



Third Party REST WebAPI Application

Please provide responses to all the questions below and submit to webapionboarding@interactivebrokers.com

Section A: Provide general information requested below. Please note that applicants must have a registered company and completed website to qualify for review.

Entity name and Product name (if different from entity name):

Website URL:

Physical location of headquarters:

Location of technology (e.g., servers):

Provide names and contact information of the firms:

- a) Principal(s):
- b) Compliance Officer (if any):
- c) Officers or Directors:

Section B: IBKR conducts an enhanced due diligence review of each application. Please provide responses to the questions below with as much detail as possible. Failure to provide sufficient information may result in delays during the review.

Please provide a detailed description of the firm's business model, services being provided and how the REST WebAPI will be used/integrated by the firm?

If not already outlined above, please describe the client workflow within the UI.

Please describe your firm's fee model for the services provided. (i.e. who is compensated, for what are they compensated, and how/when is that compensation paid?)



Third Party REST WebAPI Application

Please provide responses to all the questions below and submit to webapionboarding@interactivebrokers.com

Initial approval and ongoing compliance reviews consider services offered and the location of all of the vendors end users. In what countries does the firm have or intend to have users?

If trading/order routing is offered, please answer the following:

- a) How are orders routed from the end-user to IBKR (i.e. who touches the orders).

- b) Is auto-trading supported?

- c) What products are offered for trading (e.g. STK, OPT, FUT, etc) and in which markets (e.g US stocks, Canadian options, Hong Kong futures, etc)

Please note: if you plan to offer US Futures/Futures Options trading access to users at a later date, it will be subject to additional review and approval including but not limited to the submission of an attestation confirming the firm is properly registered as an Investment Advisers under the Investment Company Act of 1940 and a Commodity Trading Advisor.

- d) List all of Securities and/or Commodities Registrations the firm holds (include Country, Regulator, Name and Type of Registrations):

Is the WebAPI being developed in house by the vendor or by Technology Provider?

- a) If the WebAPI is being developed by a Technology Provider, please provide all the information requested in Section A for the contracted Technology Provider

- b) Is the Technology Provider a legal affiliate of the vendor?

- c) Is the Technology Provider developing an SDK (Software Development Kit) to be used by other vendors?



Third Party REST WebAPI Application

Please provide responses to all the questions below and submit to webapionboarding@interactivebrokers.com

Section C: Integrations require a meaningful investment from our Compliance and Technical team, please respond to the questions below regarding the business opportunity related to a potential integration.

How many current and active users does the firm have?

How much interest has the firm received from potential users?

Have you received interest from existing Interactive Brokers clients? If so, are you currently working with any existing clients? Please quantify any interest received.

Please describe how this integration could result in an increase in new accounts and/or trading activity.

Please describe any forthcoming growth plans or strategies.

Which other brokerage firms is the company connected to or in the process of integrating with?