Users' Guide

Account Management User Access Rights



Account Management User Access Rights Guide

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Access Rights Overview

We give our clients the ability to create users through User Access Rights. The assignment of users and their access rights is controlled by an organization's Security Officer(s). Individual accounts can also add users and assign access rights to them, but these accounts do not have access to the full range of user access rights functionality available to Security Officers for institutional accounts.

Institutional accounts can add up to 250 users, including employees and non-employees. Access rights to the different functions in Account Management can be limited for each of those users. In addition, we also offer an authorization feature to institutional accounts wherein multiple users must approve certain Account Management requests, such as funding transactions.

User Access Rights Availability

The complete User Access Rights system, including the ability to select Security Officers and use authorizations, is available to the following account structures:

- Registered Advisors
- » Brokers
- Proprietary Trading Groups
- Fund Investment Managers
- Small Business Accounts (Corporation, Partnership, LLC or unincorporate legal structure)

ALL account structures have the ability to add users to an account and assign them access rights to Account Management functions EXCEPT:

- Broker Non-Disclosed Clients
- Broker Omnibus Clients
- Proprietary Trading Group Sub Accounts

Access Rights and Access Groups

User access rights are organized into access groups that correspond to these Account Management menus:

- >>> User Settings Access
- Trading Access
- Reporting Access
- Funding Access
- Account Settings Access
- Client Management Access

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

All account users automatically get rights to Security-related functions in Account Management (Password, Secure Login System, Secure Login System Device Sharing, and Voting Subscriptions), and the functions in the Settings > Settings access group (User Information and Change Email Address).

Individual account holders cannot grant Funding rights to new users that they add. Security Officers for institution accounts CAN however grant Funding rights.

Add new users and assign access rights to them on the Settings > Account Settings screen.

User Roles

A user role is a set of user access rights saved with a unique name. User roles allow Security Officers (and individual account holders) to save a set of user access rights and quickly apply them to users. This is useful if you have multiple users to add to an account. User roles work the same way as user access rights: functions are organized into access groups based on the Account Management menu structure, and you expand each access group to view and assign rights to functions located in second-level menus. You can select a user role only if you have created and saved at least one.

<u>Create user roles</u> on the Settings > Account Settings screen.

Security Officers

The assignment of access rights to users is controlled by an organization's Security Officer. Security Officers are designated employees who can assign access rights and authorize functions. For example, a

Security Officer might want to give User A the ability to only trade, while giving User B only the ability to look at account statements. User C might only be able to trade client accounts 1-5, while User D can trade client accounts 6-10. The Security Officer can also add, modify and delete users.

Institutional account holders can add Security Officers to their account during the account application process, if they require additional Security Officers for authorization purposes. To add Security Officers after your account is open, you must send a paper form request to us.

Security Officer Approvals

As an added layer of security, you can require that any changes made by one Security Officer be approved by one or two other Security Officers. To change the number of Security Officer approvals required, you must complete and submit a request form.

Account-Level Access Rights

Security Officers can view account-level access rights on the Access Rights > Configure page in Account Management but cannot change them without a special request to us.

Primary and Secondary Authorizers

If your organization requires additional security for Account Management functions, you can appoint authorizers to approve requests. Authorizers are users who provide additional layers of security for different Account Management functions such as funding requests.

For more information, see Authorizers.

User Access Rights Summary for Organizations

Organizations can follow these steps to set up a user access rights implementation that includes Security Officers and authorizations.

1. During your account application process, designate one or more persons to be Security Officers.

- As the account owner, you are automatically designated as a Security Officer.
- If you forgot to do this, or you want to add more Security Officers to your account, send a request to us.
- If you need an additional layer of security, you can require that changes submitted by one Security Officer must be approved by other Security Officers. You set the number of these Security Officer approvals during the application process.
- 2. After your account has been approved, your Security Officer logs into Account Management and creates and saves user roles to be able to apply reusable sets of access rights to more than one account users.
- 3. Your Security Officer adds users to your account, granting them access rights to the different functions in Account Management to correspond to the users and functions in your organization. At this time, the Security Officer will also apply any saved user roles to the new users.
- 4. Your Security Officer sets the number of Primary and Secondary Authorizers for specific functions in Account Management. On the same page in Account Management, the Security Officer can view the current account-level access rights.

About Security Officers

The assignment of users and their access rights is controlled by an organization's Security Officer(s). Security Officers are designated employees who can assign access rights and authorize functions. The Security Officer can also add, modify and delete users.

Creating Security Officers During the Account Application Process

During the account application process, the owner of the account (the account applicant; who is automatically assigned the role of Security Officer) can select additional Security Officers, then assign each Security Officer access rights to the various functions in Account Management. Only Organization customer type accounts can create security officers.

If you need an additional layer of security, you can require that any changes made by one Security Officer be approved by one or two other Security Officers. You can set the number these Security Officer approvals during the application process. Any Security Officer can function as a Security Officer approver.

Adding and Deleting Security Officers

To add Security Officers after your account is open, you can add a new user to your account and designate that user as a Security Officer, designate an existing user as a Security Officer (on the **Settings** > **Account Settings** page), or send a request to us. You can access the request form on the **Support** > **Paper Forms** page of Account Management.

You can delete Security Officers from your account on the **Settings > Access Rights > Users** page of Account Management, but only if such removal does not change the number of required Security Officer approvals set in your account application. For example, if your account currently has three security Officers but requires only two, you can delete one of them from within Account Management. If your account currently has two Security Officers and requires two, you cannot delete one.

Security Officers and Account Management

Once you have designated a Security Officer for your account, that person will have access rights to the Account Management functions that were assigned during the account application process. The Security Officer is the only person who can view and access the following security-related functions in Account Management:

- Settings > Access Rights > Configuration View account-level access rights for an account and set the number of Primary and Secondary Authorizers for Account Management, including funding. This function is available only to institutional accounts.
- Settings > Access Rights > Users Add, delete and modify users and assign access rights to Account Management functions. Note that individual accounts (Individual, Joint, Trust, etc. customer types) also have access to this page.
- The Security and Access rights menus in Manage Account, and the Change Email Address function (these rights are preselected in the account application).

Users

The Users page lets you:

- View information about existing users
- Add users to an account.
- Modify Account Management access rights for existing users.
- Add usernames to the primary account holder.
- Delete users from an account.

Who can access the Users & Access Rights screen?

All users and Security Officers can access this functionality except Broker Non-Disclosed Clients and Broker Omnibus Clients.

Individual Account User Rules

The following rules and limitations apply to Individual accounts:

- >>> Up to two usernames may be created for the same person.
- >> Up to 5 persons may be added with a Power of Attorney, which will be provided when adding users to an individual account.
- Individual Advisors may not add any persons other than themselves (they can have two usernames for themselves).
- >> Joint Accounts may add two usernames for each account holder.
- Trust accounts may add up to two usernames for each trustee.

Adding a User

You can add users to your account after it is approved and funded and grant them access to a subset of Account Management functions, including granting access to functions for one or more sub accounts.

Note: New users log in to Account Management with their own username and password and will be asked to confirm their information, email and change their password.

To add a user and assign access rights

- 1. Click Settings > Account Settings.
- 2. The Users & Access Rights panel shows all of the users you have added to your account.

Users & Access Rights	Configure 🛱 💡
thuynh1 joeuse123	

Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created. Institution accounts will see additional panels for Authorizers and Additional Security Officer Approvals.

Use	ers			+ 0
	0	thuynh1	Account Holder, Employee	
	0	joeuse123 Pending	Non Employee	Ø X

3. Click the Add (+) icon in the Users panel title bar.

The Add User screen opens.

User Information	
Username	Required
Password	Required
Confirm Password	Required
Is this a secondary user for the primary account holder?	NO
Contact Information	
Salutation	Choose One
Salutation First Name	Choose One Required
First Name	Required
First Name Middle Initial	Required Optional
First Name Middle Initial Last Name	Required Optional Required
First Name Middle Initial Last Name Suffix	Required Optional Required Optional

- 4. The process of adding a user and assigning access rights is divided into several screens. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
 - On the first screen, enter information about the user, including the username, password, name, relationship to the primary account holder and email address.
 - On the next screen, select a user role, if you have saved any. User roles automatically apply a set of previously configured access rights to the new user. If you do this, you can skip any additional screens and continue to the review screen.

User Roles	
A user role contains a set of access rights to the functions in Account Ma	nagement that you can apply to new users without having to grant
individual access rights across several screens. If you have created any u	user roles, you can apply one to the new user below.
Would you like to assign a user role?	YES
User Role	Reporting User
Back	Continue

- Each screen that follows lets you give the new user rights to access a specific group of functions, organized to match the main menu of Account Management: User Settings, Trading, Reporting, Funding and Account Settings. On each screen, grant access to functions by clicking the box next to each one.
- 5. The last screen in the process lets you review all of the information about the new user, including access rights. Rights that have been assigned to the new user are shown checked and in green; rights that have not been assigned to the new user are shown crossed out. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
- If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
- 7. Click **Ok** to save the new user, which will appear in the Users panel on the Users & Access Rights screen and in the Users & Access Rights panel of the Account Settings screen.

Modifying User Access Rights

You can 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. Click Settings > Account Settings.
- 2. The Users & Access Rights panel shows all of the users you have added to your account.

•	3

Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users panel, click the Edit (pencil) icon for the user you want to modify.

Users			+ 0
0	thuynh1	Account Holder, Employee	
0	joeuse123 Pending	Non Employee	Ø X

- 4. The process of modifying a user and his or her access rights is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click CONTINUE to advance to the next screen. If you want to make changes to a previous screen, click Back.
- 5. The last screen in the process lets you review your changes. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
- If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
- 7. Click Ok to save your changes.

Adding Usernames to the Primary Account Holder

Account Management lets you assign up to two usernames for the primary account holder. For example, an individual user might want to add a second user name in order to log in on two different machines for testing purposes. You use the same process for adding a username to the primary account holder that you use for adding a new user.

To add a username for a user

- 1. Click Settings > Account Settings.
- 2. The Users & Access Rights panel shows all of the users you have added to your account.

Users & Access Rights	Configure 🔅 ?
thuynh1joeuse123	

Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users Panel, click the Add (+) icon.

0	thuynh1	Account Holder, Employee	
0	joeuse123 Pending	Non Employee	Ø 3

- 4. Enter the new username and password.
- 5. Select **YES** for secondary user, since you are creating this user as a secondary username.

User Information	
Username	joeuse123
	Username Requirements Lower case only, no spaces, no special characters Must begin with a letter Must contain a minimum of 3 letters and 3 numbers Must be 8 or 9 characters
Password	Repired
Confirm Password	Repired
Is this a secondary user for the primary account holder?	YES
Contact Information	
to serve	Disease of Characteria

• For Joint and Trust accounts, select the account holder or trustee for whom you want to add a username.

6. Click **CONTINUE**.

- 7. Review the information about the new user. Click CONTINUE if everything is correct.
- If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
- 9. Click **Ok** to save the new user, which the primary account holder can now use as a secondary username.

Deleting a User

To delete a user from the account

- 1. Click Settings > Account Settings.
- 2. The Users & Access Rights panel shows all of the users you have added to your account.

Users & Access Rights	Configure 🔅 😯
👗 thuynh1	
joeuse123	

Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the Users panel, click the Delete (X) icon for the user you want to delete.

4. Click **Yes** in the popup window. The user is deleted immediately.

Add a Security Officer

You can add Security Officers after your account is open by:

- Adding a new user to your account and designating that user as a Security Officer.
- Designating an existing user as a Security Officer by modifying the user's access rights.
- Sending a request to us. You can access the request form on the Support > Paper Forms page of Account Management.

User Roles

A user role contains a set of access rights to Account Management functions. You can quickly assign access rights to new users by selecting an existing user role when you add the new users to your account. For example, you could create a user role that has access only to funding and reporting functions, then add a user to your account and assign the funding/reporting role to that new user.

The User Roles page lets you:

- View user role details
- Add a new user role
- Modify a user role
- » Delete a user role

Who can access the Users & Access Rights screen?

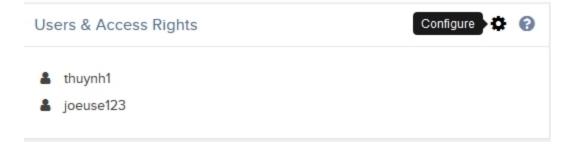
All users and Security Officers can access this functionality except Broker Non-Disclosed Clients and Broker Omnibus Clients.

Adding a User Role

You can add user roles to your account that define access rights to different groups of Account Management functions. When you add new users, you just have to select a user role to quickly assign access rights to the new user.

To add a user and assign access rights

- 1. Click Settings > Account Settings.
- 2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created. Institution accounts will see additional panels for Authorizers and Additional Security Officer Approvals.

Us	er Roles				+ 0
	0	Reporting User			×

3. Click the Add (+) icon in the User Roles panel title bar.

The Add User Role screen opens.

Account Settings / Users & Access Rights / Add User Role	
User Role Information A user role contains a set of access rights to the functions in Account Management that you can apply to new users without having to grant individual access rights across several screens. Enter the name of the new user role below and click continue.	
Role Name Required	
Conti	nue

- 4. The process of adding a user role and assigning access rights is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
 - On the first screen, enter the name of the user role.

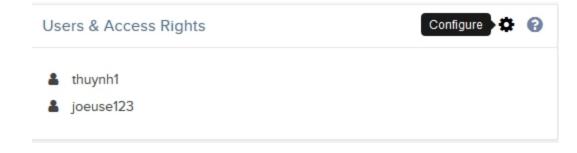
- Each screen that follows lets you give the new user role rights to access a specific group of functions, organized to match the main menu of Account Management: User Settings, Trading, Reporting, Funding and Account Settings.
- 5. The last screen in the process lets you review all of the information about the new user, including access rights. Rights that have been assigned to the new user role are shown checked and in green; rights that have not been assigned to the new user role are shown crossed out. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
- If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
- 7. Click **Ok** to save the new user role, which will appear in the User Roles panel on the Users & Access Rights screen.

Modifying a User Role

You can modify any saved user role.

To modify a user role

- 1. Click Settings > Account Settings.
- 2. The Users & Access Rights panel shows all of the users you have added to your account.



Click the Configure (gear) icon.

The Users & Access Rights screen opens. The Users panel shows all of the users you have added to your account along with their relationship to the primary account holder. The User Roles panel shows all user roles that you have created.

3. In the User Roles panel, click the Edit (pencil) icon for the user role you want to modify.

User Role	s			+ 0
0	Reporting User			×

- 4. The process of modifying a user role is divided into several screens. On each screen, grant access to functions by clicking the box next to each one. When you complete each screen, click **CONTINUE** to advance to the next screen. If you want to make changes to a previous screen, click **Back**.
- 5. The last screen in the process lets you review your changes. Click **CONTINUE** if everything is correct. Click **Back** to make changes.
- If you do not participate in the Secure Login System for two-factor authentication, you will receive an email with a confirmation number. 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 new confirmation number sent to your email address.
- 7. Click Ok to save your changes.

Deleting a User Role

You can delete a user role when it is no longer needed.

To delete a user role

- 1. Click Settings > Account Settings.
- 2. The Users & Access Rights panel shows all of the users you have added to your account.

Users & Access Rights	Configure 🔅 😯
La thuynh1	
joeuse123	

Click the Configure (gear) icon.

The Users & Access Rights screen opens.

3. In the User Roles panel, click the Delete (X) icon for the user role you want to delete.

Use	er Roles				+ 0
	0	Reporting User			×

4. Click **Yes** in the popup window.

The user is deleted immediately.

View User Role Details

You can view the details of any saved user role on the Users & Access Rights screen.

To view user role details

- 1. Click Settings > Account Settings.
- 2. In the Users & Access Rights panel, click the Configure (gear) icon.

The Users & Access Rights screen opens.

Users & Access Rights		80
Account Settings / Users & Access Rights		
Users	4	• 0
thuynh1	Account Holder, Employee	
joeuse123 Pending	Non Employee	×
User Roles	4	ŀØ
Reporting User	1	×

3. The User Roles panel shows all of the user roles that you have added to the account. Click the i icon to view information for any user role listed.

The complete list of access rights granted to the user role appears in a popup window. Granted access rights appear with a checked box while access rights NOT granted appear crossed out. Scroll down to view more information.

To close the popup, click the X in the upper right corner or click anywhere outside the popup.

oortin	g User		
User	Role Information		
Role N	lame	Reporting User	
User	Settings Access		
Con	nmunication		
•	Email Address		
0	Alerts		
0	- IB FYI		
Log	in Password		
	Voting Subscription		
Sec	curity		
•	User Information		
0	IP Restrictions		
S	Security Device Sharing		
Ø	Security Device		
Trac	ding Platform		
0	-Paper Trading		

Home Menu Access Rights

All users and account structures can access the Home page and its tabbed pages.

Page		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	Α
Summary									1								
Only if user has	1	1	1	1	1	1	1	7	7	-	1	2	1	1	1	1	7
Trading or																	-
Reports.																	
Pending	1	1		1	1	1	1	1	1	1	1	1	1	1	1	1	1
Items																	
Message						1	1	7	1	1	1	1	-		1	1	7
Center																	

Page		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	вос	FIM	F	PTGM	PTGS	Α
Corporate																	
Actions																	
Only if user has	2	₹7	7	1	2	1	2	2	1	2	1	7	1	2	21		
Trading or																	
Reports.																	

	Account Structures Key
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
АМ	Advisor Master Individual
АМО	Advisor Master Organization
	(Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual
	(Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization
	(Corporate, Partnership, LLC, Unincorporated business with elec-
	tronic access)
вм	Broker Master
BFC	Broker Fully Disclosed Client
	(Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization
	(Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
Α	Administrator

Trade Menu Access Rights

The following table lists all access rights to the Trade menu pages by account structure.

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Quick Trade	7	7	7	7	√	1	<	7	1	2	1	√	√	7	2	√	
WebTrader	1	1	1	7	•		2	1	2	2	<	<	1	1	2		
Post-Trade Allocation													1	7			
	Ι	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

¹Interactive Brokers customers who are Accredited Investors or Qualified Purchasers under SEC rules can invest in independent Hedge Funds available on the Hedge Fund Investor Site page.

	Account Structures Key
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
АМ	Advisor Master Individual
АМО	Advisor Master Organization
	(Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual
	(Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization
	(Corporate, Partnership, LLC, Unincorporated business with elec-
	tronic access)
вм	Broker Master
BFC	Broker Fully Disclosed Client
	(Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization
	(Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
Α	Administrator

Reports Menu Access Rights

The following table lists all access rights to the Reports menu pages by account structure.

Pages	I	SB	FF	AM	AMC	AC	ACC	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGMF	PTGS	A
Activity																	
Statements	1	1	1	7	√	2	1	1	7	✓	√		₫	1			1
Downloads	1	7	√	1	1	1	1	1	7	2			√	7		1	₫
Batch Reports	2	7	√	7	√	1	1	1	2	2			1	7		1	₫
Flex Queries	1	7	√	1	1	1	1	1	7	2				1	2	1	₫
Quarterly Sum- maries				2	₫	₫	•										
Models				1	2	✓	1										
Trade Confirmatio	ns																
Reports	7	7	7	7	1	√	1	1	2	1			√	7		1	₫
Flex Queries	1		7	7	<	1	•	✓	1					1	2	2	2
Trade Allocations																☑	
Transaction Cost Analysis	₫	2	2	2	2	2	2	2	2		2			7			
PortfolioAnalyst																	
PortfolioAnalyst	1	2	7	7	√	2	1		7	1	7	☑		7	2	√	₫
Risk																	
Margin Reports	7	1	2	7	√	1	<	1		1			1	7	2	<	₫
Stress Test Report			2				✓			5			<	1		✓	2
Value at Risk Report			2							2			2	1		2	₫
Supplemental																	
Compliance				7													
Fee Cap				7													

Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGMF	PTGS	A
Broker Exception								7									
Client Summary					<	7		7									
P/L Markup				1	2												
Broker Client Rev-																	
enue and Expense Sum-								1									
mary Tax																	
Tax Forms	7	7	7		₫	7		7	1					7	<	☑	2
Tax Optimizer ²	2	7	7		<	7		7	1		✓	✓		7			2
Position Transfer Basis ¹	2	7	2	2	2			2		đ			2	7			₫
Forex Cost Basis	1	√	√	2	2	2		7	<	2			2	7			₫
Customer Activity Monitor				2	2			₫									
Settings																	
Delivery Activity State-																	
ments/Trade Con- firmations ³	1	7	2	2		2		7	2	₫			2	2			₫
SMS Alert	1	7	7	1	1	7		7	1					7			
Flex Queries ³	1	7	7	1		2				2	✓			7	≤		₫
PortfolioAnalyst Delivery Settings	1	7	₫						1	2	2	2	2	7			2
Broker Client Activity State- ments ⁴																	
ΠΕΠΣΤ																	

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGMF	PTGS	Α
Flex Web Service	1	1	1		1	1	2	<	<	₫			2	1			
Third-Party Ser- vices	1																2
Trader ID				2				1					2				
Client OATS Set- tings																	
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGMF	PTGS	A

¹Master users cannot set the position transfer basis for client/sub accounts.

²Master users cannot set the tax basis for client/sub accounts.

³Master users cannot enter delivery settings for client/sub accounts.

⁴Only Broker Master users with non-disclosed clients can enter delivery settings for client statements.

	Account Structures Key
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
АМ	Advisor Master Individual
АМО	Advisor Master Organization
	(Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual
	(Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization
	(Corporate, Partnership, LLC, Unincorporated business with elec-
	tronic access)
вм	Broker Master
BFC	Broker Fully Disclosed Client
	(Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization
	(Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund

PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
Α	Administrator

Funding Menu Access Rights

The following table lists all access rights to the Funding menu pages by account structure.

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	Α
Transaction His- tory		1	2	1	2	₫	2	1	1				₫	2			
Fund Transfers ¹		1	2	1		₫		1	1	2			√	1			
Position Trans- fers ²		1	₫	1	2	✓	•	1	√				√	1			
Position Instructions	1	1	1	1		2	<	√	✓	☑				1	₫		
Settlement Instructions ³	1	1	1	1		2	<	√	✓	☑				1	₫		
Soft Dollars Dis- bursements ⁴				7	2								1	1			
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

¹Deposits: Advisor Master Users can create a deposit notification for a client account but must use a bank instruction created by the client. Proprietary Trading Group Master Users and Non-Disclosed and Omnibus Broker Master Users make all deposits to the master account, then transfer funds to the sub/client accounts. Broker Master Users can enter only wire and check deposit notifications for their client accounts.

Withdrawals: Advisor Master Users can make withdrawals from client accounts, but must use a bank instruction created by the client account. Proprietary Trading Group Master Users and Broker Master Users create bank instructions and make all withdrawals only from the master account.

Internal fund transfers: All master users can transfer funds to their client/sub accounts. In addition, Separate Trading Limit accounts can transfer funds between the master and sub account in either direction and between sub accounts, and Non-Disclosed Broker Master Users can transfer funds between the master and sub accounts in either direction.

²Master User access rights for position transfers are the same as deposits (see Note 1 above). In addition, Non-Disclosed Broker Master Users can transfer positions of any asset class between the master account and its sub accounts.

³Advisor, Broker and Proprietary Trading Group Master Users can enter settlement instructions only for their own account; they cannot enter settlement instructions for their client/sub accounts. Advisor Master Users can print a settlement instruction PDF which must be sent to their client for signature and mailed to us for verification.

⁴Advisors who are registered either by the SEC or the state must abide by the rules specified in Section 28(e) (safe harbor) of the Securities Exchange Act.

	Account Structures Key
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
АМ	Advisor Master Individual
АМО	Advisor Master Organization
	(Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual
	(Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization
	(Corporate, Partnership, LLC, Unincorporated business with elec-
	tronic access)
вм	Broker Master
BFC	Broker Fully Disclosed Client
	(Individual, Joint, IRA)
BFCO	(Individual, Joint, IRA) Broker Fully Disclosed Client Organization
	Broker Fully Disclosed Client Organization
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business)
BFCO	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business) Broker Non-Disclosed Client
BFCO BNC BOC	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business) Broker Non-Disclosed Client Broker Omnibus Client
BFCO BNC BOC FIM	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business) Broker Non-Disclosed Client Broker Omnibus Client Fund Investment Manager Master
BFCO BNC BOC FIM F	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business) Broker Non-Disclosed Client Broker Omnibus Client Fund Investment Manager Master Fund
BFCO BNC BOC FIM F PTGM	Broker Fully Disclosed Client Organization (Corporate, Partnership, LLC, Unincorporated business) Broker Non-Disclosed Client Broker Omnibus Client Fund Investment Manager Master Fund Proprietary Trading Group Master

Manage Account Menu Access Rights

The following table lists all access rights to the Manage Account menu pages by account structure.

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	вос	FIM	F	PTGM	PTGS	Α
Account Info	rma	atior	1														
Details																	
Account Details	7	1	7	2	1	1	1	1	7	2			1	1	2		
Profile	1	<	1		2	1	2	1	2	2			1	1	2		

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	вос	FIM	FF	PTGM	PTGS	A
Financial Inform- ation	₫	√		₫	1	√	1	₫	1	<			1	√	₫		
Regulatory Information	7	1	2	2		2											
Trading Sub Accounts																	
Broker Declar- ation								1									
Advisor Qual- ifications				₫													
Investor Cat- egory		1	₫	1		√		√		2			2	7	1	2	
Transfer on Death ¹																	
Large Trader Identification		₫	₫	₫									√		5		
EMIR and LEI Information ⁷		1	đ			1		1		2					₫	2	₫
Tax Information																	
Tax Forms	1	2		1	1	7	1	1	1	2			1	1	2		
Withholding Statement		1													2		
Settings																	
Configure Accou					_											_	
Base Currency ²	2	₹7		-		N	N	₹	1	<			2	7	√		
Institutional Ser- vices	1	<	√		₫	₫	₫	₫					√		5		
Account Type	1	2	2			1	7	1	7	<			1	1	1		
Excess Funds Sweep		1	1			1	1	1		2					2		
Fees																	
Pricing Struc- ture	2	₫	₫	2	1			1					√		₫		
Soft Dollar Con- figuration				<	₫								√	7			

Pages		SB	EE	۸M			AC0	BM	BEC	BFCO	BNC	BOC	FIM		отсм	ртс	
i ages						ΑU	A00		DIO	Broc	BNO	800					
Mobile	7		1	•	√	2	√	2				√	7	•	<		
IRA																	
Conversion		1									1	2					
Re-char- acterization			2														
Paper Trading	1	1	1	<		1	1	1	-			1	7				
Account Alias	1	1	1	1	1			2					7		<		
White Branding				√	2			2									
Close Account ³																	
Close Account	7	√	7	2		✓		✓		2			2	√	2		7
Reopen Account ⁸	7	₫		2	2		₫		2	2				1	2		
Closure Status ⁸	1		1	1	7	2	7	2	1	2		1	7	2			
Trade Config	gura	atio	n														
Research	7	1	1	<	1			.√	✓	1	<	<	7	1	<	7	
Market Data	7	1	1	√	√			2	1	₫	1	√	7	<	1	2	
Subscriber Status	1	7							2		2		7	1	2	2	
Trading Limits															1		
Restrictions															1		
IB FYIs	1	2	1	1	1			1	1			<	7	1	2	1	
Alerts	1	1	1	1	1	1		1	1	1			7	1			
Client Trading				1	1			1					7		2		
Futures Arbit- ration Agree-	7	7					₫		2	₫				1	2		

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Asia Gateway	1	1		1	2	1	1	1		2	2	2	7	1		1	
Security																	
Individual																	
IP Restrictions	1	1	1	2	1			1		2			7	1	✓		
Change Pass- word ³	√	7		1	2		2		2	2	2		7	1	2	2	1
Reset Paper																	
Trading Account Pass- word	2	7	2		2	2		2	2	đ	2	₫		√	2	2	
Change Email Address ³		7	7	1		2			2					1		2	
Secure Login Sy	stem	ı															
Security Device ³	đ	1	1	1	1	1	1	1	<	2			7	2	✓	1	
Change Security Questions ¹⁰	√																
Security Device Sharing ³	7	7	7	√	2	2	2	2	<	2			2	•	☑	<	
SLS Opt Out	√		7	2	2	2	2	2	•	2			7	√	<	<	
Client Security ⁴																	
Voting Subscriptions ³	₫			√					2					1		2	
Access Righ	nts																
Configuration ⁵					1			1					7		1		
Users	7	1	1	7	2	7	1	7		2			7	2	<		
User Roles	7	7	7	√					1				7	√	2		2
Add or Link	Acc	cour	nts														
Created Linked Account	2																
Link Existing Account ⁶	2								<								

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	вос	FIM	F	PTGM	PTGS	Α
Move, Link or Partition an	1	2		7									7	7	2		
Account ⁹ Authorized Traders														7			
Money Manage	r			2	2												
Wealth Manager Administration					2												
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

¹Available to Individual non-IRA account users only.

²Proprietary Trading Group Masters can change the base currency of their client/sub accounts.

³Master users cannot access this page for client/sub accounts.

⁴Non-disclosed Broker Masters can activate a client's security device but only if the Broker Master distributed the device to the client.

⁵Only Security Officers can access the Access Rights > Configuration page. Account owners are automatically designated as Security Officers.

⁶Individual accounts (except Joint and Trust), IRA accounts, Fully Disclosed Broker clients and Advisor individual clients can link their multiple accounts under a single username and password.

⁷Only non-individual accounts established in the European Union will see this page.

⁸ Reopen Account and Closure Status are available to only to closed accounts.

⁹Advisor Master Users, Multiple Hedge Fund Investment Managers and Proprietary Trading Group STL Master Users can link to a Broker only on this page.

¹⁰Individuals must be participating in our Secure Login System (two-factor authentication) and their account equity must be less than 1,000,000 USD.

	Account Structures Key					
I	Individual, Joint, Trust and IRA account users					
SB	Corporate, Partnership, LLC and Unincorporated Businesses					
FF	Friends and Family Group account users					
АМ	Advisor Master Individual					
АМО	Advisor Master Organization					
	(Corporate, Partnership, LLC, Unincorporated business)					
AC	Advisor Client Individual					

	(Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization
	(Corporate, Partnership, LLC, Unincorporated business with elec-
	tronic access)
вм	Broker Master
BFC	Broker Fully Disclosed Client
	(Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization
	(Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
A	Administrator

Manage Clients/Manage Funds/Manage Traders Menu Access Rights

The following table lists all access rights to the Manage Clients/Manage Funds/Manage Traders menu pages by account structure.

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	вос	FIM	F	PTGM	PTGS	Α
Dashboard				2	₫			2					1				
Create and Link	Ac	coun	ts														
Create																	
New				√	2			√					1				
Duplicate								2									
Client Account Templates					₫			✓									
Household								₫									

Pages	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A
Link Client Accounts							2									
Close Account⁵																
Closure Status							√									
Traders																
New														2		
Authorized Trader																
Close Account ⁴																
Closure Status														2		
Fees																
Configure			2	1			2									
Templates			2	1			2									
Invoicing			2				2									
Markup Sum- mary							✓									
HFCIP Fees				✓												
Settings																
Account Alias			√				2									
Excess Funds Sweep							✓									
Trading																
Base Currency ¹							2							1		
Account Type				✓			2					<				
Configuration (Client Trad- ing)			2									2				

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGMI	PTGS	A
Permissions ²					✓			2					2				
Restrictions ³				7	1			1					2		₫		
Limits															₫		
Security Audit Trail				₫	2												
Users				2	2												
CRM				2													
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGMI	PTGS	A

¹Non-disclosed Broker Masters and Proprietary Trading Group STL Account Masters can change the base currency of their client/sub accounts.

²Non-disclosed Broker Masters can modify the trading configuration of client accounts. Advisor Masters (Individual and Organization), and Fund Investment Managers can only view the trading configuration of client accounts.

³EmployeeTrack Compliance Officers and also access the Trading Restrictions page.

⁴Non-disclosed Broker Masters and Proprietary Trading Group STL Account Masters can close a client or sub account.

	Account Structures Key
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
FF	Friends and Family Group account users
АМ	Advisor Master Individual
АМО	Advisor Master Organization
	(Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual
	(Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization
	(Corporate, Partnership, LLC, Unincorporated business with electronic access)

вм	Broker Master
BFC	Broker Fully Disclosed Client
	(Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization
	(Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
Α	Administrator

Investors' Marketplace Menu Access Rights

The following table lists all access rights to the Investors' Marketplace menu pages by account structure.

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	S A
Search Ser	vice	es															
Investing																	
Advisors	1																
Brokers		1		1	<												
Hedge Funds		1	7	√	2	1	2		<	2					1		
Money Man- ager				√	√												
Research																	
Research	1		1	2	<			7					1		2		
Education & Coaches		1	7	√	2			√					7				
News Feeds			1	2	<			7					1		2		
Trading Public- ations	2	<	√	√	√			√					7		₫		
Technology Software Ven- dors	7	1			1								2		2		

Consultants Administration Accountant	Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	вос	FIM	F	PTGM	PTG	S A
Consultants Administration Accountant	Programming	7	1	1	1	1			1					1		1		
Accountant	Consultants																	
Marketplace Administrator . <th>Administration</th> <th></th>	Administration																	
Administrator g <td< th=""><th></th><th></th><th></th><th></th><th>1</th><th>2</th><th></th><th></th><th>1</th><th></th><th></th><th></th><th></th><th>7</th><th></th><th>2</th><th></th><th></th></td<>					1	2			1					7		2		
Marketplace Auditor	-																	
Auditor <th></th> <th></th> <th></th> <th></th> <th>1</th> <th>2</th> <th></th> <th></th> <th>1</th> <th></th> <th></th> <th></th> <th></th> <th>7</th> <th></th> <th>2</th> <th></th> <th></th>					1	2			1					7		2		
Marketplace Compliance .	-																	
Compliance<					1	2			1					1		1		
Marketplace Legal Services Marketplace Tax Firms Marketplace Tax Firms Marketplace Marketplace Marketplace Marketplace Marketplace Manage Admin- Istrators Business Development Advertising Image I and Image I a	-																	
Legal Services					1	1			2					1		1		
Marketplace Tax Firms Marketplace Manage Admin- istrators Business Development Advertising istrators Business Ana- istrators Business Ana- istrators Careers ² istrators Investing istrators Business Ana- istrators istrators istrators istrators Careers ² istrators istrators<		_	_	_			_	_		_	_	_	_		_		_	_
Tax Firms Image Admin- Manage Admin- Istrators Business Development Advertising Image Admin- Image Admin- <t< th=""><th></th><th></th><th></th><th></th><th>2</th><th></th><th></th><th></th><th>2</th><th></th><th></th><th></th><th></th><th>7</th><th></th><th>2</th><th></th><th></th></t<>					2				2					7		2		
Marketplace Manage Admin- istrators Business Development Advertising I I I I I	-	_	_	_	-		_	_		_	_	_			_		_	_
istrators Business Development Advertising Business Ana- B		-																
istrators Business Development Advertising Gale Corporate Access Pro- viders Investing Advisors Brokers Hedge Fund Capital Intro- u	-					-			-							-		
Advertising Business Ana- Iysts Financing Financing Gareers ² Image: Services Investing Advisors Investing Advisors Investing Investing <th>istrators</th> <th></th>	istrators																	
Advertising Business Ana- Iysts Financing Indiana Indiana Indiana Indiana Indiana Investing Advisors Investing Advisors Investing Investing <	Business Devel	opm	ent															
Iysts Financing Financing Firms Careers ² I I I I I I I I I I I I I I I I I I I	Advertising				7	✓			✓					7				
Financing Firms Careers ² Image: Corporate Access Pro- Image: Corporate Access Pro- Image: Corporate Advertise Services Investing Advisors Image: Corporate Image: Corporate Advisors Image: Corporate	Business Ana-				1	2			7					7				
Firms Careers ²	lysts																	
Careers ² I I I I I I I I I I I I I I I I I I I					1	1			2					1				
Corporate Access Pro- viders Advertise Services Investing Advisors Brokers Hedge Fund Capital Intro- duction Pro-	Firms																	
Access Providers Advertise Services Investing Advisors Brokers Hedge Fund Capital Intro- duction Pro-	Careers ²	1	đ	ΣÍ	1	₫	2	1	2	2		1	1	2	2			₫
Investing Advisors Brokers Hedge Fund Capital Intro- uuction Pro-	Access Pro-								2					2				
Advisors	Advertise S	erv	ices	6														
Advisors Brokers Hedge Fund Capital Intro- duction Pro-	Investing																	
Hedge Fund Capital Intro-	Advisors					✓	7											
Capital Intro-	Brokers								1									
gram	Capital Intro- duction Pro-													₫				

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	Α
Hedge Fund																	
Capital Intro-																	
duction													1				
(3rd Party																	
Admins)																	
Research																	
Research	1																
Application																	
Education &																	
Coaches	1	7	7	1	1			1					1		1		
Application																	
Technology																	
Software Ven-																	
dors Applic-	1	7		1	1			1					1		1		
ation																	
Programming																	
Consultant	2	2		1	1			1					1		1		
Application																	
Administration																	
Marketplace																	1
Information	_	_	_	_	_	_	_	_	_	_	_	_	_	_	_	_	
Manage Clients																	2
Business Devel	opm	ent															
Advertising	1																
Application															_		
Business Ana-																	
lyst Applic-	1			1	1			1					2				
ation																	
Financing	1			1	7			1					7				
Application		_					_				_	_		_		_	
Career	1			1	1	1	1	1	1	7	1	1	7	7	1	1	1
Application	_																
Corporate																	
Access Pro-				2	7			1					2				
viders																	
Pages	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	A

¹Interactive Brokers customers who are Accredited Investors or Qualified Purchasers under SEC rules can invest in independent Hedge Funds available on the Hedge Fund Investor Site page.

²Only Advisors, Brokers, Proprietary Trading Group Master Users and Hedge Fund Investment Managers can view job seekers or post jobs at the Jobs Marketplace in Account Management. Job seekers are not visible at the Investors' Marketplace on our website.

	A
	Account Structures Key
I	Individual, Joint, Trust and IRA account users
SB	Corporate, Partnership, LLC and Unincorporated Businesses
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АМО	Advisor Master Organization
	(Corporate, Partnership, LLC, Unincorporated business)
AC	Advisor Client Individual
	(Individual, Joint, IRA with electronic access)
ACO	Advisor Client Organization
	(Corporate, Partnership, LLC, Unincorporated business with electronic access)
ВМ	Broker Master
BFC	Broker Fully Disclosed Client
	(Individual, Joint, IRA)
BFCO	Broker Fully Disclosed Client Organization
	(Corporate, Partnership, LLC, Unincorporated business)
BNC	Broker Non-Disclosed Client
BOC	Broker Omnibus Client
FIM	Fund Investment Manager Master
F	Fund
PTGM	Proprietary Trading Group Master
PTGS	Proprietary Trading Group Sub
Α	Administrator

Support Menu Access Rights

All users and account structures can access the Support menu.

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	Α
Message Center	7				₫		2		2	.√		2	₫	7			2
Live Chat	7					2	2		2			2		7			2

Pages		SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGM	PTGS	Α
Knowledge Base	2	1	₫	√		7		7	2		2	₫	1	2	M	2	2
Tools	2		2	✓			2			2			₫	2	₫		2
System Status	2	₫	₫	2						2			1	7	2		₫
Contacts	2		2	₫			2		2		2		✓	1	₫	2	2
Service Tips	1	1	2	✓		2	2	2	2		2		<	1	₫	<	2
Paper Forms				✓										1			
	I	SB	FF	AM	AMO	AC	ACO	BM	BFC	BFCO	BNC	BOC	FIM	F	PTGMF	PTGS	Α

1		
	Account Structures Key	
I	Individual, Joint, Trust and IRA account users	
SB	Corporate, Partnership, LLC and Unincorporated Businesses	
FF	Friends and Family Group account users	
АМ	Advisor Master Individual	
АМО	Advisor Master Organization	
	(Corporate, Partnership, LLC, Unincorporated business)	
AC	Advisor Client Individual	
	(Individual, Joint, IRA with electronic access)	
ACO	Advisor Client Organization	
	(Corporate, Partnership, LLC, Unincorporated business with elec-	
	tronic access)	
вм	Broker Master	
BFC	Broker Fully Disclosed Client	
	(Individual, Joint, IRA)	
BFCO	Broker Fully Disclosed Client Organization	
	(Corporate, Partnership, LLC, Unincorporated business)	
BNC	Broker Non-Disclosed Client	
BOC	Broker Omnibus Client	
FIM	Fund Investment Manager Master	
F	Fund	
PTGM	Proprietary Trading Group Master	
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PTGS	Proprietary Trading Group Sub
Α	Administrator

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