

# Interactive Brokers Account Opening Walk-through

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Interactive Brokers Account Opening Walk-through

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You're Done!

All Pages

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This is a detailed walk-through of all the steps that a typical Global AutoTrading client has to accomplish to open an account with Interactive Brokers. There's a lot of steps but each step is pretty simple (i.e., it's not as bad as it looks). You might find it helpful to quickly look at all the steps to make sure you have all the information handy, so that you can coast through the application.

One of the benefits of these electronic applications is that you'll most likely know right away if you've forgotten to "sign" something or entered some wrong information (some little red error message will pop-up on the page). You can thus fix it right away and move on with the application.

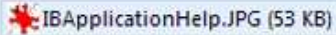
This walk-through can be printed all at once by clicking on the "print" link in the upper right or by selecting "all pages" from the table of content, and then printing that long page.

Some pages you encounter might be different depending on your country, but most steps should be the same. If you find that the instructions are confusing or incomplete, or you have suggestions for how to

improve this guide, please [let Global AutoTrading know](#). Of course, you should use your own information when filling up the fields.

The first step in the account opening process is to... begin the account application. You might have received an email like the one below, or you might have clicked the [link](#) directly from our open an account page. It is best to start the account application by using the link from our web site or email, as it will save you a few steps later on, and we can track your progress and help out if you need it.

From: Global AutoTrading [noreply@global-autotrading.com] Sent: Fri 2011-07-22 1:39 PM  
To: pgriffin@global-autotrading.com  
Cc:  
Subject: Global AutoTrading new account

Message | 

Dear Peter,

Please go to the following link to begin your online application:  
[https://www.clientam.com/Universal/servlet/formWelcome?partnerID=autotrade&invitation\\_id=4299507&token=94550&invitedBy=bWV0YXg5ODk%3D&](https://www.clientam.com/Universal/servlet/formWelcome?partnerID=autotrade&invitation_id=4299507&token=94550&invitedBy=bWV0YXg5ODk%3D&)  
You don't have to finish all the application in one sitting, but do take note of the account number, user name and password so that you can resume later. To resume an application in process, please go to  
<https://www.interactivebrokers.com/Universal/servlet/AccountAccess.Login?c=t>

Opening the account is free, and doesn't imply any commitment from your part: you can cancel at any time.

There is a complete account opening walk-through available at <http://www.global-autotrading.com/support/faqs/11-autotrading-account/45-ib-account-opening-walk-through.html>. The walk-through is based on a US resident application; applications for residents from other countries may differ slightly, but only slightly.

While filling up the application, you can get help directly from the broker:

1. Interactively with the 'chat' button in the upper left corner (under 'Customer Service'), while you are logged in, as circled in red in the attached image
2. By opening a ticket, as circled in green in the attached image
3. By phone at 1 (877) 442-2757 in the United States or 1 (312) 542-6901 (see <http://www.interactivebrokers.com/en/general/contact/contact.php> for alternative numbers)
4. Or by email at [help@interactivebrokers.com](mailto:help@interactivebrokers.com)

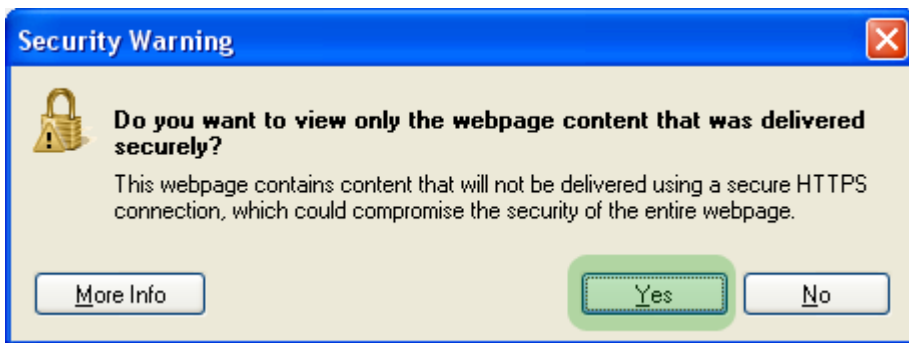
Also feel free to contact Global AutoTrading using our online 'Contact Us' form for general questions about the application. If you prefer, we can also fill up the application form together over the phone. Just let us know!

Note that you really must start the application process by clicking on the link above. If you start an application without going through that link, Global AutoTrading will not be able to place trades in your account.

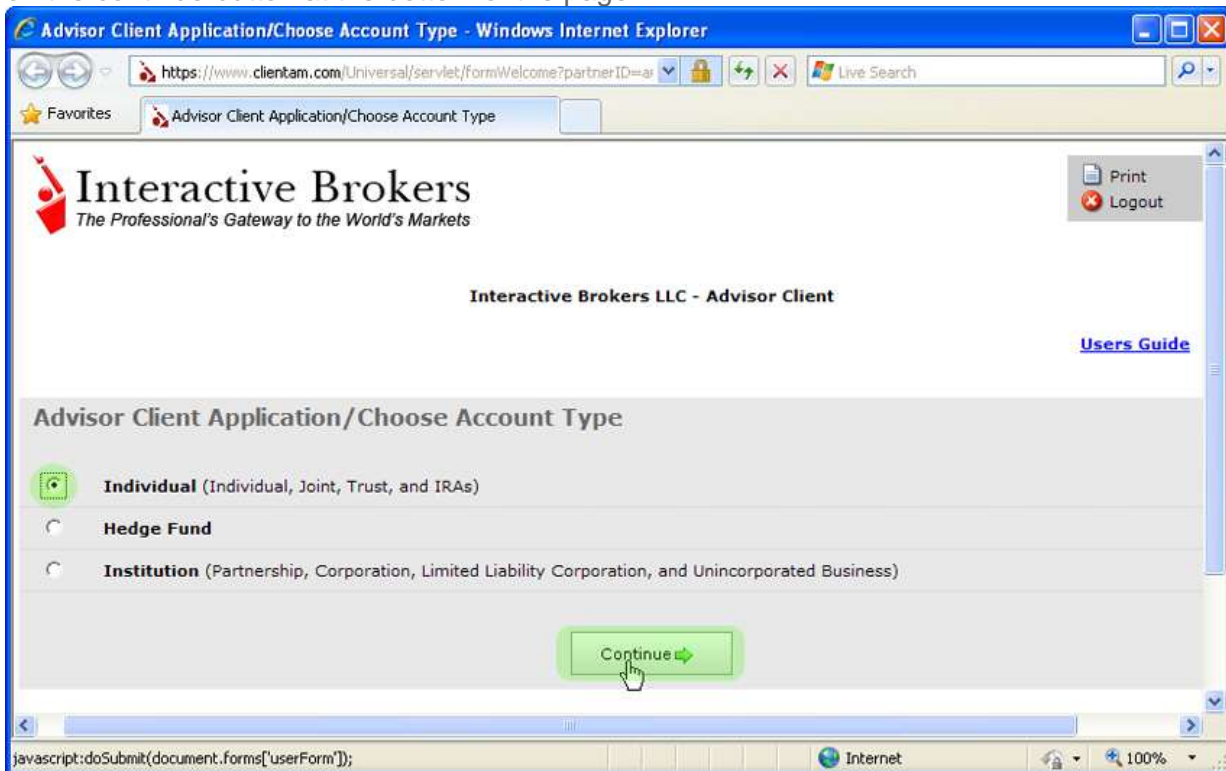
Also, please ignore the somewhat intimidating requirements that are shown at the beginning of the application process. For Global AutoTrading clients, the broker requires 5000 US\$, not 10000 US\$ as listed on some of the broker's pages. Also, it's ok if you've never traded stocks and/or options before; Global AutoTrading will take care of all that for you.

Global AutoTrading

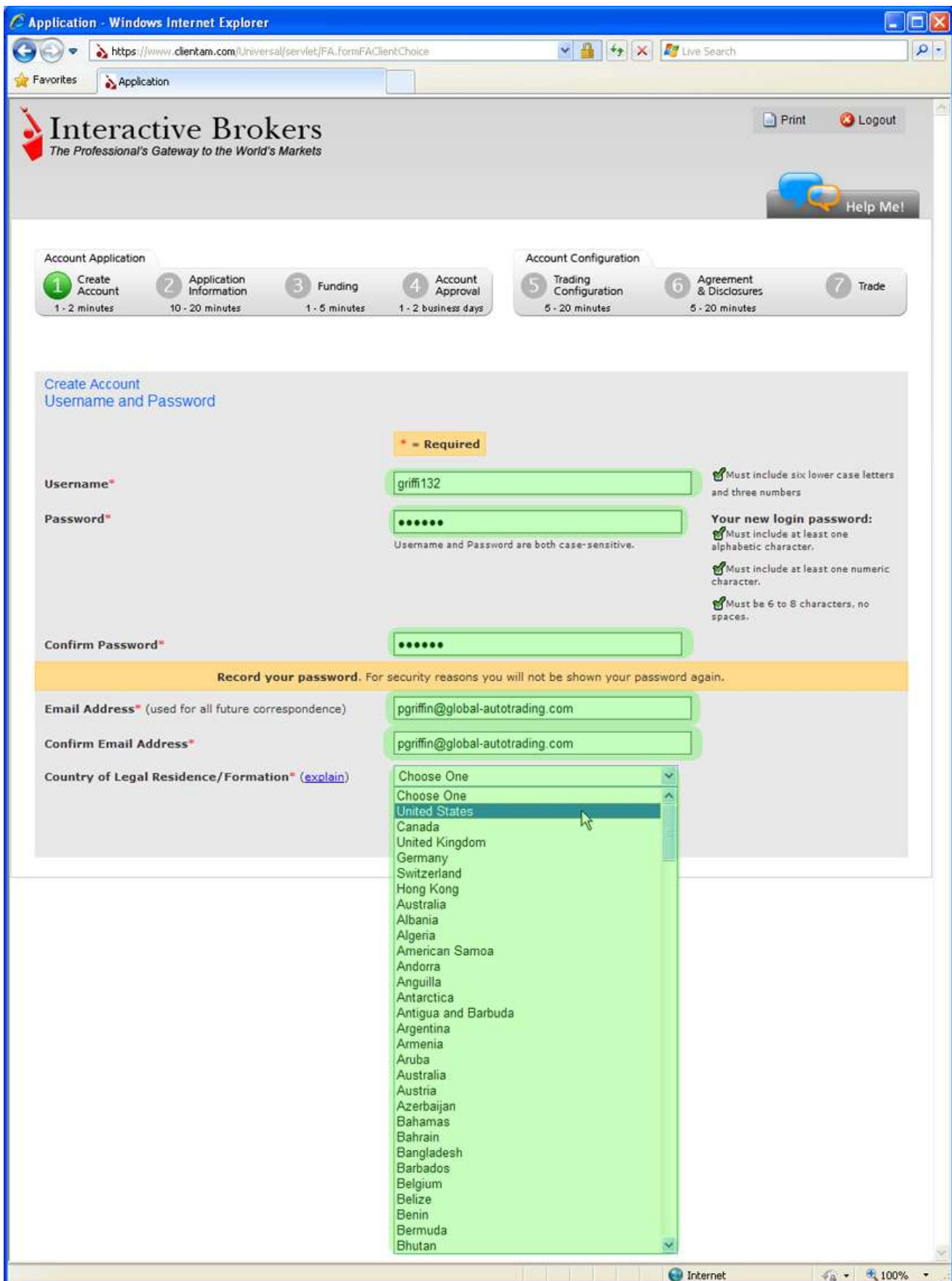
When you follow the link from the email, you might see a warning dialog like this from your web browser:



Simply click on the yes button to proceed. You should be taken to the following page. Choose "Individual" by clicking on the little round button on the left (see where the arrow is in the image below), and then click on the continue button at the bottom of the page.



The next page lets you specify your email address, 6-letter username, followed by 3 digits, and your password. Choose an email account that you can access from your current location, as you will be asked to retrieve a verification number from that email account in a few steps. You can always change the email address later. Make sure you remember the password you choose. Then choose the country you are from. There's a few ("popular"?) countries listed at the top, and then the rest of the countries are listed alphabetically. If you can't find your country in the alphabetical listing, look at the top.



If you chose United States or Canada as your country, then another selection list will appear below the country selection list, letting you choose a state or province.

Application - Windows Internet Explorer

https://www.clientam.com/Universal/servlet/JFA\_FormFAClientChoice

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Print Logout

Help Me!

Account Application

- 1 Create Account (1 - 2 minutes)
- 2 Application Information (10 - 20 minutes)
- 3 Funding (1 - 5 minutes)
- 4 Account Approval (1 - 2 business days)

Account Configuration

- 5 Trading Configuration (5 - 20 minutes)
- 6 Agreement & Disclosures (5 - 20 minutes)
- 7 Trade

Create Account  
Username and Password

\* = Required

Username\* griff132

Password\* •••••

Confirm Password\* •••••

Record your password. For security reasons you will not be shown your password again.

Email Address\* (used for all future correspondence) pgriffin@global-autotrading.com

Confirm Email Address\* pgriffin@global-autotrading.com

Country of Legal Residence/Formation\* (explain) United States

U.S. State:\*

- Choose One
- Michigan
- Minnesota
- Mississippi
- Missouri
- Montana
- Nebraska
- Nevada
- New Hampshire
- New Jersey
- New Mexico
- New York
- North Carolina
- North Dakota
- Ohio
- Oklahoma
- Oregon
- Pennsylvania
- Rhode Island
- South Carolina
- South Dakota
- Tennessee
- Texas
- Utah
- Vermont
- Virginia
- Washington
- Washington DC
- West Virginia
- Wisconsin
- Wyoming

Internet 100%

After doing so, press the "continue" button at the bottom of the page.

Application Windows Internet Explorer  
 https://www.clients.com/UniversalServlet/PA\_FormPAClientChoice  
 Application

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**Account Application**

- 1 Create Account 1 - 2 minutes
- 2 Application Information 10 - 20 minutes
- 3 Funding 1 - 5 minutes
- 4 Account Approval 1 - 2 business days

**Account Configuration**

- 5 Trading Configuration 5 - 20 minutes
- 6 Agreement & Disclosures 5 - 20 minutes
- 7 Trade

Create Account  
 Username and Password

**Username\*** griff132  
**Password\*** \*\*\*\*\*  
 Confirm Password\* \*\*\*\*\*

**\* - Required**

Must include six lower case letters and three numbers  
 Your new login password:  
 Must include at least one alphabetic character.  
 Must include at least one numeric character.  
 Must be 6 to 8 characters, no spaces.  
 Username and Password are both case sensitive.

**Record your password.** For security reasons you will not be shown your password again.

**Email Address\*** (used for all future correspondence) pgriffin@global-autotrading.com  
**Confirm Email Address\*** pgriffin@global-autotrading.com  
**Country of Legal Residence/Formation\*** (explain) United States  
**U.S. State\*** Washington DC

Continue

javascript:doSubmit(); Internet 100%

Now check the email account which you supplied earlier. You should have received (or will shortly receive) an email from the broker with a "registration confirmation number". Copy or write down this number so you can enter it on the next page of the application.

From: help@interactivebrokers.com  
 To: pgriffin@global-autotrading.com  
 Cc:  
 Subject: E-mail Verification



Dear Prospective Customer:

The first time you enter the application system you will be asked for an application confirmation number to verify your email address.

Please cut-and-paste the application confirmation number printed below into the *Confirmation Number* field. If you are currently on the Introduction Page of the application, click *Continue* for the registration confirmation page. If not, please log into **IB Account Management** with your Username and Password.

Application Confirmation Number: **19620**

We look forward to your business.

Interactive Brokers

Now go back to the web browser window and enter the number. You can also change the email address you entered earlier if you made a mistake entering it.

Introduction/Application Confirmation Number - Windows Internet Explorer

https://www.clientam.com/UniversalServlet/Registration\_v3.FormScreenPreReg

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Help Me!

**Account Application**

- 1 Create Account (1 - 2 minutes)
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- 4 Account Approval (1 - 2 business days)

**Account Configuration**

- 5 Trading Configuration (5 - 20 minutes)
- 6 Agreement & Disclosures (5 - 20 minutes)
- 7 Trade

Create Account Confirmation and Customer Type

A confirmation number has been sent to: pgriffin@global-autotrading.com

If this is not your correct email address, please [click here](#)

**Your username: griffi132**

**IMPORTANT**

- You should store your username and password in a secure place.
- For your own security, never provide your password to anyone.

Enter Confirmation Number

Confirmation Number\* (sent to the email address shown above)

If you have not received a confirmation number within five minutes, check your junk email folder, or [click here](#) to receive another confirmation number.

Customer Type

Select a Customer Type below

Customer Type\* ([explain](#))

- Individual
- Joint
- Trust
- IRA
- Partnership
- Corporation
- Limited Liability Company
- Unincorporated Business

Continue →

javascript:doSubmit();

Internet 100%

Finally, choose the account type. Most people will choose "Individual", as selected in the image.

Introduction/Application Confirmation Number - Windows Internet Explorer

https://www.clientkam.com/Universal/servlet/Registration\_v3.FormScreenPreReg

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Help Me!

**Account Application**

- 1 Create Account (1 - 2 minutes)
- 2 Application Information (10 - 20 minutes)
- 3 Funding (1 - 5 minutes)
- 4 Account Approval (1 - 2 business days)

**Account Configuration**

- 5 Trading Configuration (5 - 20 minutes)
- 6 Agreement & Disclosures (5 - 20 minutes)
- 7 Trade

Create Account Confirmation and Customer Type

Individual Customer Types	
<b>Individual</b>	An account owned and used by a single trader or investor.
<b>Joint</b>	An account owned and utilized by two individuals. Depending on the laws of your state of residence, there are three types of joint accounts: Tenants with Rights of Survivorship, Tenancy in Common, and Community Property.
<b>Trust</b>	An account in which the securities are registered in the name of the trust, while a trustee controls the management of the investments.
<b>IRA</b>	Individual Retirement Account. Traditional, Roth, or Simplified Employment Plan (SEP) IRA types are available. This account is only available for a US resident individual.
<b>Partnership</b>	An account in the name of a partnership, managed on the partnership's behalf by the partnership's officers or authorized traders.
<b>Corporation</b>	An account in the name of a corporation, managed on the corporation's behalf by the corporation's officers or authorized traders.
<b>Limited Liability Company</b>	An account in the name of a limited liability company ('LLC'), managed on the LLC's behalf by its officers or authorized traders.
<b>Unincorporated Business</b>	An account in the name of an unincorporated business, managed on the business' behalf by the business officers or authorized traders.

Enter Confirmation Number

Confirmation Number

If you have not received a confirmation number.

Customer Type

Select a Customer Type

Customer Type\* (explain)

- Individual
- Joint
- Trust
- IRA
- Partnership
- Corporation
- Limited Liability Company
- Unincorporated Business

Continue →

After doing so, press the "continue" button at the bottom of the page.

Introduction/Application Confirmation Number - Windows Internet Explorer

https://www.clientam.com/Universal/servlet/Registration\_v3.FormScreenPreReg

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Help Me!

Account Application

- 1 Create Account (1 - 2 minutes)
- 2 Application Information (10 - 20 minutes)
- 3 Funding (1 - 5 minutes)
- 4 Account Approval (1 - 2 business days)

Account Configuration

- 5 Trading Configuration (5 - 20 minutes)
- 6 Agreement & Disclosures (5 - 20 minutes)
- 7 Trade

Create Account Confirmation and Customer Type

A confirmation number has been sent to: pgriffin@global-autotrading.com

If this is not your correct email address, please [click here](#)

Your username: griffi132

**IMPORTANT**

- You should store your username and password in a secure place.
- For your own security, never provide your password to anyone.

Enter Confirmation Number

Confirmation Number\* (sent to the email address shown above)

If you have not received a confirmation number within five minutes, check your junk email folder, or [click here](#) to receive another confirmation number.

Customer Type

Select a Customer Type below

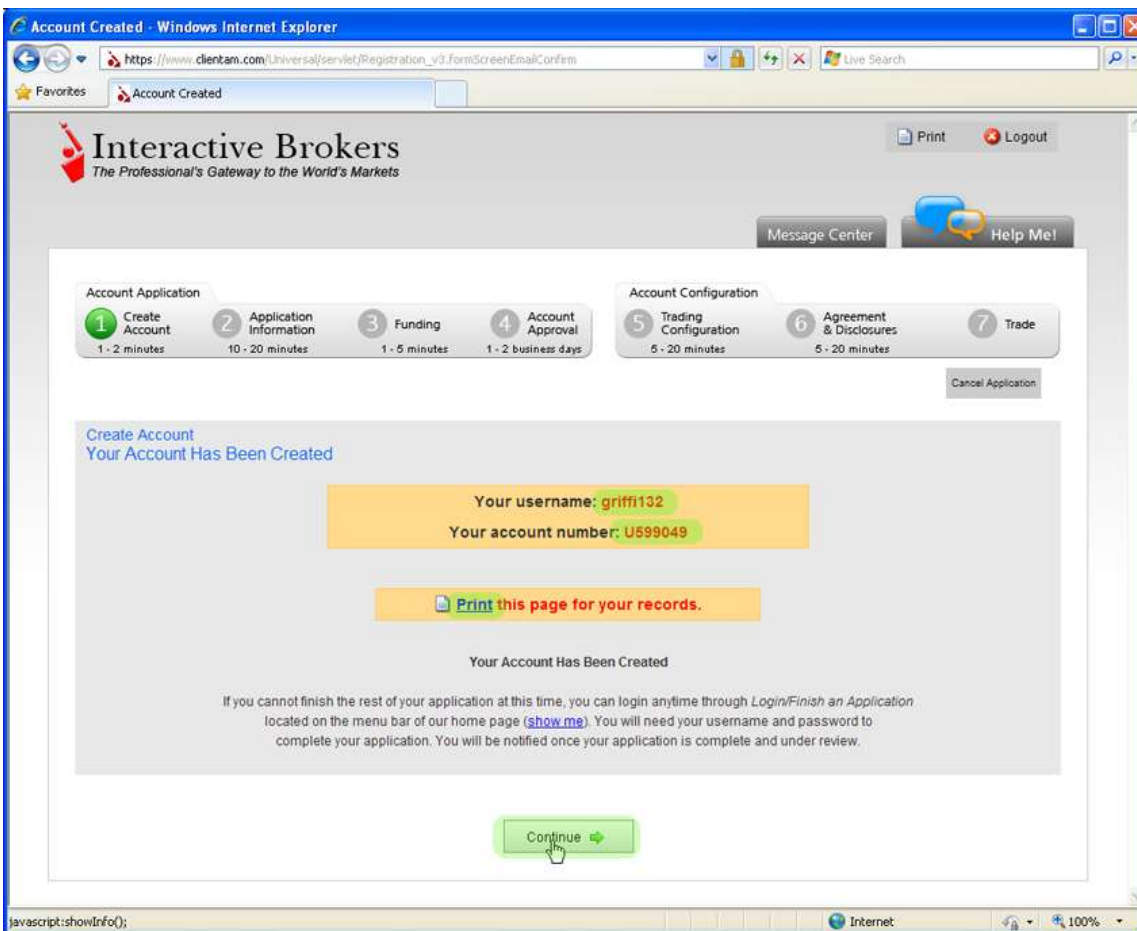
Customer Type\* ([explain](#))

- Individual
- Joint
- Trust
- IRA
- Partnership
- Corporation
- Limited Liability Company
- Unincorporated Business

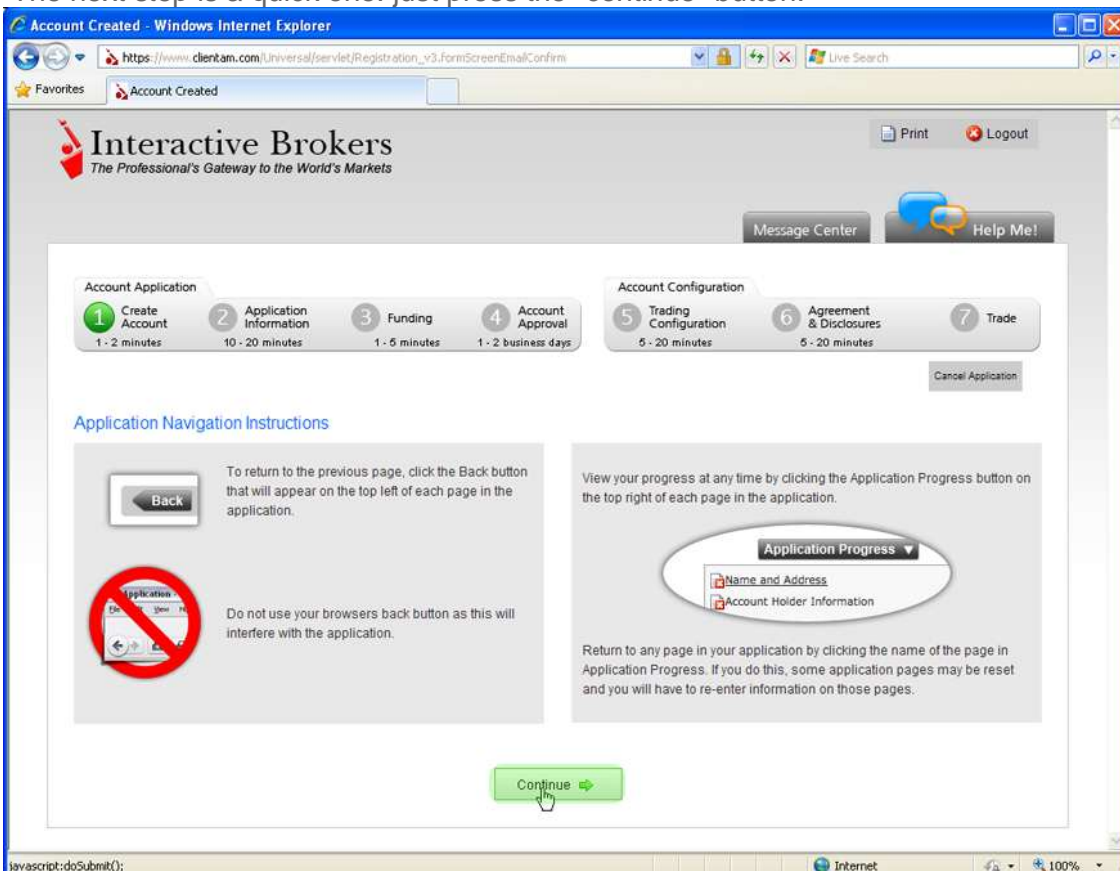
Continue →

javascript:doSubmit(); Internet 100%

The next page shows you the full username you were assigned, and your account number. You should write both down (or print the page), as well as your password. After doing so, press the "continue" button at the bottom of the page.



The next step is a quick one: just press the "continue" button.



If you look on the right, there is now a dropdown that shows the steps accomplished/remaining in the application process.

Application Information/Name and Address - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUtils.WizardServlet?sequence=...

Application Information/Name and Address

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Message Center Help Me!

Account Application

- 1 Create Account **COMPLETED**
- 2 Application Information 10 - 20 minutes
- 3 Funding 1 - 5 minutes
- 4 Account Approval 1 - 2 business days

Account Configuration

- 5 Trading Configuration 5 - 20 minutes
- 6 Agreement & Disclosures 5 - 20 minutes
- 7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL US99049 Application Progress

Application Information  
Name and Address

Type your name exactly as it appears on your bank statement. If the name you enter below does not match the name on your problems accepting incoming wire transfers and your bank may have problems accepting outgoing wire transfers from us.

Salutation\* Mr.

First Name\* Peter

Middle Initial (optional)

Last Name\* Griffin

Suffix (optional) Sr.

Application Progress

- Name and Address
- Account Holder Information
- W-9
- Individual Regulatory Info
- Base Currency
- Trading Qualifications
- Customer Agreement
- Limited Liability Agreement
- Application Review
- Funding
  - Legal Acknowledgements
  - Funding Notification
  - Application Status

Residential Address

Regulatory restrictions prevent us from accepting a P.O. Box or an "in care of" address in the residential address section of the application. Any associated PO Box or "in care of" address should be listed in the mailing address section of the account or your application will be delayed.

Street #1\*

Street #2: (optional, e.g.: Apt, Suite, Floor, etc.)

City\* Washington

State/Province\* Washington DC

Zip/Postal Code\*

Country\* United States

Primary Phone\* (include country and area codes)  
type numbers only, no hyphens or parentheses

Secondary Phone (optional) (include country and area codes)  
type numbers only, no hyphens or parentheses

Fax (optional) (include country and area codes)  
type numbers only, no hyphens or parentheses

Important Information

We will mail you a security device to protect your account from hacking and other fraudulent account attacks. This will be sent by regular or express mail to the residential address listed above within a few days of your account being funded and activated.

It is important to provide a valid residential address or you may not be able to access your account until you receive the security device. If you are not currently at the residential address you have provided, [click here](#) to contact us for alternative delivery arrangements.

Mailing Address

Is your mailing address different from the address provided above?  Yes  No

Security Questions

Security Question 1\* [Dropdown]

Answer 1\* [Text]

Security Question 2\* [Dropdown]

Answer 2\* [Text]

Security Question 3\* [Dropdown]

Answer 3\* [Text]

Back Continue

https://www.interactivebrokers.com/Universal/servlet/IBServletUtils.WizardServlet?sequence=417806639#ur

Internet 100%

On the next page you get to enter your name & address.

Application Information/Name and Address - Windows Internet Explorer

https://www.clientam.com/Universal/Servlet/IDServlet.kids\_WizardServlet?sequence=691333302

Application Information/Name and Address

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Message Center Help Me!

Account Application

1 Create Account COMPLETED

2 Application Information 10 - 20 minutes

3 Funding 1 - 5 minutes

4 Account Approval 1 - 2 business days

Account Configuration

5 Trading Configuration 5 - 20 minutes

6 Agreement & Disclosures 5 - 20 minutes

7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049 Application Progress

Application Information Name and Address

Type your name exactly as it appears on your bank statement. If the name you enter below does not match the name on your bank statement, we may have problems accepting incoming wire transfers and your bank may have problems accepting outgoing wire transfers from us.

Salutation\* Mr.

First Name\* Peter

Middle Initial (optional)

Last Name\* Griffin

Suffix (optional) Sr.

Residential Address

Regulatory restrictions prevent us from accepting a P.O. Box or an "in care of" address in the residential address section of the application. Any associated PO Box or "in care of" address should be listed in the mailing address section of the account or your application will be delayed.

Street #1\* 100 F Street

Street #2: (optional, e.g.: Apt, Suite, Floor, etc.)

City\* Washington

State/Province\* Washington DC

Zip/Postal Code\* 20549

Country\* United States

Primary Phone\* type numbers only, no hyphens or parentheses Country Code Area Code & Phone Number

1 202-942-8088

Secondary Phone (optional) type numbers only, no hyphens or parentheses

1

Fax (optional) type numbers only, no hyphens or parentheses

1

Important Information

We will mail you a security device to protect your account from hacking and other fraudulent account attacks. This will be sent by regular or express mail to the residential address listed above within a few days of your account being funded and activated.

It is important to provide a valid residential address or you may not be able to access your account until you receive the security device. If you are not currently at the residential address you have provided, [click here](#) to contact us for alternative delivery arrangements.

Mailing Address

Is your mailing address different from the address provided above?  Yes  No

Security Questions

Security Question 1\* Choose One

Answer 1\*

Security Question 2\* Choose One

Answer 2\*

Security Question 3\* Choose One

Answer 3\*

Back Continue

javascript:doSubmit(); Internet 100%

The next step involves entering more information about yourself, like your date of birth, legal identification (Social security number for US residents, or passport or driver's license for non-US residents), and employment information.

Application Information/Account Holder Information - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/AccountAccess.Login;jsessionid=9AB31E1C041E1CDD

Application Information/Account Holder Information

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Message Center Help Me!

Account Application

1 Create Account COMPLETED

2 Application Information 10 - 20 minutes

3 Funding 1 - 5 minutes

4 Account Approval 1 - 2 business days

Account Configuration

5 Trading Configuration 5 - 20 minutes

6 Agreement & Disclosures 5 - 20 minutes

7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049 Application Progress

Application Information  
Account Holder Information

Date of Birth\* 01/01/1970 (mm/dd/yyyy)

Marital Status\* Single

Number of Dependents\* 0

Country of Citizenship\* United States

Gender\*  Male  Female

Legal Identification Number

Social Security Number\* 595-12-5274 (type numbers only, no hyphens or parentheses)

Employment Information

Employment Type\* Employed

Employer\* IBM

Nature of Business\* Information Technology

Occupation\* Software Designer

Employer Street #1\* New Orchard Road

Employer Street #2 (optional)

Employer City\* New York

Employer State/Province\* New York

Employer Zip-Postal Code\* 10504

Employer Country\* United States

Additional Sources of Income

Do you have any sources of income in addition to your regular employment?  Yes  No

Back Continue

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Next comes a big form where most US applicants should only have three things to do -- the rest should already be filled up for you. Check the first and third checkboxes in Part II, and type in (or copy from the text on the left) your name in the text box. This is one of those pages that is likely to be different for people that are not US residents. If the page that you see is indeed different (and it's not just the page from the next step), and if you are able to, please take a snapshots of the page and [contact Global AutoTrading](#); we will add your snapshot to this walk through (after blurring your personal information).

Applicant Information/W 9 - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/Servlet/IBSServlet.do?isWizardServlet?sequence=729613329

Account Application: 1 Create Account (COMPLETED), 2 Application Information (10 - 20 minutes), 3 Funding (1 - 5 minutes), 4 Account Approval (1 - 2 business days)

Account Configuration: 5 Trading Configuration (5 - 20 minutes), 6 Agreement & Disclosures (5 - 20 minutes), 7 Trade

Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049

### Application Information W-9

Form **W-9**  
(Rev. January 2011)  
Department of the Treasury  
Internal Revenue Service

## Request for Taxpayer Identification Number and Certification

Name (as shown on your income tax return): Peter Griffin Sr.

Business name/disregarded entity name, if different from above:

Check appropriate box for federal tax classification:

Individual/Sole Proprietor     C Corporation     S Corporation     Partnership     Trust/Estate

Limited liability company. Enter the tax classification:     Exempt Payee

Other (see instructions):

Address (number, street, and apt. or suite no.): 100 F Street

City, state, and Zip/Postal code: Washington DC 20549

Country: United States

List account number(s) here (optional):

Requester's name and address (optional):

#### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see How to get a TIN on page 3.

Note: If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Tax ID #: 595126274

Tax ID is a:  
 Social Security Number  
 Employer Identification Number

#### Part II Certification

Under penalties of perjury, I certify that:

The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and

I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and

I am a U.S. citizen or other U.S. person.

**Certification instructions.** You must not check item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

Form **W-9** (Rev. 1-2011)

### Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: griff132  
 Account Title: Peter Griffin Sr.  
 Dated: Wednesday, 20 July 2011

Signature\* Peter Griffin Sr.

Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

Next comes some questions regarding your role in the stock markets. Most people will answer 'no' to all questions. Do notice the last question, about having other accounts with the broker.

Application Information/Regulatory Information - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/Servlet/IBServletUtlbs.WizardServlet?sequence=775201795

Application Information/Regulatory Information

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Message Center Help Me!

**Account Application**

1 Create Account **COMPLETED** 2 Application Information 10 - 20 minutes 3 Funding 1 - 5 minutes 4 Account Approval 1 - 2 business days

**Account Configuration**

5 Trading Configuration 5 - 20 minutes 6 Agreement & Disclosures 5 - 20 minutes 7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049 Application Progress

Application Information  
Regulatory Information

	Yes	No
Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm? *	<input type="radio"/>	<input checked="" type="radio"/>
Is the account holder a member, employee, associated or affiliated person of a regulatory or a self-regulatory organization or exchange? *	<input type="radio"/>	<input checked="" type="radio"/>
Has the account holder ever been the subject of, or initiated litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer? *	<input type="radio"/>	<input checked="" type="radio"/>
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority? *	<input type="radio"/>	<input checked="" type="radio"/>
Is the account holder a director, a 10% shareholder or a policy-making officer of any publicly traded company? *	<input type="radio"/>	<input checked="" type="radio"/>
Does the account holder control the trading or have a beneficial ownership interest in any other IB accounts? *	<input type="radio"/>	<input checked="" type="radio"/>

Back Continue

javascript:doSubmit(); Internet 100%

We now enter the "Account Configuration" section. The first step is selecting the base currency of the account. Please choose USD. You can have non-USD currency in the account, but the base currency must be USD for IB's system to relay purchasing power, etc. correctly to our system.

Account Application - Base Currency - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUtils.WizardServlet?sequence=120373

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Account Application

- 1 Create Account **COMPLETED**
- 2 Application Information 10 - 20 minutes
- 3 Funding 1 - 5 minutes
- 4 Account Approval 1 - 2 business days

Account Configuration

- 5 Trading Configuration 5 - 20 minutes
- 6 Agreement & Disclosures 5 - 20 minutes
- 7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049 Application Progress

Application Information  
Base Currency

Interactive Brokers' global platform allows you to trade products denominated in many currencies.

Please select a base currency below. Base currency is used to:

- Translate your balances and positions on account statements;
- Determine your margin requirements.

Base Currency\*

Please Select

- Please Select
- United States Dollar USD
- Australian Dollar AUD
- British Pound GBP
- Canadian Dollar CAD
- Euro EUR
- Hong Kong Dollar HKD
- Japanese Yen JPY
- Mexican Peso MXN
- New Zealand Dollar NZD
- Swedish Krona SEK
- Swiss Franc CHF

Back

Account Application - Base Currency - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUtils.WizardServlet?sequence=120373

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- 4 Account Approval 1 - 2 business days

Account Configuration

- 5 Trading Configuration 5 - 20 minutes
- 6 Agreement & Disclosures 5 - 20 minutes
- 7 Trade

Cancel Application

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Application Information  
Base Currency

Interactive Brokers' global platform allows you to trade products denominated in many currencies.

Please select a base currency below. Base currency is used to:

- Translate your balances and positions on account statements;
- Determine your margin requirements.

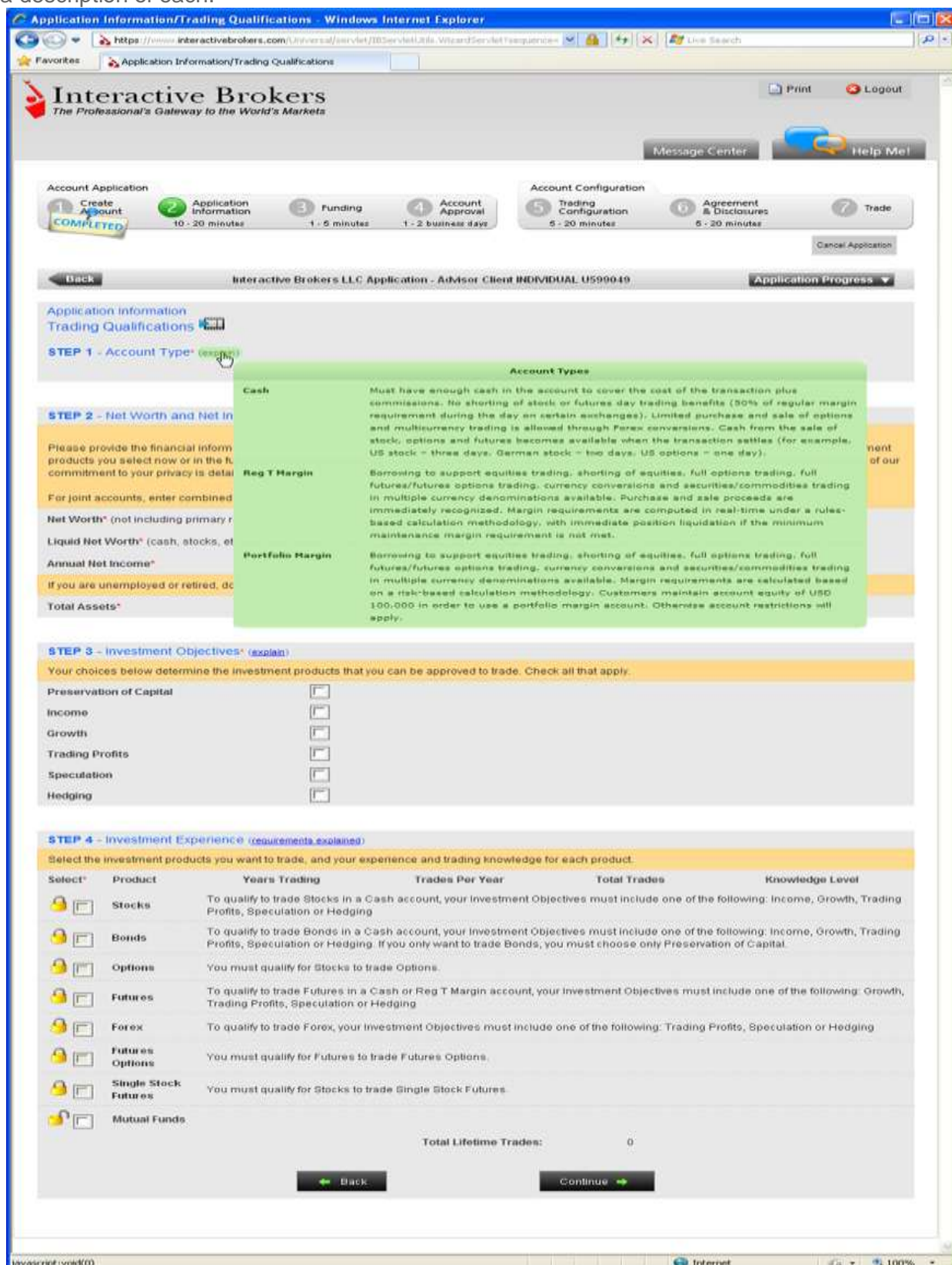
Base Currency\*

United States Dollar USD

Back Continue

javascript:doSubmit();

On the next screen you get to pick between a cash account and a margin account. The image below shows a description of each.



Most people should choose Reg T Margin. Even if your account holds more than 100k, Global AutoTrading still recommends against using portfolio margin. It may allow the account to open more positions, but increased volatility can quickly rob the account of excess liquidity, causing IB to close some positions, often at the worst time. Furthermore, when trying to close positions, sometimes portfolio margin requirements will prevent the closing of a leg of a spread due to some non-obvious margin grouping (this can also happen with Reg T margin, but in that case it is usually obvious why a leg can't be closed; not so with portfolio margin). IRA accounts can choose Reg T Margin. The account won't be able to sell short stocks, but it will be able to enter spreads, etc. Clients who only want to trade long stocks (no short stocks, and no options), and only have USD in their account, can choose a cash account.

Application Information/Trading Qualifications - Windows Internet Explorer

https://www.clientan.com/Universal/Servlet/IBServiceUI/ib.WizardServlet?sequence=2454294

Application Information/Trading Qualifications

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**Account Application**

1 Create Account **COMPLETED** 2 Application Information 10 - 20 minutes 3 Funding 1 - 5 minutes 4 Account Approval 1 - 2 business days

**Account Configuration**

5 Trading Configuration 5 - 20 minutes 6 Agreement & Disclosures 5 - 20 minutes 7 Trade

Cancel Application

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Application Information  
Trading Qualifications

**STEP 1 - Account Type\*** [\(explain\)](#)

Cash  Reg T Margin  Portfolio Margin

**STEP 2 - Net Worth and Net Income**

Please provide the financial information below, which will be used by our Compliance Department to determine whether you are eligible to trade the investment products you select now or in the future. IB never sells your information to any third parties, nor will we call you and suggest investments for you. The scope of our commitment to your privacy is detailed in our [Privacy Policy](#).

For joint accounts, enter combined amounts for both applicants.

**Net Worth\*** (not including primary residence) [\(explain\)](#) Choose One USD

**Liquid Net Worth\*** (cash, stocks, etc. EXCLUDING Retirement Accounts) [\(explain\)](#) Choose One USD

**Annual Net Income\*** Choose One USD

If you are unemployed or retired, do NOT include income from a past or future job in the Annual Net Income entered above.

**Total Assets\*** Choose One USD

**STEP 3 - Investment Objectives\*** [\(explain\)](#)

Your choices below determine the investment products that you can be approved to trade. Check all that apply.

Preservation of Capital

Income

Growth

Trading Profits

Speculation

Hedging

**STEP 4 - Investment Experience** [\(for more information\)](#)

Select the investment products you want to trade, and your experience and trading knowledge for each product.

Select*	Product	Years Trading	Trades Per Year	Total Trades	Knowledge Level
<input type="checkbox"/>	Stocks	To qualify to trade Stocks in a Reg T Margin account, your investment Objectives must include one of the following: Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Bonds	To qualify to trade Bonds in a Reg T Margin account, your investment Objectives must include one of the following: Growth, Trading Profits, Speculation or Hedging. If you only want to trade Bonds, you must choose only Preservation of Capital.			
<input type="checkbox"/>	Options	You must qualify for Stocks to trade Options.			
<input type="checkbox"/>	Futures	To qualify to trade Futures in a Cash or Reg T Margin account, your investment Objectives must include one of the following: Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Forex	To qualify to trade Forex, your investment Objectives must include one of the following: Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Futures Options	You must qualify for Futures to trade Futures Options.			
<input type="checkbox"/>	Single Stock Futures	You must qualify for Stocks to trade Single Stock Futures.			
<input type="checkbox"/>	Mutual Funds				

Total Lifetime Trades: 0

Back Continue

On the next page you get to provide some information about your financials. First is your approximate net worth. You don't have to go add up everything to the penny; just add up your most valuable assets, subtract your largest debts, and then pick a value from the dropdown list.

Application Information/Trading Qualifications - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/Servlet/IB5Servlet/Util/WizardServlet?frequency=...

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Account Application

1 Create Account **COMPLETED** 2 Application Information 10 - 20 minutes 3 Funding 1 - 5 minutes 4 Account Approval 1 - 2 business days

Account Configuration

5 Trading Configuration 5 - 20 minutes 6 Agreement & Disclosures 5 - 20 minutes 7 Trade

Cancel Application

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Application Information Trading Qualifications

STEP 1 - Account Type\* [\(explain\)](#)

Cash  Reg T Margin  Portfolio Margin

STEP 2 - Net Worth and Net Income

Please provide the financial information below, which will be used by our Compliance Department to determine whether you are eligible to trade the investment products you select now or in the future. IB never sells your information to any third parties, nor will we call you and suggest investments for you. The scope of our commitment to your privacy is detailed in our [Privacy Policy](#).

For joint accounts, enter combined amounts for both applicants.

Net Worth\* (not including primary residence) [\(explain\)](#) 250,001 - 500,000 USD

Liquid Net Worth\* (cash, stocks, etc. EXCLUDING debts). The total value of all assets you own less what you owe (including all mortgages and debts). USD

**!** You have selected Cash as your Account Type. To qualify for a Cash Account, your Liquid Net Worth must be at least 20000 USD or equivalent.

Annual Net Income\* < 40,001 USD

If you are unemployed or retired, do NOT include income from a past or future job in the Annual Net Income entered above.

Total Assets\* < 20,001 USD

STEP 3 - Investment Objectives\* [\(explain\)](#)

Your choices below determine the investment products that you can be approved to trade. Check all that apply.

Preservation of Capital

Income

Growth

Trading Profits

Speculation

Hedging

STEP 4 - Investment Experience [\(requirements explained\)](#)

Select the investment products you want to trade, and your experience and trading knowledge for each product.

Select*	Product	Years Trading	Trades Per Year	Total Trades	Knowledge Level
<input type="checkbox"/>	Stocks	To qualify to trade Stocks in a Cash account, your investment Objectives must include one of the following: Income, Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Bonds	To qualify to trade Bonds in a Cash account, your investment Objectives must include one of the following: Income, Growth, Trading Profits, Speculation or Hedging. If you only want to trade Bonds, you must choose only Preservation of Capital.			
<input type="checkbox"/>	Options	You must qualify for Stocks to trade Options.			
<input type="checkbox"/>	Futures	To qualify to trade Futures, your Liquid Net Worth must be at least 75000 USD and your Annual Net Income must be at least 50000 USD			
<input type="checkbox"/>	Forex	To qualify to trade Futures in a Cash or Reg T Margin account, your investment Objectives must include one of the following: Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Forex	To qualify to trade Forex, your Liquid Net Worth must be at least 75000 USD and your Annual Net Income must be at least 50000 USD			
<input type="checkbox"/>	Futures Options	To qualify to trade Forex, your investment Objectives must include one of the following: Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Futures Options	You must qualify for Futures to trade Futures Options.			
<input type="checkbox"/>	Single Stock Futures	You must qualify for Stocks to trade Single Stock Futures.			
<input type="checkbox"/>	Mutual Funds				

Total Lifetime Trades: 0

Back Continue

javascript:void(0) Internet 100%

After the net worth comes the liquid net worth. That's your net worth minus assets that would take a while to convert to cash, like real estate. Your liquid net worth should be less than your net worth. Again, you can approximate this.

Application Information/Trading Qualifications - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/Servlet/IBServletUKUs\_WizardServlet?sequence=...

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Account Application

- 1 Create Account **COMPLETED**
- 2 Application Information 10 - 20 minutes
- 3 Funding 1 - 6 minutes
- 4 Account Approval 1 - 2 business days

Account Configuration

- 5 Trading Configuration 6 - 20 minutes
- 6 Agreement & Disclosures 6 - 20 minutes
- 7 Trade

Cancel Application

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Application Information  
Trading Qualifications

STEP 1 - Account Type\* [\(explain\)](#)

Cash  Reg T Margin  Portfolio Margin

STEP 2 - Net Worth and Net Income

Please provide the financial information below, which will be used by our Compliance Department to determine whether you are eligible to trade the investment products you select now or in the future. IB never sells your information to any third parties, nor will we call you and suggest investments for you. The scope of our commitment to your privacy is detailed in our [Privacy Policy](#).

For joint accounts, enter combined amounts for both applicants.

Net Worth\* (not including primary residence) [\(explain\)](#) 250,001 - 500,000 USD

Liquid Net Worth\* (cash, stocks, etc. EXCLUDING Retirement Accounts) [\(explain\)](#) 100,001 - 250,000 USD

Annual Net Income\* [\(explain\)](#) The total value of any liquid assets you own. For example, cash, securities and other assets that can easily be reduced to cash.

If you are unemployed or retired, do NOT include income from a past or future job in the Annual Net Income entered above.

Total Assets\* < 20,001 USD

STEP 3 - Investment Objectives\* [\(explain\)](#)

Your choices below determine the investment products that you can be approved to trade. Check all that apply.

Preservation of Capital

Income

Growth

Trading Profits

Speculation

Hedging

STEP 4 - Investment Experience [\(requirements explained\)](#)

Select the investment products you want to trade, and your experience and trading knowledge for each product.

Select*	Product	Years Trading	Trades Per Year	Total Trades	Knowledge Level
<input type="checkbox"/>	Stocks	To qualify to trade Stocks in a Cash account, your Investment Objectives must include one of the following: Income, Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Bonds	To qualify to trade Bonds in a Cash account, your Investment Objectives must include one of the following: Income, Growth, Trading Profits, Speculation or Hedging. If you only want to trade Bonds, you must choose only Preservation of Capital.			
<input type="checkbox"/>	Options	You must qualify for Stocks to trade Options.			
<input type="checkbox"/>	Futures	To qualify to trade Futures in a Cash or Reg T Margin account, your Investment Objectives must include one of the following: Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Forex	To qualify to trade Forex, your Investment Objectives must include one of the following: Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Futures Options	You must qualify for Futures to trade Futures Options.			
<input type="checkbox"/>	Single Stock Futures	You must qualify for Stocks to trade Single Stock Futures.			
<input type="checkbox"/>	Mutual Funds				

Total Lifetime Trades: 0

Back Continue

Then, specify your annual income, including not only salary but other income as well, like investment income and property rental income.

Application Information/Trading Qualifications - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/Servlet/IBServer/IBServerWizardServlet?sequence=...

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Account Application

1 Create Account COMPLETED

2 Application Information 10 - 20 minutes

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4 Account Approval 1 - 2 business days

Account Configuration

5 Trading Configuration 5 - 20 minutes

6 Agreement & Disclosures 5 - 20 minutes

7 Trade

Cancel Application

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Application information  
Trading Qualifications

STEP 1 - Account Type\* (explain)

Cash  Reg T Margin  Portfolio Margin

STEP 2 - Net Worth and Net Income

Please provide the financial information below, which will be used by our Compliance Department to determine whether you are eligible to trade the investment products you select now or in the future. IB never sells your information to any third parties, nor will we call you and suggest investments for you. The scope of our commitment to your privacy is detailed in our [Privacy Policy](#).

For joint accounts, enter combined amounts for both applicants.

Net Worth\* (not including primary residence) (explain) 250,001 - 500,000 USD

Liquid Net Worth\* (cash, stocks, etc. EXCLUDING Retirement Accounts) (explain) 100,001 - 250,000 USD

Annual Net Income\* 50,001 - 100,000 USD

If you are unemployed or retired, do NOT include income from a past or future job in the Annual Net Income entered

Total Assets\* 50,001 - 100,000 USD

50,001 - 100,000  
< 40,001  
40,001 - 45,000  
45,001 - 50,000  
50,001 - 100,000  
100,001 - 150,000  
150,001 - 250,000  
250,001 - 500,000  
500,001 - 1,000,000  
> 1,000,000

STEP 3 - Investment Objectives\* (explain)

Your choices below determine the investment products that you can be approved to trade. Check all that apply.

Preservation of Capital

Income

Growth

Trading Profits

Speculation

Hedging

STEP 4 - Investment Experience (requirements explained)

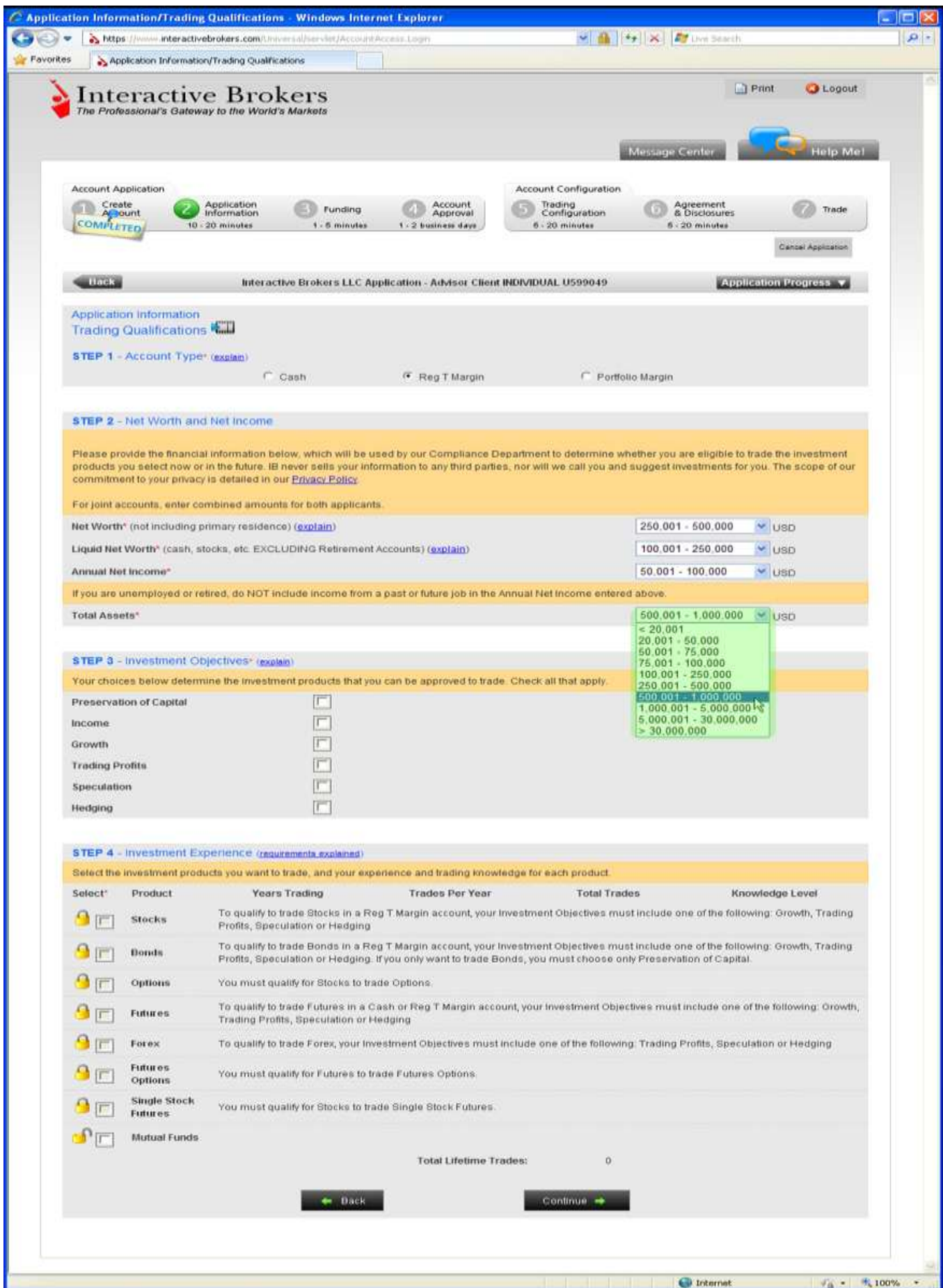
Select the investment products you want to trade, and your experience and trading knowledge for each product.

Select*	Product	Years Trading	Trades Per Year	Total Trades	Knowledge Level
<input type="checkbox"/>	Stocks	To qualify to trade Stocks in a Cash account, your Investment Objectives must include one of the following: Income, Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Bonds	To qualify to trade Bonds in a Cash account, your Investment Objectives must include one of the following: Income, Growth, Trading Profits, Speculation or Hedging. If you only want to trade Bonds, you must choose only Preservation of Capital.			
<input type="checkbox"/>	Options	You must qualify for Stocks to trade Options.			
<input type="checkbox"/>	Futures	To qualify to trade Futures in a Cash or Reg T Margin account, your Investment Objectives must include one of the following: Growth, Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Forex	To qualify to trade Forex, your Investment Objectives must include one of the following: Trading Profits, Speculation or Hedging			
<input type="checkbox"/>	Futures Options	You must qualify for Futures to trade Futures Options.			
<input type="checkbox"/>	Single Stock Futures	You must qualify for Stocks to trade Single Stock Futures.			
<input type="checkbox"/>	Mutual Funds				

Total Lifetime Trades: 0

Back Continue

Finally, specify your approximate total asset.

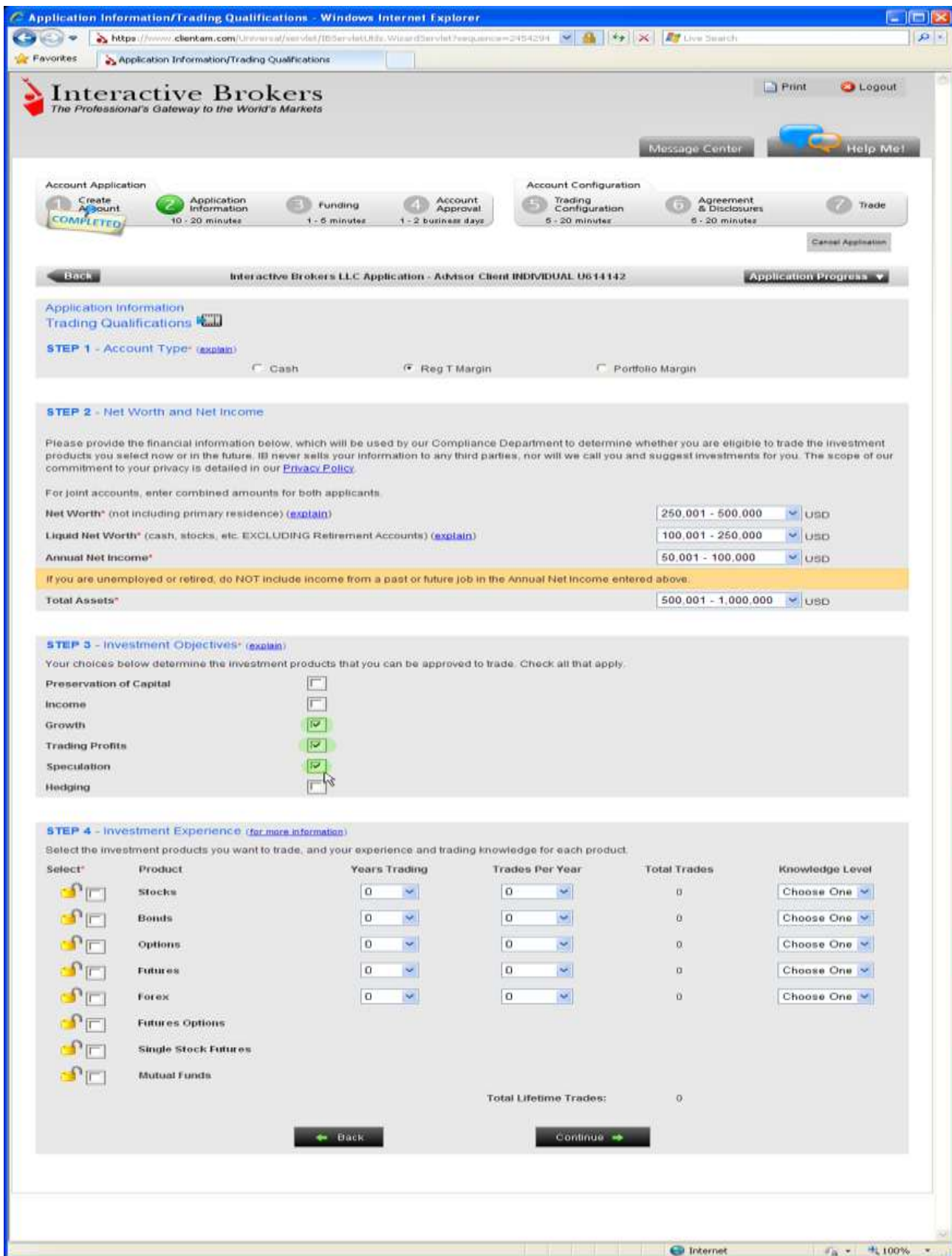


First up is to specify which goals you are trying to achieve in this particular account. A description of the choices is shown in the image below.

### Investment Objectives

<b>Preservation of Capital</b>	To seek maximum safety and stability for your principal by focusing on securities and investments that carry a low degree of risk.
<b>Income</b>	To generate dividend, interest or other income instead of, or in addition to, seeking long-term capital appreciation.
<b>Growth</b>	To increase the principal value of your investments over time rather than seeking current income. Investor assumes higher degree of risk.
<b>Trading Profits</b>	To increase the principal value of your investments using shorter term trading strategies and by assuming higher risk.
<b>Speculation</b>	To substantially increase the principal value of your investments by assuming substantially higher risk to your investment capital.
<b>Hedging</b>	To take positions in a product in order to hedge or offset the risk in another product.

There's some funny interaction between the choices; you can't choose "Income" AND "Speculation", for example. Just pick as many as apply to you, and if they conflict choose the most important ones.



Next up is investment experience. The broker requires a knowledge level of "good" for whatever instruments you will want to trade in the account (like options or stocks). This is a bit paradoxical as Global AutoTrading will be doing the trading for you, so you don't actually need trading experience. You can choose something similar to what is shown in the image below, just to get through the application process. If you really have no experience trading stocks or options, you should let Global AutoTrading know. Global AutoTrading will nevertheless look at your financial information to confirm that you are choosing reasonable investment newsletters (for example, not investing all your retirement savings in a highly speculative newsletter).

Application Information/Trading Qualifications - Windows Internet Explorer

https://www.clientam.com/Universof/servlet/IBServletURLs.WizardServlet?sequence=2454294

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- 4 Account Approval 1 - 2 business days

Account Configuration

- 5 Trading Configuration 5 - 20 minutes
- 6 Agreement & Disclosures 5 - 20 minutes
- 7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U614142 Application Progress

Application Information  
Trading Qualifications

STEP 1 - Account Type\* [\(explain\)](#)

Cash  Reg T Margin  Portfolio Margin

STEP 2 - Net Worth and Net Income

Please provide the financial information below, which will be used by our Compliance Department to determine whether you are eligible to trade the investment products you select now or in the future. IB never sells your information to any third parties, nor will we call you and suggest investments for you. The scope of our commitment to your privacy is detailed in our [Privacy Policy](#).

For joint accounts, enter combined amounts for both applicants.

Net Worth\* (not including primary residence) [\(explain\)](#)  USD

Liquid Net Worth\* (cash, stocks, etc. EXCLUDING Retirement Accounts) [\(explain\)](#)  USD

Annual Net Income\*  USD

If you are unemployed or retired, do NOT include income from a past or future job in the Annual Net Income entered above.

Total Assets\*  USD

STEP 3 - Investment Objectives\* [\(explain\)](#)

Your choices below determine the investment products that you can be approved to trade. Check all that apply.

Preservation of Capital

Income

Growth

Trading Profits

Speculation

Hedging

STEP 4 - Investment Experience [\(for more information\)](#)

Select the investment products you want to trade, and your experience and trading knowledge for each product.

Select*	Product	Years Trading	Trades Per Year	Total Trades	Knowledge Level
<input checked="" type="checkbox"/>	Stocks	<input type="text" value="2"/>	<input type="text" value="11 - 25"/>	22-60	<input type="text" value="Good"/>
<input type="checkbox"/>	Bonds	<input type="text" value="0"/>	<input type="text" value="0"/>	0	<input type="text" value="Choose One"/>
<input checked="" type="checkbox"/>	Options	<input type="text" value="2"/>	<input type="text" value="11 - 25"/>	22-50	<input type="text" value="Good"/>
<input type="checkbox"/>	Futures	<input type="text" value="0"/>	<input type="text" value="0"/>	0	<input type="text" value="Choose One"/>
<input checked="" type="checkbox"/>	Forex	<input type="text" value="2"/>	<input type="text" value="11 - 25"/>	22-50	<input type="text" value="Good"/>
<input type="checkbox"/>	Futures Options				
<input type="checkbox"/>	Single Stock Futures				
<input type="checkbox"/>	Mutual Funds				
Total Lifetime Trades:				66-150	

javascript:doSubmit();

Internet 100%

Press on the "continue" button at the bottom of the page.

Next comes a lengthy agreement that explains what the broker allows the advisor (Global AutoTrading Inc.) to do in the client's account. Scroll down to the bottom, and you will see a field where you need to type in your name. Type in your name and press the "continue" button at the bottom of the page.

Applicant Information/Customer Agreement - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUbls.WizardServlet?sequence=392239640

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Account Configuration

5 Trading Configuration 5 - 20 minutes 6 Agreement & Disclosures 5 - 20 minutes 7 Trade

Cancel Application

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Application Information  
Customer Agreement

This Interactive Brokers Customer Agreement contains the terms and conditions of your account relationship with Interactive Brokers. Please use the scrollbar to read the agreement, signify your acceptance by typing your name exactly as it appears, then click **Continue**.

associates, or agents on the other hand, arising out of, or relating to, this Agreement, or any account(s) established hereunder in which securities may be traded; any transactions therein; any transactions between IB and Customer; any provision of the Customer Agreement or any other agreement between IB and Customer; or any breach of such transactions or agreements, shall be resolved by arbitration, in accordance with the rules then prevailing of any one of the following: (a) The American Arbitration Association; (b) The Financial Industry Regulatory Authority; or (c) any other exchange of which IB is a member, as the true claimant-in-interest may elect. If Customer is the claimant-in-interest and has not selected an arbitration forum within ten days of providing notice of Customer's intent to arbitrate, IB shall select the forum. The award of the arbitrators, or a majority of them, shall be final, and judgment upon the award rendered may be entered in any court, state or federal, having jurisdiction.

B. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until:

- the class certification is denied; or
- the class is decertified; or
- the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this Agreement except to the extent stated herein.

This agreement contains a predispute arbitration clause in paragraph 33.

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: griff132  
Account Title: Peter Griffin Sr.  
Dated: Thursday, 21 July 2011

Signature\* Peter Griffin Sr.   
Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

Back Continue

javascript:doSubmit(); Internet 100%

Next comes limited liability agreement. If you scroll down the agreement, you will see a couple of radio buttons that you must click.

Agreement Limiting Interactive Brokers' Liability for decisions and actions of your independent - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUbls.WizardServlet?sequence=325001429

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Account Application

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Account Configuration

5 Trading Configuration 5 - 20 minutes 6 Agreement & Disclosures 5 - 20 minutes 7 Trade

Cancel Application

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Agreement Limiting Interactive Brokers' Liability for decisions and actions of your independent financial advisor.

Accept Decline

SINCE INTERACTIVE BROKERS IS NOT PROVIDING ANY ADVICE TO ME, IF MY ACCOUNT GENERATES PROFITS, I WILL NOT HAVE TO SHARE THE PROFITS WITH IB. LIKEWISE I AGREE THAT IF MY ACCOUNT SUFFERS LOSSES, INTERACTIVE BROKERS WILL NOT REPAY OR BE RESPONSIBLE FOR MY LOSSES.

Accept Decline

I AGREE THAT INTERACTIVE BROKERS DOES NOT SEE MY ADVISOR'S COMMUNICATIONS TO ME AND IS NOT RESPONSIBLE FOR STATEMENTS OR INFORMATION COMING TO ME FROM MY ADVISOR. I AGREE TO LOGIN TO THE IB WEBSITE OR TO CONTACT IB IF I WANT TO VERIFY ANY ACCOUNT OR PROFIT/LOSS INFORMATION GIVEN TO ME BY MY ADVISOR.

Accept Decline

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: griff132  
Account Title: Peter Griffin Sr.  
Dated: Thursday, 21 July 2011

Signature\* Peter Griffin Sr.

Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

Back Continue

After doing so, you will see a field where you need to type in your name. Print your name and press the "continue" button at the bottom of the page.

Agreement Limiting Interactive Brokers' Liability for decisions and actions of your independent - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/Servlet/IBServletUtils.WizardServlet?sequence=325001429

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- 1 Create Account **COMPLETED**
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Account Configuration

- 5 Trading Configuration 5 - 20 minutes
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Cancel Application

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Agreement Limiting Interactive Brokers' Liability for decisions and actions of your independent financial advisor.

Accept  Decline  
 SINCE INTERACTIVE BROKERS IS NOT PROVIDING ANY ADVICE TO ME, IF MY ACCOUNT GENERATES PROFITS, I WILL NOT HAVE TO SHARE THE PROFITS WITH IB. LIKEWISE I AGREE THAT IF MY ACCOUNT SUFFERS LOSSES, INTERACTIVE BROKERS WILL NOT REPAY OR BE RESPONSIBLE FOR MY LOSSES.

Accept  Decline  
 I AGREE THAT INTERACTIVE BROKERS DOES NOT SEE MY ADVISOR'S COMMUNICATIONS TO ME AND IS NOT RESPONSIBLE FOR STATEMENTS OR INFORMATION COMING TO ME FROM MY ADVISOR. I AGREE TO LOGIN TO THE IB WEBSITE OR TO CONTACT IB IF I WANT TO VERIFY ANY ACCOUNT OR PROFIT/LOSS INFORMATION GIVEN TO ME BY MY ADVISOR.

Accept  Decline

Signature

I acknowledge that the foregoing information and all other information provided during the account application process is true and correct and agree to notify Interactive Brokers by email of any material changes therein. I authorize Interactive Brokers to confirm the accuracy of the information as it deems necessary.

User Name: griff132  
Account Title: Peter Griffin Sr.  
Dated: Thursday, 21 July 2011

Signature\* Peter Griffin Sr.   
Typing your name is equivalent to your handwritten signature.

By typing my signature and sending it via the Internet, I acknowledge that I have read and understand all information provided during the application process; that I intend Interactive Brokers to rely upon it; that I intend to be bound thereby; and that I understand and agree that my electronic signature is the equivalent of a manual written signature.

Back Continue

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The next page talks about the risks involved with margin trading. Don't forget, if you want to print the disclosure itself you will have to click on the print icon in the upper right hand corner of the page. If you don't feel comfortable with these risks, you can accept it for now and change your account to a cash account instead of margin (assuming you don't need currency exchanged or don't intend to short stocks or options).

Disclosure of Margin Trading - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUtils.WizardServlet?sequence=

Interactive Brokers  
The Professional's Gateway to the World's Markets

Print Logout

Message Center Help Me!

Account Application

- 1 Create Account **COMPLETED**
- 2 Application Information 10 - 20 minutes
- 3 Funding 1 - 5 minutes
- 4 Account Approval 1 - 2 business days

Account Configuration

- 5 Trading Configuration 5 - 20 minutes
- 6 Agreement & Disclosures 5 - 20 minutes
- 7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049 Application Progress

Application Information  
Disclosure of Margin Trading

Because you have specified margin trading permissions, you are required to read, and acknowledge your acceptance of the Disclosure of Margin Trading document. Please read the following document and acknowledge your acceptance at the bottom.

**DISCLOSURE OF RISKS OF MARGIN TRADING**

Interactive Brokers ("IB") is furnishing this document to you to provide some basic facts about purchasing securities and futures contracts on margin, and to alert you to the risks involved with trading in a margin account. "Margin trading" can mean engaging in a transaction in which securities are purchased partially through a margin loan extended to you by IB, for which the securities act as collateral. Margin trading can also mean trading investment products such as futures or options in which an initial "margin" deposit is made to secure your obligations and further margin may be required to secure your obligations as the value of your positions changes.

This document also describes special risks associated with trading on margin in an IRA account, as described below.

Before trading stocks, futures or other investment products in a margin account, you should carefully review the margin agreement provided by IB and you should consult IB regarding any questions or concerns you may have with your margin accounts.

When you purchase securities, you may pay for the securities in full or you may borrow part of the purchase price from IB. If you choose to borrow funds from IB, you will open a margin account with the firm. The securities purchased are IB's collateral for the loan to you. If the securities or futures contracts in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, IB can take action, such as sell securities or other assets in any of your accounts held with IB or issue a margin call, in order to maintain the required equity in the account.

You should understand that pursuant to the IB Margin Agreement, IB generally will not issue margin calls, that IB will not credit your account to meet intraday

I, Peter Griffin Sr.

Accept  Decline

Back Continue

javascript:doSubmit(); Internet 100%

Next comes everybody's favorite kind of page: a confirmation page where nothing needs to be entered. Just make sure all the information is correct and press the continue button.

Acknowledgements & Funding - Application Review - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUtils.WizardServlet?sequence=

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Account Application

1 Create Account **COMPLETED** 2 Application Information 10 - 20 minutes 3 Funding 1 - 5 minutes 4 Account Approval 1 - 2 business days

Account Configuration

5 Trading Configuration 5 - 20 minutes 6 Agreement & Disclosures 5 - 20 minutes 7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049 Application Progress

Application Information Review

Please review the key information related to your account application below. If you would like to change any of this information, click the Application Progress button above, then click the appropriate link. If all information is correct, click Continue at the bottom of this page.

Application Information

Customer Type	Advisor Client INDIVIDUAL
Username	griff132
Account ID	U599049
Account Title	Peter Griffin Sr.
Primary Address	100 F Street, Washington, DC, 20549, United States
Legal Residence	United States

Financial Information

Investment Objectives	Growth Trading Speculation
Net Worth	250,000 - 500,000 USD
Liquid Net Worth	100,000 - 250,000 USD
Annual Net Income	50,000 - 100,000 USD
Total Assets:	500,001 USD

Investment Experience

	Years Trading	Trades Per Year	Knowledge Level
Stocks:	2	11 - 25	Good
Options:	2	11 - 25	Good
Forex:	2	11 - 25	Good

Back Continue

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It might feel like you've been checking off acknowledgements for a while, but the next page begins the "Acknowledgements" section. Happily enough, there is only one button to choose in this section, and the progress bar assures you that you are almost done. And if you are in need of comfort, keep in mind that it took much longer to write this guide than it is taking you to go through the actual application. Press "Continue" at the bottom of the page.

Legal Acknowledgements - Windows Internet Explorer

https://www.interactivebrokers.com/Universal/servlet/IBServletUtils.WizardServlet?sequence=

Interactive Brokers  
The Professional's Gateway to the World's Markets

Print Logout

Message Center Help Me!

Account Application

1 Create Account COMPLETED

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7 Trade

Cancel Application

Back Interactive Brokers LLC Application - Advisor Client INDIVIDUAL U599049 Application Progress

Application Information  
Legal Acknowledgements

IB can maintain its low commission structure because we have built automated trade processes to minimize human intervention and discretion. In this respect, we have established some simple terms which govern trading in all IB accounts. These rules recognize that from time to time, due to their nature, electronic systems, which often rely on third party connectivity, may fail or be delayed and exchanges and data providers may make errors.

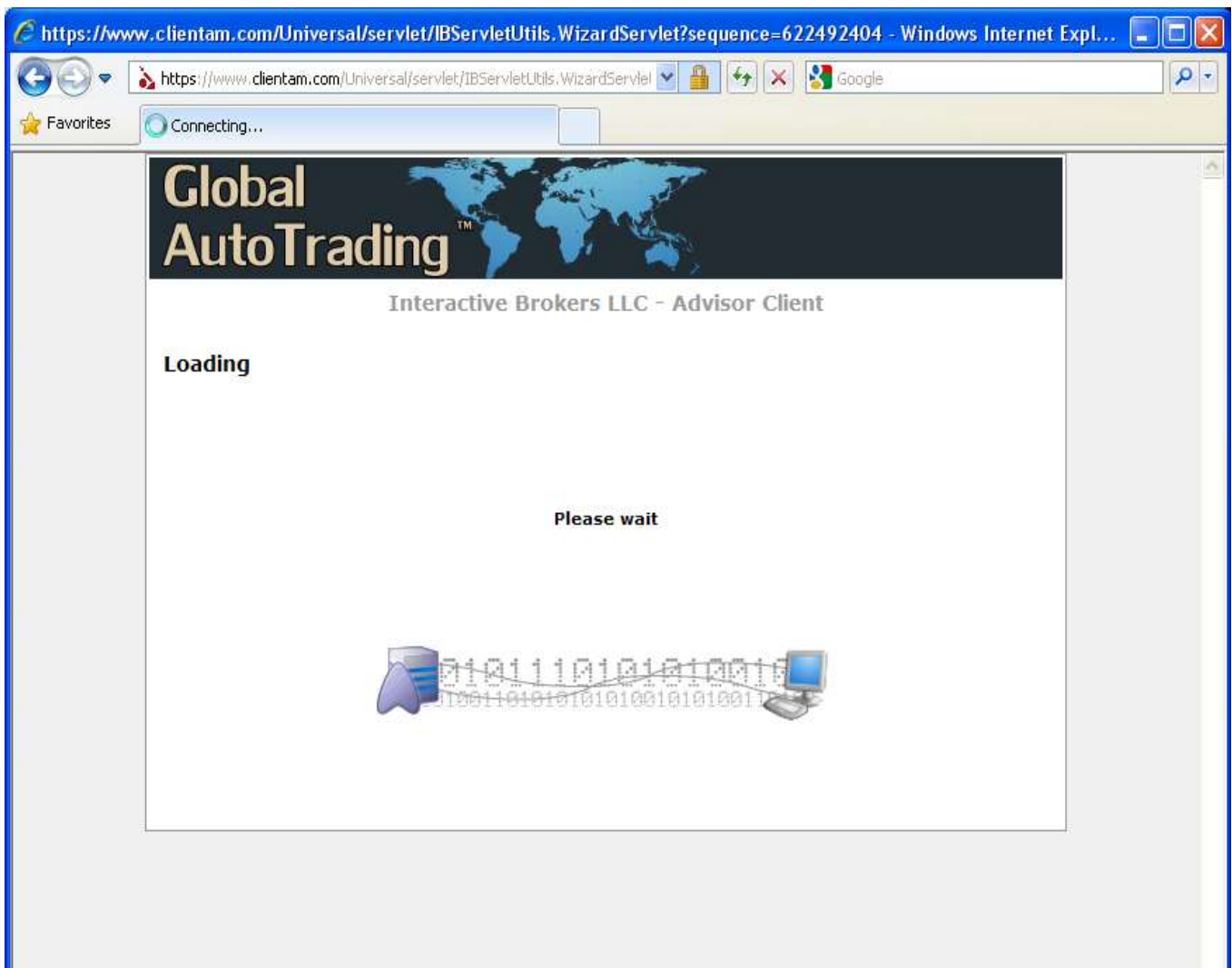
- I am obligated to accept all executions that are consistent with the instructions specified in my orders.
- Although we believe our failure rate is among the lowest in the industry, any system may fail at one time or another, often by reason of forces beyond human control. IB is not liable for system or network failures, and customers who require the highest level of reliability, agree to maintain secondary trading facilities.
- Customers are responsible for protecting the secrecy of their usernames and passwords, and they will be responsible for trades entered by third parties using their usernames and passwords.
- In the event trades are confirmed by IB as executed, and they are later cancelled by an exchange, trading network or regulatory authority, the IB confirmed trade will also be deemed cancelled.
- IB generally processes orders in the order in which it receives them, including all orders submitted by IB or its affiliates.
- IB is not responsible for ensuring the execution of orders at limit prices if the order's transmission is delayed or is otherwise affected by data communication failure.
- IB does not provide trading, investment or tax advice, and customers shall not rely on statements by IB employees which purport to provide such advice.
- IB generally does not make margin calls, and IB maintains the right to immediately close out positions, without notice or liability, in any account that does not have sufficient funds to meet the margin requirements imposed by it or regulatory authorities. At its sole discretion given the market or other factors, IB may choose to make a margin call and/or may not liquidate account positions. If you receive a margin call you are required to immediately deposit funds to cover the deficiency.
- IB customers are responsible to IB for the continued accuracy and updating of all information provided to IB.
- IB customers agree to keep IB informed of their current email address, so they will be in a position to read and receive emails addressed to them by IB.

Accept  Decline

Back Continue

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Next you will see a loading screen like this.



After a while page entitled "Funding & Acknowledgements" will show up. It offers several options for how you would like to fund your account. This page is likely to be different depending on the country in which you reside. In the image shown below, the first five options (in the "Deposit Notification" section) are for when the transfer is initiated from your bank (i.e., you would let the broker know to expect these funds from your bank). The next section ("Inbound Transfer Requests") is for funding methods that are started on the broker's side (i.e., the broker would ask your bank for these funds).

**You should initiate a transfer, as this moves your account forward in the account approval process.**

If you don't initiate a transfer, your account will remain marked as 'incomplete' until you do. When you initiate a transfer, your account becomes tagged as "pending approval", which means someone at IB will look at it shortly. If you know what funding method you're actually going to use, then set that up immediately. Even if you're not ready to transfer money in or you're not sure which method to use, at least setup a "dummy" wire transfer (you can always cancel it or let it expire after your account has been approved).

Account Management - Windows Internet Explorer

https://www.interactivebrokers.com/Finance/FinServletUtils/Recipient?user\_name=griff1326se

Account Management

# Global AutoTrading™

Registration System

U599049

## Funding

Your application will not be processed until you complete these deposit instructions. All new accounts must deposit the required minimum in equity (cash or stock) before they can trade.

**Your deposit notification is non-binding. If you do not know the exact amount that you will deposit, estimate this amount.**

Select a Deposit Notification or Inbound Transfer Request for Account ID: U599049

**Deposit Notifications** allow us to efficiently identify your incoming funds for proper credit to your account. A Deposit Notification does not move your funds. You must contact your bank or broker to complete the transfer.

- Wire Transfer Deposit
- Bank ACH Transfer From Your Bank
- Check
- Online Bill Payment
- Free of Payment (FOP)

**Inbound Transfer Requests** are instructions you provide to us to contact your bank or broker to move your funds or assets. An Inbound Transfer Request physically moves your funds or assets to your IB account.

- ACH Transfer Initiated at IB**
- Automated Customer Account Transfer (ACATS in the US, ATON in Canada)
- US Futures Asset Transfer
- European Asset Transfer
- Asian Asset Transfer
- Internal Account Transfer

https://www.interactivebrokers.com/Finance/jsp/InitialFunding/funding\_v2.jsp#

Internet 100%

You will need to select the method that you want. If possible, Global AutoTrading recommends that you use "Automated Clearing House" from the "Inbound Transfer Requests" section, as shown in the image below. It involves a one-time setup where the broker will deposit and withdraw a small amount of money to/from your bank account (less than 1\$ each). After this setup is done, then you can easily and quickly deposit and withdraw money from your brokerage account. Unlike wire transfers, it's free (well, your bank might charge

something for \*any\* withdrawal, in which case the same charge would most likely apply - you should contact your bank to make sure). If you want to use this approach, choose "Create Instruction" from the dropdown list, and press the continue button at the bottom of the screen.

Account Management - Windows Internet Explorer

https://www.interactivebrokers.com/finance/PnS/Service/IBs/Recipient?user\_name=giff1320&... Live Search

Account Management

# Global AutoTrading™

Registration System

U599049

## Funding

Your application will not be processed until you complete these deposit instructions. All new accounts must deposit the required minimum in equity (cash or stock) before they can trade.  
Your deposit notification is non-binding. If you do not know the exact amount that you will deposit, estimate this amount.

Select a Deposit Notification or Inbound Transfer Request for Account ID: U599049

**Deposit Notifications** allow us to efficiently identify your incoming funds for proper credit to your account. A Deposit Notification does not move your funds. You must contact your bank or broker to complete the transfer.

- Wire Transfer Deposit
- Bank ACH Transfer From Your Bank
- Check
- Online Bill Payment
- Free of Payment (FOP)

**Inbound Transfer Requests** are instructions you provide to us to contact your bank or broker to move your funds or assets. An Inbound Transfer Request physically moves your funds or assets to your IB account.

- ACH Transfer Initiated at IB**
  - Description**

An Automated Clearing House (ACH) Initiated at IB transfer is an electronic transfer of funds initiated by Interactive Brokers. To fund your account with an ACH Transfer Initiated at IB:

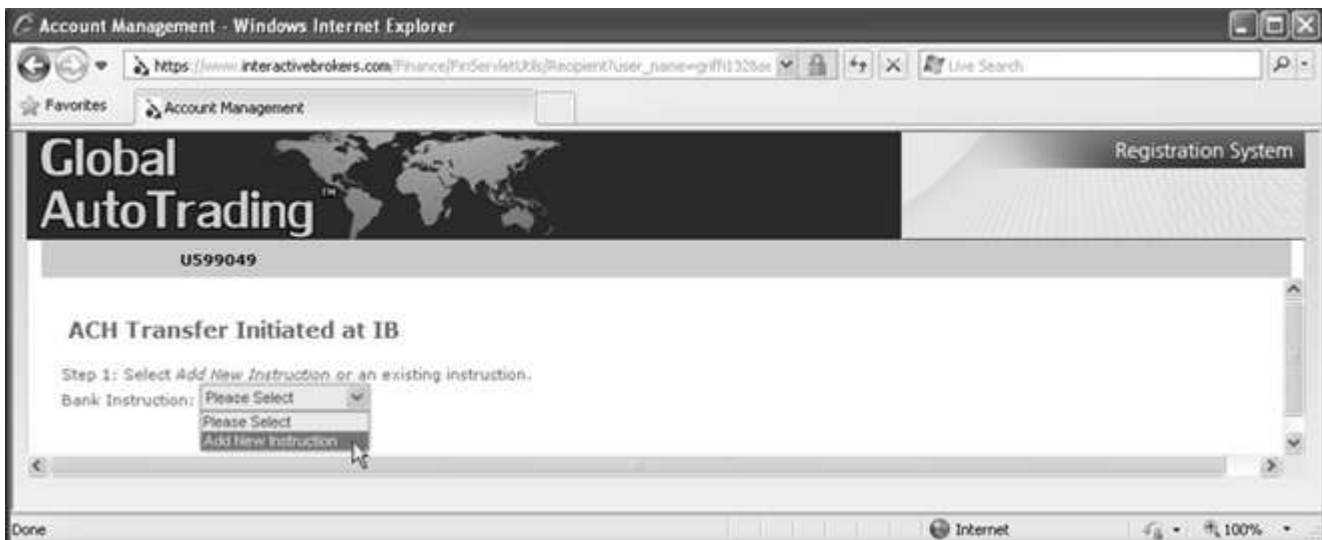
    - Click **Select** under ACH Transfer Initiated at IB above, then follow the instructions on the screen to create a Bank Instruction, which authorizes IB and your bank to electronically transfer funds between the two accounts.
    - You will then be asked to verify a series of test transactions issued to your bank account to establish the link.
    - After you have verified the test transactions, create an ACH Initiated at IB transfer in Account Management to fund your account, using the Bank Instruction you created here.
  - Time to Arrive**

ACH transfer requests received by 14:00 ET will be credited to your account after four business days under normal circumstances.
  - Limitations**
    - This transfer method is available only for US currency deposits from US banks that allow ACH deposits.
    - ACH deposits are restricted from being withdrawn to any institution other than the bank where the deposit originated for a period of 40 business days following receipt.
    - To protect against fraudulent activity sometimes associated with the ACH process, IB limits your account to a single ACH deposit transaction up to \$20,000 USD until you have enrolled in our Secure Login System. If you do not wish to enroll in this program, you are free to use alternative funding methods such as bank wires or checks.
    - You will be asked to enroll in this program at the end of this application.

Select

- Automated Customer Account Transfer (ACATS in the US, ATON in Canada)
- US Futures Asset Transfer
- European Asset Transfer
- Asian Asset Transfer
- Internal Account Transfer

Done Internet 100%



When you do so, the next screen will ask you for some information regarding your bank account. Don't forget to check the "ACH Debit & Credit" radio button, and press the continue button. You will then need to wait a few days (typically 2-3 days) for two transactions from the broker to show up in your bank account. When they do, log back in to the account management screen and enter the amounts of the transactions. Then you should be all set to actually transfer at least \$5000 from you bank account to your brokerage account, and to let Global AutoTrading start trading for you! Note that that \$5000 is your money and you can withdraw it (and close the account) at any time.



#### Documents:

You will be asked to submit documents, either by fax, mail, or by scanning the documents and emailing them. If you submit a statement as proof of address (ex: credit card, bank or utility statement), please make sure the statement is **less than 6 weeks old**, otherwise it will be rejected. Any picture identification card must be valid (non-expired), and signed.

Well, there you have it. Congratulations! You've successfully opened an account with the broker. Or, perhaps, you've just read through this entire guide -- that's a good start. It takes a while the first time, and although one probably wishes to not have to do this too many times, one can get quite quick at it!

If you have any suggestions for improving this walk-through, please **let Global AutoTrading know** -- ideally by providing screen shots of areas where you encountered difficulties or what not.