



# Introducing Broker Relationship Disclosure

## Welcome to Interactive Brokers

Having a reliable partner to help you manage your portfolio is important to reaching your financial goals. Your Broker chose Interactive Brokers Canada Inc. (Interactive Brokers) as your carrying broker to act as the custodian of your assets.

Please review the information provided in this Relationship Disclosure document. It contains important details about the products and services we offer, the features of your account(s) and how it/they operate(s), and our responsibilities to you.

Interactive Brokers provides trade execution, clearing, custodial services, bookkeeping, position financing and other brokerage solutions to investment advisory and brokerage firms.

## Your relationship with Interactive Brokers

Interactive Brokers offers a suite of premium products and services that allow your Broker to spend more time servicing your account, and less time on day-to-day administration.

## Your Broker and Interactive Brokers

Your Broker may provide you with advice on investing, including buying or selling securities or conduct an order-execution only service. As Carrying Broker, Interactive Brokers acts on the instructions provided by your Broker<sup>1</sup>.

## What does my Broker do?

Your broker:

- Manages your investments or offers you order-execution only services.
- Supports your calls and requests for information about your account.
- Coordinates all activities with Interactive Brokers.

## As a Carrying Broker, what does Interactive Brokers do?

Interactive Brokers:

- Provides custody services for your assets.
- Segregates your securities.
- Maintains accurate records of your trade confirmations and account holdings/statements.
- Prepares tax documents.

## **Benefits of Interactive Brokers**

Interactive Brokers provides your Broker with the tools and resources needed to offer you exceptional services. These include:

- A full range of account types and investment products, including futures and forex.
- A dedicated service team for fast response to account enquiries.
- Access to superior trading and account monitoring technology and specialized administrative support.
- A powerful suite of trading platforms and reporting tools.
- Trade execution, clearing, settlement and monthly custody reporting.

## **How do I access my funds?**

As a client of Interactive Brokers, you can make deposits:

- By electronic or wire transfer from your bank account.
- Through your financial institution's online banking platform via the bill payment function (choose Interactive Brokers Canada as payee).

## **How do I make withdrawals?**

Withdrawals are made by electronic transfer to your bank account, where you have already provided us with written authorization.

## **What fees do I pay for these services?**

- Fees on your account such as commissions and interest markups are outlined in the Pricing section of our website under Broker Client fees, or otherwise communicated to you through your Broker from time to time.
- Markups charged by your Broker will be processed by Interactive Brokers and paid directly to your Broker.
- Your Broker is responsible for explaining these fees or service charges in respect to your account held by Interactive Brokers.

## **Regulatory overview**

- Interactive Brokers is a member of and regulated by the Investment Industry Regulatory Organization of Canada (IIROC), the national self-regulatory organization that oversees all investment dealers and trading activity on debt and equity marketplaces in Canada
- Interactive Brokers is a member of the Canadian Investor Protection Fund (CIPF) that provides coverage

(within specified limits).

Should you have any questions, do not hesitate to contact us. | [www.interactivebrokers.ca](http://www.interactivebrokers.ca)

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<sup>1</sup> Interactive Brokers does not give any investment advice or make any recommendations on any security held in your accounts, nor undertake responsibility for reviewing the appropriateness of the transaction entered or suitability of the investment decision with respect to your accounts. Interactive Brokers is a member of the Investment Industry Regulatory Organization of Canada (IIROC) and the Canadian Investor Protection Fund (CIPF). Custody services accessed through Interactive Brokers are provided by either Interactive Brokers Canada Inc. (IBC) or Interactive Brokers LLC (IB LLC). IBC and IB LLC are indirect subsidiaries of Interactive Brokers Group, Inc., a public company listed on the NASDAQ Global Select Market (symbol: IBKR).