

Users' Guide

# Account Application Guide for Advisors and Brokers



## **Application Guide for Advisors and Brokers**

**February 2019**

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# Account Application Guide for Advisors and Brokers

## Getting Started

Welcome to Interactive Brokers' Account Application Guide for Advisors and Brokers. This guide includes information to help Advisors and Brokers open Interactive Brokers accounts using a variety of available application methods.

## Who Should Read This Guide?

This guide is intended for:

- » A Registered Investment Advisor who wants to open an Interactive Brokers Advisor account, including his or her own master account and client accounts.
- » A Broker/Dealer or Introducing Broker who wants to open an Interactive Brokers Fully Disclosed Broker account, including his or her own master and proprietary account, and client accounts.

## What's Included in This Guide

This guide describes how to open Interactive Brokers Advisor and Broker master and client accounts using the following available methods:

- » [Apply Online at Our Website](#) - Open your master account using our online account application available on our website, [www.interactivebrokers.com](http://www.interactivebrokers.com), and then send electronic or semi-electronic invitations to your clients to open client accounts.
- » [Create a White-Branded Application for Your Clients](#) - Upload your own banner images to white brand our registration system for your client account applications.
- » [Mass Upload](#) - Upload application information to us for all of your clients at once.
- » [Application XML](#) - Develop your own version of the Interactive Brokers account application to control your clients' application experience.

## Additional Resources

In addition to the information in this guide, Interactive Brokers provides important resources for Registered Investment Advisors and Fully Disclosed Brokers.

### For Advisors:

- » **Getting Started Guide** - Provides an overview of the tasks you will want to complete as a new Advisor. This guide is designed as a reference for new users and comprises a very small subset of the information and features available to you through IB. This guide assumes that your Advisor master account as been approved and funded, that you are the Advisor Master. The guide also includes information relevant to the Advisor who has opened a trading account for their his or her personal trading.
  - [Online Version](#)
  - [PDF Version](#)
- » [RIA Compliance Center](#) - Basic information on the registration and compliance requirements facing investment advisors that includes a webinar on RIA compliance and PDF documents that spotlight major compliance topics.

### For Brokers:

- » **Getting Started Guide for Fully Disclosed Brokers** - Provides a comprehensive collection of the tasks you will want to complete as a new Fully Disclosed Brokers. This guide is designed as a reference for new users and comprises a very small subset of the information and features available to you through IB. This guide assumes that your account as been approved and funded, that you are the Broker Master, and that a Proprietary Account for Broker-Dealers was automatically created for your own personal trading during the application process.
  - [Online Version](#)
  - [PDF Version](#)



**For Advisors AND Brokers:**

- » [Investors' Marketplace](#) - Our online service where IB customers can form connections with service providers and do business together on Interactive Brokers' platform. Search for a variety of third-party service providers or advertise your own services to potential clients, all at no cost.



# Apply Online

Before you can use any of the alternative methods of opening Advisor or Fully Disclosed Broker client accounts described in this guide, you must first open your Advisor or Fully Disclosed master account, which you can do directly from our website. You can also choose to use our standard application methods for your clients.

Click below for a complete summary of the steps required to open Advisor and Broker master and client accounts.

- » [Registered Advisors](#)
- » [Fully Disclosed Brokers](#)

Advisors and Fully Disclosed Brokers can create client account templates in Account Management to save and re-use application information for new client accounts. Click below to learn more:

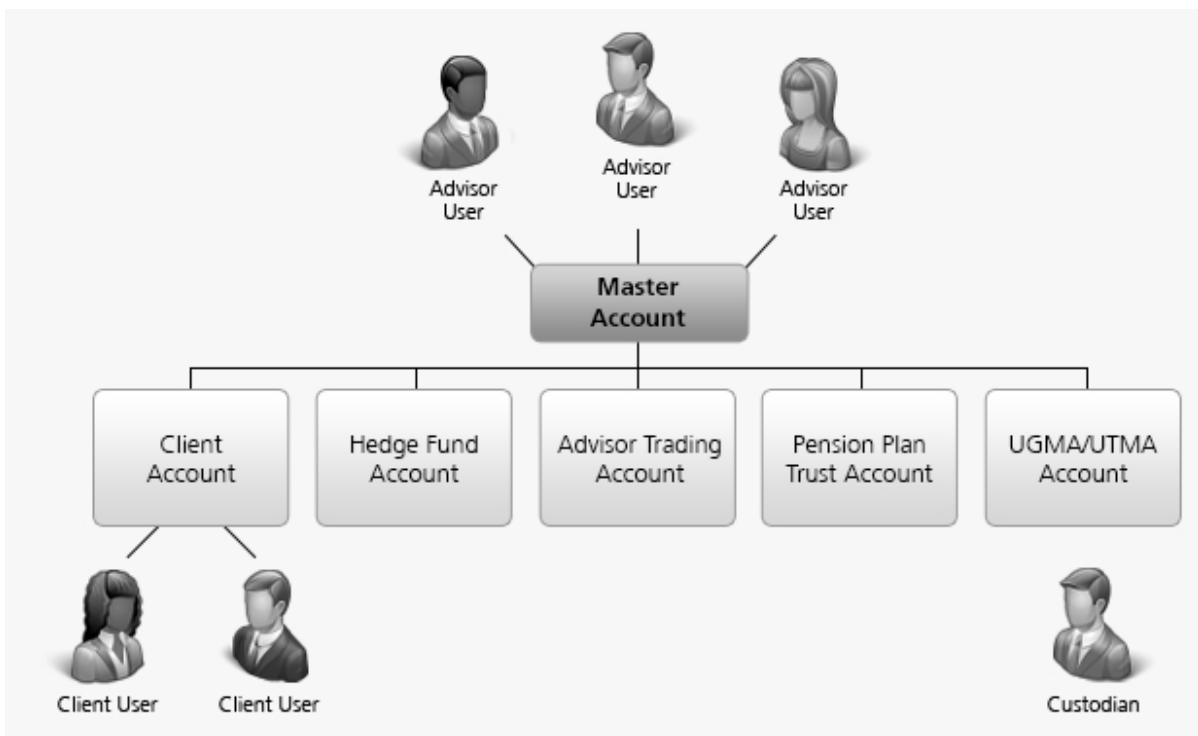
- » [Advisor Client Account Templates](#)
- » [Broker Client Account Templates](#)

Advisors and Fully Disclosed Brokers can also:

- » [Manage Registration Tasks for a Client Account](#)

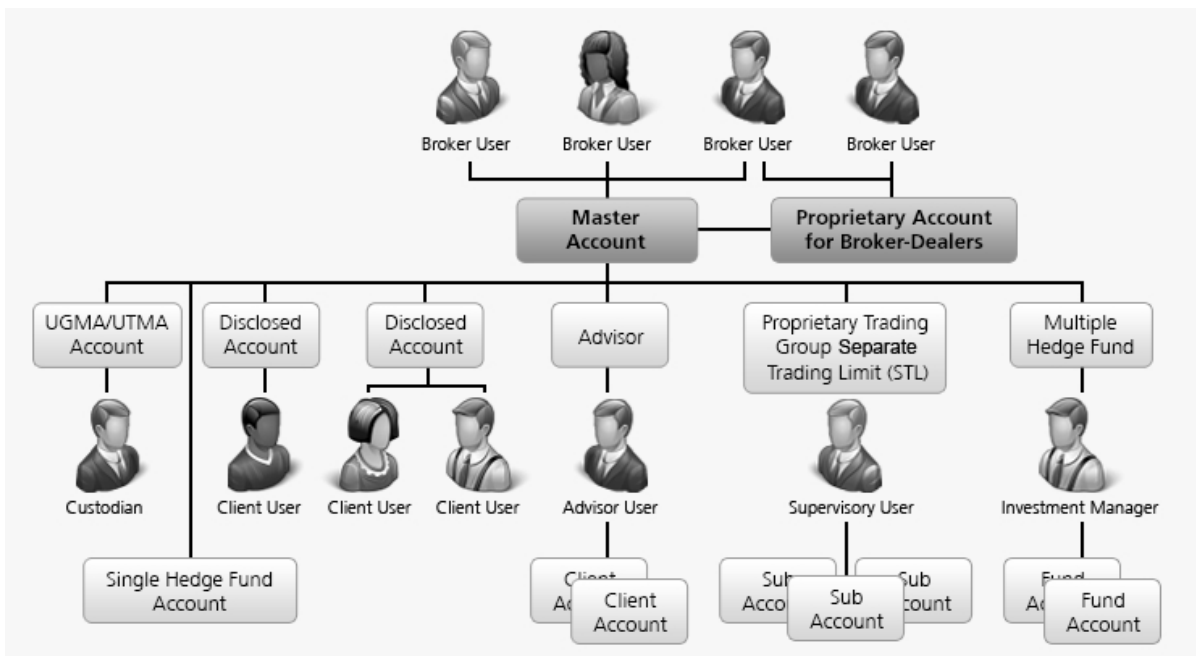
## Registered Advisor Account Structure

- » Advisors who manage client accounts in excess of state registration minimums (generally 16 or more accounts and US \$25 million in assets) must be registered under local regulatory law (e.g. Registered Investment Advisors (RIA) for US securities and Commodity Trading Advisors (CTA) for US commodities).
- » Advisor master account holders must be 21 or older.



## Fully Disclosed Broker Account Structure

- » Fully disclosed brokers provide their clients with customer service and marketing. Broker clients can electronically trade or the broker may input trades for the client.
- » Fully disclosed brokers can open client accounts using fully electronic or semi-electronic applications.
- » Fully disclosed brokers can add Advisor, Proprietary Trading Group STL and Multiple Hedge Fund master accounts to their broker account structure. Each Advisor, Proprietary Trading Group STL and Multiple Hedge Fund master account holder can add client, sub and hedge fund accounts as required.
- » Brokers can trade for themselves in the Proprietary Account for Broker-Dealers.
- » All fees, commission and interest owed to the broker are first sent to the broker's Master account and then swept nightly to the Proprietary Account for Broker-Dealers.



## Differences Between the Master Account and the Proprietary Account for Broker-Dealers

As a Fully Disclosed Broker, you will have two IB accounts in your name:

- » The Master Account, whose Account ID begins with an "I" prefix. Use this account to add client accounts and link existing client accounts. You can fund this account and can perform the tasks described [here](#).
- » The Proprietary Account for Broker-Dealers, which is used for the your own proprietary trading, as well as the collection of client fees, commissions and interest owed to you. The account ID for this account begins with a "U" prefix.

### Apply Online - Registered Advisors

The following steps summarize how to open an Interactive Brokers Registered Advisor account from our website.

#### 1. Begin the Advisor Electronic Application

From our website home page, click **OPEN AN ACCOUNT**, then click **Registered Advisor**, and then click **START APPLICATION**. This opens a new online application for a Registered Advisor master account.

You will be required to create a username and password at the beginning of the online application. This ensures that all of the information that you submit is secure. Record your login information; you will need it to access your saved applications and your live account once it has been approved. In many cases, the information provided electronically during the application is sufficient. However, we may require additional documentation.

#### 2. Open Trading Account

During the master account application process, you will be asked if you would like to open a trading account for your own personal trading. If you choose to create a trading account at this time, you will be guided through a number of screens related to its creation. Since this trading account will be permanently associated with your master account, we will reuse information from the master

account application to eliminate the need for duplicate entry. Your master account is only used for placing trades on behalf of your clients, fee processing, collecting fees from clients, and paying fees to IB.

### 3. Fund Your Account

- Master Account - While you are not required to fund the master account, we highly recommend that funds equivalent to approximately six months worth of anticipated charges are placed into the account. If you do not have enough funds to cover your fees, market data and trading privileges may be suspended.
- Trading Account - If you have chosen to create a trading account, funds you intend to use for your own trading should be sent directly to this account. All deposits made are subject to certain hold periods. This applies to internal transfers as well as withdrawals. Advisors who fund their master account intending to internally transfer to their trading account will only be able to do so after the applicable hold period expires.

#### Funding Methods

IB offers a variety of methods which can be used to fund your trading account:

- Check\* (with your deposit instruction form, or your account number written on the check)
- Wire (call or visit your bank to initiate)
- Electronic Funds Transfer (ACH)

The following methods can be used to fund client accounts but CANNOT be used to fund your master account.

- Broker-to-Broker Transfer (ACATS/ATON)
- Futures Transfer
- Foreign Asset Transfer
- IB Internal Transfers

\*Checks or bank drafts are not available for IB Canada customers.



**Note:** Any deposit instruction submitted for accounts that have not been funded 45 days from approval will be closed.

#### 4. Application Review and Results

To ensure that you have completed all of the initial tasks required in the application process, you can log back into your application and review your entries and status. Click **OPEN ACCOUNT > Finish an Application** from our website menu. Only those applicants who have completed all required portions of the application will have their applications considered for review.

Fully completed applications are generally processed within 48 hours. You will be notified by email and through the Customer Service Message Center inside Account Management if any additional information is required.

#### 5. Trading Account

If you chose to open a Trading Account during the master account application process, you will be able to begin trading once funds have been deposited into the Trading Account. In order to prevent potential delays in having funds credited to your account, we recommend that you deposit all funds for your own trading directly into the Trading Account. Funds received by 16:00 ET are available for trading the next business day under normal business circumstances. View the current status of your deposit or transfer in Account Management by clicking **Funding > Transaction History**.

#### 6. Submit an Application for Each Client

You can initiate account applications for your clients in one of two ways: electronically or semi-electronically with paper signature. Both methods are accessible from Account Management.

- [Fully Electronic](#) (for fastest processing) - You send an invitation to your client, who completes an electronic application online.
- [Semi-Electronic](#) with paper signature - You and your client complete an electronic application online. At the end of the process, you print the application for your client to review and complete the deposit instructions and the security questions and answers section. The client then signs the application and sends it to IB Account Processing.

You can also create [client account templates](#) in Account Management to save and re-use application information for new client accounts.



You can log into Account Management at any time to see the status of your clients' applications. Advisors who want to open additional accounts for themselves at a later time must use one of the three methods listed above.

### **7. Client Account Funding**

IB offers the same funding methods for client accounts. If we do not receive your client funds in 45 days from approval the account will be closed.

- Check\* (with your deposit instruction form, or your account number written on the check)
- Wire (call or visit your bank to initiate), as specified in your deposit instructions to IB
- Electronic Funds Transfer (ACH)
- Broker-to-Broker Transfer (ACATS/ATON)
- Futures Transfer
- Foreign Asset Transfer
- IB Internal Transfers

\*Checks or bank drafts are not available for IB Canada customers.

### **8. Client Application Review and Results**

As the Advisor, you will be notified by email and through the Customer Service Message Center inside Account Management of the results of your client's application. IB will also notify your clients via postal mail of these results. Clients whose accounts have been approved will receive a welcome letter which contains instructions on how to access their accounts.

### **9. Trade Client Account**

Once your client funds his or her account and the funds have been credited, you may begin to trade. Funds received by 16:00 ET are available for trading the next business day under normal business circumstances. View the current status of deposits or transfers in Account Management by clicking **Funding > Transaction History**.

### **10. Add Money Managers (optional)**

Advisors who function as Wealth Managers select registered Money Managers and assign client accounts to them for trading purposes. Select Money Managers on the [Money Managers](#)

[Assignment](#) page in Account Management. After you select Money Managers, assign client accounts to them, set client trading permissions and set client fees.

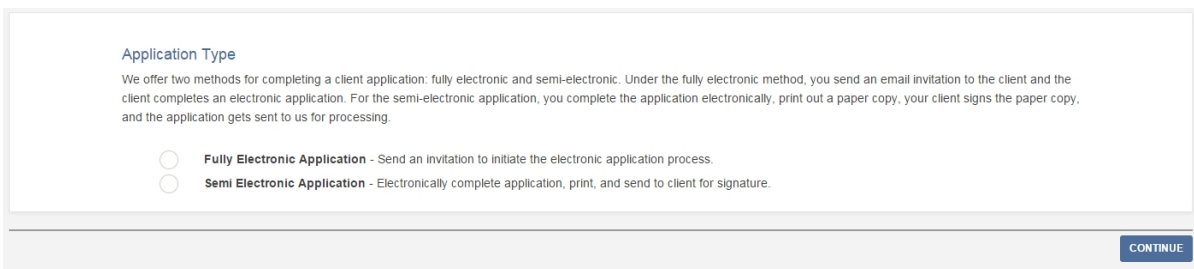
Visit the [Investors' Marketplace](#) on our website or inside Account Management to search for and contact Money Managers.

## Electronic Advisor Client Applications

If you are an Advisor Master User, you can send an email invitation to your client, who then completes an account application electronically.

### To send an invitation to a client to start an electronic application

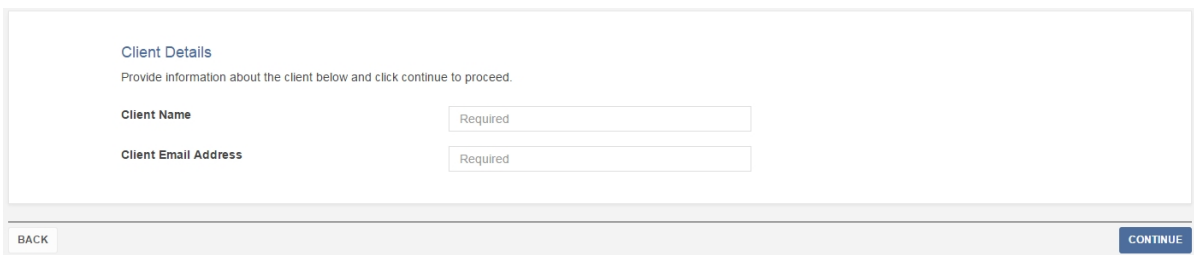
1. From the Contacts tab in the CRM home dashboard click the document icon **Send Application Invite**.



The screenshot shows a form titled "Application Type". Below the title is a paragraph of text: "We offer two methods for completing a client application: fully electronic and semi-electronic. Under the fully electronic method, you send an email invitation to the client and the client completes an electronic application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing." Below this text are two radio button options: "Fully Electronic Application - Send an invitation to initiate the electronic application process." and "Semi Electronic Application - Electronically complete application, print, and send to client for signature." At the bottom right of the form is a blue "CONTINUE" button.

2. Click **Fully Electronic Application**, then Continue.

The Advisor Client Invitation page opens.



The screenshot shows a form titled "Client Details". Below the title is a paragraph of text: "Provide information about the client below and click continue to proceed." Below this text are two input fields: "Client Name" and "Client Email Address". Both fields have a "Required" label next to them. At the bottom left of the form is a "BACK" button, and at the bottom right is a blue "CONTINUE" button.

3. Enter the client's name and email address
4. If the advisor has account representatives configured, optionally assign to the client.
5. Select the type of fees for the client:

- **No Fee** - An advisor chooses not to charge his or clients a fee for services rendered.
- **Automatic billing** - A calculated fee is automatically billed to the client's account with blanket client authorization. Be aware that Automatic Billing is subject to certain caps and limitations.

Advisors can choose one of several client fee methods:

- Annualized Percentage of Net Liquidation Value
- Annualized Flat fee
- Percent of Profit and Loss (P&L)
- Fee per trade unit
- Monthly/Quarterly Invoicing - Advisors can submit electronic invoices for client fees. Invoices can be submitted for up to ten clients at a time, but only one invoice can be submitted per client account per day. Advisors can also upload a .csv file that contains multiple client invoices.

[Click here for automatic billing examples.](#)

- **Direct billing** - The Advisor bills the client directly. We will not remove funds from the client's account.

Regardless of the method chosen, advisors determine the fees at the time of the client's registration, and can modify them at any time. Advisor clients are required to acknowledge any fee increase with a signature.

In addition to the advisor client fees specified, clients will be charged a fee per trade commission for execution and clearing services provided by us.

6. Click **Continue**.

**Invitation Review**  
Review the information below and click continue to submit the invitation.

**Invitation Type** Fully Electronic Application

**Client Name** Jason Terranova

**Client Email Address** jterrano@mail.timberhill

**Advisor Fees**

**Annualized Percentage of Net Liquidation**

**Type** Fixed

**Applied** Dally

**Amount** 25 %

**Charge to Advisor**

**Commissions** No

**Other Fees** No

**Account Representatives**

Representative	Allocation %
c c	100

Would you like this information to be visible on the client's statement?

7. Review the invitation information, then click **Continue**.

An email is sent to the client, inviting him or her to complete an account application electronically.

## Semi-Electronic Advisor Client Applications

If you are an Advisor Master User you can add an account using a semi-electronic application.

### To start a semi-electronic application

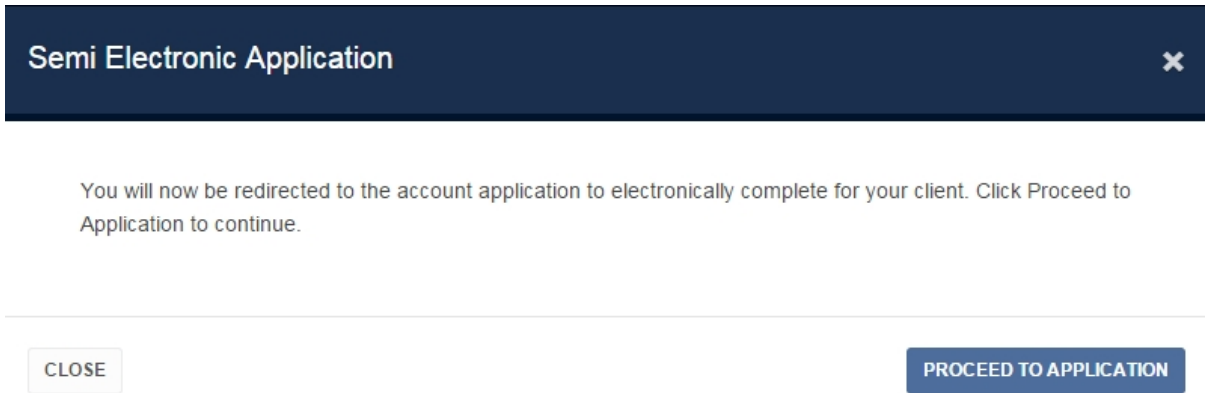
1. From the Contacts tab in the CRM home dashboard click the document icon **Send Application Invite**.

**Application Type**

We offer two methods for completing a client application: fully electronic and semi-electronic. Under the fully electronic method, you send an email invitation to the client and the client completes an electronic application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing.

**Fully Electronic Application** - Send an invitation to initiate the electronic application process.

**Semi Electronic Application** - Electronically complete application, print, and send to client for signature.



2. Select Semi Electronic Application type, then click **Proceed To Application**.

The first page of the electronic registration system appears.

The screenshot shows the InteractiveBrokers "Application" page. The header includes the InteractiveBrokers logo, the word "Application", and a language selector set to "English". The main content area contains three sections: "Email Address" with a required text input field; "Register Your Username" with a required text input field and a list of validation rules: "Length of 8 or 9 letters and numbers", "Contain at least 3 letters and 3 numbers", "Begin with a letter", and "Lower case only, no spaces, no special characters"; and "Country/Region" with a dropdown menu for "Residential Country" and a checkbox labeled "NO" for "Is your country of legal residence different than the country above?". A right-hand sidebar contains a language selector, "IBot FAQ" with a "ASK IBOT FAQ" button, and "Call Us" with contact information: "Monday - Friday", "+81 (3) 4588 9710", and "+81 (3) 4588 9700". A "SAVE & CONTINUE" button is located at the bottom right of the page.

4. Follow the instructions on the screen to complete the electronic application. Your progress during the process is displayed in the left pane, showing you the steps you have completed and the steps you have yet to complete.
5. When you have completed the electronic application process, print the completed application and send it to your client for his or her signature.

## Advisor Client Account Templates

Client account templates let you save and reuse application information for new client accounts. You can [create](#), [modify](#) and [delete](#) client account templates. When you add client accounts from within Account Management, you will have the option of selecting a saved client account template, which will automatically complete portions of the client account application.

### To create an advisor client account template

1. Log in to Account Management, and then **click Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click **Create**.

The screenshot shows the 'Client Account Templates' page. At the top, there is a title 'Client Account Templates' and a descriptive paragraph: 'Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.'

Below the description, there are two main sections for form input:

- Pick template:** A dropdown menu with 'Create...' selected.
- New template name:** A text input field with a red border.

Below these, there are four more dropdown menus:

- Customer Type:** 'Organization' selected.
- Base Currency:** 'Choose One' selected.
- Funding Type:** 'Any' selected.
- Margin:** 'Choose One' selected.

The 'Products' label is visible at the bottom of the form area but has no associated input field shown.

3. In the new Template name field, type the name of the template.
4. In the Customer Type list, select a customer type (*Individual, Joint, IRA, Trust or Organization*).
5. In the Base Currency list, select the base currency for the client account.
6. In the Funding Type list, select the type of deposit that will be used to fund client accounts using this template.

7. In the Margin list, select the type of margin account (*Reg T* for a Reg T Margin account, *Cash* for a Cash account, *Portfolio* for a Portfolio Margin account or *Guaranteed Dollars and/or Cash Collateral*).

The following screen displays the available Trading Permissions for the selected Margin account type.

### Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template:

New template name:

Customer Type:

Base Currency:

Funding Type:

Margin:

Products:

Country	Check All	Stocks	Bonds	Options	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-
United States (Algorithmic Execution Venue)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States <a href="#">example</a> (Stock Yield Enhancement Program)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-



8. Select the trading permissions by clicking the appropriate check boxes, then click Continue.



**Note:** You use this screen the same way you use the Trading Permissions page in the Manage Account > Trade Configuration > Permissions menu.

9. Complete the Investment Objectives and Intended Purpose of Trading, Investment Experience and Financial Information sections on the next page.

You can skip any individual section on this page by clicking the **Skip** button, or you can omit all of this information from the client account template by clicking **Skip All** at the bottom of the page.

Click **Continue** to go to the next page, **Back** to go back to the previous page or **Delete** to delete the current template.

### Investment Objectives and Intended Purpose of Trading (Optional)

<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Income
<input type="checkbox"/> Growth	<input type="checkbox"/> Trading Profits
<input type="checkbox"/> Speculation	<input type="checkbox"/> Hedging

[Skip](#)

Please provide trading experience for each product below, the product listed below are based on the permissions you selected on the previous page. Click the Back button if you need to make any changes.

### Investment Experience (Optional)

	Years Trading	Trades Per Year	Knowledge Level
Stocks	1 <input type="text"/>	> 100 <input type="text"/>	Good <input type="text"/>

[Skip](#)

### Financial Information (Optional)


Enter only numbers and no commas, dollar signs, decimals, or cents.

Net Worth <small>(exclusive of residence)</small>	< 20,000 <input type="text"/>	USD
Liquid Net Worth	< 20,000 <input type="text"/>	USD
Annual Net Income	< 40,000 <input type="text"/>	USD
Total Assets	< 20,000 <input type="text"/>	USD

[Skip](#)

[← Back](#)
[✖ Delete](#)
[Skip All →](#)
[Continue →](#)

10. Select the advisor fee methodology (No Fee, Automatic Billing, or Direct Billing) by clicking the appropriate radio button, then click Continue.

 **Note:** This page is identical to the Client Fees page for advisors in the Manage Clients > Fees > Configure menu.

11. Verify that all the information in the client template is correct, then click **Save**.

If any information is incorrect, click **Back**, then modify the information as required and click **Continue** until you return to the verification page.

When you begin the process of adding a new client account, you will be able to select your saved client account template.

#### To modify an existing client account template

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to modify.
3. Make changes as required, clicking **Continue** to advance through the pages.
4. Verify that all the information in the client template is correct, then click **Save**.

#### To delete an existing client account template

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to delete.
3. Click **Delete**, then click **OK**.

The template is deleted.

## Apply Online - Fully Disclosed Brokers

The following steps summarize how to open an Interactive Brokers Fully Disclosed Broker account from our website.

### 1. Begin the Broker Electronic Application

From our website home page, click **OPEN AN ACCOUNT**, then click **Broker**, and then click **START APPLICATION**. This opens a new online application for a Broker master account.

You will be required to create a username and password at the beginning of the online application. This ensures that all of the information that you submit is secure. Record your login information; you will need it to access your saved applications and your live account once it has been approved. In many cases, the information provided electronically during the application is sufficient. However, we may require additional documentation.

### 2. Submit Financial, Disciplinary and Identification Documents

US regulators require that Interactive Brokers receive and review certain financial, disciplinary and identification documents from its brokers before approving the account. These documents will be

requested during the application process or by your IB sales representative. All documents should be forwarded to the addresses listed on the [Contact Us > Fax/Postal](#) page on the IB website.

### 3. Fund Your Account

Your broker account consists of multiple accounts at different levels, and can include multiple users who have permissions to manage one or multiple accounts. The master account is used for the billing of market data and research subscriptions for your own trading. The Proprietary Account for Broker-Dealers is used to collect client fees and other funds owed to the broker, credit a client account, and proprietary trading for the broker.

#### Funding Methods

IB offers a variety of methods which can be used to fund your account:

- Check\* (with your deposit instruction form, or your account number written on the check)
- Wire (call or visit your bank to initiate)
- Electronic Funds Transfer (ACH)

The following methods can be used to fund client accounts but CANNOT be used to fund your master account.

- Broker-to-Broker Transfer (ACATS/ATON)
- Futures Transfer
- Foreign Asset Transfer
- IB Internal Transfers

\*Checks or bank drafts are not available for IB Canada customers.

All deposits made are subject to certain [hold periods](#). To prevent any delays in the funding of your account, we strongly recommend that you complete the funding portion of your account application.

### 4. Application Review and Results

To ensure that you have completed all of the initial tasks required in the application process, you can log back into your application and review your entries and status. Click **OPEN ACCOUNT > Finish an Application** from our website menu. Only those applicants who have completed all required portions of the application will have their applications considered for review.

If you will be introducing securities trades, IB is required to submit your application to the New York Stock Exchange for approval. This process generally takes 2-3 weeks.

## 5. Trade

If we have received your funds you may begin to trade in the master account. Funds received by 16:00 ET are available for trading the next business day under normal business circumstances. View the current status of your deposit or transfer in Account Management by clicking **Funding > Transaction History**.

## 6. Open Client Accounts

You can initiate account applications for your clients in one of two ways: electronically or semi-electronically with paper signature. Both methods are accessible from Account Management.

- [Fully Electronic](#) (for fastest processing) - You send an invitation to your client, who completes an electronic application online.
- [Semi-Electronic](#) with paper signature - You and your client complete an electronic application online. At the end of the process, you print the application for your client to review and complete the deposit instructions and the security questions and answers section. The client then signs the application and sends it to IB Account Processing.

You can also create [client account templates](#) in Account Management to save and re-use application information for new client accounts.

You can log into Account Management at any time to see the status of your clients' applications.

## 7. Clients Fund Their Own Accounts

IB offers the same funding methods for client accounts. If we do not receive your client's funds in 45 days from approval the account will be closed.

- Check\* (with your deposit instruction form, or your account number written on the check)
- Wire (call or visit your bank to initiate), as specified in your deposit instructions to IB
- Electronic Funds Transfer (ACH)
- Broker-to-Broker Transfer (ACATS/ATON)
- Futures Transfer

- Foreign Asset Transfer
- IB Internal Transfers

\*Checks or bank drafts are not available for IB Canada customers.

## 8. Client Application Review and Results

You and your clients can view the application review results by logging in to Account Management (clients log in with their own account credentials).

## 9. Client Trading

If we have received funds for your client, they may begin to trade. Funds received by 16:00 ET are available for trading the next business day under normal business circumstances. You and your clients can view the current status of deposits or transfers in Account Management by clicking **Funding > Transaction History** (clients log in with their own account credentials).

# Electronic Broker Client Applications

As a Broker with an Interactive Brokers Advisor account, you can send email invitations to your fully disclosed clients, who then complete their account applications completely electronically.

### To send an invitation to a client to start an electronic application

1. Log in to Account Management, and then click **Manage Clients > Create and Link Accounts > Create > New**.

The Add Client Account page opens.

**Add Client Account**

We offer two methods for completing a client application; fully electronic and semi-electronic. Under the fully electronic method, you send an email invitation to the client and the client completes an electronic application. For the semi-electronic application, you complete the application electronically, print out a paper copy, your client signs the paper copy, and the application gets sent to us for processing.

Fully Electronic Application	(Send an invitation to initiate the electronic application process for a client.)	<b>Client Invitation</b> ➔
Semi Electronic Application	(Electronically complete client application, print, and send to client for signature.)	<b>Electronic Client Application</b> ➔

2. Click **Client Invitation** for a Fully Electronic Application.

The Broker Client Invitation page opens.

**Broker Client Invitation**

In order to initiate an electronic client application, please complete the following step so that we may provide a client invitation.

**Broker Client Information**

Name of Applicant:

Email of Applicant:

Optionally, pick a template for the client account:

Use the predefined IB FastTrack Template for your clients to complete a **short** IB account application to trade stocks in one geographic location (your country of legal residence). Add more products and markets after your client's account has been activated.  
What is included in a FastTrack Template?

Optionally, pick a Registered Representative for the client account:

**Continue** →

3. Enter the name and email address of the applicant, then click **Continue**.
4. If you have created and saved a client account template, select it from the Client Account Templates list. Client account templates include a selected fee methodology, so you don't have to specify fees if you use a client account template. This field does not appear if you do not have any saved client account templates.
5. Optionally, select a Registered Representative for the client account from the drop-down. A Registered Representative is a person who manages the relationship between a broker and his or her client(s). For more information, see [Registered Representatives](#) in the Account Management Users' Guide.

A confirmation page opens to inform you that the invitation has been sent to the applicant's email address.

6. Click **Continue**.

An email is sent to the client, inviting him or her to complete an account application electronically.

## Semi-Electronic Broker Client Applications

As a Broker with an Interactive Brokers account, you can add a fully disclosed client account using a semi-electronic application. For this type of application, you complete the application electronically, print out a paper copy for the client to sign, then send the signed application to us for processing.

### To start a semi-electronic application

1. Log in to Account Management, and then click **Manage Clients > Create and Link Accounts > Create > New**.

The Add Client Account page opens.



2. Click **Electronic Client Application**.
3. Select the type of client account you wish to open, then click **Continue**
4. The first page of the client application opens.
5. Follow the instructions on the screen to complete the electronic application.
6. When you have completed the electronic application process, print the completed application and send it to your client for his or her signature.

## Broker Client Account Templates

Client account templates let you save and reuse application information for new client accounts. You can [create](#), [modify](#) and [delete](#) client account templates. When you add client accounts from within Account Management, you will have the option of selecting a saved client account template, which will automatically complete portions of the client account application.

### To create an advisor client account template

1. Log in to Account Management, and then **click Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click **Create**.



**Client Account Templates**

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

Pick template:

New template name:

Customer Type:

Base Currency:

Funding Type:

Margin:

Products:

3. In the new Template name field, type the name of the template.
4. In the Customer Type list, select a customer type (*Individual, Joint, IRA, Trust or Organization*).
5. In the Base Currency list, select the base currency for the client account.
6. In the Funding Type list, select the type of deposit that will be used to fund client accounts using this template.
7. In the Margin list, select the type of margin account (*Reg T* for a Reg T Margin account, *Cash* for a Cash account, *Portfolio* for a Portfolio Margin account or *Guaranteed Dollars and/or Cash Collateral*).

The following screen displays the available Trading Permissions for the selected Margin account type.

### Client Account Templates

Use this page to create client configuration templates for new client accounts. Client configuration templates let you re-use client information, including customer type, base currency and trading permissions, in multiple client account applications without having to re-enter the information in every application.

---

Pick template: Create... ▾

New template name:

---

Customer Type: Organization ▾

Base Currency: Choose One ▾

Funding Type: Any ▾

Margin: Choose One ▾

Products:

Country	Check All	Stocks	Bonds	Options	Mutual Funds	FX Trading	FX Conversion
Global	<input type="checkbox"/>	-	-	-	-	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Australia	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Austria	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Belgium	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Canada	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
France	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Germany	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Hong Kong	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Italy	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Japan	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Mexico	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Singapore	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Spain	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Sweden	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
Switzerland	<input type="checkbox"/>	<input type="checkbox"/>	-	<input type="checkbox"/>	-	-	-
The Netherlands	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United Kingdom	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	-	-
United States (Algorithmic Execution Venue)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-
United States <a href="#">example</a> (Stock Yield Enhancement Program)	<input type="checkbox"/>	<input type="checkbox"/>	-	-	-	-	-

← Back
Continue →

8. Select the trading permissions by clicking the appropriate check boxes, then click Continue.



**Note:** You use this screen the same way you use the Trading Permissions page in the Manage Account > Trade Configuration > Permissions menu.

9. Complete the Investment Objectives and Intended Purpose of Trading, Investment Experience and Financial Information sections on the next page.

You can skip any individual section on this page by clicking the **Skip** button, or you can omit all of this information from the client account template by clicking **Skip All** at the bottom of the page.

Click **Continue** to go to the next page, **Back** to go back to the previous page or **Delete** to delete the current template.

**Investment Objectives and Intended Purpose of Trading (Optional)**

<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Income
<input type="checkbox"/> Growth	<input type="checkbox"/> Trading Profits
<input type="checkbox"/> Speculation	<input type="checkbox"/> Hedging

[Skip](#)

Please provide trading experience for each product below, the product listed below are based on the permissions you selected on the previous page. Click the Back button if you need to make any changes.

**Investment Experience (Optional)**

	Years Trading	Trades Per Year	Knowledge Level
Stocks	1 ▾	> 100 ▾	Good ▾

[Skip](#)

**Financial Information (Optional)**

Enter only numbers and no commas, dollar signs, decimals, or cents.

Net Worth <small>(exclusive of residence)</small>	< 20,000 ▾	USD
Liquid Net Worth	< 20,000 ▾	USD
Annual Net Income	< 40,000 ▾	USD
Total Assets	< 20,000 ▾	USD

[Skip](#)

[← Back](#)
[✖ Delete](#)
[Skip All →](#)
[Continue →](#)


10. If you chose any Customer Type other than Organization, the next page that opens lets you select the market data subscriber status (Non-Professional or Professional). Click I agree in two places if you selected Non-Professional, then click Continue.
11. Select news and market data subscriptions for the client templates by clicking the appropriate check boxes, then click Continue.

Pick template: BrokerClientTemplate ▾

Separate Data Services	Monthly Fee	Subscribe
- CUSIP (P)	2.00 USD	<input type="checkbox"/>
- Reuters Fundamentals ( <a href="#">explain</a> )	55.00 USD	<input type="checkbox"/>
- Reuters Basic Newsfeed ( <a href="#">explain</a> )	65.00 USD	<input type="checkbox"/>
- Wall Street Horizons ( <a href="#">explain</a> )	20.00 USD	<input type="checkbox"/>
- Marketwatch Research ( <a href="#">explain</a> )	Free	<input checked="" type="checkbox"/>

REGION/EXCHANGE	COUNTRIES	PRICE	
<b>North America</b>			
US Cmnty (P) ( <a href="#">explain</a> )	United States	Subject to Waiver ( <a href="#">explain</a> )	<input type="checkbox"/>
AMEX (P,L1) ( <a href="#">explain</a> )	United States	30.20 USD	<input type="checkbox"/>
AMEX Options (P,L2)	United States	60.00 USD	<input type="checkbox"/>
ArcaBook Eqty. (P) ( <a href="#">explain</a> )	United States	Free	<input type="checkbox"/>
ArcaBook Opt. (P,L2) ( <a href="#">explain</a> )	United States	60.00 USD	<input type="checkbox"/>

 **Note:** This page is identical to the Market Data Subscriptions page in the Manage Clients > Fees > Configure menu.

12. Enter the client fees on a fee-per-trade basis and interest markups and markdowns that will be associated with this client account template, then click Continue.
13. Verify that all the information in the client template is correct, then click Save.
  - If any information is incorrect, click **Back**, then modify the information as required and click **Continue** until you return to the verification page.

When you begin the process of adding a new client account, you will be able to select your saved client account template.

**To modify an existing client account template**

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to modify.
3. Make changes as required, clicking **Continue** to advance through the pages.
4. Verify that all the information in the client template is correct, then click **Save**.

**To delete an existing client account template**

1. Click **Manage Clients > Create and Link Accounts > Create > Client Account Templates**.
2. In the Pick template list, click the existing template you want to delete.
3. Click **Delete**, then click **OK**.

The template is deleted.

## Manage Registration Tasks for Client Accounts

We give Advisors and Fully Disclosed Brokers several ways to manage and track the progress of client account applications in the Dashboard in Account Management:

- » [Download a list of outstanding registration tasks for all pending client accounts to Microsoft Excel.](#)
- » [View all registration tasks.](#)
- » [Generate a PDF version of the account application.](#)
- » [Delete a pending client account application.](#)

Fully Disclosed Brokers can also:

- » [Approve or reject pending client applications and pending client options trading permissions.](#)
- » [View application and options trading approvals for all accounts.](#)
- » [See which user deleted client account applications.](#)

Advisors can also:

- » [View pending items for all client accounts.](#)

## The Dashboard

Use the Dashboard in Account Management to quickly and easily access information about your clients and their account applications, and drill down to view and manage information for individual client accounts.

Both Advisors and Brokers can use the Dashboard to:

- » View a list of all client accounts.
- » View recent activity for the past five days for all client accounts.
- » Search for and sort client accounts by account title, account type, account number, username or account alias.
- » Filter all client accounts by account status.
- » Download a list of outstanding registration tasks for all pending client accounts to Microsoft Excel.
- » Download information about all client accounts to Microsoft Excel.
- » Drill down to view complete details of and perform editing and reporting tasks for each client account.

In addition, Advisors and Brokers can each perform additional tasks in the Dashboard.



**Note:** For more detailed information about the Dashboard, see [Dashboard](#) in the Account Management Users' Guide.

---

Here is a typical Advisor Dashboard:

**Dashboard** Registration Tasks Client Accounts

Accounts Pending Items 8 Recent Activity 0

Smart Search:   Status:

Account Title	Account Type	Account Number	Username	Account Alias	Status
Applicant 00100000	Advisor	000000	000	--	Open
IBLLC Applicant 00100000	Individual	000001	000001	--	Closed
IBLLC Applicant 00100000	Individual	000002	000002	--	Closed
IBLLC Applicant 00100000	Individual	000003	000003	000003	Open
IBLLC Applicant 00100000	Individual	000004	000004	--	Closed
Applicant 00100000	Advisor	000005	000005	000005	Open
IBLLC Applicant 00100000	Joint	000006	000006	000006	Closed
Applicant 00100000	Individual	000007	000007	000007	Open
Applicant 00100000	Individual	000008	000008	--	Open
Applicant 00100000	Organization	000009	000009	--	Closed
Applicant 00100000	Individual	000010	000010	--	Closed
Applicant 00100000	Individual	000011	000011	--	Closed
IBLLC Applicant 00100000	Individual	000012	000012	--	Closed
IBLLC Applicant 00100000	Individual	000013	000013	--	Rejected
--	Individual	000014	000014	--	Pending
000015	Individual	000015	000015	--	Pending
--	Individual	000016	000016	--	Pending
--	Organization	000017	000017	--	Pending
000018	Individual	000018	000018	--	Pending
000019	Individual	000019	000019	--	Pending



Here is a typical Broker Dashboard:

**Dashboard** Registration Tasks Client Accounts

Accounts Recent Activity 0

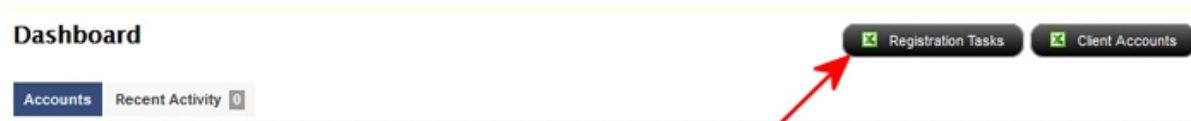
Smart Search:   Status:  Page  of 17

Account Title	Account Type	Account Number	Username	Account Alias	Status	Approval Status
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Organization			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval
IBLLC Applicant	Individual			--	Pending	Ready for approval

## To download a list of outstanding registration tasks for all pending client accounts to Microsoft Excel

You can download an Excel spreadsheet (.xls file) that includes all registration tasks for your pending client or fund accounts (i.e., all tasks related to the opening of all of your pending client or fund accounts). The Excel file shows the Account ID, tasks and current status of each tasks for all pending client or fund accounts.

1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
2. Click the **Registration Tasks** button located at the top right of the screen.



3. You will be prompted to open or save a Microsoft Excel worksheet. Save the file to your computer.

### To view all registration tasks for a specific client account

1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
2. Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page for that client.
3. At the bottom of the Client Account Details page, click the **Registration Tasks** button.
4. A popup showing all registration tasks for the client or fund account opens. Click the red **X** in the upper right corner to close the popup.

When viewing registration tasks, Fully Disclosed Brokers can also view supporting documents sent by a client and received by us.

Online tasks to be completed	
Registration Task	Status
Account Configuration	Completed On 16 Mar 2015
Customer Agreement (v2)	Completed On 16 Mar 2015
Customer Financial Info	Completed On 20 Mar 2015
E-mail Confirmation	Completed On 16 Mar 2015
Funding Notification	Completed On 16 Mar 2015
Individual Regulatory Info	Completed On 16 Mar 2015
Legal Acknowledgement	Completed On 16 Mar 2015
Sole Holder Name/Address	Completed On 16 Mar 2015
Sole Holder Personal Info	Completed On 16 Mar 2015
Trading Control and Ownership Certification	Completed On 16 Mar 2015
Username/Account ID Confirmation	Completed On 16 Mar 2015
W9	Completed On 16 Mar 2015

Tasks that do not need client input		
Registration Task	Status	Details
Ofac Search for Mr. [Redacted] (Account Holder)	To be done	Pending other steps
Equifax report for Equifax for Mr. [Redacted] (Account Holder)	To Be Completed	Last Update on: 16 Mar 2015

### To generate a PDF version of a client's account application

From the Client Account Details page, you can also generate a PDF of the client or fund account application.

1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
2. Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page for that client.
3. At the bottom of the Client Account Details page, click the **Generate Client PDF** button.

A PDF file of the client application opens. You can print the application from the PDF.

### To delete a pending client account application

You can delete any pending client or fund account application from the Client Account Details page for the pending account.

1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
2. Select *Pending Applications* from the Status drop-down. The list of accounts updates to display only pending client accounts.
3. Click the desired account row to display the Client Account Details page.
4. Click the **Delete Application** button at the bottom of the page to open the application.
  - If you are sure you want to delete the account, click **Submit**.
  - If you change your mind and do not want to delete the application, click Back.

### To approve or reject pending client applications and client options trading permissions (Brokers only)

Fully Disclosed Brokers can approve or reject pending client applications and pending client options trading permissions if they have enabled Client Approvals. Use the Manage Clients > Settings > Client Approvals page in Account Management to enable or disable the approval of all client applications and options trading permissions for all clients. If you enable approval, all client applications and all client requests for options trading permissions must be approved by you before they are submitted to us.

1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
2. Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page for that client.
3. Click the **Accept or Reject Application** button at the bottom of the page.
4. In the popup window that opens, select *Yes* or *No* from the Approve drop-down, add an optional comment, and then click **Submit**.



**Note:** For more information about client approvals, see [Broker Client Approvals](#) in the Account Management Users' Guide.

### To view application and options trading approvals for all accounts (Brokers only)

Fully Disclosed Brokers can view application and options trading approvals in the Approvals column on the Dashboard if they have enabled Client Approvals. Use the Manage Clients > Settings > Client Approvals page in Account Management to enable or disable the approval of all client applications and options trading permissions for all clients. If you enable approval, all client applications and all client requests for options trading permissions must be approved by you before they are submitted to us.


1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
  - Approvals are marked with a small green check mark and show the username of the approver and the date of the approval.
  - Rejected applications and option trading requests are marked with a small red X along with the username of the rejecter and the date of rejection.



 **Note:** For more information about client approvals, see [Broker Client Approvals](#) in the Account Management Users' Guide.

### To see which user deleted a client account application (Brokers only)

1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
2. Select *Deleted Applications* from the Status drop-down. The list of accounts updates to display only deleted client applications.
3. Look at the Approval Status column to see the username of the person who deleted the application and the date on which the application was deleted.


 **Note:** You can also click the desired account row to open the Client Account Details page for the deleted account, where you can view the same information.

**To view pending items for all client accounts (Advisors only)**

1. Log in to Account Management, and then click **Manage Clients > Dashboard**.
2. Search or sort the account list to find the account of interest, and then click the account row to display the Client Account Details page.
3. Click the **Pending Items** tab to view all pending items for the account.

# White Branding

As a Professional Advisor or Broker, you can use your own banners for White Branding purposes. White Branding gives you the ability to display your own logos and company information on our registration system (account applications), Account Management, statements and PortfolioAnalyst, as well as emails, Trader Workstation, WebTrader, the TWS Users' Guide and our contract database. White Branding is a great marketing tool that will also give your customers the impression that you are offering a complete package of in-house trading tools and supporting products.

-  **Note:** When you white brand the Interactive Brokers Registration System (account application), you also white brand Account Management, statements and PortfolioAnalyst reports. You cannot white brand ONLY the account application and not Account Management, reports or PortfolioAnalyst.


## White Branding Rules

The following rules apply to white branding:

- » The main banner requires a 650 x 80 jpg or png image.
- » Images each need to be less than 50 KB in size.
- » Do not use the Interactive Brokers logo in your White Branding banner. IB cannot endorse any Advisor/Broker in any banner.
- » The IB Customer Agreement and any other agreement cannot be white branded.
- » IB disclosures or other documents cannot be white branded.

For more information, contact us at [whitebranding@interactivebrokers.com](mailto:whitebranding@interactivebrokers.com).

## How to Set Up White Branding

-  **Note:** This procedure assumes that you have already opened your Advisor or Broker Master account.

**To white brand Account Management, the Registration System and Statements**

1. Log into Account Management.
2. Click **Manage Account > Settings > White Branding**.
3. Click **White Branding ID** to open that section, then enter a White Branding ID from six to ten characters long including letters, numbers and underscore characters ( \_ ). You can change your White Branding ID at any time.

White Branding ID

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

4. Click **Submit**. Remember to update all your White Branding URLs with your new ID.
5. Click **Registration System, Account Management, Statements and PortfolioAnalyst** to open that section.



**Registration System, Account Management, Statements and PortfolioAnalyst**

Brokers and Professional Advisors can upload their own banners to Interactive Brokers to White Brand the IB Registration System, Account Management, Activity Statements and PortfolioAnalyst. The banner is a 650x80 jpg or png image. The images must be less than 50KB in size.

Do not use the Interactive Brokers logo in your White Branding banner. IB cannot endorse any Advisor/Broker in any banner.

Once you have uploaded your banners and completed the form below, your White Branded link will be: <https://www.clientam.com/sso/Login?partnerID=54629>.

**White Branding Name**

The White Branding name is a substitute for "Interactive Brokers LLC" on client account management and registration pages.

White Branding Name:

**Upload Banner**

Click the Upload File links to upload your banner images.

Account Management Banner: [view banner](#) Upload File (650x80 jpg OR png)

**Investor's Marketplace**

Hide Investor's Marketplace.

**Customer Service**

You can substitute IB's customer support links at the top of the Account Management menu with a link to your own customer service page by entering the URL to that page below (e.g. <http://www.yourcompany.com/customerservice.html>).

Hide IB Customer Service Tools:

Customer Service URL:

Click **Submit** to save your Registration System and Account Management Banner White Branding settings. The Registration System and Account Management will be White Branded the next time you or your client(s) log in (browser cache might have to be refreshed). Statements will be updated within 24 hours.

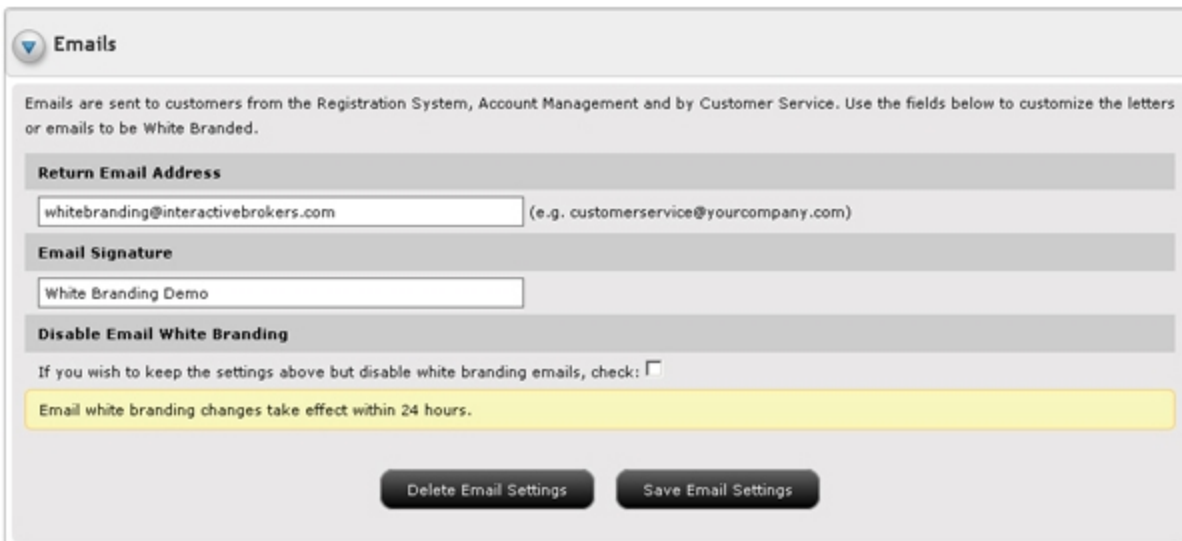
6. Follow the instructions on the screen to enter the required information:
- White Branding Name - Substitute "Interactive Brokers LLC" on client account management and registration pages with your own company name.
  - Upload Banner - Upload your own banner image to be used in the client account application, Account Management, statements and PortfolioAnalyst. The image must be a 650 x 80 pixel jpg or png file.
  - Hide Investors' Marketplace - Click the check box to hide Investors' Marketplace from your clients.
  - Customer Service - Substitute IB's customer support links at the top of the Account Management menu with a link to your own customer service page by entering the URL to that page in the field provided (e.g. <http://www.yourcompany.com/customerservice.html>). You can also choose to

hide the Customer Service Tools from your clients in Account Management by clicking the **Hide IB Customer Service Tools** check box.

7. Click **Submit**. Once you have uploaded your banners and completed the form, your White Branded link will be: **https://www.clientam.com/sso/Login?partnerID=XXX123** where XXX123 is your White Branding ID. This is the link that will appear in white branded client invitation emails.

Account Management and Registration System white branding takes effect the next time you or your client(s) log in (you may have to refresh your browser cache). Statement white branding takes effect within 24 hours.


8. Click **Emails** to open that section.



The screenshot shows the 'Emails' settings page. At the top, there is a dropdown menu with a blue arrow pointing down and the word 'Emails'. Below this is a grey header bar with the text: 'Emails are sent to customers from the Registration System, Account Management and by Customer Service. Use the fields below to customize the letters or emails to be White Branded.' The form contains three sections: 1. 'Return Email Address' with a text input field containing 'whitebranding@interactivebrokers.com' and a placeholder '(e.g. customerservice@yourcompany.com)'. 2. 'Email Signature' with a text input field containing 'White Branding Demo'. 3. 'Disable Email White Branding' with a checkbox that is currently unchecked. Below the checkbox is a yellow highlighted box with the text: 'Email white branding changes take effect within 24 hours.' At the bottom of the form are two buttons: 'Delete Email Settings' and 'Save Email Settings'.

9. Emails, including as your initial Client Account Invitation email, are sent from the Registration System to your clients (as well as from Account Management and Customer Service). Enter your return email address and an email signature in the fields provided, and then click **Save Email Settings**.

Email white branding changes take effect within 24 hours.

-  **Note:** You can disable email white branding if you do not want your own company banner to appear on emails to your clients. Click the **Disable Email White Branding** check box to do this.

**Next Step:** Click one of the following links to learn more about sending electronic account application invitations to your clients.

- » [Send Advisor Client Invitations](#)
- » [Send Broker Client Invitations](#)

## Additional White Branding Options

In addition to white branding our registration system (account application), Account Management, statements, PortfolioAnalyst and email, Advisors and Brokers can also white brand:

- » Trader Workstation
- » WebTrader
- » Trader Workstation Users' Guide
- » IB Contract Database

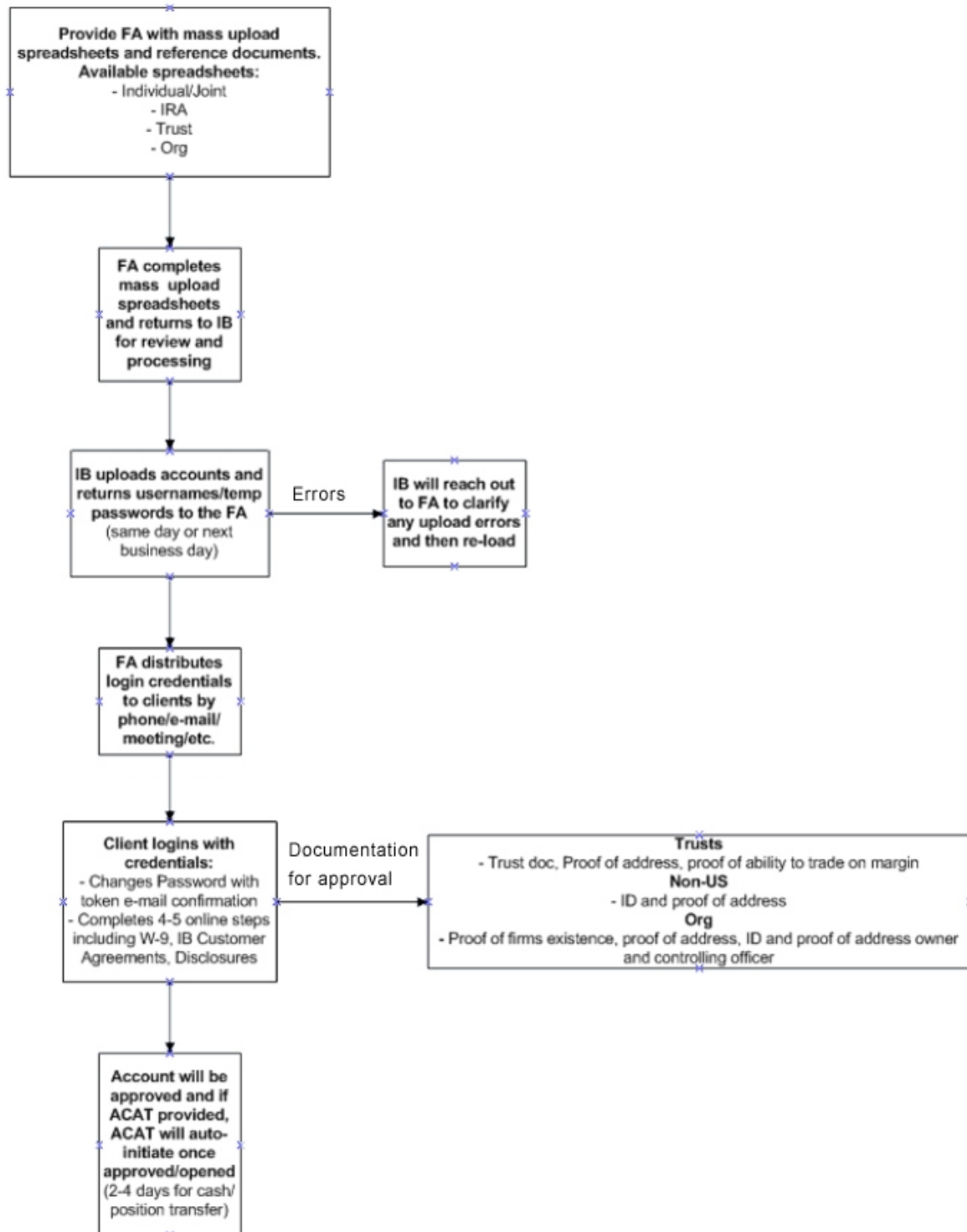
For detailed instructions, see [White Branding](#) in the Account Management Users' Guide.

# Mass Upload

We provide Advisors with the ability upload multiple client accounts to our system using a single Excel workbook. To do this, follow the simple steps below.

1. Contact your Sales Representative or send an email to [salesengineering@interactivebrokers.com](mailto:salesengineering@interactivebrokers.com) to request mass upload.
2. We will send you an Excel workbook and a link to this guide.
3. The Excel workbook allows you to enter information for multiple client accounts in a single file. The Excel file we send you has been divided into sections, with each section displayed on one or more worksheets to make it easier for you to enter the required information. The sections of the Excel workbook are:
  - [Individual Information](#)
  - [IRA Information](#)
  - [Joint Account Information](#)
  - [Trust Information](#)
  - [Country and Product Listings](#)
  - [Employment Nature of Business](#)
  - [List of Occupations](#)
  - [Exchanges](#)
4. When you have completed filling in all of your clients' information in the Excel workbook, submit it to your Sales Representative or send it to us at the email listed above.
5. Once we finish adding all of your clients' information into our system, we will send you a secure file listing all of their new IB account usernames and passwords. Have each client sign into their IB account applications by clicking **Continue or Finish Your Application** from the **OPEN ACCOUNT** menu on our website.
6. Each client should change his or her password and will complete several online steps.
7. Once all customer agreements, disclosures, required identity documents and account funding are completed for each client account, the accounts are approved.

The following diagram shows the steps in the mass upload process.



## Individual Information

The Excel workbook displays customer information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- » [Account Information Worksheet Fields](#)
- » [Customer Information Worksheet Fields](#)
- » [Mailing Address Worksheet Fields](#)
- » [Employment Information Worksheet Fields](#)
- » [Regulatory Information Worksheet Fields](#)
- » [Financial Information Worksheet Fields](#)
- » [Trading Permissions Worksheet Fields](#)
- » [W-9/W-8BEN Worksheet Fields](#)
- » [Advisor Wrap Fees Worksheet Fields](#)
- » [ACATS](#)
- » [ACH Instructions](#)

## Account Information Fields

Refer to the following table when completing the fields on the Account Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Email Address	Y	

Field Name	Required	Documentation
Prefix	Y	Prefix used to generate a username. <b>Must be five to six lowercase characters (alphabetical only).</b> Three random numbers will be appended to the prefix to generate the account user name.
Residence Country	Y	3 letter country ISO 3166-1 code (look up ISO codes <a href="#">here</a> )
Legal Residence State	Y	For US states, enter the 2 letter state abbreviation For non-US states, enter the 4 letter ISO 3166-2 code
Base Currency	Y	One of: USD, EUR, GBP, CAD, JPY, HKD, AUD, CHF, MXN, SEK, NZD, HUF, CZK, CNH, DKK, RUB, ILS, NOK, SGD, PLN, ZAR
Alias	N	Define an account alias.

Field Name	Required	Documentation
IRA Type	N (only required for IRA spreadsheet)	One of: <ul style="list-style-type: none"> <li>» Traditional</li> <li>» Traditional Rollover</li> <li>» SEP</li> <li>» Roth</li> <li>» Traditional Inherited</li> <li>» Roth Inherited</li> </ul> Note: Simple IRA is NOT supported.
SYEP	Y	Enrolls the account in the Stock Yield Enhancement Program. SYEP offers participating accounts the opportunity to earn additional income from fully paid shares by lending those shares to IB in exchange for on-lending to short sellers that are willing to pay to borrow them. More information can be found <a href="#">here</a> .



## Customer Information Worksheet Fields

Refer to the following table when completing the fields on the Customer Information and Second Holder Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique id to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account id at your firm.
Salutation	Y	One of: » Mr. » Mrs. » Ms. » Dr.
First name	Y	
Last name	Y	
Middle name	N	Include middle initial only.
Suffix	N	
Date of birth	Y	MM/DD/YYYY format.
Country of Birth	Y	
Gender	Y	Male or Female
Marital status	Y	One of: » Single » Married » Divorced » Widowed
Dependents	Y	0 through 5. Select 5 for 5 or more dependents.
Home street address	Y	P.O. boxes or "in care of" addresses not accepted.

Field Name	Required	Documentation
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	
Phone Number	Y	###-###-#### format.
Phone Type	Y	Mobile, Home or Work
Phone Country	Y	3-letter country code. ISO 3166-1 ( <a href="http://www.iso.org">http://www.iso.org</a> )
Country of citizenship	Y	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> ).
Tax Residence Country	Y	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> ).
Document type	Y	One of: <ul style="list-style-type: none"> <li>» SSN (for US) Digits only- ###-##-####.</li> <li>» Driver's License</li> <li>» Alien Identification Card</li> <li>» Passport</li> <li>» National Identity Card</li> </ul>
Tax Number	Y	
Margin	Y	One of: <ul style="list-style-type: none"> <li>» Margin</li> <li>» Portfolio Margin</li> <li>» Cash</li> </ul>
Market Data Status	N	Professional or Non professional. Defaults to Non professional.

## Mailing Address Fields

This section is optional and should only be completed for clients who have a mailing address different from the client's home address (e.g., P.O. Box).

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Mailing Street Address	Y	
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	

## Employment Information Fields

Refer to the following table when completing the fields on the Employment Information and Second Holder Employment Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

If this section is not completed, clients will be prompted to enter their employment information when logging in for the first time. This section cannot be partially filled in for a client. Client employment information must be entered completely or left completely blank

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Employment type	Y	One of:

Field Name	Required	Documentation
		<ul style="list-style-type: none"> <li>» Employed</li> <li>» Self-Employed</li> <li>» Retired</li> <li>» Unemployed</li> <li>» Student/Intern</li> <li>» At-Home Trader</li> <li>» Homemaker</li> </ul>
Occupation	Y	One of the occupations listed <a href="#">here</a> .
Name of employer	Y (if employed or self-employed)	
Nature of employer business/activities	Y (if employed or self-employed)	
Employer address	Y (if employed or self-employed)	P.O. boxes or "in care of" addresses not allowed.
City	Y (if employed or self-employed)	
State/Province	Y (if employed or self-employed)	ISO 3166-1 for 2-letter state codes ( <a href="http://www.iso.org">http://www.iso.org</a> )
Country	Y (if employed or self-employed)	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> )
Zip	Y (if employed or self-employed)	One of consulting, disability, inheritance, interest, real estate, rental, severance, spouse, trading & investments, unemployment, retirement / social security and other.
Additional Sources of Income	Y (if employed or self-employed)	
Description	Y (if employed or self-employed and additional source of	

Field Name	Required	Documentation
	income is 'other')	
Percentage	Y (if employed or self-employed)	100

## Regulatory Information Fields

Refer to the following table when completing the fields on the Regulatory Information worksheet in your Mass Upload Excel workbook.


Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Question 1	Y	<p>Possible values: YES/NO</p> <p>Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm?</p> <p>NOTE: If account holder is employed by a brokerage firm, the compliance officer of that firm must authorize this account by sending an e-mail to Interactive Brokers Processing Department at <a href="mailto:newaccounts@interactivebrokers.com">newaccounts@interactivebrokers.com</a>. The compliance officer should note "Employee Account Authorization" in the subject heading of the e-mail. The e-mail must state the following:</p> <p>"Interactive Brokers is authorized to establish and maintain an account for [Fill in Customer name]. [Fill in Name of Brokerage Firm] agrees to accept copies of daily confirmations and monthly statements by email to [Fill in E-</p>

Field Name	Required	Documentation
		mail Address]."
<p>If answer to question 1 is "YES", specify:</p> <ul style="list-style-type: none"> <li>» Person's Name</li> <li>» Relation to Account Holder(s)</li> <li>» Brokerage Firm Name</li> <li>» Brokerage Firm Address</li> <li>» Brokerage Firm Phone</li> </ul>		
Question 2	Y	<p>Possible values: YES/NO</p> <p>Is the account holder a member of an exchange or a regulatory or a self-regulatory organization, or an associated person, affiliated person or employee of an exchange member?</p>
<p>If answer to question 2 is "YES", specify:</p> <p>List firm and Exchanges Y</p>		

## Financial Information Fields

Refer to the following table when completing the fields on the Financial Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Investment objectives	Y	<p>Possible values:</p> <ul style="list-style-type: none"> <li>» Preservation of capital</li> <li>» Income</li> <li>» Growth</li> </ul>

Field Name	Required	Documentation
		<ul style="list-style-type: none"> <li>» Trading Profits</li> <li>» Speculation</li> <li>» Hedging</li> </ul> <p> <b>Note:</b> Trading Profits must be selected for Options. Preservation of Capital cannot be selected for Options.</p> <p>You can submit the following combinations of investment objectives:</p> <ul style="list-style-type: none"> <li>» Hedging + Any</li> <li>» Preservation of Capital + Income and/or Growth</li> <li>» Trading Profits + Speculation and/or Growth</li> </ul> <p>You CANNOT submit the following combinations of investment objectives:</p> <ul style="list-style-type: none"> <li>» Preservation of Capital + any of: Trading Profits, Speculation</li> <li>» Income + any of: Trading Profits, Speculation</li> <li>» Trading Profits + any of: Preservation of Capital, Income</li> <li>» Speculation + any of: Preservation of Capital, Income</li> </ul>
Estimated net worth	Y	In base currency, exclude value of residence.
Estimated liquid net worth	Y	In base currency, exclude value of residence.
Annual net income	Y	In base currency.
Specify below for Stocks, Bonds, Options, Futures and FX		
Years of trading experience	Y	
Number of trades per year	Y	

Field Name	Required	Documentation
Knowledge level	Y	One of: » Extensive » Good » Limited

## Trading Permissions Fields

Refer to the following table when completing the fields on the Trading Permissions worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Permission 1-50	Y	Country followed by product.  Click <a href="#">here</a> to see a list of Country and Product combinations.

## W-9 and W8BEN Fields

Refer to the following table when completing the fields on the W-9 and [W-8BEN](#) (if applicable) worksheets and the Joint W-9 and W--8BEN (for Joint accounts) worksheets in your Mass Upload Excel workbook.

### W-9 Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.



Field Name	Required	Documentation
Name as on Tax Return	Y	
Certify TIN is Correct	Y	The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me)
Agrees to certification 2 in part ii	Y	I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding.
Certify US Person	Y	I am a U.S. Citizen or other U.S. Person.

### W-8BEN Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Name of Beneficial Owner in Part I	Y	
Agree to Part III Certification		Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

Field Name	Required	Documentation
		<ul style="list-style-type: none"> <li>» I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,</li> <li>» The person named on line 1 of this form is not a U.S. person,</li> <li>» The income to which this form relates is: not effectively connected with the conduct of a trade or business in the United States, effectively connected but is not subject to tax under an income tax treaty, or the partner's share of a partnership's effectively connected income,</li> <li>» The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and</li> <li>» For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as</li> </ul>

Field Name	Required	Documentation
		defined in the instructions. - I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect. I agree under penalty of perjury that each certification above is true and correct and confirm I have reviewed the information on this form W-8BEN (including any pre-population) and it is true and correct. I consent to the collection and distribution of tax forms in an electronic format in lieu of paper, including through the account management portal.

## Advisor Wrap Fees Fields


Refer to the following table when completing the fields on the Advisor Wrap Fees worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Strategy	Y	One of: » No Fees

Field Name	Required	Documentation
		<ul style="list-style-type: none"> <li>» Automated</li> <li>» Template</li> </ul>
Fees Details		
Type	Y	One of: <ul style="list-style-type: none"> <li>» Annual Flat Fee</li> <li>» Percent of Equity</li> <li>» Percent of Equity Q</li> <li>» Percent of Equity M</li> <li>» Percent of Profit</li> <li>» Percent of Profit Q</li> <li>» Invoice Limit</li> <li>» Invoice Limit Q</li> </ul>
If strategy is not 'PERTRADE', you can specify:		
Maximum Fee	N	Default is 0.

## ACATS Fields

Refer to the following table when completing the fields on the ACATS worksheet in your Mass Upload Excel workbook.

 **Note:** ACATS (Automated Customer Account Transfer Service) is a type of position transfer in which cash and positions are moved from a third-party US broker to IB. ATON (Account Transfer on Notification) is the Canadian broker equivalent of ACATS.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.

Field Name	Required	Documentation
Customer account at broker	Y	
BrokerID	Y	DTC/Broker ID.
Broker name	Y	
Transfer scope	Y	Only full accepted
Has margin loan	Y	YES/NO. Indicates whether customer has a margin loan at third-party broker.
Holds options positions	Y	YES/NO. Specifies if customer's account at the third- party holds any options positions.
Holds short positions	Y	YES/NO. Indicates if customer's account at the third- party holds any short positions.
IRA type	N	IRA type of the account at the third party broker from which positions are to be transferred to an IB IRA account. Only required if the destination account at IB is an IRA account. The type must match the IB account type; otherwise transfer will be rejected.
IB account ID	N	If customer already has an IB account ID.
Signature	Y	First and Last Name of Account Holder.
Transfer Type	Y	ACATS or ATON.
Authorize to Remove Fund	N	YES/NO.

## ACH Instructions Fields

Refer to the following table when completing the fields on the ACH worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Instruction Name	Y	Bank Name (recommended).
Country of Bank	Y	
Currency	Y	
ABA Routing Number	Y	
Account Number	Y	
Type	Y	Credit.

## IRA Information

The Excel workbook displays IRA Account information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- » [IRA Individual Beneficiaries Worksheet Fields](#)
- » [IRA Entity Beneficiaries Worksheet Fields](#)
- » [IRA Decedent Worksheet Fields](#)

## IRA Individual Beneficiaries Fields

Refer to the following table when completing the fields on the IRA Individual Beneficiaries worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.

Field Name	Required	Documentation
Beneficiary type	Y	Primary or Contingent
Relationship	Y	One of: » Brother » Daughter » Estate » Father » Husband » Mother » Sister » Son » Wife » Other
Percentage of ownership	Y	Must total 100%.
Salutation	Y	One of: » Mr. » Mrs. » Ms. » Dr.
First name	Y	
Last name	Y	
Middle name	N	Include middle initial only.
Suffix	N	
Home street address	Y	
City	Y	P.O. boxes or "in care of" addresses not allowed.
State/Province	Y	ISO 3166-1 for 2-letter state codes <a href="http://www.iso.org">http://www.iso.org</a> Mandatory for U.S. residents only.

Field Name	Required	Documentation
Country	Y	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> ).
Zip	Y	
Date of birth	Y	MM/DD/YYYY format.
Gender	Y	Male or Female.
Country of citizenship	Y	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> ).
Document type	N	One of: <ul style="list-style-type: none"> <li>» SSN (for US)</li> <li>» Driver's License</li> <li>» Alien Identification Card</li> <li>» Passport</li> <li>» National Identity Card</li> </ul>
Country of issuance	N	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> )
Number	N	

## IRA Entity Beneficiaries Fields

Refer to the following table when completing the fields on the IRA Entity Beneficiaries worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.



Field Name	Required	Documentation
Beneficiary type	Y	Primary or Contingent
Relationship	Y	One of: » Trust » Charity » Estate
Percentage of ownership	Y	Must total 100%.
Trust		
Trust Name	Y (if Trust or Charity)	
Execution date	Y	MM/DD/YYYY
Article of Will	Y (if Trust)	
Salutation	Y (if Trust)	
Executor Last name	Y	
Executor First name	Y	
Address	Y (if Trust or Charity)	
City	Y (if Trust or Charity)	
State/Province	Y (if Trust or Charity)	
Zip Code	Y (if Trust or Charity)	
Country	Y (if Trust	

Field Name	Required	Documentation
	or Charity)	

## IRA Decedent Fields

Refer to the following table when completing the fields on the IRA Decedents worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Salutation	Y	
First name	Y	
Last name	Y	
Inheritor type	Y	One of: » Spouse » Individual » Other » Trust
Date of Birth		
Date of Death		
Country	Y	
Document type	Y	One of: » SSN (for US) » Driver's License » Alien Identification Card » Passport » National Identity Card

Field Name	Required	Documentation
Country of issuance	Y	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> )
Number	Y	
Residence Country	Y	
Residence State	Y	

## Joint Account Information

The Excel workbook displays Joint Account information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- » [Joint Account Information Worksheet Fields](#)
- » [Second Holder Information Worksheet Fields](#)
- » [Second Holder W-9/W-8BEN Worksheet Fields](#)
- » [Second Holder Employment Information Worksheet Fields](#)

## Joint Account Information Fields

Refer to the following table when completing the fields on the Joint Account Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.
Joint account type	Y	One of: <ul style="list-style-type: none"> <li>» Community</li> <li>» Joint Tenants</li> <li>» Tenants Common</li> </ul>

Field Name	Required	Documentation
		» TBE (Tenants by Entirety)
First holder ownership %	N	Number. Default is 50/50 for each holder.
Second holder ownership %	Y	Number.

## Customer Information Worksheet Fields

Refer to the following table when completing the fields on the Customer Information and Second Holder Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique id to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account id at your firm.
Salutation	Y	One of: » Mr. » Mrs. » Ms. » Dr.
First name	Y	
Last name	Y	
Middle name	N	Include middle initial only.
Suffix	N	
Date of birth	Y	MM/DD/YYYY format.
Country of Birth	Y	
Gender	Y	Male or Female
Marital status	Y	One of:

Field Name	Required	Documentation
		<ul style="list-style-type: none"> <li>» Single</li> <li>» Married</li> <li>» Divorced</li> <li>» Widowed</li> </ul>
Dependents	Y	0 through 5. Select 5 for 5 or more dependents.
Home street address	Y	P.O. boxes or “in care of” addresses not accepted.
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	
Phone Number	Y	###-###-#### format.
Phone Type	Y	Mobile, Home or Work
Phone Country	Y	3-letter country code. ISO 3166-1 ( <a href="http://www.iso.org">http://www.iso.org</a> )
Country of citizenship	Y	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> ).
Tax Residence Country	Y	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> ).
Document type	Y	One of: <ul style="list-style-type: none"> <li>» SSN (for US) Digits only- ###-##-####.</li> <li>» Driver’s License</li> <li>» Alien Identification Card</li> <li>» Passport</li> <li>» National Identity Card</li> </ul>
Tax Number	Y	
Margin	Y	One of: <ul style="list-style-type: none"> <li>» Margin</li> </ul>

Field Name	Required	Documentation
		<ul style="list-style-type: none"> <li>» Portfolio Margin</li> <li>» Cash</li> </ul>
Market Data Status	N	Professional or Non professional. Defaults to Non professional.

## Mailing Address Fields

This section is optional and should only be completed for clients who have a mailing address different from the client's home address (e.g., P.O. Box).

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Mailing Street Address	Y	
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	

## W-9 and W8BEN Fields

Refer to the following table when completing the fields on the W-9 and [W-8BEN](#) (if applicable) worksheets and the Joint W-9 and W--8BEN (for Joint accounts) worksheets in your Mass Upload Excel workbook.

## W-9 Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Name as on Tax Return	Y	
Certify TIN is Correct	Y	The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me)
Agrees to certification 2 in part ii	Y	I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding.
Certify US Person	Y	I am a U.S. Citizen or other U.S. Person.

## W-8BEN Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Name of Beneficial Owner in Part I	Y	

Field Name	Required	Documentation
Agree to Part III Certification		<p>Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:</p> <ul style="list-style-type: none"> <li>» I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,</li> <li>» The person named on line 1 of this form is not a U.S. person,</li> <li>» The income to which this form relates is: not effectively connected with the conduct of a trade or business in the United States, effectively connected but is not subject to tax under an income tax treaty, or the partner's share of a partnership's effectively connected income,</li> <li>» The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the mean-</li> </ul>



Field Name	Required	Documentation
		<p>ing of the income tax treaty between the United States and that country, and</p> <p>» For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions. - I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect. I agree under penalty of perjury that each certification above is true and correct and confirm I have reviewed the information on this form W-8BEN (including any pre-population) and it is true and correct. I consent to the collection and distribution of tax forms in an electronic format in lieu of paper, including through the account management portal.</p>

## Employment Information Fields

Refer to the following table when completing the fields on the Employment Information and Second Holder Employment Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

If this section is not completed, clients will be prompted to enter their employment information when logging in for the first time. This section cannot be partially filled in for a client. Client employment information must be entered completely or left completely blank

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Employment type	Y	One of: » Employed » Self-Employed » Retired » Unemployed » Student/Intern » At-Home Trader » Homemaker
Occupation	Y	One of the occupations listed <a href="#">here</a> .
Name of employer	Y (if employed or self-employed)	
Nature of employer business/activities	Y (if employed or self-employed)	
Employer address	Y (if employed or self-employed)	P.O. boxes or "in care of" addresses not allowed.
City	Y (if employed or self-employed)	
State/Province	Y (if employed or self-employed)	ISO 3166-1 for 2-letter state codes ( <a href="http://www.iso.org">http://www.iso.org</a> )
Country	Y (if employed or self-employed)	ISO 3166-1 for 3-letter country codes ( <a href="http://www.iso.org">http://www.iso.org</a> )
Zip	Y (if employed or self-employed)	One of consulting, disability, inheritance, interest,

Field Name	Required	Documentation
	self-employed)	real estate, rental, severance, spouse, trading & investments, unemployment, retirement / social security and other.
Additional Sources of Income	Y (if employed or self-employed)	
Description	Y (if employed or self-employed and additional source of income is 'other')	
Percentage	Y (if employed or self-employed)	100

## Trust Information

The Excel workbook displays Trust Account information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- » [Trust Information Worksheet Fields](#)
- » W-9 Worksheet - You can leave this optional worksheet blank.
- » W-8BEN Worksheet - You can leave this optional worksheet blank.
- » [Associated Individuals Worksheet Fields](#)
- » [Associated Entities Worksheet Fields](#)
- » [Entity Employees Worksheet Fields](#) (optional)

## Trust Information Worksheet Fields

Refer to the following table when completing the fields on the Trust Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	
Trust name	Y	
Trust Date	Y	
Type of Trust	Y	<p>One of:</p> <ul style="list-style-type: none"> <li>» Revocable</li> <li>» Testamentary</li> <li>» Irrevocable</li> <li>» ERISA plan trust</li> <li>» Other (Specify)</li> </ul> <p>*Revocable trusts require a Trustee, Beneficiary, and Grantor listed. All other types only require Trustee and Beneficiary</p>
Formation Country	Y	3-letter country code.
Formation State	Y	Letter code.
Registration Country	Y	3-letter country code.
Registration/Tax/Govt ID	Y	
TaxID Type	Y	EIN or SSN.
Email	Y	
Street Address	Y	
City	Y	
State/Province	Y	Letter code.
Country	Y	3-letter country code.
Zip	Y	

## Associated Individuals Worksheet Fields

This worksheet is required.

Individual grantors, trustees, and beneficiaries for the same trust account ID are entered on separate lines on the same worksheet. **Grantors are ONLY REQUIRED for revocable trusts and NOT required for all other trust types.**

For example:

Customer ID	Type	Beneficiary %	Salutation	First Name	Last Name
TRUST1	Trustee		Mr.	John	Smith
TRUST2	Beneficiary	100	Mr.	John	Smith
TRUST3	Grantor		Mr.	John	Smith

Refer to the following table when completing the fields on the Associated Individuals worksheet in your Mass Upload Excel workbook.

<b>Associated Individual Grantor (required only for Revocable Trusts)</b>		
Field Name	Required	Documentation
Customer ID	Y	
Type	Y	Grantor.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	
Zip	Y	

<b>Associated Individual Grantor (required only for Revocable Trusts)</b>		
<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
Email	Y	
Phone Number	Y	
Date of Birth	Y	MM/DD/YYYY, Include only for Trustee, Beneficiary, and Individual Grantors.
Country of Citizenship	Y	3-letter country code.
Document Type	Y	One of: » SSN » Driver's License » Passport
Country of Issuance	Y	
ID Number	Y	
<b>Associated Individual Trustee (required for all trust types)</b>		
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
Email		
Can sign documents on behalf of Trust?		Yes or No.  At least one Trustee must be listed

<b>Associated Individual Grantor (required only for Revocable Trusts)</b>		
<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
		as Yes.
Is the trustee registered with the National Futures Association?	Y	Yes or No.
If NFA Yes	Y	Provide NFA registration number.
Formation Country	Y	Include only for Trustee Entities.
Trustee Occupation	Y	Include only for Trustee Individuals.
Trustee Job Title	Y	Include only for Trustee Individuals.
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	3-letter code.
Zip	Y	
Phone Number	Y	
Country of Citizenship	Y	
Document Type	Y	One of: » SSN » Driver's License » Passport
Country of Issuance	Y	
ID Number	Y	
<b>Associated Individual Beneficiary (required for all trust types)</b>		
Customer ID	Y	
Type	Y	Trustee.

<b>Associated Individual Grantor (required only for Revocable Trusts)</b>		
<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
% of Ownership	Y	

## Associated Entities Worksheet Fields

**This worksheet is required.**

Entity grantors, trustees and beneficiaries for the same trust account ID are entered on separate lines on the same worksheet. **Grantors are ONLY REQUIRED for revocable trusts and NOT required for all other trust types.**

Refer to the following table when completing the fields on the Associated Entities worksheet in your Mass Upload Excel workbook.

<b>Associated Entity Grantor (required only for Revocable Trusts)</b>		
<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
Customer ID	Y	
Type	Y	Grantor.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	



<b>Associated Entity Grantor (required only for Revocable Trusts)</b>		
<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	
Zip	Y	
Email	Y	
Phone Number	Y	
Date of Birth	Y	MM/DD/YYYY, Include only for Trustee, Beneficiary, and Individual Grantors.
Country of Citizenship	Y	3-letter country code.
Document Type	Y	One of: » SSN » Driver's License » Passport
Country of Issuance	Y	
ID Number	Y	
<b>Associated Entity Trustee (required for all trust types)</b>		
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	

<b>Associated Entity Grantor (required only for Revocable Trusts)</b>		
<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
Middle Initial	N	Include middle initial only.
Suffix	N	
Email		
Can sign documents on behalf of Trust?		Yes or No.  At least one Trustee must be listed as Yes.
Is the trustee registered with the National Futures Association?	Y	Yes or No.
If NFA Yes	Y	Provide NFA registration number.
Formation Country	Y	Include only for Trustee Entities.
Trustee Occupation	Y	Include only for Trustee Individuals.
Trustee Job Title	Y	Include only for Trustee Individuals.
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	3-letter code.
Zip	Y	
Phone Number	Y	
Country of Citizenship	Y	
Document Type	Y	One of:  » SSN » Driver's License » Passport
Country of Issuance	Y	

<b>Associated Entity Grantor (required only for Revocable Trusts)</b>		
<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
ID Number	Y	
<b>Associated Entity Beneficiary (required for all trust types)</b>		
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
% of Ownership	Y	

## Entity Employees Worksheet Fields

**This worksheet is optional.**

Refer to the following table when completing the fields on the Entity Employees worksheet in your Mass Upload Excel workbook.

<b>Field Name</b>	<b>Required</b>	<b>Documentation</b>
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	

Field Name	Required	Documentation
Email		
Can sign documents on behalf of Trust?		Yes or No. At least one Trustee must be listed as Yes.
Is the trustee registered with the National Futures Association?	Y	Yes or No.
If NFA Yes	Y	Provide NFA registration number.

## Trading Permissions by Country and Product

Refer to this table for Country and Product combinations as seen in the [Trading Permissions](#) workbook.

United States-Stocks
United States-Bonds
United States-Bonds Municipal
United States-Options
United States-Futures
United States-Futures Options
United States-Single Stock Futures
United States-Mutual Funds
United States-Stocks Penny Stocks
Australia-Stocks
Australia-Options
Australia-Futures
Australia-Futures Options
Austria-Stocks
Baltics-Stocks

Belgium-Stocks
Belgium-Stock Options
Belgium-Futures
Canada-Stocks
Canada-Options
Canada-Futures
France-Stocks
France-Warrants
France-Stock Options
France-Futures
France-Futures Options
Germany-Stocks
Germany-Warrants
Germany-Stock Options
Germany-Futures
Germany-Futures Options
Hong Kong-Stocks
Hong Kong-Bonds
Hong Kong-Stock Options
Hong Kong-Futures
Italy-Stocks
Italy-Futures
Italy-Stock Options
Japan-Stocks
Japan-Stock Options

Japan-Futures
Japan-Futures Options
Korea-Futures
Mexico-Stocks
Mexico-Options
Mexico-Futures
Mexico-Futures Options
Norway-Stocks
Norway-Futures
Singapore-Stocks
Singapore-Futures
Singapore-Futures Options
Spain-Stocks
Spain-Stock Options
Spain-Futures
Spain-Futures Options
Sweden-Stocks
Sweden-Stock Options
Sweden-Futures
Switzerland-Stocks
Switzerland-Warrants
Switzerland-Stock Options
Switzerland-Futures
The Netherlands-Stocks
The Netherlands-Warrants

The Netherlands-Stock Options
The Netherlands-Futures
United Kingdom-Stocks
United Kingdom-Stock Options
United Kingdom-Futures
United Kingdom-Futures Options

## Employment Nature of Business

<b>Nature of Business Options</b>
Accounting
Agriculture
Automotive
Banking
Beauty Care
Biotech
BPO-KPO
Broker/Dealer
Business Development
Call Center
Clergy
Clerical
Commerce Merchandising
Construction

Nature of Business Options
Construction Engineering
Consultant (Financial Related)
Consultant (Not Financial Related)
Customer Service
Defense
Design
Distributor
Education
Engineering
Environment
Event Management
Facilities
Finance Other
Financial Advisor
Financial Management
Financial Regulator Organization, SRO, or Exchange Member
Firefighter
Fitness/Beauty Treatment
Franchise
General Skilled labor
Government Federal
Government Other
Government State



Nature of Business Options
Grocery
Guard-Security Services
Healthcare
Hospital
Hotel
Human Resources
Import/Export
Information Technology
Installation-Maintenance Repair
Interior Design
Internal Sales
Internet-E-Commerce
Legal, Law, Attorney Services
Management
Manufacturing
Marketing
Media-Journalism-Newspaper-Magazine
Medical
Military
Non-profit
Nurse
Oil and Gas
Oil and Gas On/Offshore

Nature of Business Options
Other
Pharmeceutical
Police-Security
Politics
Professional Services
Purchasing-Procurement
QA-Quality Control
Real Estate
Research
Restaurant-Food Service
Retail
Sales
Science
Security
Service
Shipping
Site Engineering
Social, Public Service
Sports-Entertainment
Statistics-Market Research
Teaching
Telecommunications
Tourism

Nature of Business Options
Training
Transportation
Travel-Leisure-Tourism
Veterinary Services
Volunteering
Warehouse
Wholesale

## List of Occupations

Refer to this table when entering a value in the Nature of employer business/activities field on the [Employment Information](#) worksheet.

Nature of Business Options
Nature of Business Options
Accounting
Agriculture
Automotive
Banking
Beauty Care
Biotech
BPO-KPO
Broker/Dealer
Business Development
Call Center

Nature of Business Options
Clergy
Clerical
Commerce Merchandising
Construction
Construction Engineering
Consultant (Financial Related)
Consultant (Not Financial Related)
Customer Service
Defense
Design
Distributor
Education
Engineering
Environment
Event Management
Facilities
Finance – Other
Financial Advisor
Financial Management
Financial Regulator Organization, SRO, or Exchange Member
Firefighter
Fitness/Beauty Treatment
Franchise
General Skilled labor

Nature of Business Options
Government – Federal
Government – Other
Government – State
Grocery
Guard-Security Services
Healthcare
Hospital
Hotel
Human Resources
Import/Export
Information Technology
Installation-Maintenance Repair
Interior Design
Internal Sales
Internet-E-Commerce
Legal, Law, Attorney Services
Management
Manufacturing
Marketing
Media-Journalism-Newspaper-Magazine
Medical
Military
Non-profit
Nurse

Nature of Business Options
Oil and Gas
Oil and Gas On/Offshore
Other
Pharmaceutical
Police-Security
Politics
Professional Services
Purchasing-Procurement
QA-Quality Control
Real Estate
Research
Restaurant-Food Service
Retail
Sales
Science
Security
Service
Shipping
Site Engineering
Social, Public Service
Sports-Entertainment
Statistics-Market Research
Teaching
Telecommunications

Nature of Business Options
Tourism
Training
Transportation
Travel-Leisure-Tourism
Veterinary Services
Volunteering
Warehouse
Wholesale

## Exchanges

Refer to this table when entering a value in the Exchange group field on the [Trading Permissions](#) worksheet.

Exchange Name
U.S. Algorithmic Stocks
U.S. Futures
U.S. Mutual Funds
U.S. Options
U.S. Options On Floor Based Futures
U.S. Options On Futures
U.S. Single Stock Futures
U.S. SSF Commodities
U.S. States-Bonds
U.S. Stocks

Exchange Name
Australia Futures
Australia Options
Australia Options On Futures
Australia Stocks
Belgium Futures
Belgium Options
Belgium Stocks
Canada Futures
Canada Options
Canada Stocks
France Futures
France Options
France Stocks
Germany Futures & Options On Futures
Germany Options
Germany Stocks
Germany Warrants
Hong Kong Futures
Hong Kong Options
Hong Kong Stocks
IB Currency
IB Currency (IDEALPRO)
India Futures
India Options




Exchange Name
India Single Stock Futures
Italy Futures
Italy-Options
Japan Futures
Japan Options
Japan Options On Futures
Japan Stocks
Korea Futures
Korea Options
Mexico Futures
Mexico Options
Mexico Options On Futures
Mexico Stocks
Municipal Bonds
Singapore Futures
Singapore Options On Futures
Spain Futures
Spain Options
Spain Options On Futures
Spain Stocks
Sweden Futures
Sweden Options
Sweden Stocks
Switzerland Futures

Exchange Name
Switzerland Options
Switzerland Stocks (EBS)
Switzerland Stocks (VIRTX)
The Netherlands Futures
The Netherlands Options
The Netherlands Stocks
United Kingdom Futures
United Kingdom Options
United Kingdom Options On Futures
United Kingdom Single Stock Futures
United Kingdom Stocks
United States Floor Based Futures

# Application XML

The Interactive Brokers Application XML is available for Registered Advisors and Fully Disclosed Brokers who want to develop their own version of the Interactive Brokers account application for their clients.

 **Note:** Application XML is intended for Advisors and Brokers who either have working knowledge of XML or have access to support staff with working knowledge of XML

## What is Application XML?

Application XML is a process that lets Registered Advisors and Fully Disclosed Brokers provide their clients with their own customized Interactive Brokers account application experience based on IB's Application XML Schema. In Application XML, you use our schema as the basis for your own client account application, collect all of the required information about your client applicants, and then return all of the client information back to us in XML documents for processing. For example, an Advisor may want his clients to complete an IB account application on his or her own website instead of using Interactive Brokers' electronic client account application.

You can control the look and feel of your client account applications, as long you submit that information to us as properly formatted XML files.

## What We Provide

IB provides everything you need to program your own XML-based client account application solution:

- » **Application XML Agreement** - You must sign the Application XML Agreement and return it to us via email for approval by our Compliance Department.

Once we have approved your signed Application XML Agreement, we will provide the following supporting documents via email:

- » **IB Application XML Schema** - The Application XML Schema is described in two XML Schema Definition (.XSD) files: *IBCust\_import.xsd* and *IBCustEnumerations.xsd*. The .XSD files describe the structure and data types for the XML documents that contain your clients' application information.
- » **Application XML Schema Documentation** - This is a zipped online help system automatically generated from the .XSD files that completely documents the Application XML Schema, including all elements, data types, attributes and values. Once you download and unzip this file, open the *index.html* in your browser to open the documentation.



**Note:** The Application XML Schema Documentation includes information about five elements: *AcctMgmtRequests*, *AllDVPInstructions*, *Applications*, *ExtPositionsTransfers* and *Synchronization*. Use ONLY the *Applications* element and ignore the other elements.

- » **Application XML Response File Schema** - This is the file you use to format your custom client application profile to send back to Interactive Brokers.
- » **XML Samples** - Application XML currently supports Individual, Joint, and IRA client accounts for an Advisor or Fully Disclosed Broker account, so we provide a group of sample files for the most common client account types and sample response files. Your programming or technical resources can use the XML samples as models for the XML files that you will send back to us.
- » **ACAT Broker ID/Name List** - This Excel spreadsheet (file name *ACAT Broker Entries.xls*) lists all brokers who are eligible for ACATS transfers. Refer to this spreadsheet for any clients that using ACATS to fund their accounts.
- » **EmployeeTrack Company IDs** - This Excel spreadsheet (file name *ET\_Company\_ID.xls*) lists IDs that correspond to our internal EmployeeTrack company IDs. Refer to this spreadsheet for any clients

who are employed by a broker/dealer with an IB EmployeeTrack account.



**Note:** This is related to the Affiliation regulatory question.

- » **Financial Ranges** - Net Worth, Liquid Net Worth, Annual Net Income and Total Assets are required attributes in the Financial Information section of your client account applications. We allow either absolute values or ranges of values for these four attributes. The *Financial\_Ranges.xls* Excel spreadsheet lists ranges of values and their corresponding IDs. If you choose to use financial ranges instead of absolute values for these attributes, include the IDs for the appropriate financial range from this spreadsheet.
- » **Bundle Based/Capability Based Guidelines for Trading Permissions** - We provide three text files (*BundleBased.txt*, *CapabilityBased-Country.txt* and *CapabilityBased-State-Country.txt*) that list the form numbers of disclosures, agreements and acknowledgments that are required to support different trading permissions for your client applicants. The actual forms are located in the outgoing/Forms folder on our anonymous FTP site and are listed by the form numbers included in these three text files.
- » **Trading Permission Codes** - This Excel spreadsheet, (file name *TradingPermissions.xlsx*), lists all of the available trading permission codes that identify the asset classes and countries that your clients want to trade. You use these codes to indicate requested trading permissions in the XML files containing your clients' application information that you send back to us. For example, a trading permission code of US-Sec means that a client is requesting permission to trade US Stocks.
- » **Country Codes** - This comma-separated values file, (file name *Country\_Codes.csv*), lists all available countries. See [FAQ 10](#) for more information.

- » **Broker Client Market Data Service IDs** - For Fully Disclosed Brokers only, this Excel spreadsheet (filename *IBrokerClient\_MarketDataServices.xls*) lists all market data subscription and their Service IDs, along with the price and currency of each subscription. When sending us your client applicant data, use this spreadsheet to find the correct Service ID for each requested market data subscription, and include the Service IDs in the MDServices element in the client application XML file.
- » **Interactive Brokers Public PGP Key** - When you submit your client application information and signed forms and agreements in XML and zip files, you will need IB's public PGP key. The file name is *IBKR\_CI.PubKey.asc*.
- » **ECA XML Processing** - Outlines PGP exchange and signature signing.
- » **List of acceptable documents for Proof of ID and Address**

## Accessing the Agreements and Disclosures at Our FTP Site

All of the agreements and disclosures that you will need are located at our anonymous FTP site. Use the following information to access the FTP site. Note that we use anonymous FTP, which means that you can access the forms using your web browser.

### FTP Site Information


- » Agreements and Disclosures Location:  
<ftp://ftp.interactivebrokers.com/outgoing/Forms>

## How to Get Started


1. Learn more about the [XML Sample Files](#) that we will provide via email.
2. Read the [Summary](#) to familiarize yourself with the main steps involved in the Application XML process.
3. Go to [How to Set Up Application XML](#) and follow all of the detailed steps to initiate the process, prepare and test your XML files, and complete the delivery of your final XML files.

## Application XML Summary

Here is a summary of the steps required to complete the Application XML process. Read this section if you would like to familiarize yourself with the overall process before you begin.

 **Note:** You can skip this section and go directly to the detailed steps in [How to Set Up Application XML](#) if you prefer.

1. Send a request to implement Application XML to [salesengineering@interactivebrokers.com](mailto:salesengineering@interactivebrokers.com).
2. We will send you our XML Agreement. Sign and send the agreement back to us at the email provided above. We will submit it to our Compliance Department for approval, which typically can take 3-5 days. Once you are approved, we will email you with details about our secure FTP site.
3. Once approved, we will send you the supporting documents and IB hosted FTP details via email, and then you can build your user interface to collect client data and sign agreements, and then prepare XML files with sample data for testing.
4. You will collect all general data about your client applicants, including name, address, employment and other information, and get those applicants to sign Interactive Brokers' agreements and disclosures on your own website. Use the XML Samples as models for the XML files that you send us, or use the All-In-One zip file, which includes both an example XML file and signed agreements and disclosures.
5. You will work with the sales engineering team to test the process.
6. Upload all applicant data, funding notifications and electronic signatures in XML files along with copies of the required PDF forms in an encrypted zip file to the secure FTP site.
7. We retrieve and process the files and then post encrypted response XML files to the secure FTP site. The response files will have a status of Success or Error. You correct any errors and then resubmit the corrected XML files to the secure FTP site.
8. If no additional documentation is needed, the account will be submitted for approval.
9. As Advisor or Broker, you are responsible for providing the account numbers, usernames and temporary passwords to your clients.
10. Each client must log in to reset his or her password to access Account Management once his or her client account has been approved and opened.

 **Note:** Temporary passwords do not expire; however, all clients MUST reset their temporary passwords upon logging in for the first time.

## About the XML Sample Files

Read this section to learn more about the XML sample files that we provide.

Application XML currently supports Individual, Joint and IRA clients for an Advisor or Fully Disclosed Broker account. Once we have approved your signed Application XML Agreement, we will provide the XML sample files via email. Your programming or technical resources can use the XML samples as models for the XML documents containing your clients' application information that you send back to us.

## Advisor Client Types - Sample Files

The sample files include XML application data and required PDF forms for the following types of client accounts:

 **Note:** Additional non-US samples files (dual language) are also included.

- » **Individual** - *Individual\_US\_Sample.zip*
- » **Joint** - *Joint\_Sample.zip*
- » **IRA - Traditional Rollover** - *TraditionalRolloverIRA\_Sample.zip*
- » **IRA - Roth** - *RothIRA\_Sample.zip*

## Trading Permission Codes

Trading permission codes define all of the available trading permission codes that identify the asset classes and countries that your clients want to trade. After you initiate the Application XML process, we send you an Excel spreadsheet file, *TradingPermissions.xlsx*, that lists all of these trading permission codes. Your programming or technical resources should use this Excel spreadsheet as a reference when including the trading permissions in the XML documents containing your clients' application information that you send back to us.

### How to Use the Trading Permission Codes

In each client application XML document that you send us, there is a complexType called *Trading Permission*. Trading Permission includes an attribute called *exchange\_group*. Insert the correct Trading Permission code as the value of *exchange\_group* attribute for each trading permission in each client application XML document. Multiple trading permissions should appear on multiple lines, as shown in the example below.

```
<TradingPermissions>
```



```
<TradingPermission exchange_group="US-Sec"/>
<TradingPermission exchange_group="US-SecOpt"/>
<TradingPermission exchange_group="US-Com"/>
<TradingPermission exchange_group="US-ComOpt"/>
<TradingPermission exchange_group="US-SSF"/>
<TradingPermission exchange_group="US-BOND"/>
</TradingPermissions>
```

For example, a trading permission code of US-Sec means that a client is requesting permission to trade US Stocks. Descriptions of all trading permission codes are included in the *TradingPermissions.xlsx* Excel spreadsheet, included in the Application XML package you initially received from us.

## How to Set Up Application XML

The following steps describe how a Registered Advisor or Introducing Broker initiates the application XML process, what details are required in the application XML files, and details about delivery methods. The entire process is presented here in the following sections:

1. Preliminary Steps
2. Build and Test Your User Interface
3. Rules for Submitting Files
4. Testing Phase
5. Production Phase

### 1. Preliminary Steps

1. Send a request to implement Application XML to [salesengineering@interactivebrokers.com](mailto:salesengineering@interactivebrokers.com).
2. We will send you our XML Agreement. Sign and send the agreement back to us at the email provided above. We will submit it to our Compliance Department for approval, which typically can take 3-5 days.
3. Once you are approved, we will send you all supporting documentation, files and XML samples via email. You can download the agreements and disclosure forms from the [Forms folder](#) on our anonymous FTP site.

4. The supporting documentation that we email you will include our public PGP key. You will need this to encrypt files that you submit to IB later. The file name of the public PGP key is *IBKR\_CI.PubKey.asc*.
5. Later, during the testing and production steps of the process, you will upload the zip files containing the Application XML and PDF forms to the FTP site provided by IB and retrieve our encrypted response XML files from the same FTP site. Once your initial agreement has been approved, we will email you with details about how to access this secure FTP site , including your own unique login credentials.
6. Provide us with your PGP key so that you will be able to retrieve our XML response files from the secure FTP site.
7. Review all supporting documents and files and email any questions you may have to us at [salesengineering@interactivebrokers.com](mailto:salesengineering@interactivebrokers.com).



**Note:** See [What We Provide](#) for more information about the supporting documentation, files and samples.

## 2. Build and Test Your User Interface

1. Build the user interface that you plan to use to collect client application data and prompt clients to sign agreements. You and your programming team can use the XML schema documentation and other supporting files as reference while you build your interface.
2. Test your user interface with sample data.

## 3. Rules for Submitting Files

IB will provide you with the expected file naming convention prefix. **You will need this information to prepare and submit both test XML files and final production XML files.** Note that the same secure FTP site is used for both testing and production.

- » To submit client applicant information, upload one or more XML files along with copies of the accompanying PDF agreement and disclosure forms in an encrypted zip file. This method lets you submit the XML application information and PDF forms for one or multiple clients together in a single, encrypted zip file. The zip file must be encrypted with IB's PGP key and signature signed. Note that you can

upload multiple zip files if you prefer, as long as each zip file contains both XML files and PDF forms, and each zip file is encrypted with IB's PGP key.

- » You must follow this naming convention for your zip file(s):

Tester\_YYYY-MM-DD\_HHMMSS.zip.gpg

where the first segment is the same prefix as your xml files, the second segment is the date (YYYY-MM-DD) and the third segment is the time (HHMMSS). The file name extension must be *.zip.gpg*.

For example, Tester\_2015-07-29\_125345.zip.gpg



**Note:** If you are not sure how to name your zip files, Interactive Brokers will provide you with the proper file name prefix.

- » Do not upload individual XML files without the accompanying PDF forms because this will delay processing.
- » Do not upload encrypted XML files with PDF forms in a zip file. The zip file must be encrypted, NOT the individual XML file(s).
- » If there are two accounts (U101/U102) sending three agreements (A1/A2/A3), it is acceptable to have only three PDF files (A1.pdf; A2.pdf; and A3.pdf). In this case, the XML file should specify the same file names for each account. No specific naming convention is needed for the PDF files. Avoid using spaces and special characters in the PDF file names because they tend to create problems.

### Important Information About Regulatory Information AFFILIATION Status

In the XML file, there is a section about Regulatory Information which includes the RegulatoryDetails code "AFFILIATION." In your XML file, this is the line that reads **<RegulatoryDetails status="true" code="AFFILIATION" />**. For clients for whom the value of this code is set to true, you have two options:

#### Option 1: For EmployeeTrack Accounts

Reference the ET\_Company\_ID Excel spreadsheet. For example, modify the code in your XML file to read as follows:

```
<AffiliationDetails>
<affiliation_relationship>Wife is Employee</affiliation_relationship>
<person_name>Jane Nueman</person_name>
<company_id>14</company_id>
</AffiliationDetails>
```

#### Option 2: Not an EmployeeTrack Account

For example, modify the code in your XML file to read as follows:

```
<AffiliationDetails>
<affiliation_relationship>Self</affiliation_relationship>
<person_name>Karl Gustav Martin Eriksson</person_name>
<company>Covestor</company>
<company_mailing_address postal_code="02110" country="United States"
state="MA" city="Boston" street_1="175 Federal street, suite 825"/>
<company_phone>18668253005</company_phone>
</AffiliationDetails>
```


## 4. Testing Phase

When you are ready, we will test the sample data in your XML files in our QA environment and work with you to correct any errors. Here are the detailed steps in the testing process:

1. Prepare your XML files with sample client information. Use the sample XML files and Application XML Schema online documentation as guides.

Your Application XML files (for testing and production) must include:

- All required client information.
- Each client account application must include a unique [external ID](#), which we use to identify the account. Specify the external ID in the `external_id` attribute in the XML for the client. We cannot process two applications with the same external ID. Note that you can use your own user ID as the external ID.
- While funding (deposit notification) information is not required in your XML files, we encourage you to include it.
- Interactive Brokers agreements and disclosures, which must contain:
  - Electronic signatures (in our XML schema, this is the element `Signed By`, which is a child of the element `Document`);
  - The file name of each agreement or disclosure form sent, with each form sent separately in PDF format by account;
  - File length in number of bytes;
  - SHA1 checksum
  - Two timestamps: `exec_login_ts`, which represents the moment that the client logged in to your system; and `exec_ts`, the time at which the client effectively signed.

 **Note:** The PDF agreements and disclosures are locked; there is no reason for you to have to edit these files because actual client signatures are not required in the PDF forms that you send us. They ARE required in the XML file as indicated above.

2. Save the XML files and their accompanying PDF agreement and disclosure forms in a zip file encrypted with IB's public PGP key as described in [Rules for Submitting Files](#).
3. Upload the zip file(s) to the applications/incoming folder on our secure FTP site.

If you know that you uploaded a file that contains errors and we have not yet processed the file, let us know, and then delete the incorrect file from the secure FTP site, correct the errors, and replace it with the corrected file.

4. We retrieve the files that you uploaded and process them in our QA environment, and then we post encrypted test response XML files to our secure FTP site.
5. Download the test response files and ensure that you can decrypt them using your PGP key. Response file names follow this naming convention:

Prefix\_yyyy-mm-dd\_HHMMSS.xml.report.asc

where the first segment is the same prefix as the xml files that you submitted, the second segment is the date (YYYYMMDD) and the third segment is the time (HHMMSS).

6. Once you decrypt and open the test response files, you will be able to see their contents:
  - The status of your application: `Success` or `Error`.
  - Details of any errors.

If the status is `Success` (there are no errors), the response file will include the Interactive Brokers account number, username, temporary password and accepted or pending agreements and disclosures.

If the status is `Error`, you must correct the errors and then resubmit your file(s). When you resubmit the corrected XML files, you can continue to use the same external ID for each client application.

## 5. Production Phase

When you have successfully loaded several test accounts, let us know that you are ready to prepare and submit your client applications for production. The steps for preparing and uploading XML files and PDF forms and retrieving response files are nearly identical to the steps in the testing phase. The only difference is now you will be submitting actual client applications instead of sample applications.




**Note:** Your application must be reviewed and approved by compliance prior to switching to production.

Follow these steps:

1. Collect the real data from your applicants (your clients) via the user interface that you built.
2. Ensure that your XML files adhere to the guidelines listed in Step 1 in the section [Testing Phase](#) above.
3. Prepare one zip file for a single client account application for upload according to the guidelines listed in the section [Rules for Submitting Files](#) above. Make sure the zip file is encrypted, NOT the XML file contained therein.
4. Upload the zip file to our secure FTP site.
5. We will process the file. Files are processed only once; files that have been already processed are ignored.
6. Check the secure FTP site for our XML response file. Decrypt the response file. If there are any errors, correct them and resubmit the file. See Steps 5-6 in the section [Testing Phase](#) above for details.
7. If you need to update a client application that you have already submitted (for example, the client's marital status changed), and the application has not yet been successfully processed, you must resubmit the XML file using the same external ID as the original (resubmit the updated XML file along with the PDF forms in an encrypted zip file). If the application you need to update and resubmit has already been successfully processed, you must resubmit the XML file using a new external ID, and then [delete the incorrect client application using the Manage Clients > Dashboard page in Account Management](#).
8. If you forget to submit all of the required agreements and disclosure forms, you can submit a special XML file as described in the [FAQs](#) section.



9. Once that first file has been verified as being completely error-free, we will begin automatically checking the secure FTP site every 15 minutes from 03:00 AM EST to 16:10 PM EST (default). You can prepare and upload additional zip files for your client account applications.
10. Retrieve the response files from our secure FTP site.
11. Correct any errors indicated in the response files, and resubmit your files.
  - If we ask for additional documents (i.e. Proof of Address or Proof of Identity), email them to: [newaccounts@interactivebrokers.com](mailto:newaccounts@interactivebrokers.com). Be sure to include only the new Interactive Brokers account number in the subject line.
  - If no additional documentation is required, each client account will be submitted for approval. You can check the status of each account application on the [Manage Clients > Dashboard page in Account Management](#).
12. As Advisor or Broker, you are responsible for providing the account numbers, usernames and temporary passwords to your clients.
13. Each client must log in to reset his or her password to access Account Management once his or her client account has been approved and opened.

 **Note:** Temporary passwords do not expire; however, all clients MUST reset their temporary passwords upon logging in for the first time.

## Frequently Asked Questions

### 1. How do I submit XML files in Unicode (dual language encoding)?

Currently Chinese is the only non-English language we support in Application XML.

In ASCII, one character is coded with 1 byte, but in Unicode (UTF-8), up to 4 bytes are allowed per character to represent non-ASCII range characters such as Chinese symbols.

If you are submitting XML files with Unicode (non-ASCII) characters in Chinese, you must include the following in your XML files:

- » Indicate that you are using UTF-8 encoding by including the line `<?xml version="1.0" encoding="UTF-8" standalone="yes" ?>` in the standard header of the XML file(s).

- » Specify your language in the `Application` element by adding `input_language = '<language>[-<script>]'` to the element where  
`<language>` represents the shortest ISO 639 code (2 or 3 characters)  
`<script>` represents the ISO 15924 code (4 characters).

For example, for Simplified Chinese, your `Application` element with `input_language` would look like this (not case sensitive):

```
<Application input_language = 'zh-Hans'>.
```

If you do not indicate UTF=8 encoding, encoding is defaulted to ASCII. If the `input_language` attribute is missing, then the default value `en` (for English) is used.

## 2. What is the External ID?

The external ID is a unique identifier that is represented in the XML file by the attribute `external_id`. The external ID must be unique for each account application; we cannot process two applications with the same external ID. You can use your own user ID in this field.

The `external_id` is an attribute of the following complex types in the XML file:

- » Customer
- » Individual
- » Account
- » User

The external IDs can be the same for all four unless there are multiple individuals. If there are multiple individuals in an application (i.e., secondary holder in a joint account or IRA beneficiaries), then the external ID must be unique for each individual.

The user external ID would be the same ID as the account holder.

Individual Example:


- » Customer `external_ID= ANAGY001`
- » Individual (account holder) `external_ID= ANAGY001`
- » Account `external_ID= ANAGY001`
- » User `external_ID= ANAGY001`

IRA Example:

- » Customer `external_ID= ANAGY002`
- » Individual (account holder) `external_ID= ANAGY002`
- » Individual (beneficiary) `external_ID= ANAGY00248`
- » Account `external_ID= ANAGY002`
- » User `external_ID= ANAGY002`

### 3. Which funding methods can I use to fund new accounts?

Only ACATS (full or partial), ATON, ACH (initiated by bank only), wire and check deposits are supported.

 **Note:** If you are submitting a wire deposit notification in Hong Kong Dollars (HKD), ask sales engineering for more information.

### 4. What is the minimum deposit required to open a client account?

5,000 USD.

### 5. What are the rules for account usernames?

Usernames are eight or nine characters long and must contain five or six lower-case letters and three numbers. You only need to provide the five lowercase letters; Interactive Brokers will append three or four numbers to complete the username.

### 6. What format do I use for Advisor Fees using Percent of Net Liquidation Value (%NLV)?

Enter your %NLV using the following example:

For 2%, enter 2, not 0.02.

 **Note:** You can set the advisor fee or use an existing fee template in the XML application.

### 7. What do I use for the Identification element?

For US: Social Security Number (`SSN` attribute).

For non-US, one of the following:

- » License (`DriversLicense` attribute)
- » National ID (`NationalCard` attribute)
- » Passport (`Passport` attribute)
- » Alien ID (`AlienCard` attribute).

**8. Which XML element do I use for a new application?**

The only XML element you will use is `Applications`. Disregard all other XML elements.

**9. For the `AccreditedInvestorInformation` complex type, there are five unnamed booleans == `q1,q2,q3,q4,q5`. What do these do?**

You can ignore these obsolete items.

**10. What values are allowed in the `country` attribute?**

The full country name as shown in the NAME column of the *Country\_Codes.csv* file or the 3 character ISO code, part of the supporting documentation that we email you.

 **Note:** The ISO code must be used for states.

**11. What happens if I submit a new application with an older timestamp than a previously submitted application?**

The order of application submission has no effect on the Application XML.

**12. What time zone should I use for the two timestamps `exec_login_ts` and `exec_ts`?**

All of our times are based in New York (EST or EDT).

**13. What encryption options are available?**

PGP only.

**14. What if I forget to submit specific required agreements or disclosures?**

You can submit them by uploading an XML file to our FTP site. Name your file *submit\_additional\_docs.xml* and use the following sample as a guide:

```
<?xml version="1.0" encoding="US-ASCII" standalone="yes"?>
<AcctMgmtRequests xmlns="http://www.interactivebrokers.com/schemas/IBCust_import">
<DocumentSubmission reference_account_id="U1110000">
  <Document form_no="3007" exec_ts="20140620165825" exec_login_
  ts="20140620195825">
    <SignedBy>Test Tester</SignedBy>
    <AttachedFile file_name="3007.pdf" file_length="10896" sha1_
    checksum="d3da37913817130fa62479905267361bffd090c7" />
  </Document>
</DocumentSubmission>
</AcctMgmtRequests>
```

**15. What happens if exactly the same file name gets submitted for two separate clients - for example, two clients open accounts at the same time and we generate one xml file per client - at the exact same time (hour-minute-seconds)?**

If both files have exactly the same file name, the second file will overwrite the first. The file names must be different.

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