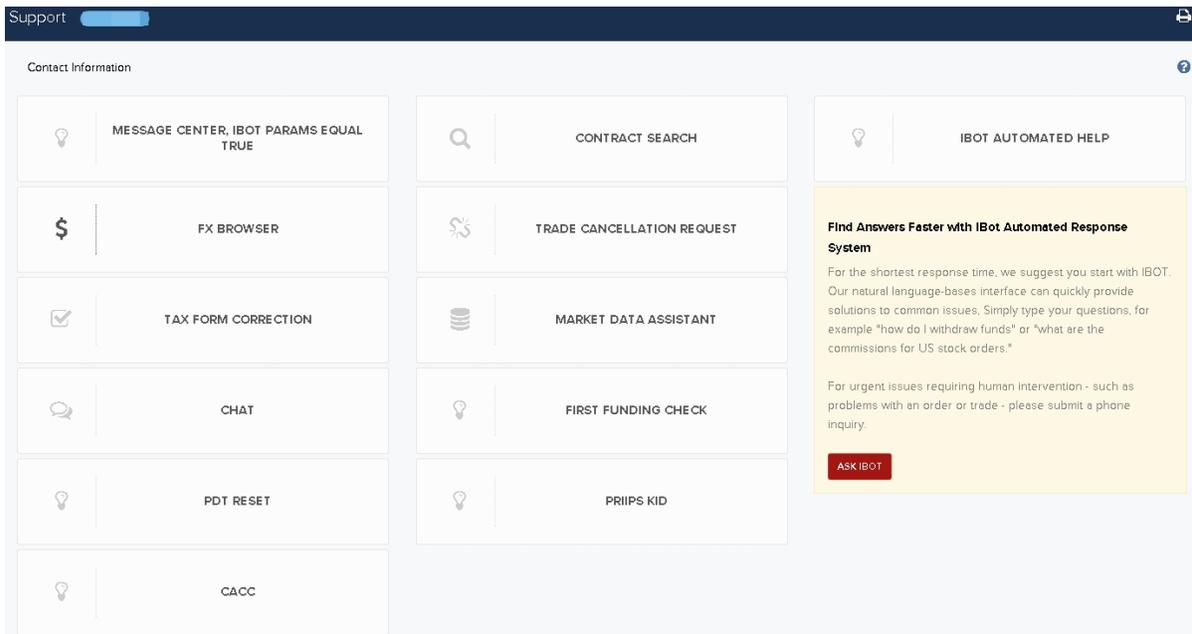


## Create a New Ticket

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

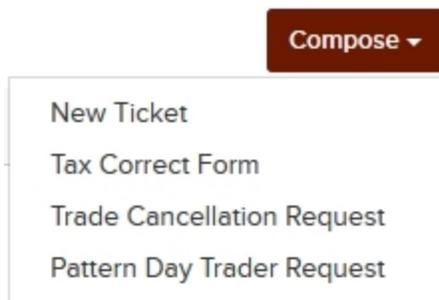
1. Click **Support**.



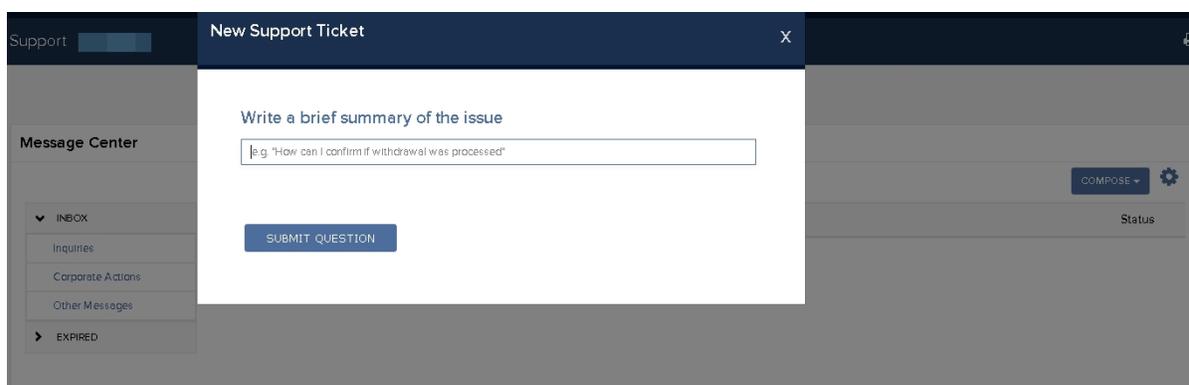
2. Click **Message Center**.

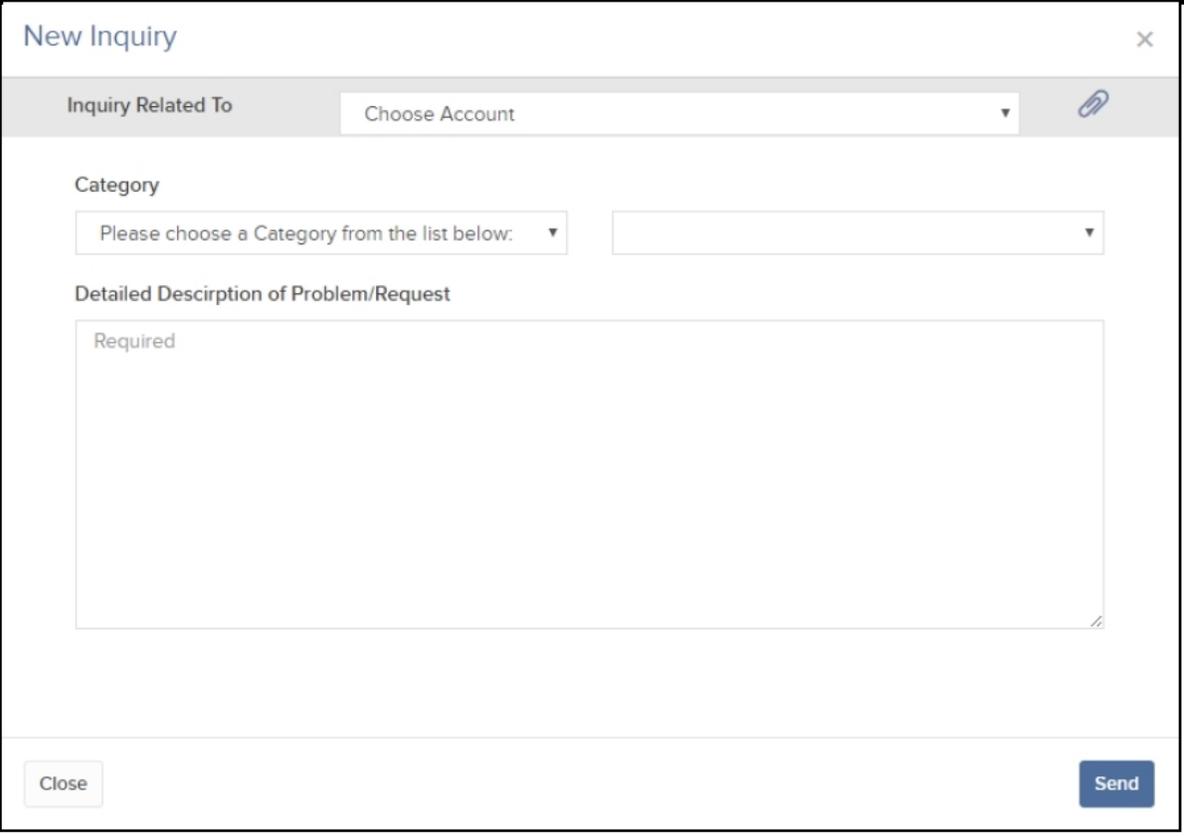


3. Click **Compose** and then click **New Ticket**.



You will first be asked to describe the issue for quick automated answers from IBot before continuing to submit the ticket.





The screenshot shows a web form titled "New Inquiry" with a close button in the top right corner. The form is divided into several sections:

- Inquiry Related To:** A header section containing a dropdown menu labeled "Choose Account" and a paperclip icon for attachments.
- Category:** A section with two dropdown menus. The first dropdown is labeled "Please choose a Category from the list below:" and the second is empty.
- Detailed Description of Problem/Request:** A large text area with a "Required" label in the top left corner.
- Buttons:** A "Close" button in the bottom left and a "Send" button in the bottom right.

4. Select the account for which you are submitting a ticket.
5. Select a category and subcategory for the inquiry. The combination of categories and subcategories let us route your inquiry to the expert who is specialized or is most experienced for your particular issue.

### Category

A screenshot of a dropdown menu titled "Category". The menu is open, showing a list of options. The top option is "Please choose a Category from the list below:" with a downward arrow. Below it, the following categories are listed: "Account Security & Protection", "Account Services", "Funds & Banking", "How to Use", "Products", "Technical Assistance", "Trade Issues", "Activity & Tax Statements", "Commissions, Fees & Interest", and "Application Assistance". The "Account Services" option is highlighted in blue.

For example, if you select Account Services as the Category, the following subcategories are available:

A screenshot of a form showing the "Category" dropdown set to "Account Services". Below it is the "Detailed Description of Problem/Request" field, which is currently empty and has a "Required" label. To the right of the detailed description field is another dropdown menu titled "Please choose the appropriate topic for 'Account Services'". This menu is open, showing a list of subcategories: "Tax Forms", "Close Account", "Corporate Actions/Dividends", "Account Configuration/Permissions", "Regulatory", "Commissions/Fees/Interest", "Complaints", and "Market Data". The top option, "Please choose the appropriate topic for 'Account Services'", is highlighted in blue.

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.

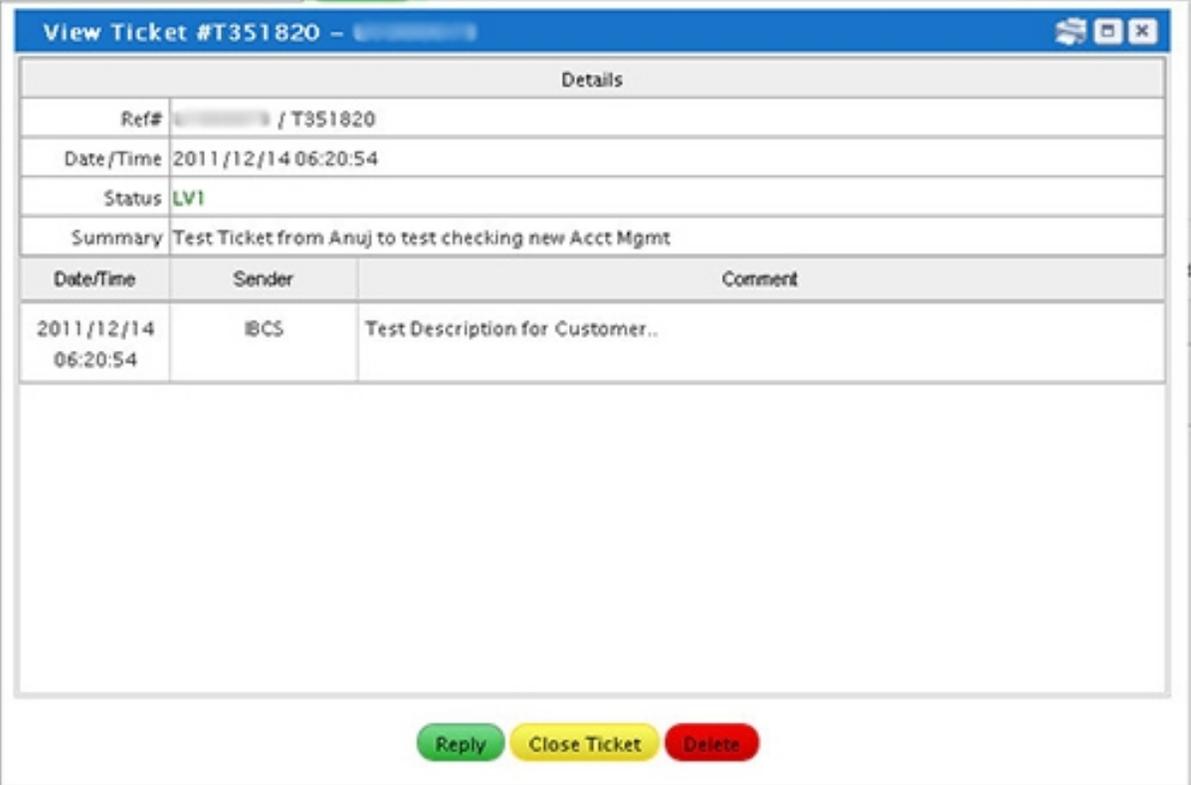
Attachments

<b>Browse</b>	<input type="text"/>	<b>Clear</b>
<b>Browse</b>	<input type="text"/>	<b>Clear</b>

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.



Details		
Ref#	[unreadable] / T351820	
Date/Time	2011/12/14 06:20:54	
Status	LVI	
Summary	Test Ticket from Anuj to test checking new Acct Mgmt	
Date/Time	Sender	Comment
2011/12/14 06:20:54	IBCS	Test Description for Customer..

Reply
Close Ticket
Delete

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**.

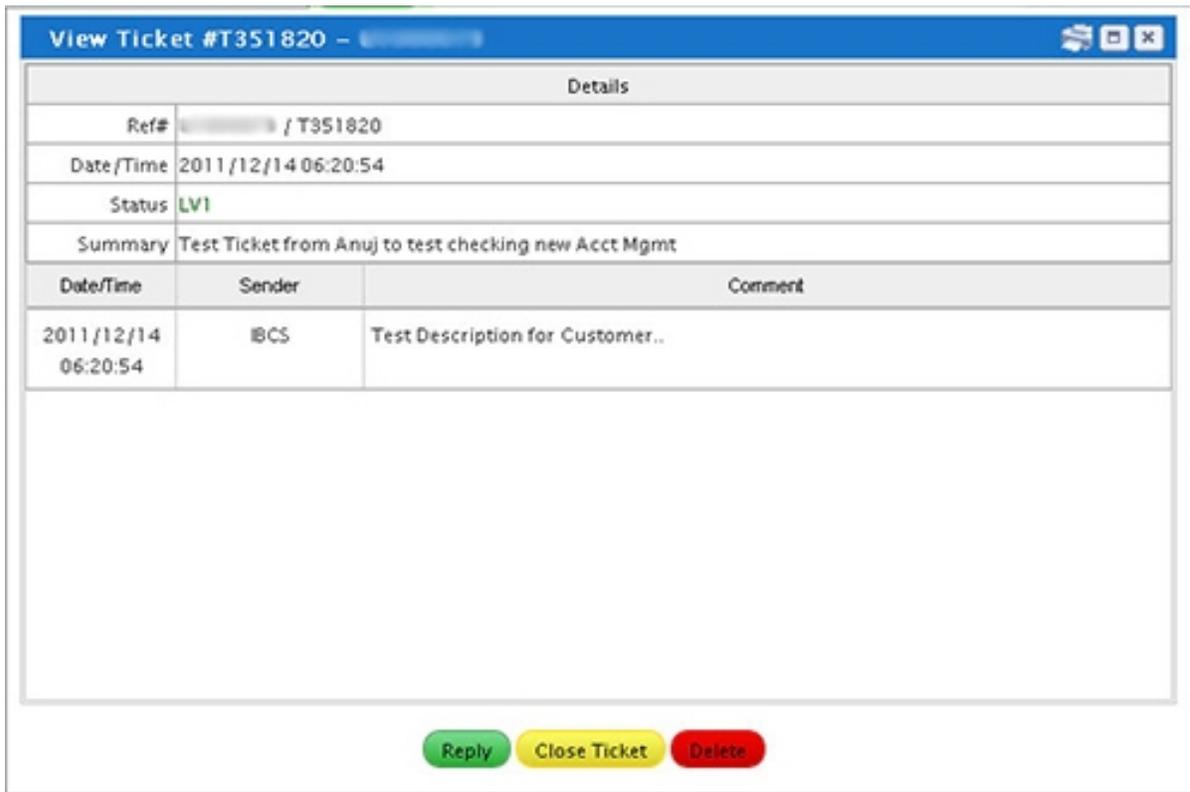
## Close a Ticket

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.



Details		
Ref#	[REDACTED] / T351820	
Date/Time	2011/12/14 06:20:54	
Status	LVI	
Summary	Test Ticket from Anuj to test checking new Acct Mgmt	
Date/Time	Sender	Comment
2011/12/14 06:20:54	IBCS	Test Description for Customer..

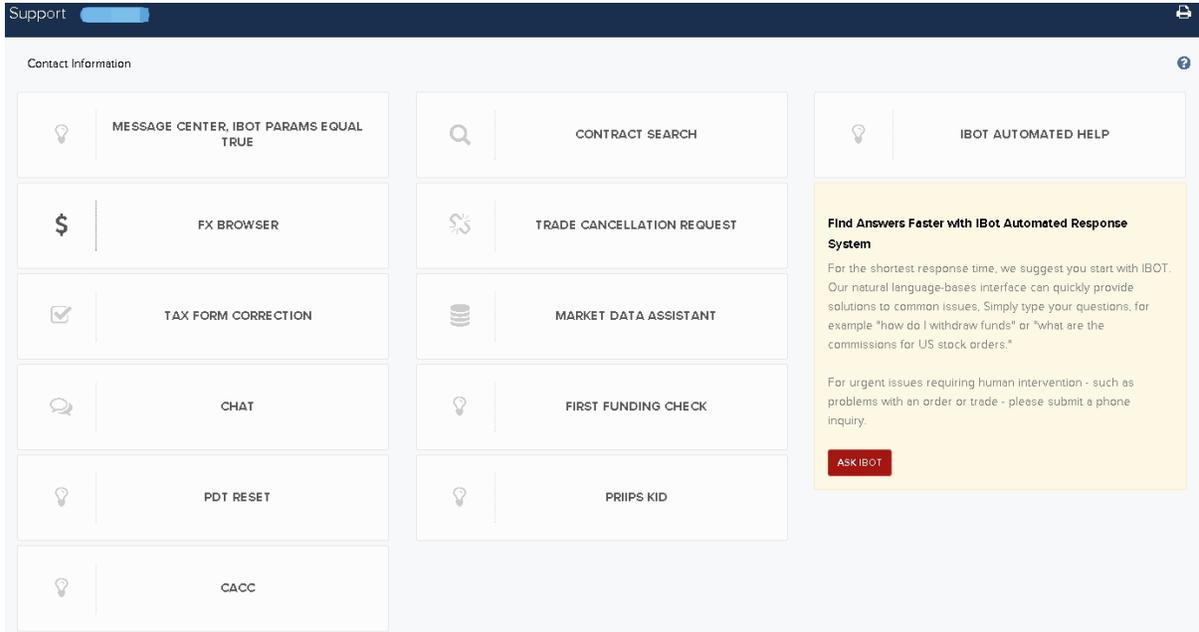
4. Click **Close Ticket** to cancel the ticket.
5. View closed inquiry tickets on the Tickets tab by clicking the **Show All** radio button.

## View Corporate Actions

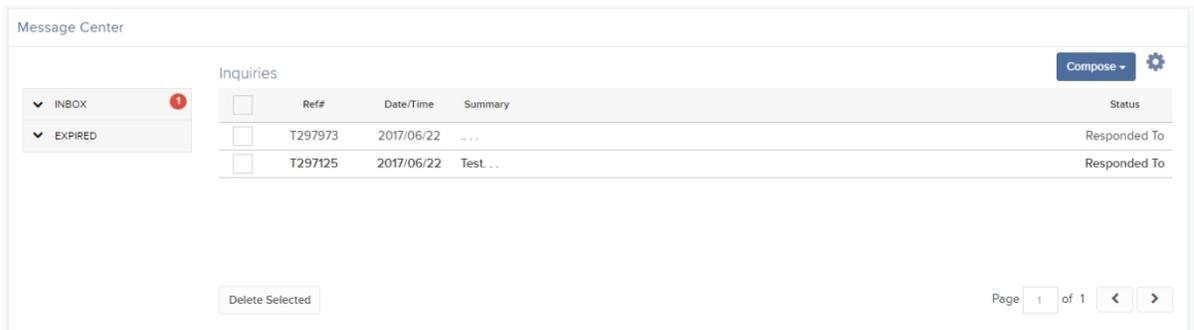
You can view and participate in corporate actions in the Message Center.

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.

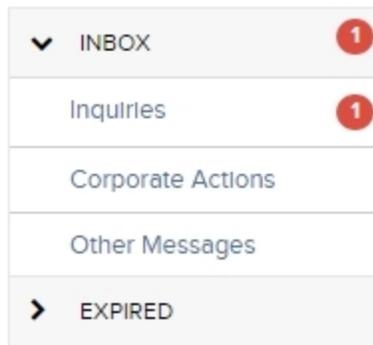
1. Click **Support**.



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.

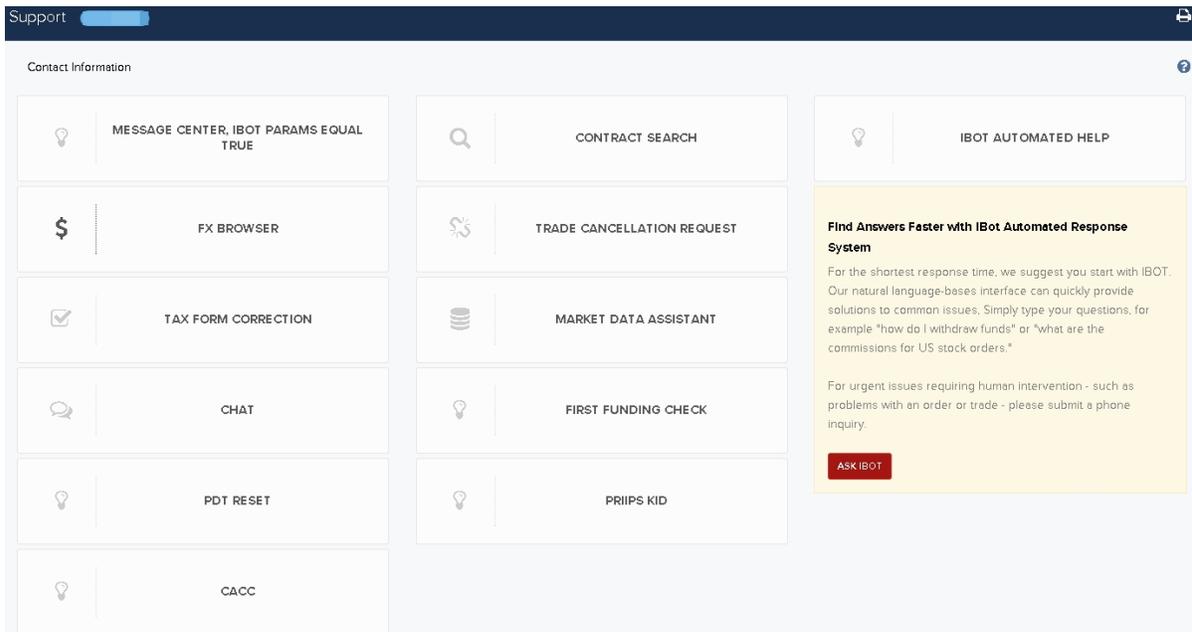
- Click the **View** icon to display details and a full description of the corporate action.
- Click the **Edit** icon to open the Voluntary Corporate Action (CA) Election tool, which lets you submit instructions on voluntary corporate actions during an open election period. You can also access Corporate Actions using the Corporate Action Tool, available on the Customer Service Tools page.

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

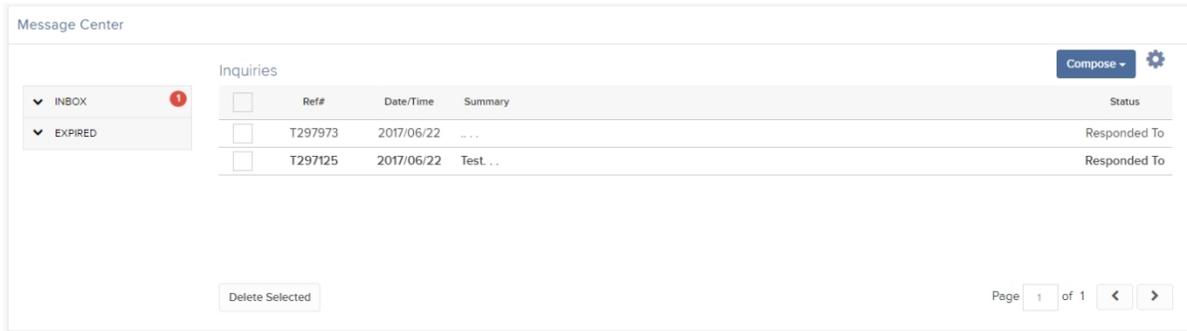
## View Expired Inquiry Tickets

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.



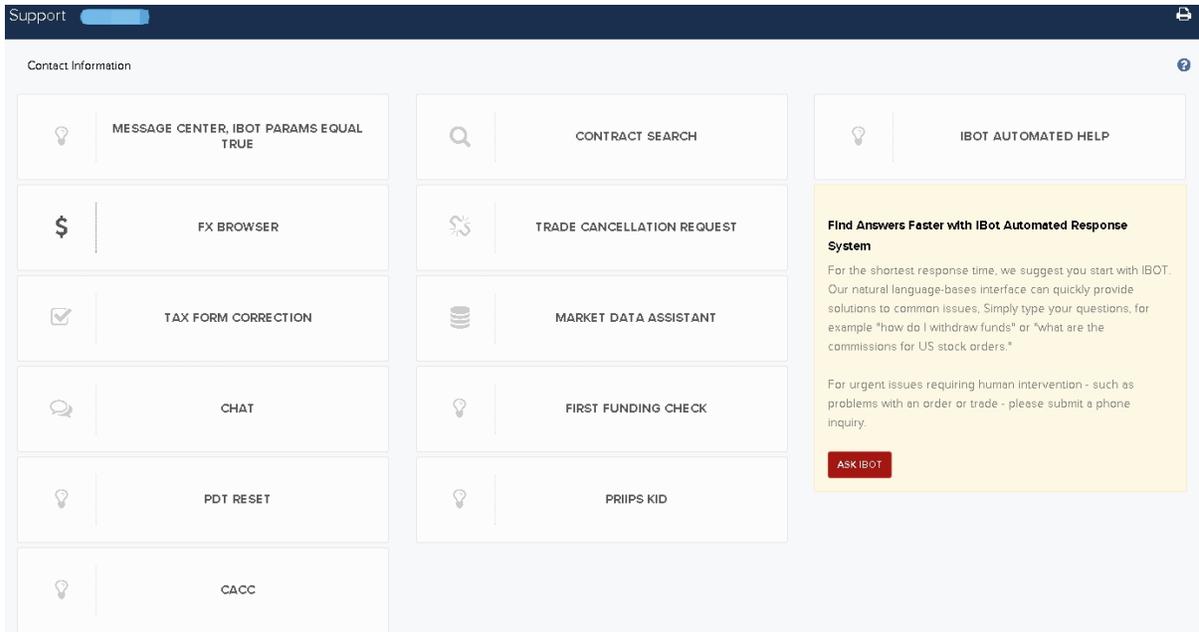
4. Click **Closed** to view inquiry tickets that have been closed. The list of messages updates accordingly.

## Message Center Preferences

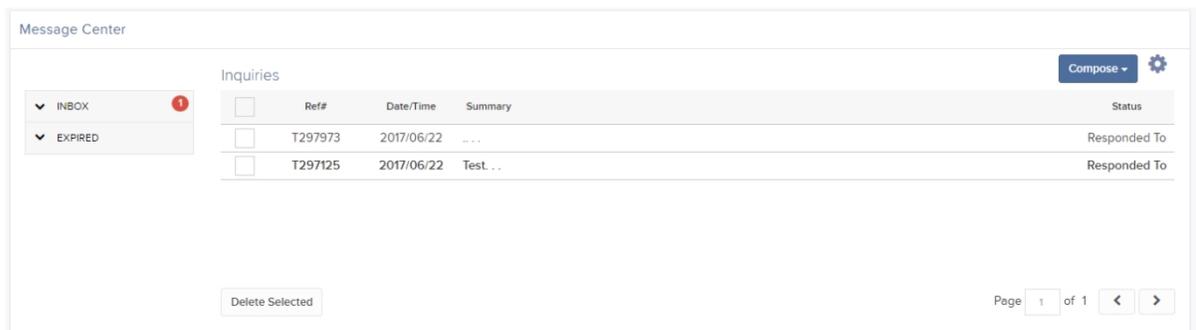
You can configure the following Message Center preferences:

- » 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.

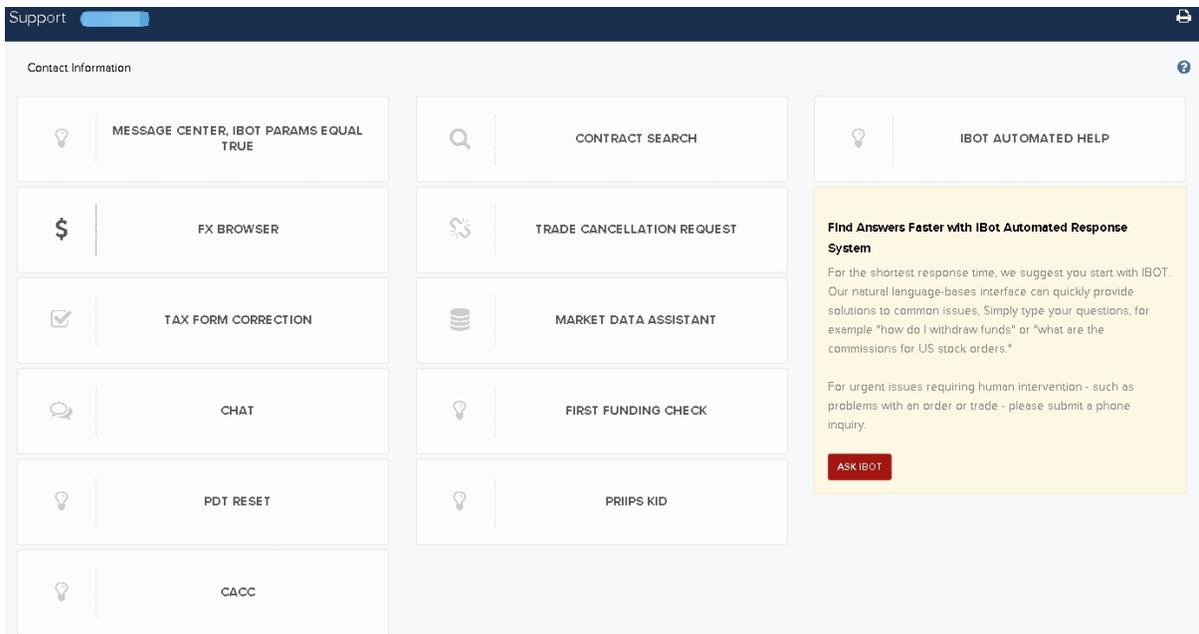
## Contract Search

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**.



### 2. Click **Tax Form Correction**.

The Tax Correction Form opens.

 **Note:** You can also access the Tax Correction Form by clicking the **Compose** button in the Message Center.

**Tax Information**

Tax Year: 2017

Indicate Your Tax Payer Status: U.S. Tax Payer

Reason for Correction: Optional  
(Add any extra information here)

**Type of Correction**

- > 1099-B Proceeds Stock/Equity Transactions
- > 1099-B for Futures Profit and Loss
- > 1099-DIV Dividends and Distributions
- > 1099-INT Securities Account Interest Income
- > 1099-MISC Miscellaneous Income
- > 1099-OID Original Issue Discount
- > 1099-R Distributions from IRAs
- > 5498 IRA Contribution Information
- > Tax Identification Number / Tax Payer Status

Close Submit

3. Select the tax year for which you wish to report a correction from tax year list.
4. Select your taxpayer status from the drop-down:
  - o U.S Taxpayer
  - o Canadian Taxpayer
  - o Non-U.S. Taxpayer

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

5. Optionally, type the reason for the correction.
6. Click the tax form you want to correct. The section expands to display the parts of the selected tax form that can be corrected.

Type of Correction

▼ 1099-B Proceeds Stock/Equity Transactions

Check all that apply

Box 2: Gross Proceeds       Box 4: Income Tax Withheld       Box 5: No. of Shares Exchanged

Box 6: Class of Stock Exchanged       Exemption from Reporting

> 1099-B for Futures Profit and Loss

> 1099-DIV Dividends and Distributions

> 1099-INT Securities Account Interest Income

7. Make your corrections to the tax form.
8. When you are finished correcting tax forms, click **Submit**.

## Market Data Assistant

Support 

**Market Data Assistant**

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

**Market Data Search**

Enter either a symbol or ISIN           

Enter exchange     

Optional Filters                 

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.

## PRIIPS KID

Support 

PRIIPS Landing Page

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

IB KID **BROKER KID**

Select Filters to find you KID

Exchange

Language

To learn more about PRIIPs regulation, refer to our [IB Knowledge Base article](#).

## FX Browser

Support 

This tool allows you to see trades executed on IB's FX platform in a 15 minute window around executions in your account. 

Fill the form to find your executions.

**Trade date\*** ( Goes back upto 6 months )

**Approximate Trade Time (EST)**

**Currency #1**

**Currency #2**

**Buy or Sell**

\* This is a mandatory field

To learn more about Forex Execution Statistics, refer to our [IB Knowledge Base article](#).

## Canceling a Trade

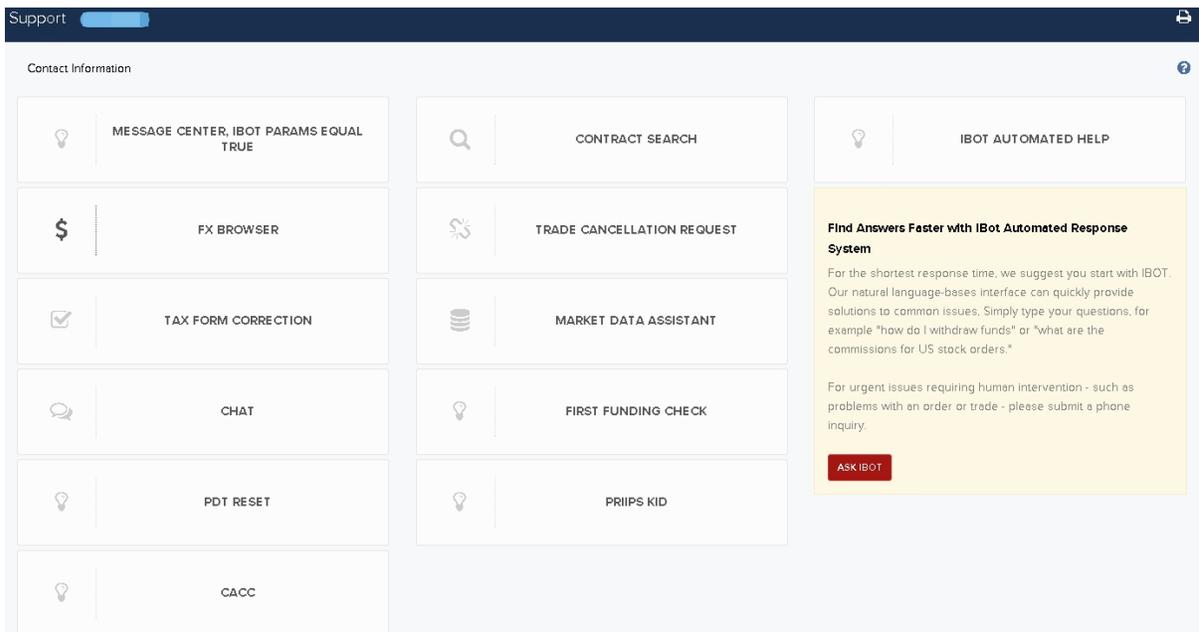
You can bust a trade using the Order Cancellation Request form. After you submit this form to inform us of problem or erroneous trades, we will report these trades to the appropriate exchange on a best efforts basis. Please note that this is a time-sensitive process. Most exchanges have very short time 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

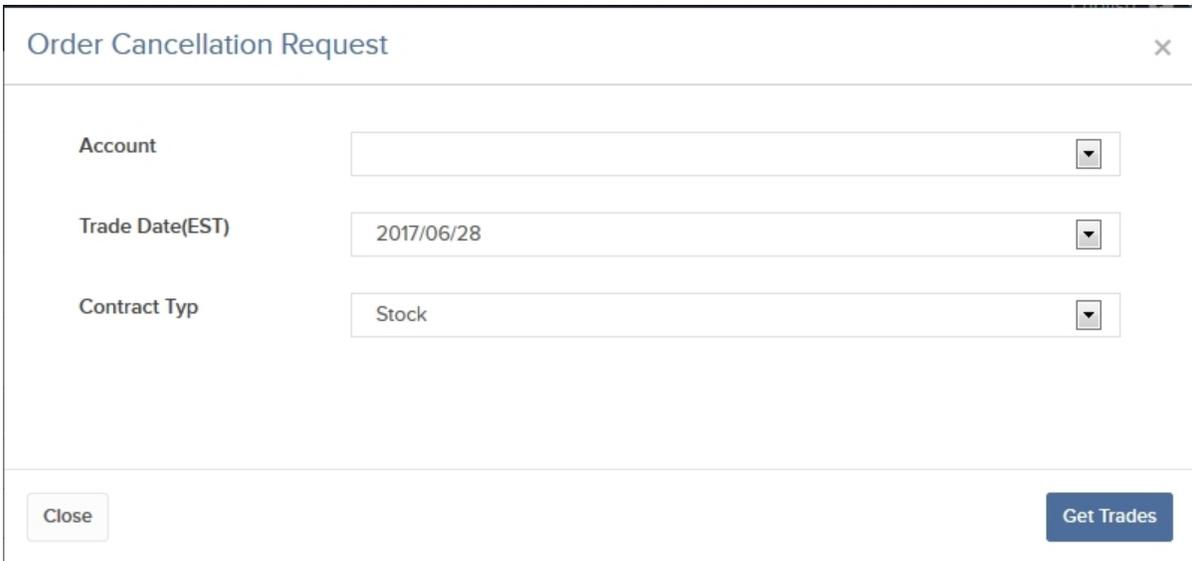
1. Click **Support**.



2. Click **Tax Form Correction**.

The Order Cancellation Form opens.

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



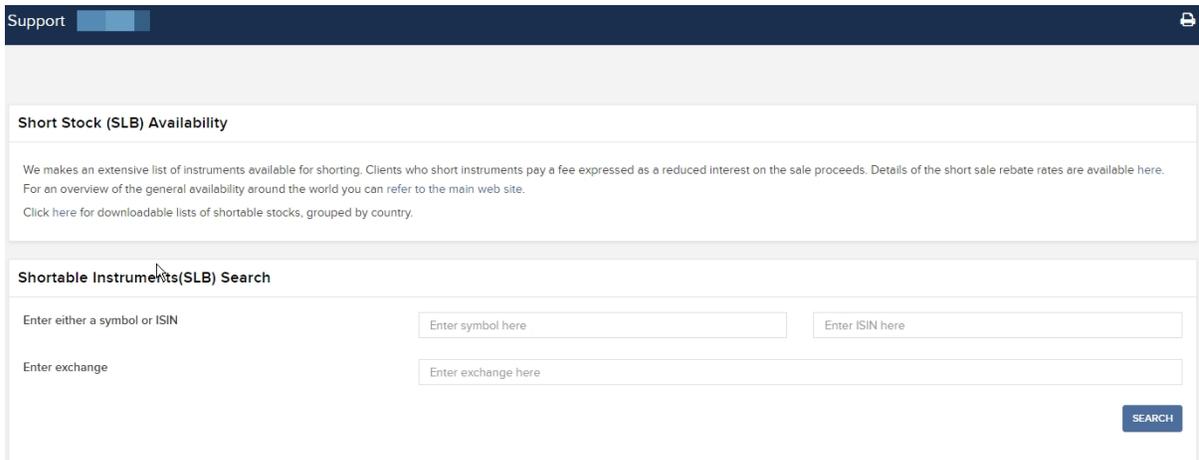
The screenshot shows a web form titled "Order Cancellation Request" with a close button in the top right corner. The form contains three dropdown menus: "Account" (empty), "Trade Date(EST)" (2017/06/28), and "Contract Typ" (Stock). At the bottom of the form, there are two buttons: "Close" and "Get Trades".

3. Select the Account in which the trade occurred, the date of the trade (based on Eastern Standard Time), and contract type from the drop-downs.
4. Click **Get Trades** to display all available trades of the selected instrument type on the selected date.
5. 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



The screenshot shows a web interface for "Short Stock (SLB) Availability". At the top, there is a dark blue header with the word "Support" and a printer icon. Below the header, the main content area is titled "Short Stock (SLB) Availability". It contains a paragraph of text: "We makes an extensive list of instruments available for shorting. Clients who short instruments pay a fee expressed as a reduced interest on the sale proceeds. Details of the short sale rebate rates are available here. For an overview of the general availability around the world you can refer to the main web site. Click here for downloadable lists of shortable stocks, grouped by country." Below this text is a section titled "Shortable Instruments(SLB) Search". It features three input fields: "Enter either a symbol or ISIN" (with a sub-field "Enter symbol here"), "Enter ISIN here", and "Enter exchange" (with a sub-field "Enter exchange here"). A blue "SEARCH" button is located at the bottom right of the search section.

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.

## Live Chat

## Write a brief summary of the issue

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

CLOSE

## Live Chat

Your selected Language:

English

Please choose a Category from the list below:

> Automated Responses

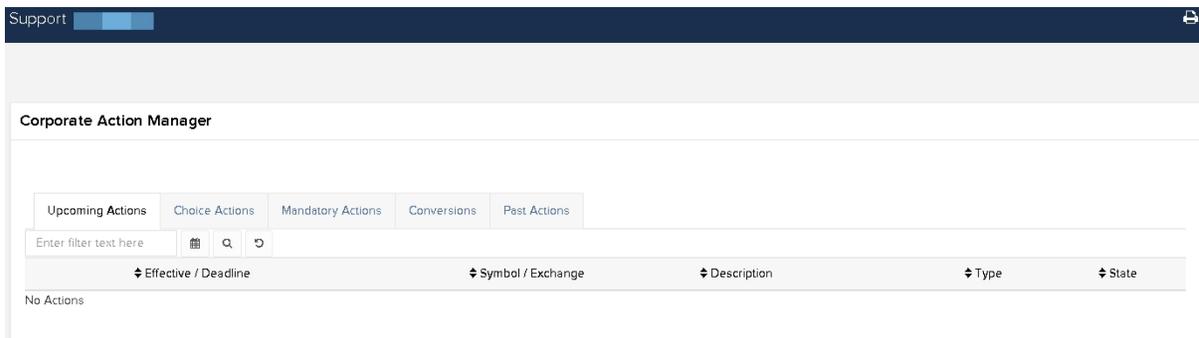
2. In the Customer Service Live Chat window, select a category from the Category list. This is the subject on which you are seeking assistance.
3. Select a subcategory from the Sub-Category list.
4. Select your language by clicking the appropriate flag. A flag with a green dot below it indicates that 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](#).

# Index

## A

access right groups 60

account settings 57

activity flex queries 42

activity statements

about 21

archive policy 23

by account type 22

creating customized 27

Activity Statements 21

adding a user 59

archive policy for activity statements 23

automatic logoff 7

## C

cancelling a trade 91

changing EmployeeTrack email  
address 65

changing EmployeeTrack password 65

closing an inquiry ticket 80

contacting customer service 71

corporate actions

viewing in the Message Center 81

correcting a tax form 87

creating a new support ticket 75

customer service 70

customer service live chat 93

Customer Service Message Center 71-72

customized statements 27

profit and loss 32

cutoff times for daily statements 22

## D

Delivery menu 35

delivery settings for Flex Queries 54

## E

editing employee relationship 11

editing Reference IDs 11

email address 65

Employee Accounts 11

employee Reference ID

editing 11

employee relationship

    editing 11

EmployeeTrack

    overview 5

    registration and setup 5

EmployeeTrack Management menu 8

execution reports 34

expired customer service inquiries 83

expiring sessions 7

## F

failed login attempts 7

flex queries

    running 42

    trade confirmations 48

    via HTTPS 58

Flex Queries 39

    delivery settings for 54

    running 39

Flex Web Service 58

## G

getting help 9

## H

help 9

how to contact support 71

how to run a statement 23

## I

inquiry tickets 75

    closing 80

    modifying 79

    preferences for 84

## L

Live Chat 93

logging in 7

    failed login attempts 7

## M

message center 71

Message Center

    expired tickets 83

    modifying a ticket 79

    new ticket 75

    viewing corporate actions 81

Message Center Window 72

modifying an inquiry ticket 79

modifying user access rights 60

modifying users 60

## O

Order Cancellation Request 91

## P

password 65

pending review 13

Pending tab 13

profit and loss

    affect on statements 32

## R

Reference ID

    editing 11

registering for EmployeeTrack 5

Reports menu 21

running a Flex Query 39, 42

running a statement 23

## S

statement templates

    viewing 31

statement types 26

statements 21, 23

sub compliance officers 59

support 71

Support menu 70

## T

Tax Correction Form 87

ticket notification preferences 84

trade cancellation 91

trade confirmation flex queries 42

Trade Confirmation Flex Queries 48

trade confirmations

    generating 34

Trade Confirmations menu 33

trading restrictions 20

types of statements 26

## U

user access rights 59

    access groups 60

    modifying 60

    viewing on the Users page 62

user settings 64

Users page 59

**V**

viewing

trade confirmations 34

viewing a list of pending accounts 13

viewing custom statements 31

viewing employee accounts 11

viewing user access rights for an individual  
user 62