

Transparent, Integrated and Auditable Views of Employee Trading Activity

Interactive Brokers' EmployeeTrack helps compliance officers improve their employee trading compliance programs by providing a transparent, integrated and auditable view of employee trading activity across regulatory regimes, markets, products, and trading venues. Management reports provide employee-specific or aggregate summaries of activity and compliance teams can perform ad-hoc queries by symbol, volume, or changes in account equity. EmployeeTrack offers turnkey integration with the Interactive Brokers trading platform, and API integration with any other broker.

Compliance Officers use EmployeeTrack to:

- Manage the pre-trade compliance process for employees using Interactive Brokers for trading.
 - Apply trade-related rules and restrictions to an account, user or an entire account family. Once applied to an account family, all future users inherit the trading restrictions.
 - Limit employee access to trading specific symbols, positions, products, or security types during defined timeframes.
- Deploy a common risk management tool covering 120 markets in 26 countries and 22 currencies:
 - EmployeeTrack supports multiple regulatory regimes and major regulations such as the *Foreign Account Tax Compliance Act* (FATCA) in the U.S. and *Markets in Financial Instruments Directive II* (MiFID II) across the EU.
 - Language support for English, French, Spanish, German, Italian, Simplified and Traditional Chinese and Japanese.
 - Turnkey integration with employee accounts using the Interactive Brokers trading platform. Straightforward integration with other trading platforms and flexible batch uploading of account information.
 - Audit trail functionality brings transparency to account changes, documentation and exception handling.
- Consolidate monitoring of risks within your existing system with our direct file feed, which includes data from any other vendor or broker, including firms such as TD Ameritrade, Fidelity, and J.P. Morgan.
- Access to EmployeeTrack is *complimentary*.

Your Employees Can Access Markets at Low Costs to Maximize Returns¹

Employees who open or transfer accounts to the Interactive Brokers trading platform benefit from:

- Lower commissions and no ticket charges, minimums, or technology, software, platform or reporting fees.
- Low U.S. margin interest rates ranging from 1.72% to 2.92%.²
- The industry's best price execution³ because of IB SmartRouting™, which searches for the best firm stock, option, and combination prices available at the time of order and seeks immediate execution of the order.
- A Stock Yield Enhancement Program, which pays interest each day you allow IB to borrow your shares in exchange for cash collateral and lend the shares to traders willing to pay interest to borrow them.
- Access to 120 markets in 26 countries and 22 currencies.



Employees also gain access to sophisticated market-maker designed technology, multiple desktop and mobile trading platforms, advanced trading tools, 60+ order types and algos, and flexible API solutions.

To learn more about how EmployeeTrack helps Compliance Officers ensure the integrity of their employee trading risk management process visit ibkr.com/et.

Trading on margin is only for sophisticated investors with high risk tolerance. You may lose more than your initial investment.

[1] Lower investment costs will increase your overall return on investment, but lower costs do not guarantee that your investment will be profitable.

[2] Margin borrowing is only for sophisticated investors with high risk tolerance. You may lose more than your initial investment.

Annual Percentage Rate (APR) on USD margin loan balances as of 1/22/18. Interactive Brokers calculates the interest charged on margin loans using the applicable rates for each interest rate tier listed on its website. For additional information on margin loan rates, see ibkr.com/interest.

Margin loan rates and credit interest rates are subject to change without prior notice.

[3] Based on independent measurements, the Transaction Auditing Group, Inc., (TAG), a third-party provider of transaction analysis, has determined that Interactive Brokers' US stock and options price executions were significantly better than the industry's during the first half of 2017. For complete information see, ibkr.com/compare