

**Interactive Brokers (U.K.) limited****The Modern Slavery Act 2015****The Modern Slavery and Human Trafficking Statement****Introduction**

Modern slavery is a crime and a violation of fundamental human rights. It takes various forms, such as slavery, servitude, forced and compulsory labour and human trafficking, all of which have in common the deprivation of a person's liberty by another in order to exploit them for personal or commercial gain. Interactive Brokers (U.K.) Limited ("IBUK") is committed to ensuring that there is no slavery or human trafficking in any part of its business or supply chains. This statement is made in accordance with section 54(1) of the Modern Slavery Act 2015 applying to England and Wales and constitutes our slavery and human trafficking statement for the financial year ending 31<sup>st</sup> December 2019.

**Organisational Structure**

IBUK is a provider of online trading services and operates as an execution and clearing only broker. IBUK is part of a global group of financial services companies that are under the common control of Interactive Brokers Group, Inc., a U.S. based firm ("Interactive Brokers" or "IBKR"). Interactive Group is headquartered in Greenwich, Connecticut and listed in the U.S., under the symbol NASDAQ:IBKR. Interactive Brokers is an automated global electronic broker and market maker. IBKR does not provide trading or tax advice nor engage or employ any human "brokers" to manage client accounts. Interactive Brokers conducts its business on over 125 market destinations worldwide and provides online trade execution and clearing services for a wide variety of electronically traded products including stocks, options, futures, forex, bonds and CFDs.

**Our supply chains**

A supply chain can be described as a network of entities, people and activities that facilitate the delivery of a product or service to the customer. Within the Interactive Brokers' organisational structure, IBUK's supply chain mainly involves other IBKR entities that provide systems, infrastructure and other corporate services required by IBUK to operate its business.

Outside the IBKR entities, IBUK also has a number of local suppliers that provide goods or services such as:

- professional advisory and consultancy services;
- facilities management and building services;
- routine office supplies and services;
- recruitment and employment services;
- employee benefit services.

**Our policies on slavery and human trafficking**

We are committed to ensuring that there is no modern slavery or human trafficking in our supply chains or in any part of our business. Given the nature, scale and location of IBKR business, we believe that there is a low risk of modern slavery and human trafficking being part of IBUK's business.

However, in light of the obligation to report on measures to ensure that all parts of our business and supply chain are slavery-free, we have reviewed our workplace policies and procedures to effectively identifying and tackling modern slavery issues.

#### **Due Diligence for slavery and human trafficking**

As part of our initiative to keep a low-risk profile, we have conducted a full review of our due diligence procedures to determine whether an update was required to procedures that:

- identify and assess potential risk areas in our supply chains;
- mitigate the risk of slavery and human trafficking occurring in our supply chains;
- monitor potential risk areas in our supply chains.

#### **Supplier adherence to our values**

We have zero tolerance for slavery and human trafficking. To ensure all those in our supply chain and contractors comply with our values, IBUK intends to keep reviewing its agreements and dealing with local suppliers to ensure compliance with Anti-Slavery Measures.

#### **Training**

To ensure a high level of understanding of the risks of modern slavery and human trafficking in our supply chains and our business, we provided training to IBUK staff who are likely to be involved with the review and selection of local suppliers.

#### **Our effectiveness in combatting slavery and human trafficking**

Once we have established the key performance indicators (KPIs) to measure how effective we have been to ensure that slavery and human trafficking is not taking place in any part of our business or supply chains.

#### **Further Steps**

Following the review of the effectiveness of the measures that we have, we intend to consider what further enhancements should be implemented to combat slavery and human trafficking.

Interactive Brokers (U.K.) Limited



Gerald Perez  
Managing Director