InteractiveBrokers

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Statement on Anti-Money Laundering, Anti-Terrorist Financing and Sanctions

Interactive Brokers Canada Inc. and its affiliates (collectively “IB”) are committed to detecting and deterring persons engaged in money laundering or terrorist financing from utilizing IB products or services. IB is equally committed to ensuring its products and services are not used to violate or circumvent economic sanctions.

This commitment is honoured through the establishment of regional Anti-Money Laundering and Anti-Terrorist Financing (“AML/ATF”) and Sanctions risk and compliance management programs that are designed to detect and report suspected money laundering and terrorist financing activity prohibited by sanctions.

IB is subject to, and bound to comply with, the AML/ATF and Sanctions laws and regulations in each of the jurisdictions in which it operates. In Canada, the Chief Compliance Officer of Interactive Brokers Canada Inc. acts as Chief Anti-Money Laundering Officer (“CAMLO”), and is responsible for establishing and maintaining the firm’s Canadian AML program. It is the policy of the Board of Directors and Senior Management of Interactive Brokers Canada Inc. to prohibit and actively prevent money laundering and any activity that facilitates money laundering or the funding of terrorist or criminal activities.

The Proceeds of Crime (Anti-Money Laundering) and Terrorist Financing Act (the “Act”) and the Financial Transactions and Reports Analysis Centre of Canada (“FINTRAC”) govern the compliance, reporting and other requirements of the financial community and other individuals and entities. The Canadian Investment Regulatory Organization (“CIRO”), of which Interactive Brokers Canada Inc. is a member, monitors members’ compliance with the Act and regulations of FINTRAC.

In accordance with these legislative and regulatory requirements, the AML program of Interactive Brokers Canada Inc. and supporting policies set out requirements that include:

1. Board of Directors and Senior Management oversight of the Interactive Brokers Canada Inc. AML program, through regular reporting from the firm’s CAMLO;

2. Documented policies and procedures that address both company policy and applicable AML/ATF and Sanctions regulatory requirements;

3. Identification of customers to meet CIRO “Know Your Customer” requirements under IDPC Rule 3200;

4. Customer and transaction record keeping;

5. Ongoing monitoring to detect and report attempted or completed suspicious transactions;

6. Customer and transaction screening against terrorist and other sanctions watch-lists,

7. Regulatory reporting of prescribed transactions, including cash transactions, international electronic funds transfers, cross-border movements of cash and monetary instruments, as well as terrorist and other frozen property and rejected transactions;

8. Ongoing AML/ATF training for employees, directors and those who act on behalf of Interactive Brokers Canada Inc.;

9. Ongoing assessment of money laundering, terrorist financing and sanctions risks; and

10. Regular, independent testing of control effectiveness. Interactive Brokers Canada Inc.' s AML program is routinely evaluated, updated and enhanced in order to reflect changes to the firm's business activities, as well as applicable supervisory standards and legal requirements.