Getting Started Guide

Proprietary Trading Group

Pool Account

InteractiveBrokers

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1

Proprietary Trading Group Pool Account Getting Started Guide

Getting Started as a Proprietary Trading Group Pool Account

This Getting Started guide provides a comprehensive collection of the tasks you will want to complete as a new IB Proprietary Trading Group Pool Account Master User. Proprietary Trading Group accounts provide institutions with the flexibility of trade execution, clearing and prime broker services all within the same account. As the Master user in a Pool account, you set up multiple traders to enter orders in a single, pooled account.

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

- That the Master account has been approved and funded.
- That you are the Master user.

Must Consider:

- Understand how to Log in to Account Management
- Activate your Secure Login System device
- Understand the process and timing of account funding, including:
  - Master Account Funding
  - Check Account Funds Status
- Perform additional configuration tasks, including:
  - Set Trading Permissions
  - Add Users to the Master Account
  - Modify User Access Rights
- Trade:

- Subscribe to Market Data
- Log in to TWS
- Add Market Data Lines
- Use Real-time Activity Monitoring

» Familiarize yourself with our reporting system.

May Want to Consider:

» Use Post Trade Allocations
» Open a Paper Trading Account
» Investors' Marketplace
» Adding Administrators

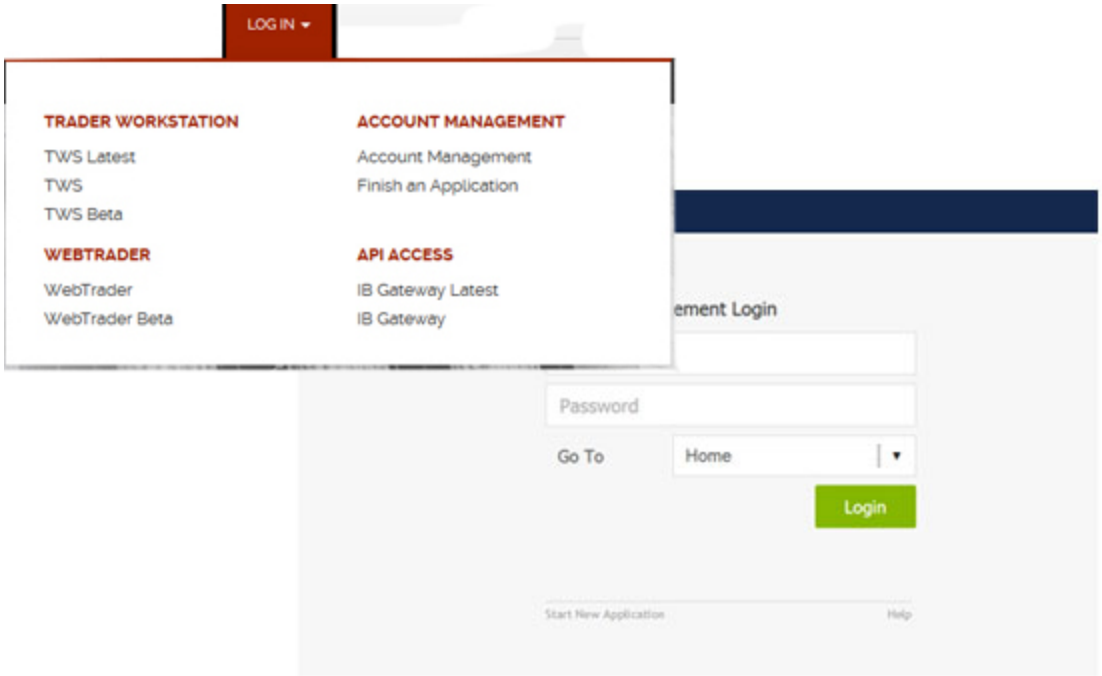
Log In to Account Management

There are two ways to access Account Management:

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

To log in to Account Management from the IB website

1. From IB's website, select **Account Management** from the Login dropdown list in the upper right corner.



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

To access Account Management from Trader Workstation

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

For more information

- Failed Login Attempts
- Automatic Logoff

Failed Login Attempts

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

Automatic Logoff

If you are logged into Account Management and the system detects no activity for 30 minutes, your Account Management session will automatically expire and you will have to log back in. A message appears warning you that you will automatically be logged out without further activity.

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

Secure Login System

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

You have 14 days from the day we mail you your IB Security Device to activate the device in Account Management. After 14 days, you are required to use the device to log into Account Management and Trader Workstation. If you receive the device before 14 days, you can access Account Management and

Trader Workstation without using the device until you activate it or until 14 days have passed. Once you activate the device, you must use it to log into Account Management and TWS.

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

To activate your Secure Login Device

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

For more information

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

3

Funding

Funding is an important part of the application process.

This section describes how to fund your Proprietary Trading Group Pool account.

The following topics are included:

- Master Account Funding
- Check Account Funds Status

Master Account Funding

To deposit funds into your Master account, log in to Account Management, then click **Funding > Fund Transfers**.

You can use any of the following methods to fund your Master account:

- Check
- Wire
- US Automated Clearing House (ACH) fund transfer
- Automated Customer Account Transfer Service (ACAT) transfer
- IB internal transfer

For more information

- For detailed instructions on depositing funds, see the Depositing Funds topic in the Funding chapter of the Account Management Users' Guide.
- For specific details on Deposit Notifications, Transfers, and other funding issues, see the Funding Reference on our website.
- For detailed rules about required minimums, see the Required Minimums page on our website.

Check Account Funds Status

Pool account users can check the status of any fund transaction within the last 90 days for their account at any time on the **Transaction History** page in the *Funding* menu of Account Management, as long as they have been granted access rights to Funding when they were added to the account.

Transaction History

Print Export

10 Days

Smart Search: Account ID, Title, Transaction Type, Method

Date	Account ID	Title	Type	Method	Amount/Position	Status
2014-11-21	[illegible]	[illegible]	Deposit	CHECK	USD 234.00	Pending Receipt
2014-11-21	[illegible]	[illegible]	Deposit	CHECK	USD 40.00	Pending Receipt
2014-11-21	[illegible]	[illegible]	Deposit	WIRE	USD 23,021.00	Pending Receipt
2014-11-21	[illegible]	[illegible]	Deposit	WIRE	USD 98.00	Pending Receipt
2014-11-20	[illegible]	[illegible]	Withdrawal	WIRE	GBP 105.00	Cancelled
2014-11-20	[illegible]	[illegible]	Withdrawal	WIRE	USD 29.00	Pending
2014-11-18	[illegible]	[illegible]	Withdrawal	WIRE	USD 61.00	Not Confirmed
2014-11-17	[illegible]	[illegible]	Withdrawal	WIRE	USD 32.00	Not Confirmed
2014-11-17	[illegible]	[illegible]	Withdrawal	WIRE	USD 23.00	Not Confirmed
2014-11-17	[illegible]	[illegible]	Deposit	WIRE	GBP 2.00	Pending Receipt
2014-11-13	[illegible]	[illegible]	Withdrawal	WIRE	USD 11.00	Not Confirmed
2014-11-11	[illegible]	[illegible]	Withdrawal	WIRE	USD 1,000.00	Not Confirmed

The Transaction History page shows all cash transactions, position transfers, bank instructions and internal transfers initiated in the last 10 - 90 days. Use the slider to select the time period, and then use the Smart Search to search by Account ID, Title, (transaction) Type or (transaction) Method; or resort the list of transactions by clicking any column heading.

You can also check the cash balance of for your account at any time on the **Fund Transfers** page in the Funding menu of Account Management. The page displays the Cash Balance, Cash Available for Withdrawal, Withdrawable cash that is subject to any origination restrictions (including ACH deposits initiated by the customer via the IB website) and the amount of any pending deposit that has not yet posted to the account.

4

Configuration

This section describes the most important configuration tasks you may have to complete, including the following:

- Set Trading Permissions
- Add Users to the Master Account
- Modify User Access Rights
- Delete Users from an Account

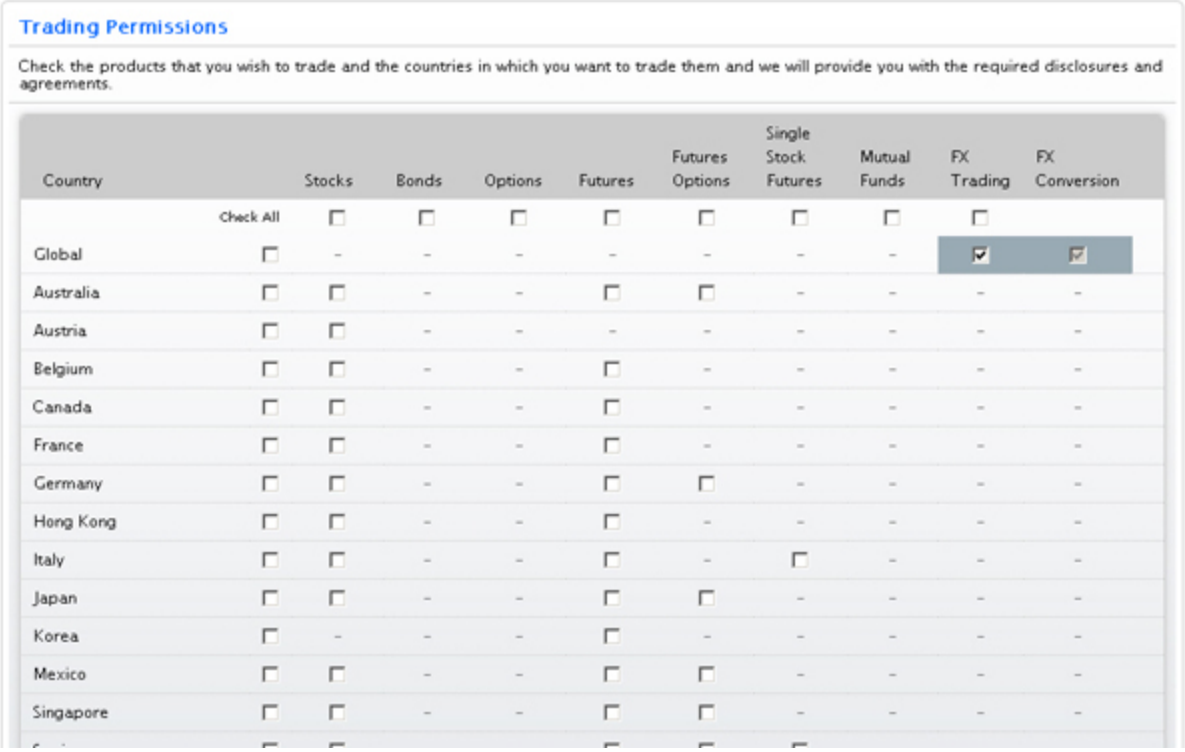
For more information

- Short Video - Account Configuration

Set Trading Permissions

Trading permissions identify products to trade and the countries in which to trade them. As the Master user for a Pool account, you are responsible for configuring the trading permissions for your account.

Configure trading permissions in Account Management on the **Manage Account > Trade Configuration > Permissions** page.



Trading Permissions

Check the products that you wish to trade and the countries in which you want to trade them and we will provide you with the required disclosures and agreements.

Country		Stocks	Bonds	Options	Futures	Futures Options	Single Stock Futures	Mutual Funds	FX Trading	FX Conversion
	Check All	☐	☐	☐	☐	☐	☐	☐	☐	
Global	☐	-	-	-	-	-	-	-	☑	☑
Australia	☐	☐	-	-	☐	☐	-	-	-	-
Austria	☐	☐	-	-	-	-	-	-	-	-
Belgium	☐	☐	-	-	☐	-	-	-	-	-
Canada	☐	☐	-	-	☐	-	-	-	-	-
France	☐	☐	-	-	☐	-	-	-	-	-
Germany	☐	☐	-	-	☐	☐	-	-	-	-
Hong Kong	☐	☐	-	-	☐	-	-	-	-	-
Italy	☐	☐	-	-	☐	-	☐	-	-	-
Japan	☐	☐	-	-	☐	☐	-	-	-	-
Korea	☐	-	-	-	☐	-	-	-	-	-
Mexico	☐	☐	-	-	☐	☐	-	-	-	-
Singapore	☐	☐	-	-	☐	☐	-	-	-	-

For more information

» For additional information about the products and countries which are available, see the Trading Permissions and Market Data page on our website.

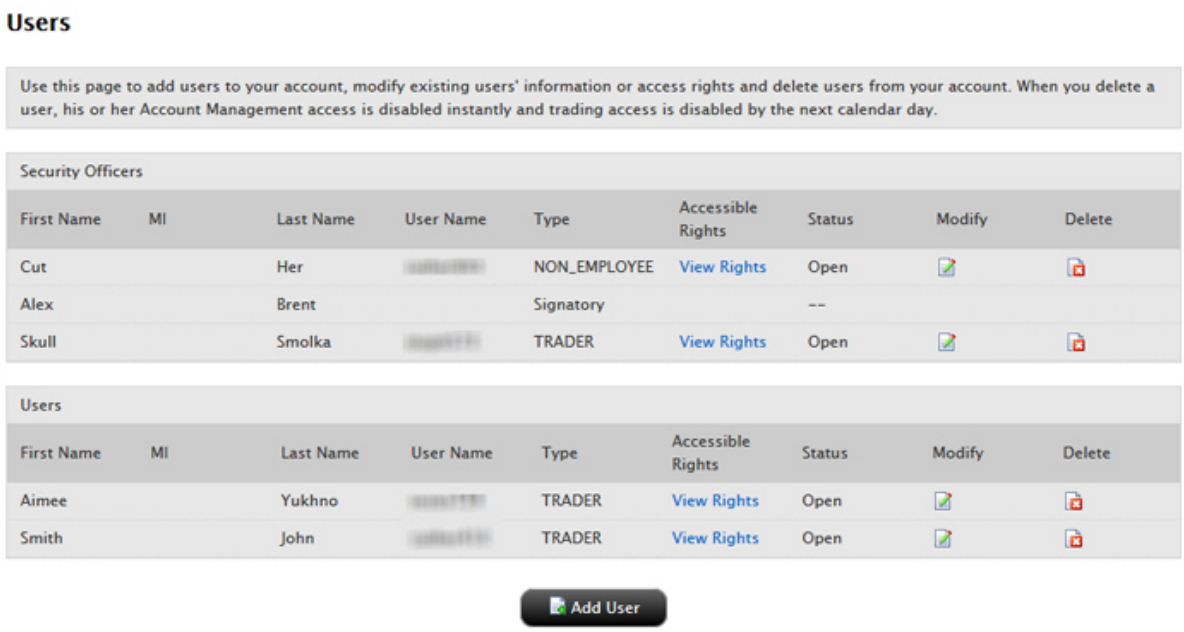
Add Users to the Master Account

You can add users to your account and grant them access to a set of Account Management functions such as trading access for additional traders, reporting access for auditors, and so on.

If you designated an additional person or persons as a Security Officer in your account application, then the Security Officer will be the person who adds users to your account. For more information on Security Officers, see our User Access Rights Guide.

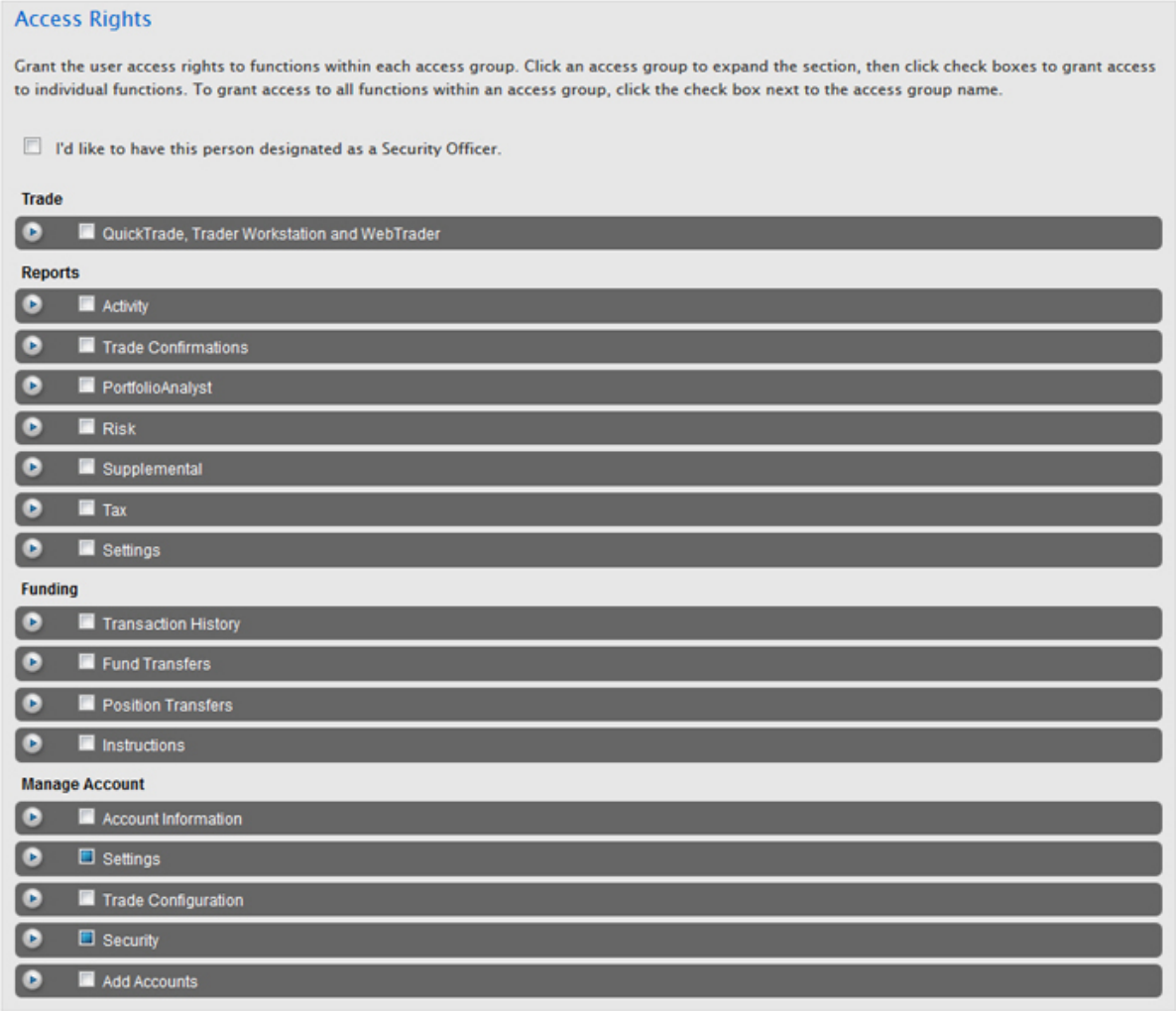
To add a user to the master account

1. Log in to Account Management.
2. Click **Manage Account > Access Rights > Users**.



3. Click **Add User**.
4. On the Add User page, enter all required information, including name, six-character username prefix, password, and email address.
5. On the same page, assign Account Management functions to the user by clicking the appropriate check boxes in the Access Rights section. Access groups correspond to Account Management menus.
   - To designate the user as a Security Officer, click the **I'd like to have this person designated as a Security Officer.** check box.
   - Click an access group to expand the section, then click check boxes to grant access to individual functions.
   - Note that all account users automatically get rights to Security functions (Change Password, Security Device, Security Device Sharing and Voting Subscriptions), which are located in the Manage Account > Security group, and the functions in the Manage Account > Settings access group (Change Email Address).
   - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access the function in Account Management.
   - Some functions, such as Funding withdrawals and internal fund transfers, allow you or your account's Security Officer to designate users as Primary or Secondary Authorizers. This feature

lets you add a layer of security that requires additional authorization to perform some Account Management functions, such as funding. See our User Access Rights Guide for more information.



6. Click **Continue**.
7. Verify that all the information is correct, then click **Continue.**

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

   If you have not received a confirmation number, click **Request Confirm #** to have a confirmation number sent to your email address on record.
9. Click **Cancel** to cancel your changes.

Once the user has been successfully created, in order to complete the process, the new user will be required to complete additional verification steps, by logging into Account Management with the username and password which were created.

For more information

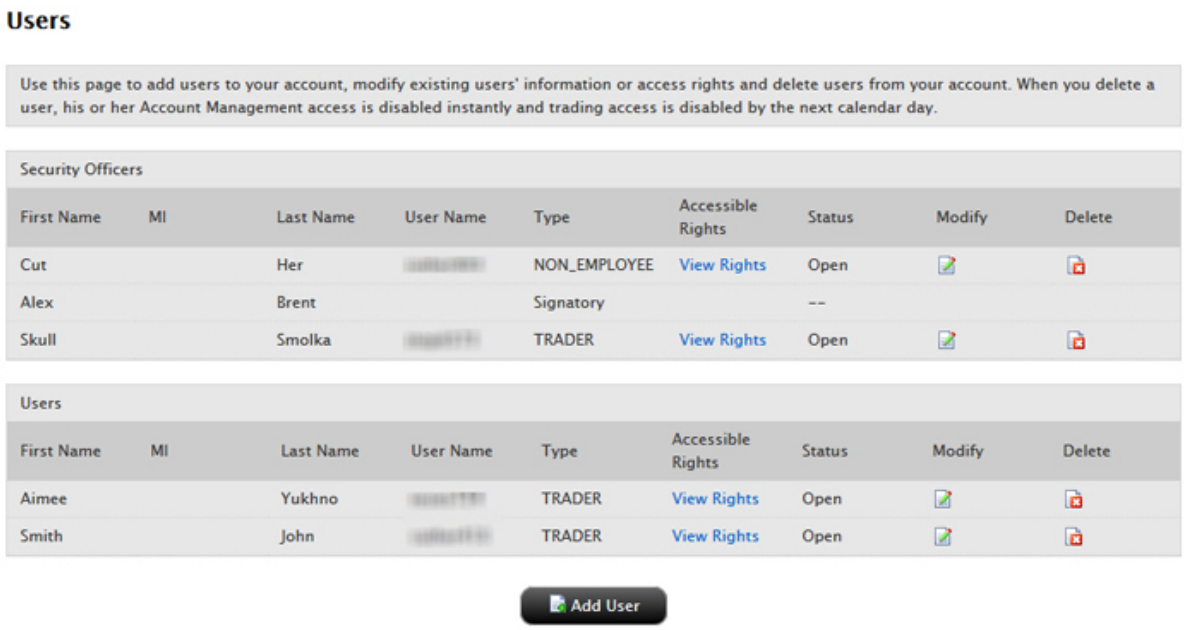
- For details about Security Officers, see the Security Officers topic in the User Access Rights Guide.
- For more information about user access rights, see the User Access Rights Guide.

Modify User Access Rights

You modify Account Management access rights for an existing user on the User Access Rights page. For example, if you add a user to your account, you may want to modify the user's access rights at a later date.

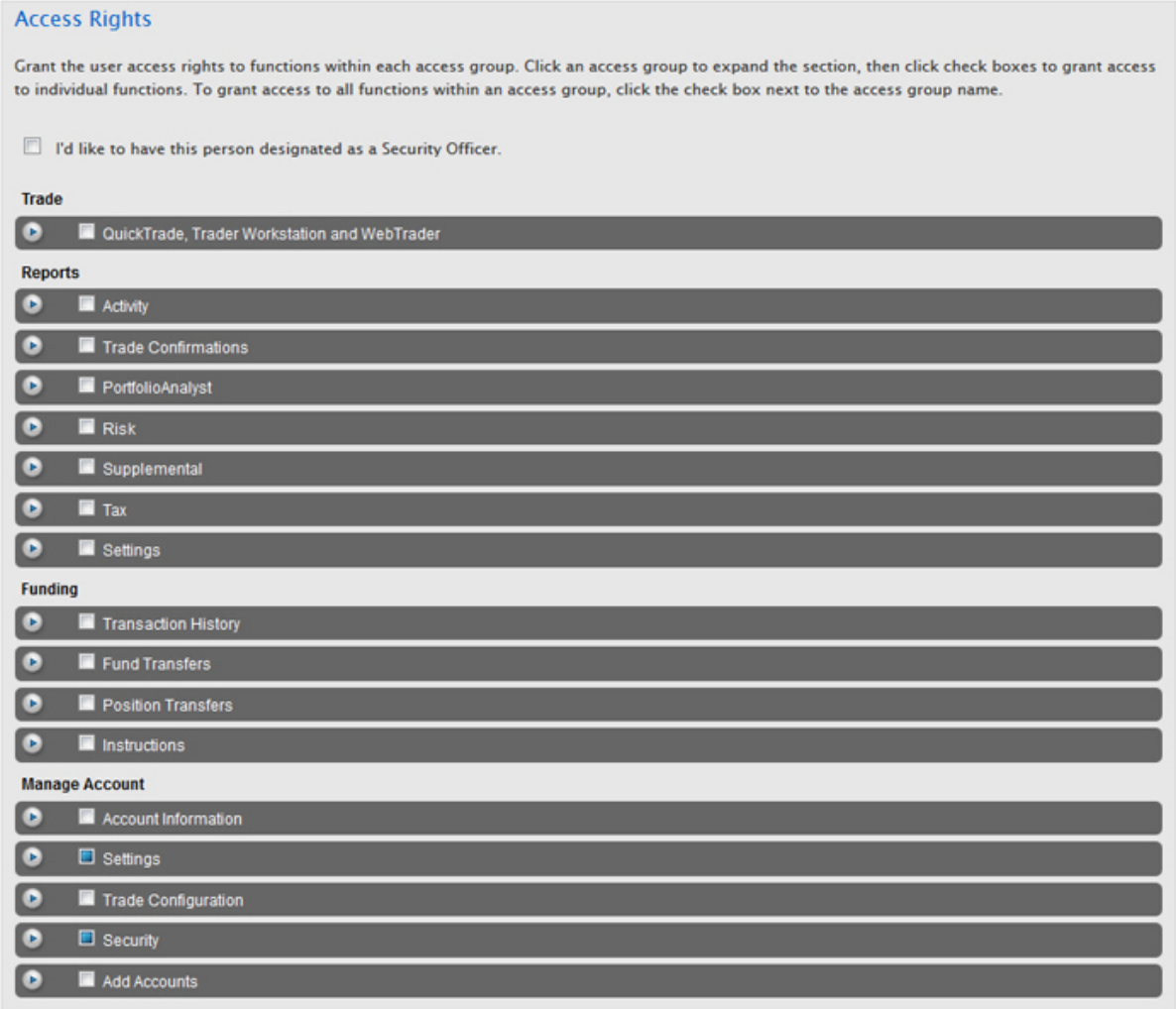
To modify access rights for an existing user

1. Log In to Account Management.
2. Click **Manage Account > Access Rights > Users**.



3. Click the *Modify* icon for the user whose access rights you want to modify.

4. On the next page, modify the access rights for the user by selecting or deselecting check boxes next to the available Account Management functions, including changing any authorization privileges you may have assigned or need to assign. Click **Continue**.
   - To designate the user as a Security Officer, click the **I'd like to have this person designated as a Security Officer.** check box.
   - Click an access group to expand the section, then click check boxes to grant access to individual functions.
   - To grant access to all functions within an access group, click the check box next to the access group name. If a function is not checked, the user will not be able to access the function in Account Management:



5. Verify that all the information is correct, then click **Continue**.
6. If you need to make further changes, click **Back**, then make corrections before submitting.
7. Enter the confirmation number sent to you via email, then click **Continue**.

   If you have not received a confirmation number, click **Request Confirmation Number** to have a confirmation number sent to your email address on record.

8. Click **Cancel** to cancel your changes.

Delete Users from an Account

To delete a user from the account

1. Click **Manage Account > Access Rights > Users**.
2. Click the *Delete* icon for to the user you want to delete.

Account Management access for that user is disabled instantly and Trading Access is disabled by the next calendar day.

5

Trading

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

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

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

For more information

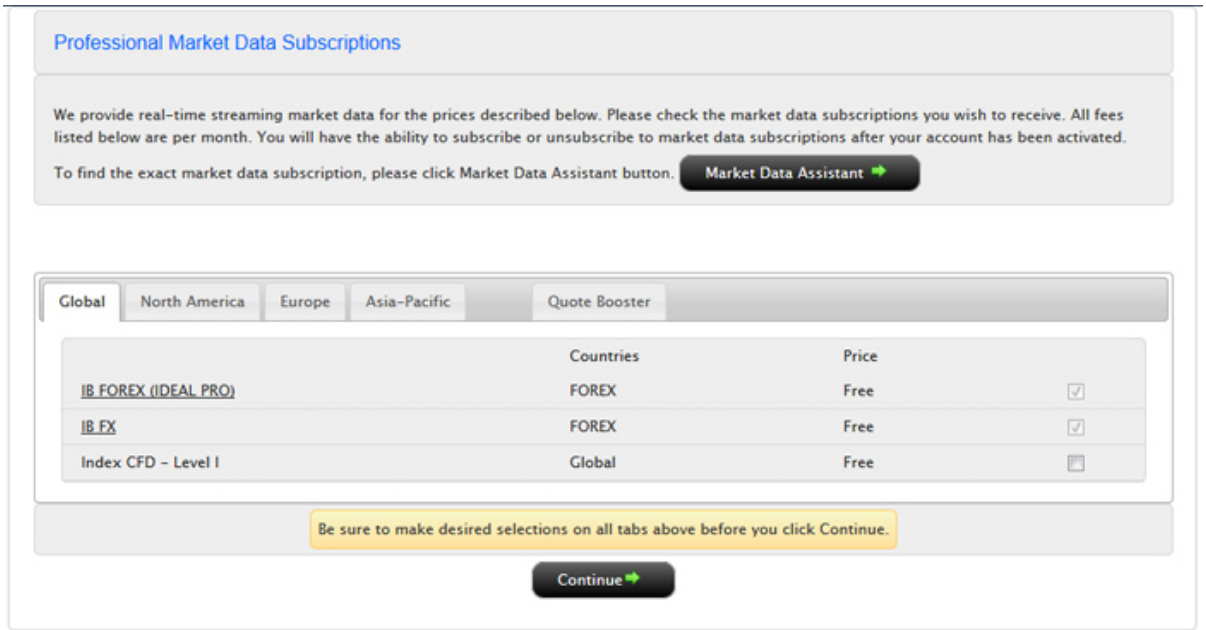
- For complete information on Trader Workstation, see the Trader Workstation Users' Guide.

Subscribe to Market Data

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

To subscribe to Market Data

1. Login to Account Management.
2. Click **Manage Account > Trade Configuration > Market Data**.



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

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

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

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

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

Log in to TWS

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

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

trade.

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

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

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

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

For more information

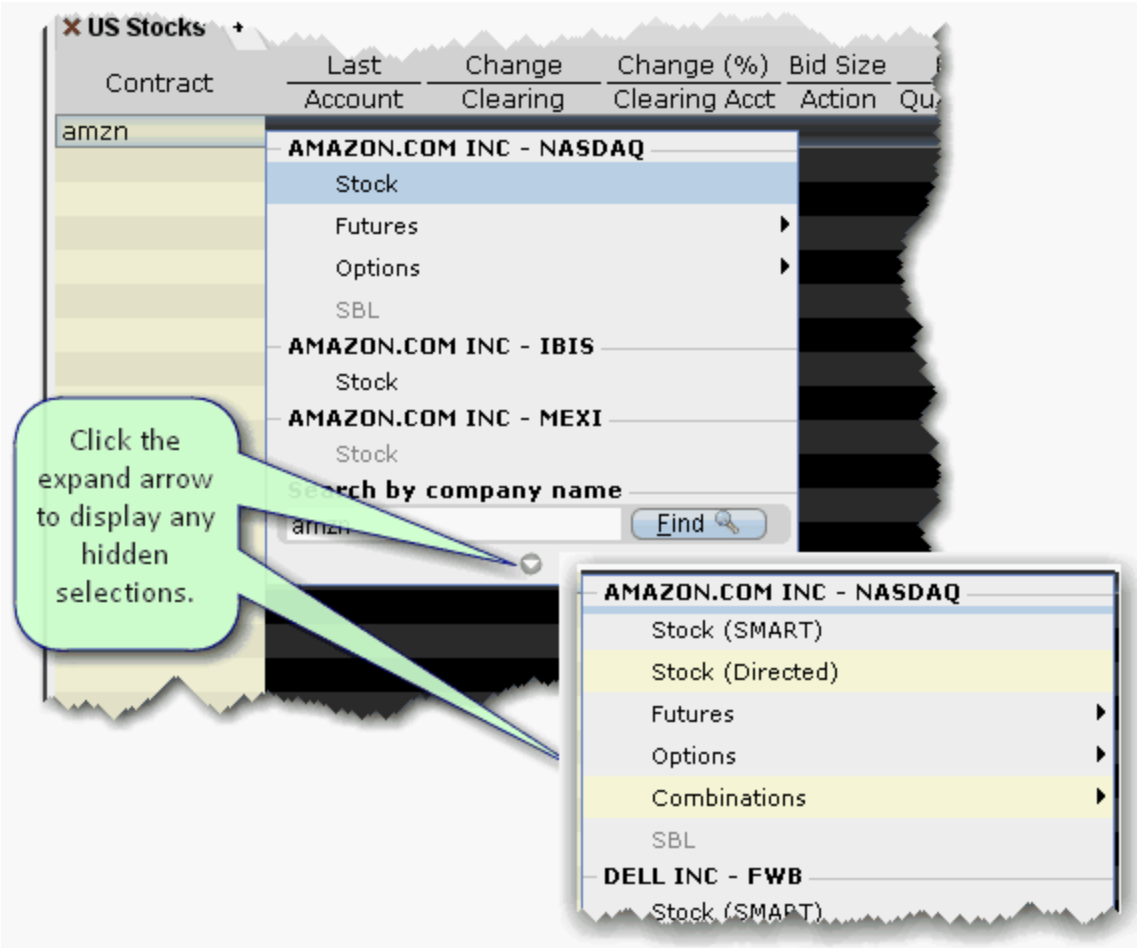
» To learn more about using the browser-based TWS versus the standalone version, see the TWS Users' Guide.

Add Market Data

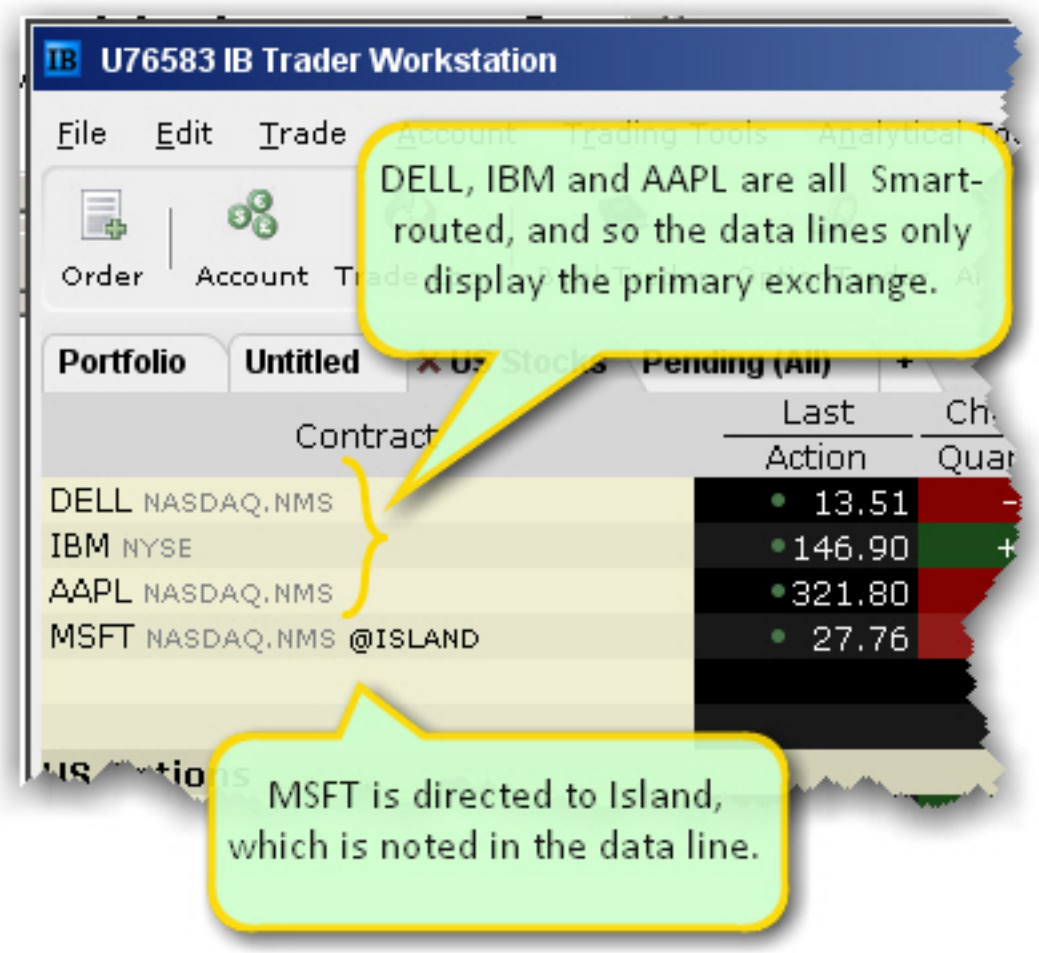
Next, you'll want to add market data, or ticker lines, for the products you want to trade. Although you can trade without market data, we don't recommend it.

To add market data lines to the Quote Monitor

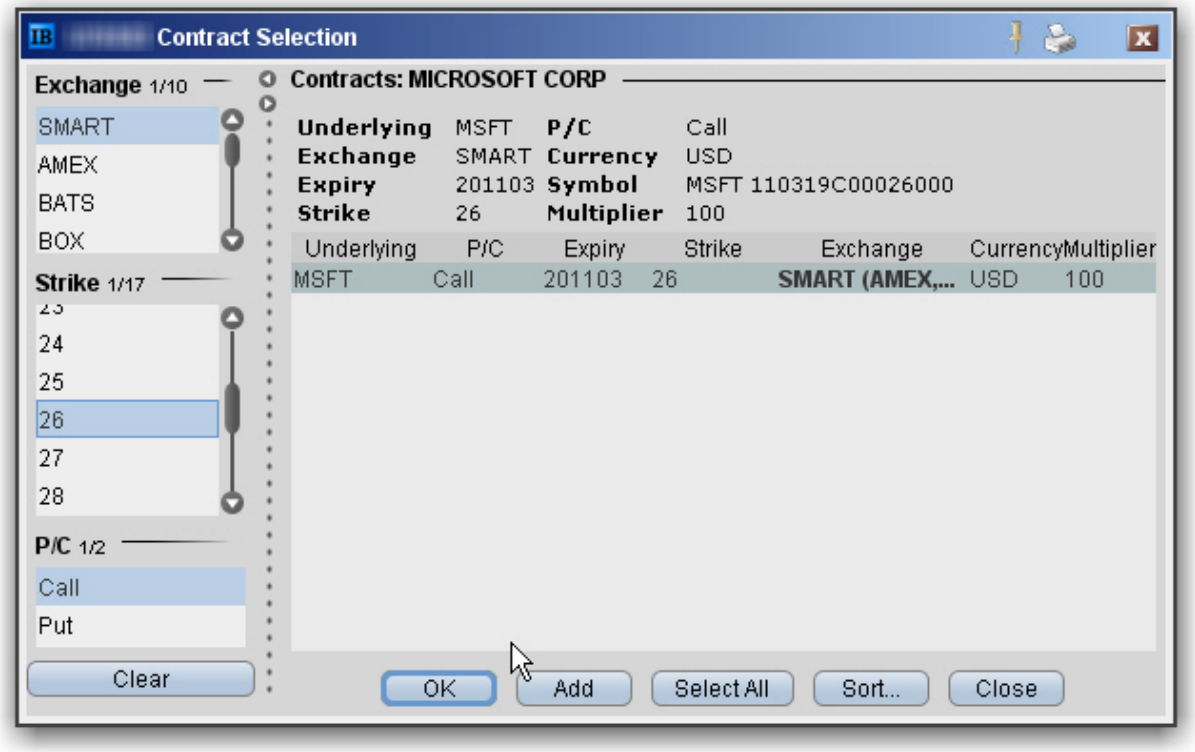
1. Click in the *Contract* field in an empty row.
2. Enter an underlying symbol and press **Enter**.



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



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



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

For more information

» For more information on market data in TWS, see the TWS Users' Guide.

Real-time Activity Monitoring

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

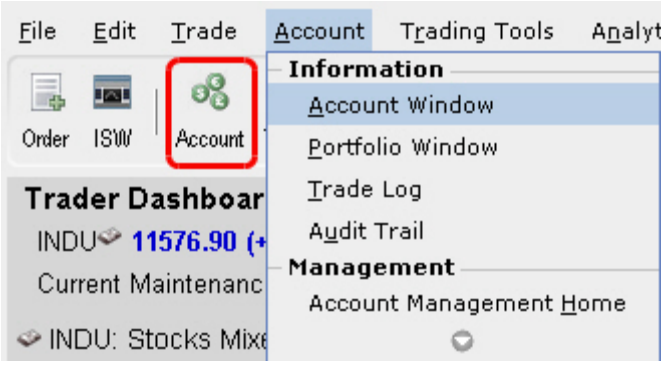
The Account window is divided into the following sections:

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

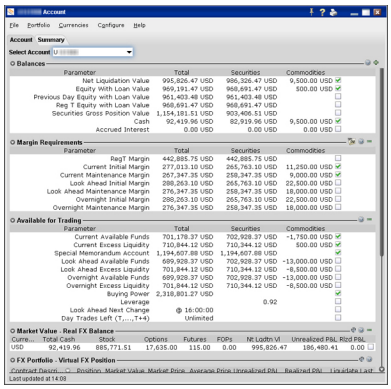
- Margin Requirements, which show your initial and maintenance margin requirements based on your current portfolio.
- Available for Trading, which tells you what you have for additional trades and cushion before liquidation, based on your balance information and margin requirements.
- Market Value, shows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

To open the Account window

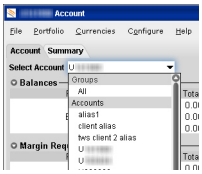
1. On the main trading Toolbar, click the **Account** icon, or select *Account Window* from the **Account** menu.



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



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



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

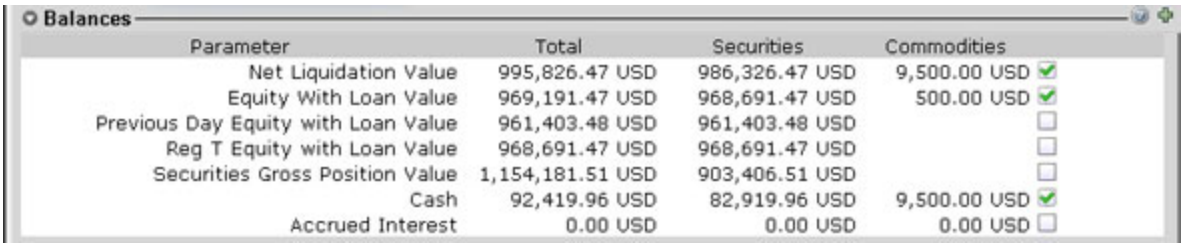
On the Summary page, choose to view the account summary for All accounts, or for any Account Group.

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

View Account Balances

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

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



Balances

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

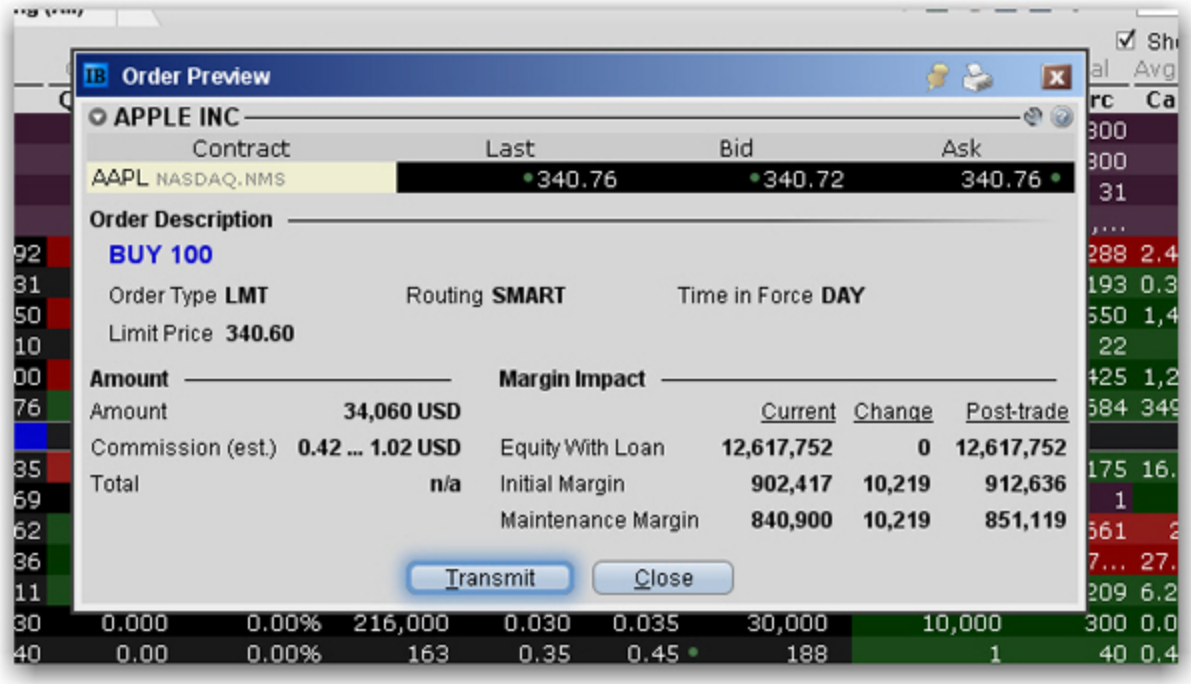
Real-time Margin Monitoring

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

Margin Requirements

Parameter	Total	Securities	Commodities
RegT Margin	442,885.75 USD	442,885.75 USD	
Current Initial Margin	277,013.10 USD	265,763.10 USD	11,250.00 USD
Current Maintenance Margin	267,347.35 USD	258,347.35 USD	9,000.00 USD
Look Ahead Initial Margin	288,263.10 USD	265,763.10 USD	22,500.00 USD
Look Ahead Maintenance Margin	276,347.35 USD	258,347.35 USD	18,000.00 USD
Overnight Initial Margin	288,263.10 USD	265,763.10 USD	22,500.00 USD
Overnight Maintenance Margin	276,347.35 USD	258,347.35 USD	18,000.00 USD

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



To preview margin impact

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

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

Monitor Margin Requirements

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

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

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

Try PM

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

Margin Warnings

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

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

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

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

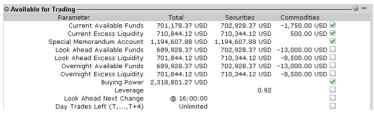
For more information

» See the Margin pages on the IB website for details on margin calculations.

View Available for Trading Values

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

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



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

View Market Value

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

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

IB | In Transit

Market Value

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

View FX Portfolio Values

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

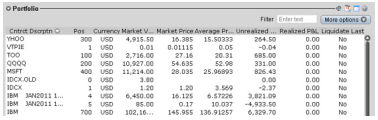
FX Portfolio

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

Portfolio

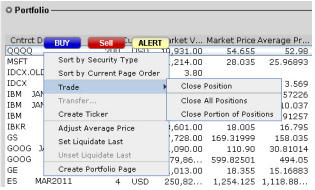
View Portfolio Values

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



The Right-Click Portfolio Menu

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



6

Reporting

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

- Activity Statements
- Customized Statements
- Third-Party Downloads
- Trade Confirmations
- Flex Queries
- Margin Reports
- Stress Test Report
- Value at Risk Report
- PortfolioAnalyst

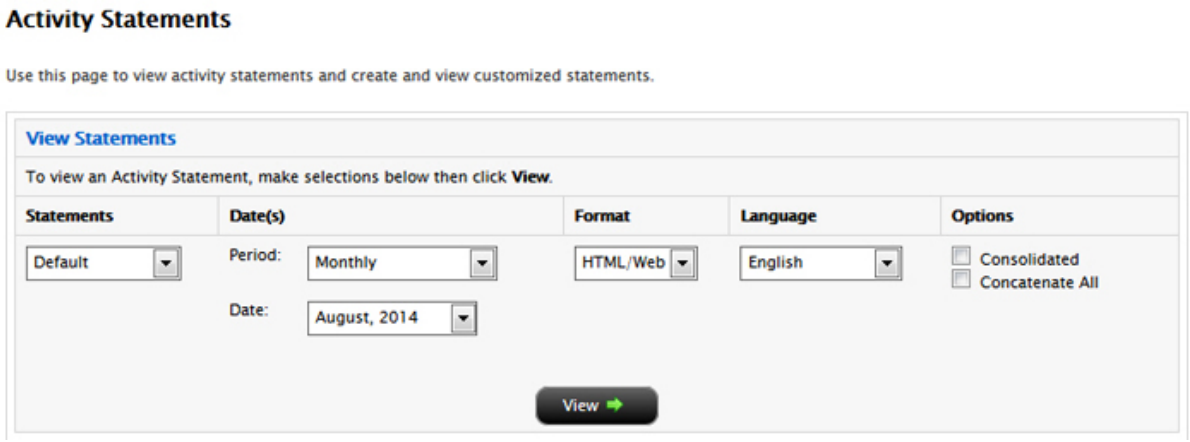
Activity Statements

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

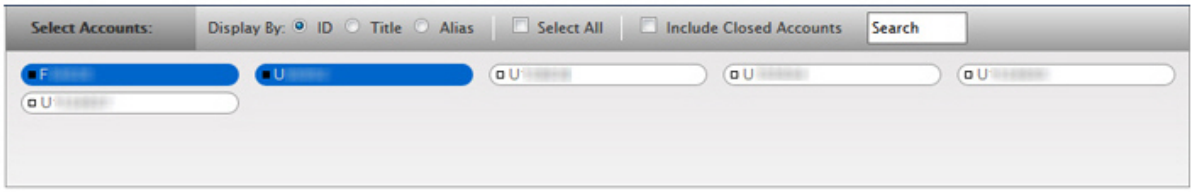
- Activity Statements include these features:
- Expandable and contractible sections with click-down detail.
- Performances summary by asset class for a quick view of an account's profitability.
- Profit and loss across all transactions, positions, underlying instrument and asset class, under First In, First Out (FIFO), Last In, First Out (LIFO), Maximize Losses and Mark-to-Market (MTM) calculation methods, depending on the client’s selection.
- Details of change in position value for the statement period.
- Calculation of FX translation gains and losses for accounts with multiple currencies.

To generate an activity statement

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



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



4. In the View Statements section of the page, make the following selections:
   - In the Statements list, select the statement you want to use for the statement.
   - In the Date(s) field, select the period (*Daily*, *Custom Date Range*, *Monthly* or *Calendar Year*). For Custom Date Range, select the From and To dates, which define the period covered by the statement. For Daily statements, you can select a specific date or the last business day. For Monthly statements, you can select the last month or a specific month. For Calendar Year (annual) statements, you can select a specific year.
   - In the Format field, select either HTML/WEB, PDF or Excel, depending on how you want to view the statement.
   - In the Language field, select your desired language.
   - If you selected more than one account in the Account Selector, and want to view a consolidated statement, select the **Consolidate Selected** check box. This check box ONLY appears if you

selected more than one account in the Account Selector (or if you selected one or more accounts in a Household in the selector). You can also generate statements for all accounts in a single statement (multiple statements are joined together in a single statement) if you select your own master account in the Account Selector and then select the **Concatenate All** check box.

- If you select your own master account in the Account Selector, you have access to client-only consolidated and concatenated statements.

5. Click **View** to generate the activity statement. If you selected *PDF* as the Format, you will be prompted to open the generated report or save it to your computer.

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

Interactive Brokers

Activity Statement
November 6, 2013

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

Help | Expand All | Contract All | Print

Account Information

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

Net Asset Value (NAV) In Base Currency

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

Cash Report

	Total	Securities	Futures	IB-UKL	Month to Date	Year to Date
Base Currency Summary						
Starting Cash	724.82	724.82	0.00	0.00		
Ending Cash	724.82	724.82	0.00	0.00		
Ending Settled Cash	724.82	724.82	0.00	0.00		

Base Currency Exchange Rate

Codes

Notes/Legal Notes

General:

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

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

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

For more information

» To learn more about activity statements, including an explanation of each statement section, see the Reporting Guide.

Customized Activity Statements

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

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

For more information

- For more information on how to create a customized activity statement, see Customized Statements in the Reporting Guide.

Third-Party Downloads

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

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

In addition, the following downloads are available upon request:

- Daily Captools Downloads - Daily Captools downloads are available for customers upon request. Send your request to enable Captools downloads to reportingintegration@interactivebrokers.com. Note that Captools downloads are not available to Non-Disclosed Broker Clients. If you request Daily Captools Downloads, the Activity Downloads page will contain an additional section for Daily Captools Downloads.
- PortfolioCenter® (intended for institutional accounts; you must request downloadable files from your IB Sales Representative first).

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

For more information

- For more information about activity downloads, see the Third-Party Downloads topic in the Reporting Guide.
- For a complete list of offerings for institutional accounts, including PortfolioCenter®, open the Reference Menu in Account Management (click **Reference** in the lower right corner of any screen in Account Management), then click **Reports > Third Party Integration**.

Trade Confirmations

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

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

Here is an example of a Trade Confirmation report.

Interactive Brokers

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

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

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Account Information

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

Trades

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

Contract Information

Codes

Order Types

Notes/Legal Notes

General:

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

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

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

For more information

» For detailed instructions on how to view trade confirmations, see the Trade Confirmations topic in the Reporting Guide.

Flex Queries

Flex Queries let you specify exactly which fields you want to view in your Activity Statement or Trade Confirmation report, the time period you want the report to cover, the order in which you want the fields to display, and the display format, TEXT or XML, in which you want to view your report.

You can create multiple templates with different fields for each statement. All of your templates are stored in and run from Account Management. An Activity Flex Query is different from an Activity Statement customized template in that you can customize a flex query at the field level, allowing you to include and

exclude detailed field information. Activity Statement customized templates only let you include and exclude sections.

You generate and run Activity Flex Queries from the Activity Flex page. You generate and run Trade Confirms Flex Queries from the Trade Confirmation Flex page. Both are accessible from the **Reports** menu in Account Management.

For more information

» For detailed instructions, see the Reporting Guide.

Margin Reports

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

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

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

Interactive Brokers

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

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

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Account Information ?

Margin Summary ?

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

Legal Notes

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

For more information

» For detailed instructions on how to view a margin report, see the Margin Reports topic in the Reporting Guide.

Stress Test Report

The Stress Test report lets you see the change in the Profit and Loss (PNL) of your positions if the underlying price of each of your positions declines by 3%, 5%, 10%, 20% and 30% and independently increases by 3%, 5%, 10%, 20% and 30%.

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

For more information

» For detailed instructions, see the Stress Test Report topic in the Reporting Guide.

Value at Risk Report

The Value at Risk Summary report calculates your Value at Risk (VAR) at a 99, 99.5 and 100% confidence levels using Principle Component Analysis. Because of the complexity of the calculations required, this

report is completed overnight and is only available once a day. If you need real-time VAR, use the IB Risk Navigator℠ in Trader Workstation, which uses a simpler calculation.

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

Here is an example of a Value at Risk report.

Interactive Brokers

Value at Risk Report
April 8, 2014

Interactive Brokers LLC, Two Pickwick Plaza, Greenwich, CT 06830

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Account Information ?

Value at Risk Summary ?

Account	Variance-Covariance Method VaR	Historical Method VaR
USD (Base Currency)		
U000000	599.66	1,607.67

Value at Risk Details ?

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

Notes ?

For more information

» For additional information on how to generate the report, see the Value at Risk topic in the Reporting Guide.

PortfolioAnalyst

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

Proprietary Trading Group Master users can also create and save cover letters called *synopses* and assign them to Detailed PDF reports.

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

For more information

» For detailed instructions on using PortfolioAnalyst, see the Reporting Guide.

7

Other Features

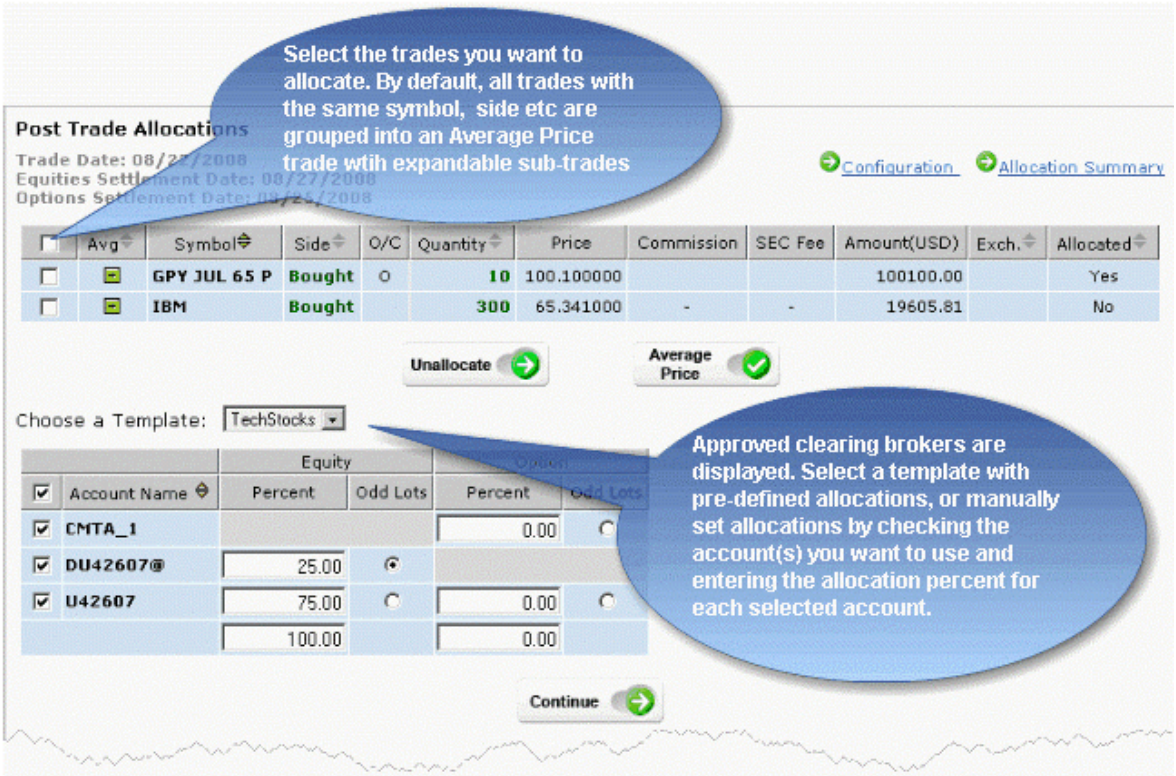
This section introduces you to some of the other features available to Hedge Fund Investment Managers at IB, including the following:

- Use Post Trade Allocations
- Open a Paper Trading Account
- Investors' Marketplace
- Adding Administrators

Use Post-Trade Allocations

Post trade allocations let Proprietary Trading Group STL Master users quickly and easily allocate some or all trades to defined clearing brokers.

You must define settlement instructions via the Funding menu in Account Management before you will be able to allocate post trade. For information about settlement instructions, see Settlement Instructions in the Account Management Users' Guide.



Access post trade allocations by logging into Account Management, then clicking **Trade > Post Trade Allocations** in the menu. You can specify post-trade clearing instructions at any time during the trading day, from minutes after execution until 6:00 pm ET. Post trade allocations let you:

- Allocate any time during the day up until 6:00 pm ET. After this time, your trades will automatically be allocated using the selected default clearing destination.
- Quickly unallocate any trades before 6:00 pm ET.
- Configure re-usable allocation templates that allow you to quickly allocate one or multiple trades to a pre-defined clearing broker or set of clearing brokers.
- Import allocations from a properly-formatted .csv file.
- Create a custom Average Price trade by selecting trades for the same symbol and side where only the price differs. By default an average price display is expandable to show actual trades and trade prices.
- Define configuration preferences including allocation settings, display preferences and symbol display.
- Manage odd lots allocations. By default, the feature is set to allow round lots only.

For more information

- For complete instructions on using post trade allocations, see the Account Management Users' Guide.

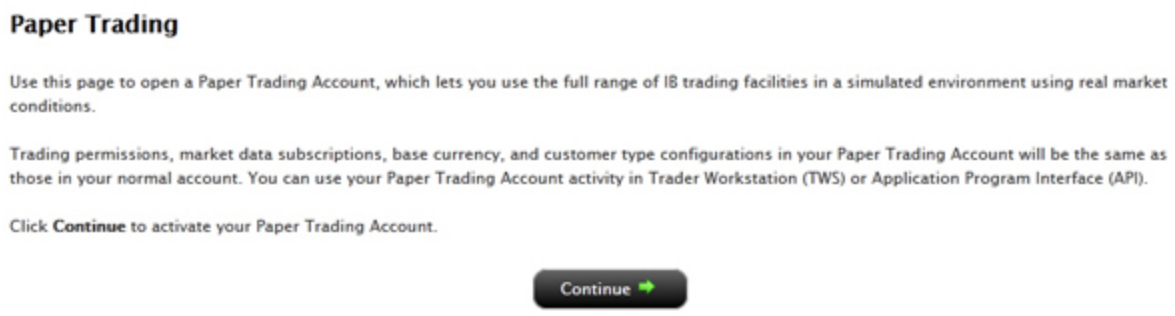
Opening a Paper Trading Account

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

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

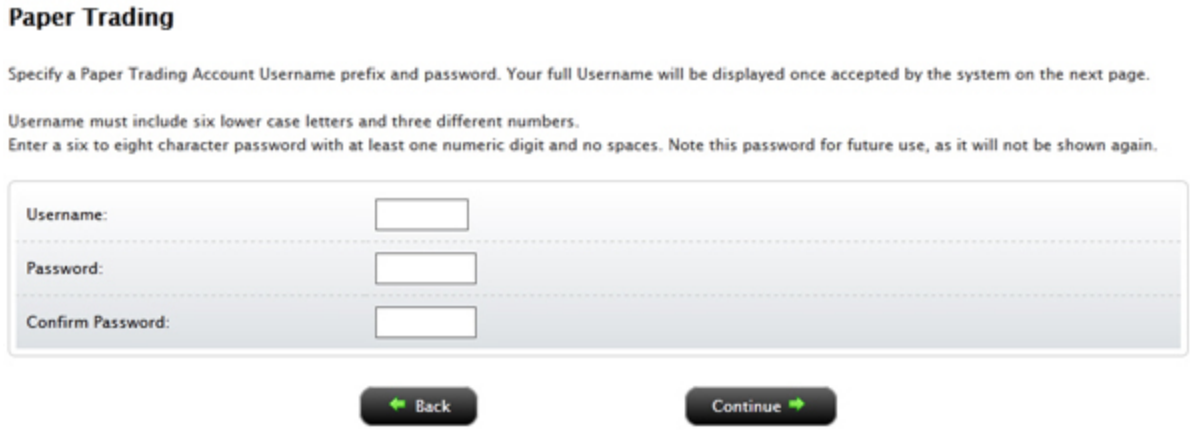
To apply for a paper trading account

1. Log in to Account Management.
2. Click **Manage Account > Settings > Paper Trading**.



3. Click **Continue**.

   The following page opens:



4. Type a five-character paper trading account username in the field provided.
5. Type a paper trading account password in the field provided. The password must be from six to eight characters and must contain at least one number and no spaces.
6. Re-type the password in the field provided, then click **Continue**. The system will generate a full username for you when you click **Continue**.
7. You are prompted to click **Yes** to confirm your request for a paper trading account, or click **No** to cancel your request.

   Be sure to write down your username and password; your password will not be shown on the screen again.

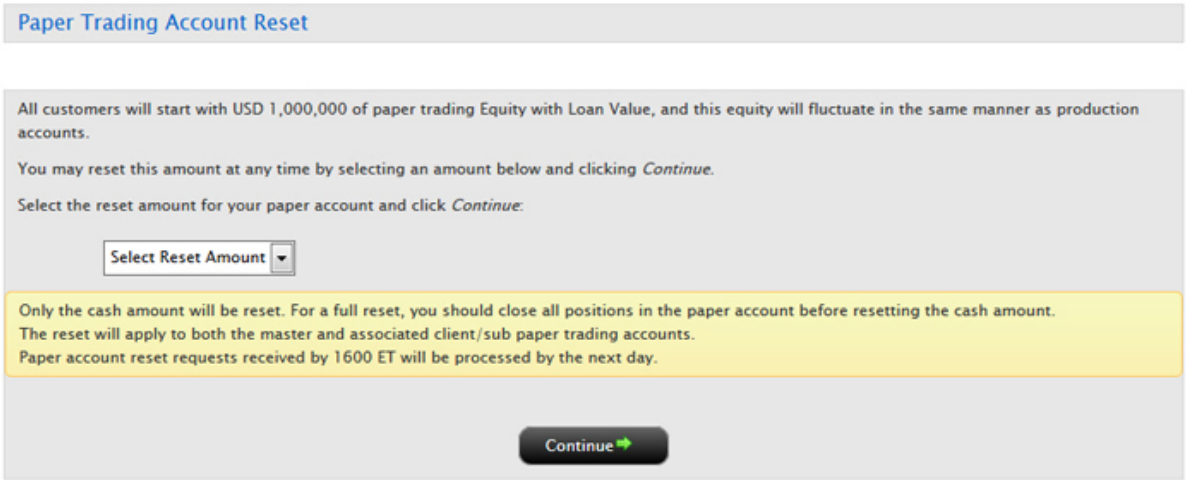
For more information

» For details on managing your PaperTrader account, see the Account Management User's Guide.

Paper Trading Account Reset

All paper trading accounts start with 1,000,000 USD of paper trading equity. You may reset this equity at any time using the Paper Trading Account Reset page in Account Management.

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

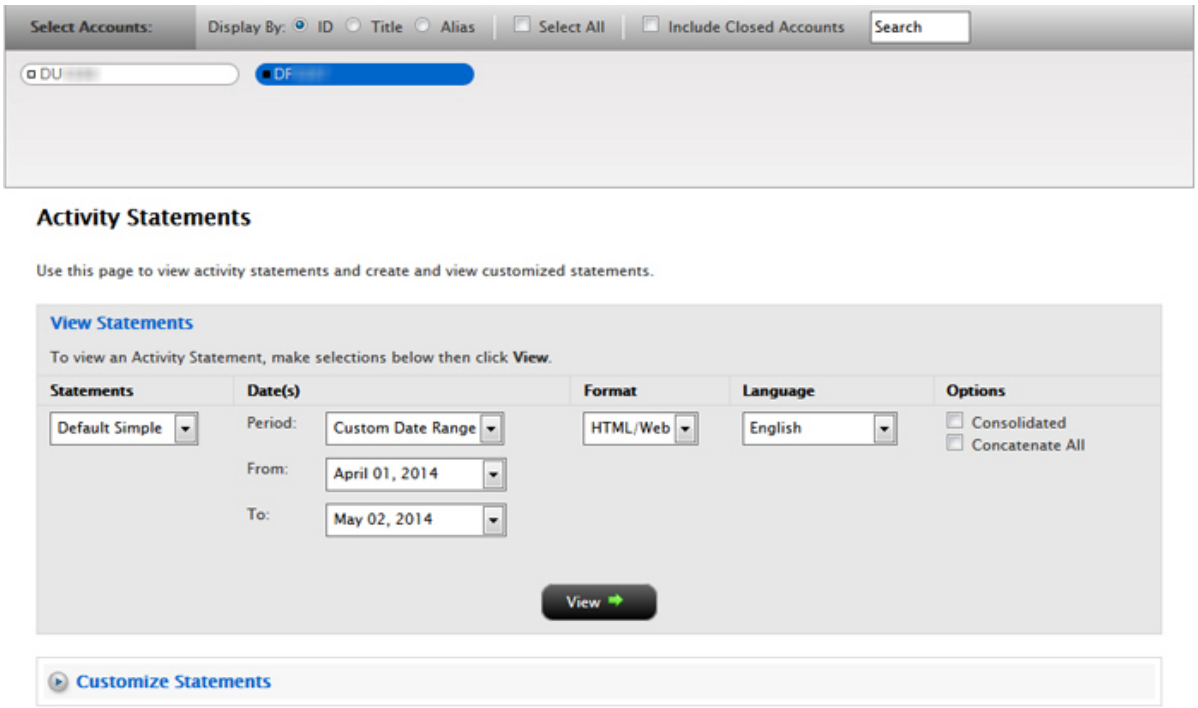


You can also reset your paper trading equity in your production account. Log in to Account Management using your production account login credentials, and then click **Manage Account > Security > Reset Paper Trading Account Password**.

Paper Trading Account Statements

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

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



Investors' Marketplace

Investors' Marketplace is a free online forum where IB customers can form connections with service providers and do business together on Interactive Brokers' platform. Hedge Fund Investment Managers can search for service providers, including Financing Firms, on the IB website or within Account Management. Investment Managers can participate in the Hedge Fund Capital Introduction Program by

advertising in the Hedge Fund Marketplace, or can advertise other third-party services that they offer, such as research or software tools.

From the IB website, Investors' Marketplace is available by clicking the link at the bottom of any page. Browse the different categories of service providers and, when you find a service provider with whom you want to do business, you can contact the provider directly or log into Account Management to connect, depending on the type of service provider.

In Account Management, search for service providers from the **Investors' Marketplace > Search Services** menu. Service providers available to Hedge Funds are organized into categories:

- Research - Search for and connect with third-party providers of institutional-caliber research directly in the Trader Workstation trading platform; educators who have expertise in trading, specific products and other topics; and news wires and research feeds for Trader Workstation.
- Technology - Search for and connect with large and small third-party vendors who have potentially complementary software programs to expand the functionality of TWS, and programming consultants who may be able to assist API and FIX CTCI customers by offering their programming expertise.
- Administration - Search for and link to registered Administrators, third-party compliance firms, and manage your linked Administrators.
- Business Development - Search for and connect with third-party providers of advertising and marketing services, financing firms, business analysts, and individual job seekers.

Proprietary Trading Groups who also provide research, technology, business development services or have open positions to fill can advertise those services on Investors' Marketplace from within Account Management. Advertise these services from the **Investors' Marketplace > Advertise Services** menu in Account Management.

Visit the Investors' Marketplace here.

Adding Administrators

This section describes how you can link to an Administrator for the purpose of providing third-party administrative tasks such as reporting for your sub accounts.

The following topics are included:

- Administrator Overview
- Administrator Marketplace
- Managing Administrators

Administrator Overview

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

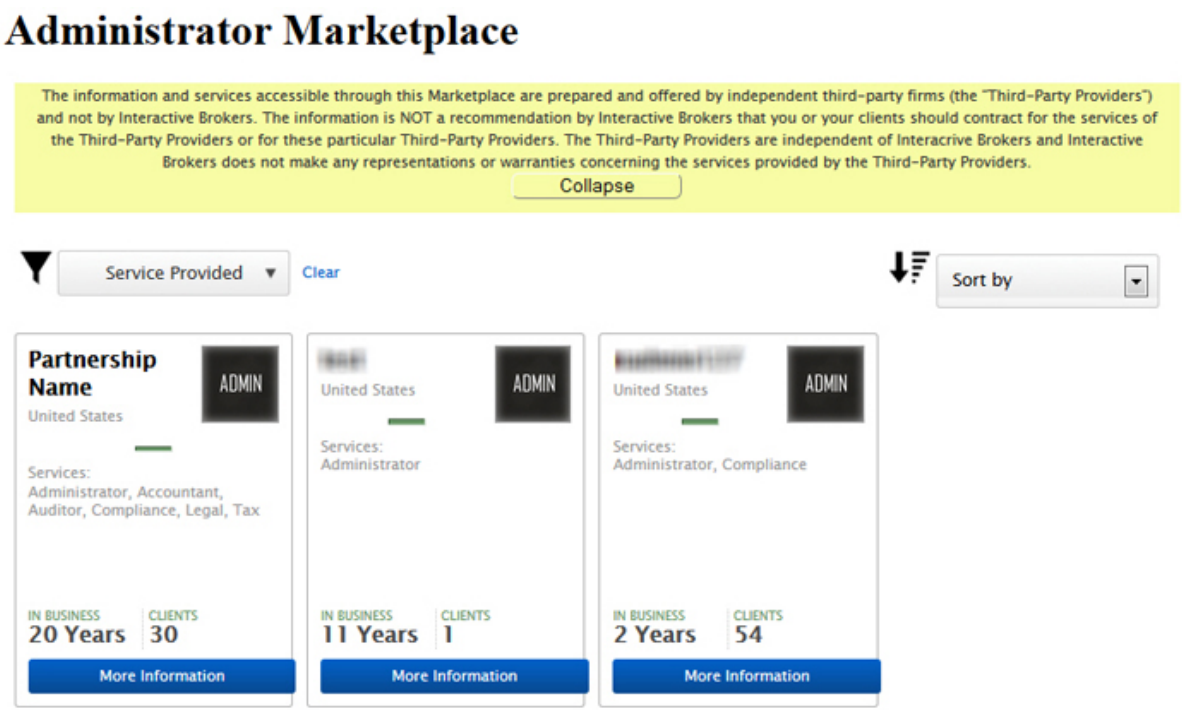
- An Administrator account applicant completes the Administrator registration process. Information entered into the application is added to the Administrator Marketplace upon account approval.
- The Administrator logs into Account Management and modifies his or her Marketplace information if necessary.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

Administrator Marketplace

Use the Administrator Marketplace to:

- Browse available Administrators.
- Select a preferred method of being contacted by selected Administrators and send contact requests.
- Add Administrators (send link requests).

Access the Administrator Marketplace by clicking **Investors' Marketplace > Search Services > Administrators** in Account Management.



For more information

- To learn more about the Administrator Marketplace, see Administrator Marketplace in the Account Management Users' Guide.

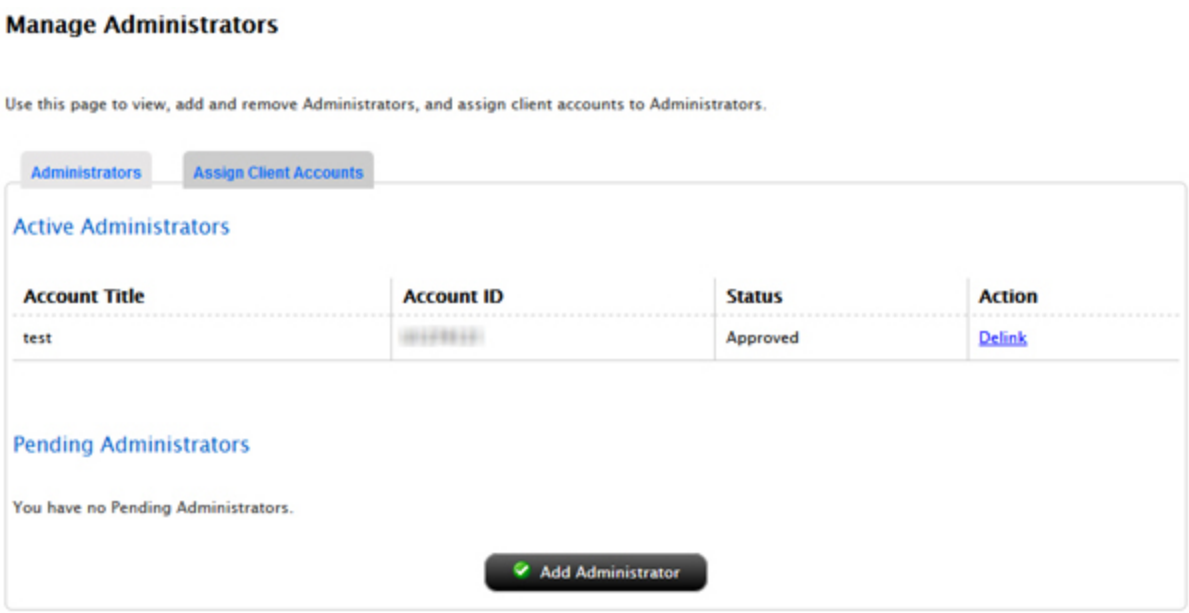
Managing Administrators

Use the Manage Administrator page in Account Management to:

- Add an Administrator by entering his or her account number.
- View active and pending Administrators.
- Delink an Administrator from your account.
- Assign client accounts to an Administrator.
- Remove client accounts from an Administrator.

Access the Manage Administrators page by clicking **Investors' Marketplace > Search Services > Administration > Manage Administrators**.

The following image shows the Manage Administrators page.



For more information

To learn more about Administrators, see the Account Management Users' Guide.

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