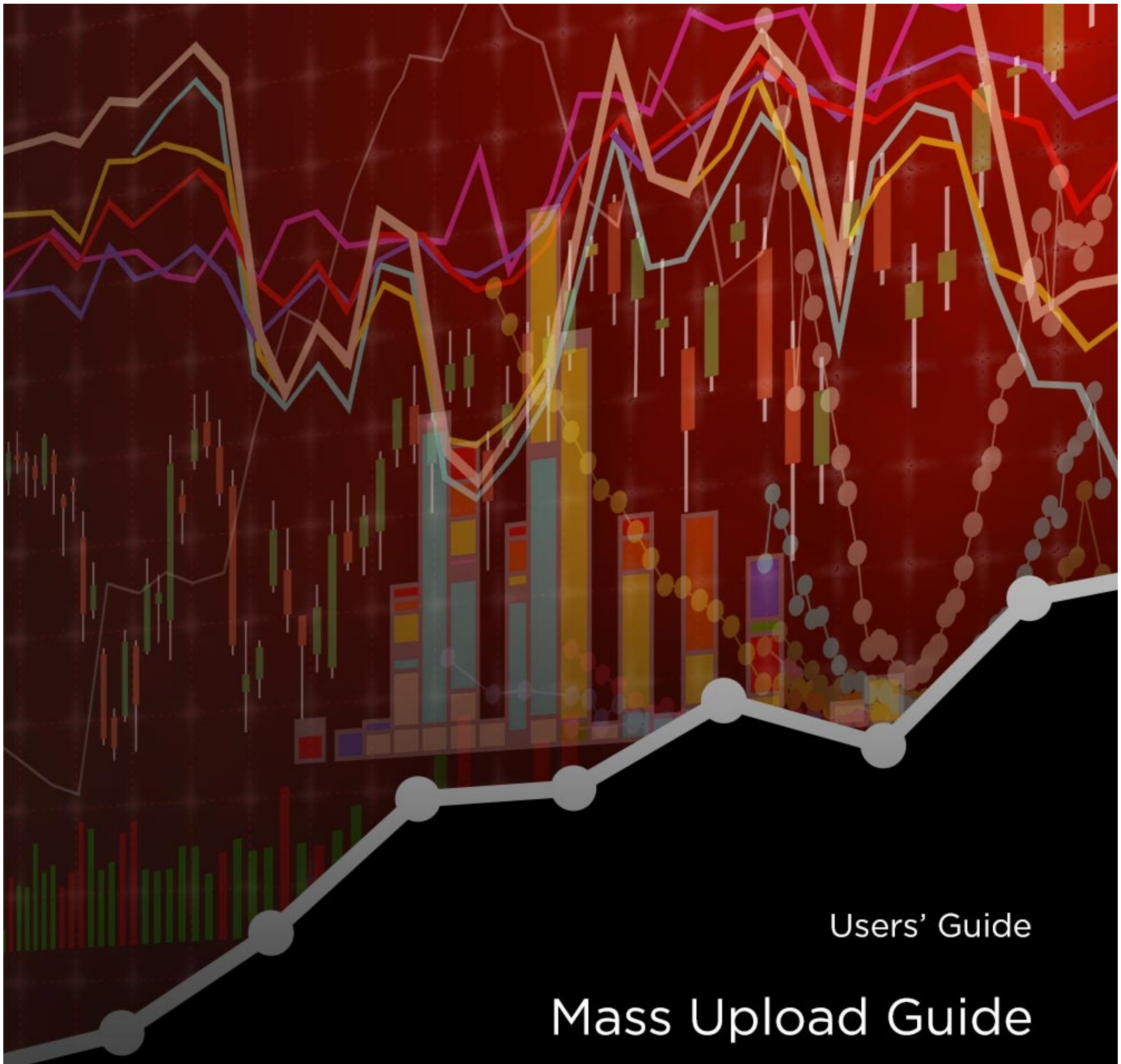


Users' Guide

Mass Upload Guide

InteractiveBrokers

Mass Upload Guide

August 2018

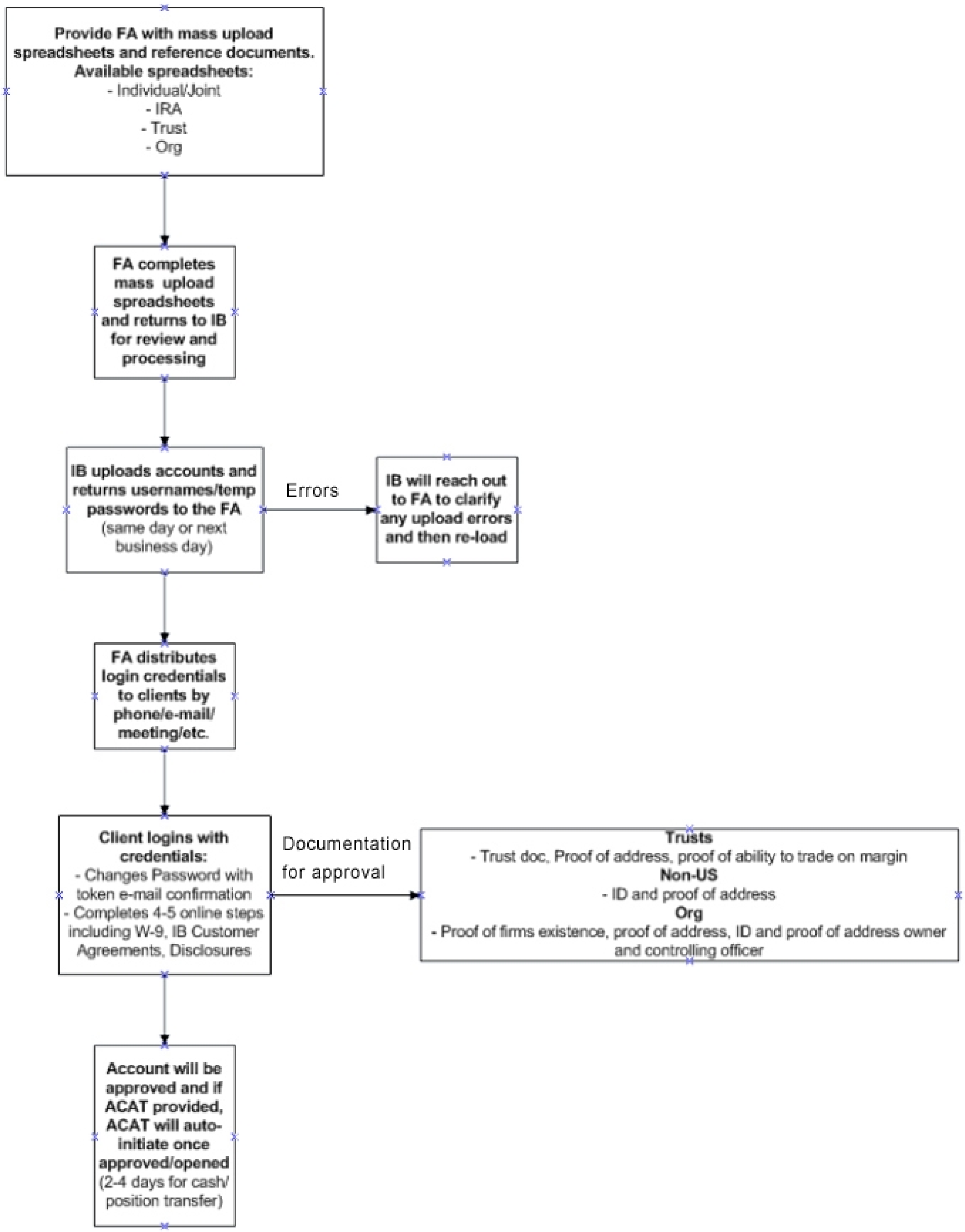
Contents

Mass Upload

We provide Advisors with the ability upload multiple client accounts to our system using a single Excel workbook. To do this, follow the simple steps below.

1. Contact your Sales Representative or send an email to salesengineering@interactivebrokers.com to request mass upload.
2. We will send you an Excel workbook and a link to this guide.
3. The Excel workbook allows you to enter information for multiple client accounts in a single file. The Excel file we send you has been divided into sections, with each section displayed on one or more worksheets to make it easier for you to enter the required information. The sections of the Excel workbook are:
    - Individual Information
    - IRA Information
    - Joint Account Information
    - Trust Information
    - Country and Product Listings
    - Employment Nature of Business
    - List of Occupations
    - Exchanges
4. When you have completed filling in all of your clients' information in the Excel workbook, submit it to your Sales Representative or send it to us at the email listed above.
5. Once we finish adding all of your clients' information into our system, we will send you a secure file listing all of their new IB account usernames and passwords. Have each client sign into their IB account applications by clicking **Continue or Finish Your Application** from the **OPEN ACCOUNT** menu on our website.
6. Each client should change his or her password and will complete several online steps.
7. Once all customer agreements, disclosures, required identity documents and account funding are completed for each client account, the accounts are approved.

The following diagram shows the steps in the mass upload process.



Individual Information

The Excel workbook displays customer information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- Account Information Worksheet Fields
- Customer Information Worksheet Fields
- Mailing Address Worksheet Fields
- Employment Information Worksheet Fields
- Regulatory Information Worksheet Fields
- Financial Information Worksheet Fields
- Trading Permissions Worksheet Fields
- W-9/W-8BEN Worksheet Fields
- Advisor Wrap Fees Worksheet Fields
- ACATS
- ACH Instructions

Account Information Fields

Refer to the following table when completing the fields on the Account Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Email Address	Y	

Field Name	Required	Documentation
Prefix	Y	Prefix used to generate a username. **Must be five to six lowercase characters (alphabetical only).** Three random numbers will be appended to the prefix to generate the account user name.
Residence Country	Y	3 letter country ISO 3166-1 code (look up ISO codes here)
Legal Residence State	Y	For US states, enter the 2 letter state abbreviation For non-US states, enter the 4 letter ISO 3166-2 code
Base Currency	Y	One of: USD, EUR, GBP, CAD, JPY, HKD, AUD, CHF, MXN, SEK, NZD, HUF, CZK, CNH, DKK, RUB, ILS, NOK, SGD, PLN, ZAR
Alias	N	Define an account alias.

Field Name	Required	Documentation
IRA Type	N (only required for IRA spreadsheet)	One of: » Traditional » Traditional Rollover » SEP » Roth » Traditional Inherited » Roth Inherited Note: Simple IRA is NOT supproted.
SYEP	Y	Enrolls the account in the Stock Yield Enhancement Program. SYEP offers participating accounts the opportunity to earn additional income from fully paid shares by lending those shares to IB in exchange for on-lending to short sellers that are willing to pay to borrow them. More information can be found here.

Customer Information Worksheet Fields

Refer to the following table when completing the fields on the Customer Information and Second Holder Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique id to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account id at your firm.
Salutation	Y	One of: » Mr. » Mrs. » Ms. » Dr.
First name	Y	
Last name	Y	
Middle name	N	Include middle initial only.
Suffix	N	
Date of birth	Y	MM/DD/YYYY format.
Country of Birth	Y	
Gender	Y	Male or Female
Marital status	Y	One of: » Single » Married » Divorced » Widowed
Dependents	Y	0 through 5. Select 5 for 5 or more dependents.
Home street address	Y	P.O. boxes or “in care of” addresses not accepted.

Field Name	Required	Documentation
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	
Phone Number	Y	###-###-#### format.
Phone Type	Y	Mobile, Home or Work
Phone Country	Y	3-letter country code. ISO 3166-1 (http://www.iso.org)
Country of citizenship	Y	ISO 3166-1 for 3-letter country codes (http://www.iso.org).
Tax Residence Country	Y	ISO 3166-1 for 3-letter country codes (http://www.iso.org).
Document type	Y	One of: » SSN (for US) Digits only- ###-##-####. » Driver's License » Alien Identification Card » Passport » National Identity Card
Tax Number	Y	
Margin	Y	One of: » Margin » Portfolio Margin » Cash
Market Data Status	N	Professional or Non professional. Defaults to Non professional.

Mailing Address Fields

This section is optional and should only be completed for clients who have a mailing address different from the client's home address (e.g., P.O. Box).

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Mailing Street Address	Y	
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	

Employment Information Fields

Refer to the following table when completing the fields on the Employment Information and Second Holder Employment Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

If this section is not completed, clients will be prompted to enter their employment information when logging in for the first time. This section cannot be partially filled in for a client. Client employment information must be entered completely or left completely blank

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Employment type	Y	One of:

Field Name	Required	Documentation
		» Employed » Self-Employed » Retired » Unemployed » Student/Intern » At-Home Trader » Homemaker
Occupation	Y	One of the occupations listed here.
Name of employer	Y (if employed or self-employed)	
Nature of employer business/activities	Y (if employed or self-employed)	
Employer address	Y (if employed or self-employed)	P.O. boxes or “in care of” addresses not allowed.
City	Y (if employed or self-employed)	
State/Province	Y (if employed or self-employed)	ISO 3166-1 for 2-letter state codes (http://www.iso.org)
Country	Y (if employed or self-employed)	ISO 3166-1 for 3-letter country codes (http://www.iso.org)
Zip	Y (if employed or self-employed)	One of consulting, disability, inheritance, interest, real estate, rental, severance, spouse, trading & investments, unemployment, retirement / social security and other.
Additional Sources of Income	Y (if employed or self-employed)	
Description	Y (if employed or self-employed and additional source of	

Field Name	Required	Documentation
	income is 'other')	
Percentage	Y (if employed or self-employed)	100

Regulatory Information Fields

Refer to the following table when completing the fields on the Regulatory Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Question 1	Y	Possible values: 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? NOTE: If account holder is employed by a brokerage firm, the compliance officer of that firm must authorize this account by sending an e-mail to Interactive Brokers Processing Department at newaccounts@interactivebrokers.com. The compliance officer should note "Employee Account Authorization" in the subject heading of the e-mail. The e-mail must state the following: "Interactive Brokers is authorized to establish and maintain an account for [Fill in Customer name]. [Fill in Name of Brokerage Firm] agrees to accept copies of daily confirmations and monthly statements by email to [Fill in E-

Field Name	Required	Documentation
		mail Address]."
If answer to question 1 is "YES", specify: » Person's Name » Relation to Account Holder(s) » Brokerage Firm Name » Brokerage Firm Address » Brokerage Firm Phone		
Question 2	Y	Possible values: YES/NO Is the account holder a member of an exchange or a regulatory or a self-regulatory organization, or an associated person, affiliated person or employee of an exchange member?
If answer to question 2 is "YES", specify: List firm and Exchanges Y		

Financial Information Fields

Refer to the following table when completing the fields on the Financial Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from work-sheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Investment objectives	Y	Possible values: » Preservation of capital » Income » Growth

Field Name	Required	Documentation
		» Trading Profits » Speculation » Hedging **Note:** Trading Profits must be selected for Options. Preservation of Capital cannot be selected for Options. You can submit the following combinations of investment objectives: » Hedging + Any » Preservation of Capital + Income and/or Growth » Trading Profits + Speculation and/or Growth You CANNOT submit the following combinations of investment objectives: » Preservation of Capital + any of: Trading Profits, Speculation » Income + any of: Trading Profits, Speculation » Trading Profits + any of: Preservation of Capital, Income » Speculation + any of: Preservation of Capital, Income
Estimated net worth	Y	In base currency, exclude value of residence.
Estimated liquid net worth	Y	In base currency, exclude value of residence.
Annual net income	Y	In base currency.
Specify below for Stocks, Bonds, Options, Futures and FX		
Years of trading experience	Y	
Number of trades per year	Y	

Field Name	Required	Documentation
Knowledge level	Y	One of: » Extensive » Good » Limited

Trading Permissions Fields

Refer to the following table when completing the fields on the Trading Permissions worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.
Permission 1-50	Y	Country followed by product. Click here to see a list of Country and Product combinations.

W-9 and W8BEN Fields

Refer to the following table when completing the fields on the W-9 and W-8BEN (if applicable) worksheets and the Joint W-9 and W--8BEN (for Joint accounts) worksheets in your Mass Upload Excel workbook.

W-9 Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.

Field Name	Required	Documentation
Name as on Tax Return	Y	
Certify TIN is Correct	Y	The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me)
Agrees to certification 2 in part ii	Y	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.
Certify US Person	Y	I am a U.S. Citizen or other U.S. Person.

W-8BEN Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Name of Beneficial Owner in Part I	Y	
Agree to Part III Certification		Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

Field Name	Required	Documentation
		» I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution, » The person named on line 1 of this form is not a U.S. person, » The income to which this form relates is: not effectively connected with the conduct of a trade or business in the United States, effectively connected but is not subject to tax under an income tax treaty, or the partner's share of a partnership's effectively connected income, » The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and » For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as

Field Name	Required	Documentation
		defined in the instructions. - I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect. I agree under penalty of perjury that each certification above is true and correct and confirm I have reviewed the information on this form W-8BEN (including any pre-population) and it is true and correct. I consent to the collection and distribution of tax forms in an electronic format in lieu of paper, including through the account management portal.

Advisor Wrap Fees Fields

Refer to the following table when completing the fields on the Advisor Wrap Fees worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Strategy	Y	One of: » No Fees

Field Name	Required	Documentation
		» Automated » Template
Fees Details		
Type	Y	One of: » Annual Flat Fee » Percent of Equity » Percent of Equity Q » Percent of Equity M » Percent of Profit » Percent of Profit Q » Invoice Limit » Invoice Limit Q
If strategy is not ‘PERTRADE’, you can specify:		
Maximum Fee	N	Default is 0.

ACATS Fields

Refer to the following table when completing the fields on the ACATS worksheet in your Mass Upload Excel workbook.

Note: ACATS (Automated Customer Account Transfer Service) is a type of position transfer in which cash and positions are moved from a third-party US broker to IB. ATON (Account Transfer on Notification) is the Canadian broker equivalent of ACATS.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.

Field Name	Required	Documentation
Customer account at broker	Y	
BrokerID	Y	DTC/Broker ID.
Broker name	Y	
Transfer scope	Y	Only full accepted
Has margin loan	Y	YES/NO. Indicates whether customer has a margin loan at third-party broker.
Holds options positions	Y	YES/NO. Specifies if customer's account at the third- party holds any options positions.
Holds short positions	Y	YES/NO. Indicates if customer's account at the third- party holds any short positions.
IRA type	N	IRA type of the account at the third party broker from which positions are to be transferred to an IB IRA account. Only required if the destination account at IB is an IRA account. The type must match the IB account type; otherwise transfer will be rejected.
IB account ID	N	If customer already has an IB account ID.
Signature	Y	First and Last Name of Account Holder.
Transfer Type	Y	ACATS or ATON.
Authorize to Remove Fund	N	YES/NO.

ACH Instructions Fields

Refer to the following table when completing the fields on the ACH worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.
Instruction Name	Y	Bank Name (recommended).
Country of Bank	Y	
Currency	Y	
ABA Routing Number	Y	
Account Number	Y	
Type	Y	Credit.

IRA Information

The Excel workbook displays IRA Account information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- IRA Individual Beneficiaries Worksheet Fields
- IRA Entity Beneficiaries Worksheet Fields
- IRA Decedent Worksheet Fields

IRA Individual Beneficiaries Fields

Refer to the following table when completing the fields on the IRA Individual Beneficiaries worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.

Field Name	Required	Documentation
Beneficiary type	Y	Primary or Contingent
Relationship	Y	One of: » Brother » Daughter » Estate » Father » Husband » Mother » Sister » Son » Wife » Other
Percentage of ownership	Y	Must total 100%.
Salutation	Y	One of: » Mr. » Mrs. » Ms. » Dr.
First name	Y	
Last name	Y	
Middle name	N	Include middle initial only.
Suffix	N	
Home street address	Y	
City	Y	P.O. boxes or "in care of" addresses not allowed.
State/Province	Y	ISO 3166-1 for 2-letter state codes (http://www.iso.org) Mandatory for U.S. residents only.

Field Name	Required	Documentation
Country	Y	ISO 3166-1 for 3-letter country codes (http://www.iso.org).
Zip	Y	
Date of birth	Y	MM/DD/YYYY format.
Gender	Y	Male or Female.
Country of citizenship	Y	ISO 3166-1 for 3-letter country codes (http://www.iso.org).
Document type	N	One of: » SSN (for US) » Driver's License » Alien Identification Card » Passport » National Identity Card
Country of issuance	N	ISO 3166-1 for 3-letter country codes (http://www.iso.org)
Number	N	

IRA Entity Beneficiaries Fields

Refer to the following table when completing the fields on the IRA Entity Beneficiaries worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.

Field Name	Required	Documentation
Beneficiary type	Y	Primary or Contingent
Relationship	Y	One of: » Trust » Charity » Estate
Percentage of ownership	Y	Must total 100%.
Trust		
Trust Name	Y (if Trust or Charity)	
Execution date	Y	MM/DD/YYYY
Article of Will	Y (if Trust)	
Salutation	Y (if Trust)	
Executor Last name	Y	
Executor First name	Y	
Address	Y (if Trust or Charity)	
City	Y (if Trust or Charity)	
State/Province	Y (if Trust or Charity)	
Zip Code	Y (if Trust or Charity)	
Country	Y (if Trust	

Field Name	Required	Documentation
	or Charity)	

IRA Decedent Fields

Refer to the following table when completing the fields on the IRA Decedents worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.
Salutation	Y	
First name	Y	
Last name	Y	
Inheritor type	Y	One of: » Spouse » Individual » Other » Trust
Date of Birth		
Date of Death		
Country	Y	
Document type	Y	One of: » SSN (for US) » Driver's License » Alien Identification Card » Passport » National Identity Card

Field Name	Required	Documentation
Country of issuance	Y	ISO 3166-1 for 3-letter country codes (http://www.iso.org)
Number	Y	
Residence Country	Y	
Residence State	Y	

Joint Account Information

The Excel workbook displays Joint Account information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- Joint Account Information Worksheet Fields
- Second Holder Information Worksheet Fields
- Second Holder W-9/W-8BEN Worksheet Fields
- Second Holder Employment Information Worksheet Fields

Joint Account Information Fields

Refer to the following table when completing the fields on the Joint Account Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alpha-numeric characters only or current account ID at your firm.
Joint account type	Y	One of: » Community » Joint Tenants » Tenants Common

Field Name	Required	Documentation
		» TBE (Tenants by Entirety)
First holder ownership %	N	Number. Default is 50/50 for each holder.
Second holder ownership %	Y	Number.

Customer Information Worksheet Fields

Refer to the following table when completing the fields on the Customer Information and Second Holder Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	A unique id to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account id at your firm.
Salutation	Y	One of: » Mr. » Mrs. » Ms. » Dr.
First name	Y	
Last name	Y	
Middle name	N	Include middle initial only.
Suffix	N	
Date of birth	Y	MM/DD/YYYY format.
Country of Birth	Y	
Gender	Y	Male or Female
Marital status	Y	One of:

Field Name	Required	Documentation
		» Single » Married » Divorced » Widowed
Dependents	Y	0 through 5. Select 5 for 5 or more dependents.
Home street address	Y	P.O. boxes or “in care of” addresses not accepted.
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	
Phone Number	Y	###-###-#### format.
Phone Type	Y	Mobile, Home or Work
Phone Country	Y	3-letter country code. ISO 3166-1 (http://www.iso.org)
Country of citizenship	Y	ISO 3166-1 for 3-letter country codes (http://www.iso.org).
Tax Residence Country	Y	ISO 3166-1 for 3-letter country codes (http://www.iso.org).
Document type	Y	One of: » SSN (for US) Digits only- ###-##-####. » Driver’s License » Alien Identification Card » Passport » National Identity Card
Tax Number	Y	
Margin	Y	One of: » Margin

Field Name	Required	Documentation
		» Portfolio Margin » Cash
Market Data Status	N	Professional or Non professional. Defaults to Non professional.

Mailing Address Fields

This section is optional and should only be completed for clients who have a mailing address different from the client's home address (e.g., P.O. Box).

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Mailing Street Address	Y	
City	Y	
State/Province	Y	2-letter code.
Country	Y	3-letter country code.
Zip	Y	

W-9 and W8BEN Fields

Refer to the following table when completing the fields on the W-9 and W-8BEN (if applicable) worksheets and the Joint W-9 and W--8BEN (for Joint accounts) worksheets in your Mass Upload Excel workbook.

W-9 Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Name as on Tax Return	Y	
Certify TIN is Correct	Y	The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me)
Agrees to certification 2 in part ii	Y	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.
Certify US Person	Y	I am a U.S. Citizen or other U.S. Person.

W-8BEN Fields

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Name of Beneficial Owner in Part I	Y	

Field Name	Required	Documentation
Agree to Part III Certification		Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that: » I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution, » The person named on line 1 of this form is not a U.S. person, » The income to which this form relates is: not effectively connected with the conduct of a trade or business in the United States, effectively connected but is not subject to tax under an income tax treaty, or the partner's share of a partnership's effectively connected income, » The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the mean-

Field Name	Required	Documentation
		ing of the income tax treaty between the United States and that country, and » For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions. - I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect. I agree under penalty of perjury that each certification above is true and correct and confirm I have reviewed the information on this form W-8BEN (including any pre-population) and it is true and correct. I consent to the collection and distribution of tax forms in an electronic format in lieu of paper, including through the account management portal.

Employment Information Fields

Refer to the following table when completing the fields on the Employment Information and Second Holder Employment Information (for Joint accounts) worksheets in your Mass Upload Excel workbook.

If this section is not completed, clients will be prompted to enter their employment information when logging in for the first time. This section cannot be partially filled in for a client. Client employment information must be entered completely or left completely blank

Field Name	Required	Documentation
Customer ID	Y	A unique ID to map customer information from worksheet to worksheet. Use alphanumeric characters only or current account ID at your firm.
Employment type	Y	One of: » Employed » Self-Employed » Retired » Unemployed » Student/Intern » At-Home Trader » Homemaker
Occupation	Y	One of the occupations listed here.
Name of employer	Y (if employed or self-employed)	
Nature of employer business/activities	Y (if employed or self-employed)	
Employer address	Y (if employed or self-employed)	P.O. boxes or "in care of" addresses not allowed.
City	Y (if employed or self-employed)	
State/Province	Y (if employed or self-employed)	ISO 3166-1 for 2-letter state codes (http://www.iso.org)
Country	Y (if employed or self-employed)	ISO 3166-1 for 3-letter country codes (http://www.iso.org)
Zip	Y (if employed or	One of consulting, disability, inheritance, interest,

Field Name	Required	Documentation
	self-employed)	real estate, rental, severance, spouse, trading & investments, unemployment, retirement / social security and other.
Additional Sources of Income	Y (if employed or self-employed)	
Description	Y (if employed or self-employed and additional source of income is 'other')	
Percentage	Y (if employed or self-employed)	100

Trust Information

The Excel workbook displays Trust Account information in a number of fields displayed on several worksheets. The following topics contain complete reference information for all of the fields on these worksheets, including whether or not a field is required and the correct values for each field.

- Trust Information Worksheet Fields
- W-9 Worksheet - You can leave this optional worksheet blank.
- W-8BEN Worksheet - You can leave this optional worksheet blank.
- Associated Individuals Worksheet Fields
- Associated Entities Worksheet Fields
- Entity Employees Worksheet Fields (optional)

Trust Information Worksheet Fields

Refer to the following table when completing the fields on the Trust Information worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	
Trust name	Y	
Trust Date	Y	
Type of Trust	Y	One of: » Revocable » Testamentary » Irrevocable » ERISA plan trust » Other (Specify) *Revocable trusts require a Trustee, Beneficiary, and Grantor listed. All other types only require Trustee and Beneficiary
Formation Country	Y	3-letter country code.
Formation State	Y	Letter code.
Registration Country	Y	3-letter country code.
Registration/Tax/Govt ID	Y	
TaxID Type	Y	EIN or SSN.
Email	Y	
Street Address	Y	
City	Y	
State/Province	Y	Letter code.
Country	Y	3-letter country code.
Zip	Y	

Associated Individuals Worksheet Fields

This worksheet is required.

Individual grantors, trustees, and beneficiaries for the same trust account ID are entered on separate lines on the same worksheet. **Grantors are ONLY REQUIRED for revocable trusts and NOT required for all other trust types.**

For example:

Customer ID	Type	Beneficiary %	Salutation	First Name	Last Name
TRUST1	Trustee		Mr.	John	Smith
TRUST2	Beneficiary	100	Mr.	John	Smith
TRUST3	Grantor		Mr.	John	Smith

Refer to the following table when completing the fields on the Associated Individuals worksheet in your Mass Upload Excel workbook.

Associated Individual Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
Customer ID	Y	
Type	Y	Grantor.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	
Zip	Y	

Associated Individual Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
Email	Y	
Phone Number	Y	
Date of Birth	Y	MM/DD/YYYY, Include only for Trustee, Beneficiary, and Individual Grantors.
Country of Citizenship	Y	3-letter country code.
Document Type	Y	One of: » SSN » Driver's License » Passport
Country of Issuance	Y	
ID Number	Y	
Associated Individual Trustee (required for all trust types)		
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
Email		
Can sign documents on behalf of Trust?		Yes or No. At least one Trustee must be listed

Associated Individual Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
		as Yes.
Is the trustee registered with the National Futures Association?	Y	Yes or No.
If NFA Yes	Y	Provide NFA registration number.
Formation Country	Y	Include only for Trustee Entities.
Trustee Occupation	Y	Include only for Trustee Individuals.
Trustee Job Title	Y	Include only for Trustee Individuals.
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	3-letter code.
Zip	Y	
Phone Number	Y	
Country of Citizenship	Y	
Document Type	Y	One of: » SSN » Driver's License » Passport
Country of Issuance	Y	
ID Number	Y	
Associated Individual Beneficiary (required for all trust types)		
Customer ID	Y	
Type	Y	Trustee.

Associated Individual Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
% of Ownership	Y	

Associated Entities Worksheet Fields

This worksheet is required.

Entity grantors, trustees and beneficiaries for the same trust account ID are entered on separate lines on the same worksheet. **Grantors are ONLY REQUIRED for revocable trusts and NOT required for all other trust types.**

Refer to the following table when completing the fields on the Associated Entities worksheet in your Mass Upload Excel workbook.

Associated Entity Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
Customer ID	Y	
Type	Y	Grantor.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	

Associated Entity Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	
Zip	Y	
Email	Y	
Phone Number	Y	
Date of Birth	Y	MM/DD/YYYY, Include only for Trustee, Beneficiary, and Individual Grantors.
Country of Citizenship	Y	3-letter country code.
Document Type	Y	One of: » SSN » Driver's License » Passport
Country of Issuance	Y	
ID Number	Y	
Associated Entity Trustee (required for all trust types)		
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	

Associated Entity Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
Middle Initial	N	Include middle initial only.
Suffix	N	
Email		
Can sign documents on behalf of Trust?		Yes or No. At least one Trustee must be listed as Yes.
Is the trustee registered with the National Futures Association?	Y	Yes or No.
If NFA Yes	Y	Provide NFA registration number.
Formation Country	Y	Include only for Trustee Entities.
Trustee Occupation	Y	Include only for Trustee Individuals.
Trustee Job Title	Y	Include only for Trustee Individuals.
Home Street Address	Y	
City	Y	
State/Province	Y	
Country	Y	3-letter code.
Zip	Y	
Phone Number	Y	
Country of Citizenship	Y	
Document Type	Y	One of: » SSN » Driver's License » Passport
Country of Issuance	Y	

Associated Entity Grantor (required only for Revocable Trusts)		
Field Name	Required	Documentation
ID Number	Y	
Associated Entity Beneficiary (required for all trust types)		
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	
% of Ownership	Y	

Entity Employees Worksheet Fields

This worksheet is optional.

Refer to the following table when completing the fields on the Entity Employees worksheet in your Mass Upload Excel workbook.

Field Name	Required	Documentation
Customer ID	Y	
Type	Y	Trustee.
Salutation	Y	One of: Mr., Mrs., Ms., Dr.
First Name	Y	
Last Name	Y	
Middle Initial	N	Include middle initial only.
Suffix	N	

Field Name	Required	Documentation
Email		
Can sign documents on behalf of Trust?		Yes or No. At least one Trustee must be listed as Yes.
Is the trustee registered with the National Futures Association?	Y	Yes or No.
If NFA Yes	Y	Provide NFA registration number.

Trading Permissions by Country and Product

Refer to this table for Country and Product combinations as seen in the Trading Permissions workbook.

United States-Stocks
United States-Bonds
United States-Bonds Municipal
United States-Options
United States-Futures
United States-Futures Options
United States-Single Stock Futures
United States-Mutual Funds
United States-Stocks Penny Stocks
Australia-Stocks
Australia-Options
Australia-Futures
Australia-Futures Options
Austria-Stocks
Baltics-Stocks

Japan-Futures
Japan-Futures Options
Korea-Futures
Mexico-Stocks
Mexico-Options
Mexico-Futures
Mexico-Futures Options
Norway-Stocks
Norway-Futures
Singapore-Stocks
Singapore-Futures
Singapore-Futures Options
Spain-Stocks
Spain-Stock Options
Spain-Futures
Spain-Futures Options
Sweden-Stocks
Sweden-Stock Options
Sweden-Futures
Switzerland-Stocks
Switzerland-Warrants
Switzerland-Stock Options
Switzerland-Futures
The Netherlands-Stocks
The Netherlands-Warrants

The Netherlands-Stock Options
The Netherlands-Futures
United Kingdom-Stocks
United Kingdom-Stock Options
United Kingdom-Futures
United Kingdom-Futures Options

Employment Nature of Business

Nature of Business Options
Accounting
Agriculture
Automotive
Banking
Beauty Care
Biotech
BPO-KPO
Broker/Dealer
Business Development
Call Center
Clergy
Clerical
Commerce Merchandising
Construction

Nature of Business Options
Construction Engineering
Consultant (Financial Related)
Consultant (Not Financial Related)
Customer Service
Defense
Design
Distributor
Education
Engineering
Environment
Event Management
Facilities
Finance Other
Financial Advisor
Financial Management
Financial Regulator Organization, SRO, or Exchange Member
Firefighter
Fitness/Beauty Treatment
Franchise
General Skilled labor
Government Federal
Government Other
Government State

Nature of Business Options
Grocery
Guard-Security Services
Healthcare
Hospital
Hotel
Human Resources
Import/Export
Information Technology
Installation-Maintenance Repair
Interior Design
Internal Sales
Internet-E-Commerce
Legal, Law, Attorney Services
Management
Manufacturing
Marketing
Media-Journalism-Newspaper-Magazine
Medical
Military
Non-profit
Nurse
Oil and Gas
Oil and Gas On/Offshore

Nature of Business Options
Other
Pharmaceutical
Police-Security
Politics
Professional Services
Purchasing-Procurement
QA-Quality Control
Real Estate
Research
Restaurant-Food Service
Retail
Sales
Science
Security
Service
Shipping
Site Engineering
Social, Public Service
Sports-Entertainment
Statistics-Market Research
Teaching
Telecommunications
Tourism

Nature of Business Options
Training
Transportation
Travel-Leisure-Tourism
Veterinary Services
Volunteering
Warehouse
Wholesale

List of Occupations

Refer to this table when entering a value in the Nature of employer business/activities field on the Employment Information worksheet.

Nature of Business Options
Nature of Business Options
Accounting
Agriculture
Automotive
Banking
Beauty Care
Biotech
BPO-KPO
Broker/Dealer
Business Development
Call Center

Nature of Business Options
Clergy
Clerical
Commerce Merchandising
Construction
Construction Engineering
Consultant (Financial Related)
Consultant (Not Financial Related)
Customer Service
Defense
Design
Distributor
Education
Engineering
Environment
Event Management
Facilities
Finance – Other
Financial Advisor
Financial Management
Financial Regulator Organization, SRO, or Exchange Member
Firefighter
Fitness/Beauty Treatment
Franchise
General Skilled labor

Nature of Business Options
Government – Federal
Government – Other
Government – State
Grocery
Guard-Security Services
Healthcare
Hospital
Hotel
Human Resources
Import/Export
Information Technology
Installation-Maintenance Repair
Interior Design
Internal Sales
Internet-E-Commerce
Legal, Law, Attorney Services
Management
Manufacturing
Marketing
Media-Journalism-Newspaper-Magazine
Medical
Military
Non-profit
Nurse

Nature of Business Options
Oil and Gas
Oil and Gas On/Offshore
Other
Pharmaceutical
Police-Security
Politics
Professional Services
Purchasing-Procurement
QA-Quality Control
Real Estate
Research
Restaurant-Food Service
Retail
Sales
Science
Security
Service
Shipping
Site Engineering
Social, Public Service
Sports-Entertainment
Statistics-Market Research
Teaching
Telecommunications

Nature of Business Options
Tourism
Training
Transportation
Travel-Leisure-Tourism
Veterinary Services
Volunteering
Warehouse
Wholesale

Exchanges

Refer to this table when entering a value in the Exchange group field on the Trading Permissions worksheet.

Exchange Name
U.S. Algorithmic Stocks
U.S. Futures
U.S. Mutual Funds
U.S. Options
U.S. Options On Floor Based Futures
U.S. Options On Futures
U.S. Single Stock Futures
U.S. SSF Commodities
U.S. States-Bonds
U.S. Stocks

Exchange Name
Australia Futures
Australia Options
Australia Options On Futures
Australia Stocks
Belgium Futures
Belgium Options
Belgium Stocks
Canada Futures
Canada Options
Canada Stocks
France Futures
France Options
France Stocks
Germany Futures & Options On Futures
Germany Options
Germany Stocks
Germany Warrants
Hong Kong Futures
Hong Kong Options
Hong Kong Stocks
IB Currency
IB Currency (IDEALPRO)
India Futures
India Options

Exchange Name
India Single Stock Futures
Italy Futures
Italy-Options
Japan Futures
Japan Options
Japan Options On Futures
Japan Stocks
Korea Futures
Korea Options
Mexico Futures
Mexico Options
Mexico Options On Futures
Mexico Stocks
Municipal Bonds
Singapore Futures
Singapore Options On Futures
Spain Futures
Spain Options
Spain Options On Futures
Spain Stocks
Sweden Futures
Sweden Options
Sweden Stocks
Switzerland Futures

Exchange Name
Switzerland Options
Switzerland Stocks (EBS)
Switzerland Stocks (VIRTX)
The Netherlands Futures
The Netherlands Options
The Netherlands Stocks
United Kingdom Futures
United Kingdom Options
United Kingdom Options On Futures
United Kingdom Single Stock Futures
United Kingdom Stocks
United States Floor Based Futures

Index