



FINANCIAL SERVICES GUIDE

Interactive Brokers LLC

This Financial Services Guide (“FSG”) is issued by Interactive Brokers LLC (ARBN 091191141; AFSL 245574) (“IB”) to inform you of various topics, including:

- The Services We Offer;
- Details Regarding How to Instruct Us;
- Remuneration;
- Any Associations or Relationships we May Have and Details of Any Potential Conflicts of Interest;
- How We Use Your Personal Information (IBG Privacy Statement);
- How We Handle Customer Complaints (Dispute Resolution); and
- Our Contact Information

Purpose & Content of the FSG

The purpose of this FSG is to provide IB customers with important information about the financial services that we offer and is structured to give you information required to make an informed decision about whether to use those financial services. In addition to the general information offered in this FSG, we have also outlined the remuneration that may be paid to IB in relation to the financial services we offer, and we have included a section on how we handle complaints.

In addition to this FSG, you may receive, from time to time, a Product Disclosure Statement (“PDS”) that will disclose important information about financial products offered by IB including, but not limited to: features, benefits, risks, costs, taxation implications and the availability of additional information regarding certain products (e.g., futures and options) that you may decide to trade.

IB has prepared this document in accordance with the requirements under the Australian Corporations Act (2001). While IB offers execution and clearing services to customers on worldwide exchanges, this FSG is primarily geared toward IB’s activities in Australia.

Financial Services Offered

The affiliates of Interactive Brokers Group (“IBG”), an automated global electronic market maker and broker, specialize in routing orders and executing and processing trades in securities, futures and foreign exchange instruments. IBG affiliates conduct business on more than 60 electronic exchanges and trading venues around

the world. IB, using its proprietary software, provides non-advisory brokerage services to professional traders and investors with direct access to stocks, options, futures, forex and bonds from a single IB Universal AccountSM.

In Australia, IB's financial services licence authorizes it to deal in securities, derivatives and foreign exchange contracts and to provide custodial and depository services to customers. As such, IB offers customers access to securities and futures traded on the Sydney Futures Exchange Limited ("SFE") and the Australian Stock Exchange Limited ("ASX"). In this regard, IB acts as Agent for customers.

IB is a participant on the SFE. IB is not a participant on the ASX. IB's proprietary trading affiliate, Timber Hill Australia Pty Limited (ABN 25079993534) ("THA") is a participant on the ASX. For customers wishing to execute trades on ASX, IB routes such orders through THA's connection to the ASX Integrated Trading System ("ITS") using an electronic communications process ("ecp") dedicated to the routing of only IB customer orders.

A full list of the products IB offers and the worldwide exchanges on which they are offered is available on the IB website at www.interactivebrokers.com.

IB does not solicit orders from customers, nor does it offer any trading, tax or other advice or recommendations to customers. IB employees are prohibited from providing any such advice to customers.

How You Can Send IB Instructions

IB Customers route orders to IB through their Trader Workstation ("TWS"), Computer to Computer Interface ("CTCI") or an Application Programming Interface ("API"), by logging in through a secure username and password. As set forth in the IB Customer Agreement, IB does not know whether an unauthorized person is entering orders with a customer's user name/password. Customers are fully responsible for the confidentiality and use of their user name/password and remain responsible for all transactions entered using their user name/password. Customers may also contact IB Customer Service using the details below should they experience technical difficulties.

Remuneration

Commission and fee information is available for each exchange or market center from a link on the IB website at www.interactivebrokers.com. Please note that IB does not solicit orders from customers, does not offer any advice or recommendations to customers, and IB representatives do not handle customer accounts. As such, no IB employee earns a commission for the trades that are self-directed by IB customers. All commissions are earned by the firm.

Information regarding commissions and brokerage fees may be found on the IB website at www.interactivebrokers.com.

Associations/Relationships & Potential Conflicts of Interest

Neither IB nor any related bodies corporate have any relationships or associations with any product issuer that could be expected to influence us in the provision of financial services. Similarly, IB does not act under any binder in providing any authorized services.

Use of Your Personal Information – IBG Privacy Statement

IBG does not sell or license information about IB customers to third parties, nor do we sell customer lists or customer e-mail addresses to third-party marketers.

At IB, we understand that the confidentiality and security of the personal information that you have shared with us is important to you. That's why we have developed specific policies and practices that are designed to protect the privacy of your personal information. By opening an account with IB or by utilizing the products and services that are available through IB, you have consented to the collection and use of your personal information in accordance with the privacy policy set forth below. We encourage you to read this privacy statement carefully.

In order to provide brokerage services and in compliance with regulatory requirements, IB collects certain personal, non-public information from you. This includes information that you provide during the IB account application process (e.g., your name, e-mail address, telephone number, birth date, social security number, investment objectives, etc.), and acquired as a result of the transactions you conduct through the IB system. We safeguard the confidentiality of your information in a number of ways. For example:

- We do not sell or license lists of our customers or the personal, non-public information that you provide to us.
- We restrict access to the personal, non-public information that you have shared with us to those IB employees, agents, and affiliates who need to know such information in connection with the services that IB provides to you.
- We maintain strict employment policies that prohibit employees who have access to your personal, non-public information from using or disclosing such information except for business purposes.
- We take substantial precautions to safeguard your personal, nonpublic information. For example, the IB system can be accessed only by authorized IB personnel via valid user names and passwords. In addition, our Internet-based systems include security measures such as encryption and firewalls.

IB uses the personal, nonpublic information that we collect from you to service your account (e.g., to qualify you for trading the products and using the services available through the IB system and to execute and confirm your IB transactions). In doing so, we may share such information with our employees, agents, and affiliates.

IB also collects and uses information acquired from "cookies." "Cookies" are bits of textual information that are sent electronically from a web server to your browser and are stored on your computer. They do not identify you individually nor do they contain personal information about you, unless you have identified yourself or provided the information by, for example, opening an account or registering for an on-line service. IB may use cookies to measure and identify website traffic patterns and to track the performance of web features and advertisements. By providing IB with a better understanding of how you and others use IB's websites and other web services, cookies enable IB to improve the navigation and functionality of its websites and to present the most useful information and offers to you. IB may share information obtained from cookies with its employees, agents and affiliates, but does not sell such information to unaffiliated third parties. IB may permit other companies or their third party ad servers to set cookies on your browser when you visit an IB website. Such companies generally use these cookies as we do.

We do not disclose personal, nonpublic information to individuals or entities that are not affiliated with IB, except as provided by law. For example, among other reasons we may disclose or report such information:

where necessary to authorize, effect, administer, or enforce transactions that you request or authorize; to maintain and administer your account; to provide you with account confirmations, statements and records; to maintain appropriate archival records; where we believe that disclosure is required by applicable law, rules or regulations; to cooperate with law enforcement or regulatory or self-regulatory organizations; to enforce our customer and other agreements; to meet our obligations, or to protect our rights and property.

Finally, if you choose to subscribe to any of the Trader's Toolbox suite of third-party services that are provided through the IB website, we may disclose such information to the service providers as necessary for them to provide the services that you have requested. IB requires these service providers to enter into confidentiality agreements with IB that limit their use of the information that they receive. Such agreements prohibit the service provider from using IB customer information that they receive other than to carry out the purposes for which the information was disclosed.

If you have any questions about these policies, please contact the IB Customer Service Department at help@interactivebrokers.com.

Dispute Resolution

If you wish to file a complaint with IB, we encourage you to send your complaint via Account Management for the most expedient and efficient handling. This can be done by clicking on "Inquiry Ticket." Under "New Ticket" select the following:

Category: Other Regulatory

Sub-category: Submit a Complaint

Alternatively, customers may send their complaints by e-mail to help@interactivebrokers.com; by telephone to the customer service telephone numbers listed on the IB website at www.interactivebrokers.com; or by hard copy addressed to:

Legal & Compliance Department

Interactive Brokers LLC

One Pickwick Plaza

Greenwich, CT 06830

As indicated by the Financial Industry Complaints Service Limited ("FICS"), if you have not received a satisfactory response to your complaint, or, forty-five (45) days have elapsed, you may refer the matter to the FICS. FICS can be contacted at:

P.O. Box 579

Collins Street West

Melbourne Vic 8007

Telephone: 1300 78 08 08

Fax: (03) 9621 2291

Email: fics@fics.asn.au

Website: www.fics.asn.au

This service is provided to you free of charge.

You may also refer the matter to the Australian Securities and Investments Commission ("ASIC"). ASIC may be contacted on their Infoline on 1300 300 630.

Alternatively, customers who wish to file a complaint with, or initiate an arbitration or reparations proceeding against, IB, may consult the website of, or contact, a Self-Regulatory Organization ("SRO"), e.g., the Securities and Exchange Commission (www.sec.gov), the Financial Industry Regulatory Authority (www.finra.org), the National Futures Association (www.nfa.futures.org), the Commodity Futures Trading Commission (www.cftc.gov).

Contact Information

Interactive Brokers LLC

One Pickwick Plaza

Greenwich, CT 06830

1-877-442-2757 (from inside the U.S.)

312-542-6901 (from outside the U.S.)

e-mail: help@interactivebrokers.com

Additional contact information, including issue-specific details, is available at www.interactivebrokers.com.