

## Notice of Clearing Arrangement

1. This Notice applies to customers of Interactive Brokers Canada Inc. ("IBC") for whom Interactive Brokers LLC ("IB LLC") performs certain services (such as execution, clearing and custody services). IB LLC and IBC are parties to a Fully Disclosed Clearing Agreement pursuant to which IB LLC performs such services with respect to your account.
2. This Notice is intended to be a general disclosure of the relationship between IBC and IB LLC, not a definitive enumeration of each and every service that may be performed by the parties with respect to your account.
3. IBC is regulated by the Investment Industry Regulatory Organization of Canada ("IIROC").
4. IB LLC is a U.S.-located affiliate of IBC. IB LLC is registered as a broker-dealer with the U.S. Securities and Exchange Commission ("SEC") and as a futures commission merchant with the U.S. Commodity Futures Trading Commission ("CFTC").
5. **Responsibilities of IBC:** IBC generally shall be responsible for the following services regarding your account:
  - a. Providing you with instructions on how to apply for an account and providing certain of your account information to IB LLC.
  - b. Obtaining and verifying new customer and account information and documentation and opening and closing accounts.
  - c. Receiving and delivering funds, securities and other assets; crediting your account for any credit interest owed to you; debiting your account for any daily or debit interest owed by you; transferring funds to you (e.g., upon your request for a withdrawal of funds from your account); receiving and distributing dividends and other distributions; and under the circumstances set forth in the Customer Agreement, effectuating the liquidation of your positions or assets.
  - d. Extending credit to you, including complying with the margin requirements of IB LLC and any relevant regulatory, self-regulatory or governmental body; and effecting stock loan and borrowing transactions in accordance with applicable law.
  - e. Providing confirmations and statements to you (IB LLC shall assist with the production of the confirmations and statements).
  - f. Providing all customer service and technical support and responding to your complaints, inquiries and requests.
  - g. Providing notice to you of commission rates and fees.
  - h. Performing certain collection services, including the collection of all commissions and fees and other monies or assets due from you under the terms of the Customer Agreement.
6. **Responsibilities of IB LLC:** IB LLC generally shall be responsible for the following services regarding your account:
  - a. Accepting your orders (and modifications and cancellations thereof) and transmitting them for execution on various exchanges through IB LLC, an affiliate of IB LLC or a third party intermediate broker.
  - b. Processing instructions received from you (or from IBC on your behalf) with respect to voluntary corporate actions (e.g., exchange offers, rights offerings, warrants, tender offers).

- c. In the case of an account for which IBC has agreed to provide clearing services for you, acting as a self-clearing broker for your orders or arranging for the clearing and settlement of your executed transactions by IB LLC, an affiliate of IB LLC or a third party.
  - d. Segregating and safeguarding your funds and securities in accordance with Applicable Laws.
7. **Joint Responsibilities:** IBC and IB LLC generally shall each be responsible for complying with Applicable Laws regarding provision of the following services regarding your account:
- a. Performing certain back-office and record keeping and reporting functions, including the preparation of confirmations (contract notes) and account statements, maintaining books and records of all transactions, and reporting such information as may be required by relevant regulatory or self-regulatory organizations or applicable law.