

EmployeeTrackSM

A Global Solution for Monitoring Employee Investment Activity



Avoid conflicts of interest and other issues caused by employee investment activities. EmployeeTrackSM helps compliance officers at exchanges, hedge funds, mutual funds, brokers, banks, insurance companies and other professional services firms monitor the global trading activity of employees from over 200 countries and territories.

COMPLIANCE PORTAL IS A FREE TOOL FOR MANAGING YOUR EMPLOYEE TRACK COMPLIANCE PROGRAM.

- Manage the pre-trade compliance process for an account, user or account family and limit access by symbol, position, security type or timeframe.
- Audit trail functionality brings transparency to account changes, documentation and exception handling.
- Use the Employee Dashboard to view, search and manage employee accounts from a single, intuitive screen and invite employees to open IBKR accounts.
- Generate employee-specific or aggregate reports. You can also query by symbol, volume, or account equity.
- Language support for Simplified and Traditional Chinese, English, French, German, Italian, Japanese and Spanish.
- IBKR provides a data feed to EmployeeTrack compliance officers who want to integrate their data with third-party software.

EMPLOYEES USING IBKR BENEFIT FROM:

- Access to stocks, options, futures, currencies, bonds and funds on over 135 markets in 33 countries from a single screen / Integrated Investment account.
- Lowest margin rates² and, for IBKR Pro clients, enhanced order execution via IB SmartRoutingSM to help minimize costs to maximize employee returns.³
- Zero commissions on US exchange-listed stocks and ETFs¹ under our IBKR Lite account plan and reduced minimums under our IBKR Pro account plan.
- Our Stock Yield Enhancement Program, which provides employees with an opportunity to earn extra return by lending their fully paid shares to IBKR.⁴

For more information visit: www.ibkr.com/et



Member: NYSE, FINRA, SIPC.

[1] The IBKR Lite pricing plan applies US residents with the following account types: Individual, Joint, IRA and Trusts when the beneficiary and trustee are natural persons. In addition, US financial advisors can offer IBKR Lite to their clients.

[2] According to StockBrokers.com Online Broker Survey 2020: Online Broker Reviews, February 12, 2020. "Interactive Brokers leads the industry with the lowest margin rates". For more information see, www.ibkr.com/info.

[3] Lower investment costs will increase your overall return on investment, but lower costs do not guarantee that your investment will be profitable. [4] For complete details, see ibkr.com/syep

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