



Interactive Brokers Central Europe Zrt.

ANNOUNCEMENT

Annex 7 to the GBR

**The list of outsourced activities and
the person performing them**

Valid from: 9 October 2023

Referring to Act CXXXVIII of 2007 on Investment Firms and Commodity Dealers, and on the Regulations Governing their Activities (Bsz.) we notify our Customers on the following.

I.

Interactive Brokers Central Europe Zrt. has entered into an outsourcing agreement with external service providers within the IB group for the following services:

1. Online customer support and via telephone; security and fraud prevention services; handling order and execution inquiries from exchanges or execution venues and oversight of risk monitoring systems (oversight of position liquidations, closing of short positions, monitoring of negative equity, preparation of risk reports); accounting and treasury support; handling of inbound and outbound customer funds; account opening (application support, risk assessment, application processing and approval) and account maintenance tasks; corporate actions processing activities; support of global account transfers and shareholder services; conduct of sanctions/list screenings and support of enhanced due diligence reviews, fraud investigations, trade surveillance activities; litigation support; IT procurement and vendor management; IT and cyber risk management; business continuity (disaster recovery) activities; brokerage system monitoring and issue management; IT infrastructure services (network, Windows, Linux and macOS engineering, web infrastructure); software services (design, development, testing, hosting, maintenance and support); data center operations; security engineering and information security services; marketing and advertising activities; and regulatory trade reporting activities are performed by **IB LLC** (headquarters: One Pickwick Plaza, Greenwich, CT 06830 USA).

2. Online customer support and via telephone; security and fraud prevention services; accounting, accounts payable, tax and treasury services; handling of inbound and outbound customer funds; support of global account transfers; counterparty risk evaluations; account opening (application support, risk assessment, application processing and approval) and account maintenance tasks; payroll and benefits support; conduct of sanctions/list screenings and support of enhanced due diligence reviews as well as trade surveillance activities are performed by **IBG LLC** (headquarters: One Pickwick Plaza, Greenwich, CT 06830 USA).

3. Online customer support and via telephone; security and fraud prevention services; translation and localization support; advising regarding data protection obligations and carrying out the Data Protection Officer function; account opening (risk assessment and application processing) and account maintenance tasks; regulatory and platform management surveillance, and trade surveillance activities are performed by **Interactive Brokers (U.K.) Limited** (headquarters: Level 20 Heron Tower, 110 Bishopsgate, London EC2N 4AY).

4. Online customer support and via telephone; security and fraud prevention services; translation and localization support; account opening (risk assessment, application processing and approval) and account maintenance tasks; support of AML governance and testing, compliance quality assurance tasks as well as trade surveillance activities are performed by **Interactive Brokers Ireland Limited** (headquarters: North Dock One, 91/92 North Wall Quay, Dublin 1 D01 H7V7, Ireland).

5. Online customer support and via telephone; security and fraud prevention services; oversight of risk monitoring systems (oversight of position liquidation, setting of hedging rules, closing of short positions, monitoring of negative equity, preparation of risk reports); accounts payable and treasury services; payroll and benefits support; corporate actions processing activities; support of global account transfers and shareholder services; business continuity (disaster recovery) activities; brokerage system monitoring and issue management; IT infrastructure services (network, Windows,

Linux and macOS engineering, web infrastructure); data center operations; as well as and regulatory trade reporting activities are performed by **IBKR Financial Services AG** (headquarters: Gubelstrasse 28/3rd Floor, Zug, 6300, Switzerland).

6. Online customer support and via telephone; security and fraud prevention services; translation and localization support; trade surveillance activities are performed by **Interactive Brokers Canada Inc.** (headquarters: 1800 McGill College Avenue, Suite 2106, Montreal, Quebec, H3A 3J6, Canada).

7. Online customer support and via telephone; security and fraud prevention services; handling order and execution inquiries from exchanges or execution venues and oversight of risk monitoring systems (oversight of position liquidations, closing of short positions, monitoring of negative equity, preparation of risk reports); account opening (application support, risk assessment, application processing and approval) and account maintenance tasks; trade surveillance activities; as well as corporate actions processing activities are performed by **Interactive Brokers Hong Kong Limited** (headquarters: 88 Queensway, Suite 1512, Two Pacific Place, Hong Kong, SAR).

8. Online customer support and via telephone; security and fraud prevention services; trade surveillance activities; as well as corporate actions processing activities are performed are performed by **Interactive Brokers Securities Japan, Inc.** (headquarters: Kasumigaseki Building 25F, 2-5 Kasumigaseki 3-chome, Chiyoda-ku, Tokyo, 100-6025, Japan).

9. Online customer support and via telephone; security and fraud prevention services; trade surveillance activities; as well as corporate actions processing activities are performed are performed by **Interactive Brokers Australia Pty Limited** (headquarters: 225 George Street, Level 40, Grosvenor Place, Sydney, New South Wales, Australia).

10. Online customer support and via telephone; security and fraud prevention services; trade surveillance activities; as well as corporate actions processing activities are performed are performed by **Interactive Brokers Singapore Pte. Ltd.** (headquarters: 8 Marina View 40-02A, Asia Square Tower 1, Singapore).

11. Identification of providers/vendors, onboarding process, relationship management, sample checks and reviews in relation to investment research and financial analysis services are performed by **Global Financial Information Services GmbH** (GFIS) (headquarters: Gewerbestrasse 11, Cham, 6330, Switzerland).

II.

Interactive Brokers Central Europe Zrt. has entered into an outsourcing agreement with external service providers outside the IB group for the following services:

1. Providing complex information technology solution for the direct electronic customer due diligence and processing personal data of clients subject to direct electronic customer due diligence are performed by **FaceKom Kft.** (headquarters: 1052 Budapest, Deák Ferenc tér 3.).