Interactive Brokers (U.K.) Limited
20 Fenchurch Street, 12th Floor
London EC3M 3BY
United Kingdom
T: +44 (20) 7 710 5630
F: +44 (20) 7 710 5662
www.ibkr.co.uk

Modern Slavery and Human Trafficking Statement

Introduction

Modern slavery is a crime and a violation of fundamental human rights. It includes slavery, servitude, forced or compulsory labour, and human trafficking. Interactive Brokers (U.K.) Limited ("IBUK") remains dedicated to taking steps aimed at preventing modern slavery and human trafficking in all parts of its business and supply chains.

This statement is made in accordance with section 54(1) of the Modern Slavery Act 2015 and covers the year ending 31 December 2025. It includes IBUK's operations in the UK, its branch in the Dubai International Financial Centre, and its representative office in Switzerland. The statement also aligns with IBUK's Code of Business Conduct.

Who we are

IBUK is an online execution and clearing-only broker. It is a privately held company incorporated in England and Wales and authorised by the Financial Conduct Authority. IBUK is part of the Interactive Brokers Group ("IBKR"), a global financial services firm headquartered in the US and listed on the Nasdaq.

IBUK's organisational structure ensures robust governance, with the Board and senior management overseeing regulatory compliance, supplier management, and operational risk.

Our Supply Chains

IBUK's supply chains include internal IBKR service providers supporting operations (e.g., technology, systems, infrastructure, and corporate support). These services are governed by outsourcing agreements and monitored through IBUK's outsourcing framework, which includes initial due diligence and ongoing performance evaluations.

Additionally, IBUK engages 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.
- Technology services and products.
- Employee benefit services.

While we consider our overall supply chain risk to be low relative to higher-risk industries, we recognise that some categories, particularly facilities management and recruitment services in Dubai, may present moderate inherent risk due to local labour practices. In Switzerland, risk is assessed as low due to strong labour protections.

Risk Assessment and Policies

While we continue to consider the inherent risk to be low due to the nature, scale, and location of IBUK's business, we recognise that risk factors may evolve.

To address these risks, IBUK conducts regular risk assessments, evaluating geographical, sectoral, and operational risk indicators. With the establishment of our Dubai branch, we have expanded our risk framework to address region-specific factors, including local regulatory requirements, labour practices, and supplier conditions. We seek to ensure compliance with both UK and UAE legal frameworks and ethical standards, reflecting our aspiration to mitigate modern slavery risks across our operations.

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We address modern slavery risks through provisions within several existing policies. Our Whistleblowing Policy explicitly recognises modern slavery and human trafficking as reportable concerns, ensuring staff can raise issues confidentially. Our Procurement Policy includes due diligence requirements for suppliers and contractors, supported by IBKR's Vendor Code of Conduct, which sets out clear expectations on labour standards, including compliance with applicable anti-slavery and forced labour laws.

Together, these policies support the identification, escalation, and management of modern slavery risks both within our operations and across our supply chain.

We continue to review our internal governance arrangements to ensure modern slavery considerations are embedded across relevant policies and procedures.

Due Diligence Processes

IBUK has established due diligence procedures to:

- Identify and assess potential risks in our supply chains.
- Mitigate the risk of slavery and human trafficking occurring within our supply chains.
- Monitor potential risk areas on an ongoing basis.

These procedures are periodically reviewed to ensure they remain effective and fit for purpose.

To mitigate risk across our operations, we apply the following procedures:

- **Supplier onboarding:** All material suppliers are subject to an assessment in accordance with the standards established in IBKR's Vendor Code of Conduct. The Code reserves the right to carry out audits and expects vendors to apply its principles to their own suppliers.
- **Ongoing monitoring:** Supplier performance is reviewed periodically.

Supplier Adherence to Our Values

Suppliers are expected to comply with the IBKR Vendor Code of Conduct, which prohibits forced labour and human trafficking. IBUK monitors supplier performance through service level agreements, contractual obligations, and periodic reviews. Where concerns arise, we review the supplier's practices and take appropriate steps, which may include enhanced oversight or, as a last resort, disengagement.

Staff Training and Awareness

To enhance awareness and understanding of modern slavery risks, IBUK provides mandatory training for employees involved in reviewing and selecting suppliers. This training is reviewed annually to reflect evolving risks and best practices.

Measuring Effectiveness

We have established key performance indicators to monitor the effectiveness of our policies and procedures. These indicators are used internally to support ongoing governance, review, and continuous improvement of our approach to preventing modern slavery across our operations and supply chains.

Further Steps

IBUK continually strives to improve the effectiveness of its anti-modern slavery and human trafficking framework. IBUK aims to annually review its relevant policies and procedures in light of prevailing modern slavery and human trafficking risks. In addition, IBUK has continued with its efforts to integrate the Dubai branch into ongoing risk assessments.

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Implementation

IBUK's Board of Directors has overall responsibility for this statement. Senior management are responsible for day-to-day implementation.

Progress is reported annually to the Board.

Management Approval

This statement was approved by the Board of Directors on 24th September 2026 and signed by IBUK's Chief Executive.



Gerald Perez
Chief Executive