

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 to exploit them for personal or commercial gain. Interactive Brokers (U.K.) Limited ("**IBUK**") is committed to preventing 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 31st December 2022. The statement also aligns with IBUK's Code of Business Conduct.

Organisational structure

IBUK is a provider of online trading services and operates as an execution and clearing-only broker, a privately held company incorporated in England and Wales and authorised by the Financial Conduct Authority. 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 Brokers is headquartered in Greenwich, Connecticut and listed in the U.S., under the symbol NASDAQ: IBKR. Interactive Brokers is an automated global electronic broker. 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 150 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 comprises other IBKR entities that provide systems, infrastructure and other corporate services required by IBUK to operate its business. The delivery of these services is documented through several outsourcing agreements and monitored through the IBUK outsourcing framework. As part of the framework, IBUK conducts initial due diligence and receives ongoing updates on the performance of the services.

In addition to IBKR entities, IBUK also contracts with 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.
- technology services and products; and
- employee benefit services.

Risk assessment and our policies on slavery and human trafficking

We are committed to our framework which seeks to prevent 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 an inherently low risk of modern slavery and human trafficking being part of IBUK's business.

Despite this being the case, IBUK remains committed to taking the appropriate actions in the event that an instance of modern slavery is identified. 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 identify and tackle modern slavery issues.

Due diligence for slavery and human trafficking

As a responsible corporate citizen and in line with our risk appetite, we have conducted a full review of our due diligence procedures to determine whether an update was required to:

- 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 will continue to monitor, through its service level agreements and contracts, its dealings with local suppliers to ensure compliance with Anti-Slavery Measures.

Training

To ensure a high level of understanding and awareness of the risks related to modern slavery and human trafficking in our supply chains and our business, we provide mandatory training to the IBUK staff that are likely to be involved with reviewing and selecting local suppliers. We continue to review the quality and content of our training materials on an annual basis.

Our effectiveness in combatting slavery and human trafficking

The purpose of our policies is to prevent, identify and address incidents as they arise. In 2022 we had no reported incidents of human rights breaches, slavery or trafficking. We have established key performance indicators (KPIs) to measure the ongoing effectiveness of our policies and procedures. We are committed to maintaining robust governance in this area.

Further steps

Following the review of the effectiveness of the measures in place, we intend to consider what enhancements should be implemented to combat modern slavery and human trafficking. We are committed to continuously improving our policies and processes to monitor and mitigate the risk of modern slavery and human trafficking in all parts of our business.

Implementation

The Board of Directors of IBUK has overall responsibility for this statement. IBUK's senior management is responsible for implementing the objectives considered in this statement.

Management approval

This statement was approved by the Board of Directors on 23rd December 2022 and signed on its behalf by the IBUK's Chief Executive.