Interactive Brokers LLC
(ARBN: 091 191 141)
Australian Privacy Supplement

Dated: 15 March 2017

This supplement is produced for Australian persons. This privacy notice supplements the Interactive Brokers Group Privacy Notice ("IB Group Policy") and provides further information about how Interactive Brokers LLC ("Interactive Brokers", "we" or "us") collects, maintains, uses and discloses your personal information.

At Interactive Brokers we understand that the confidentiality and security of the personal information you share with us is important. Interactive Brokers is bound by and acts in accordance with the Australian Privacy Principles and Privacy Act 1988 (Cth) ("Australian Privacy Requirements").

As part of the Interactive Brokers Group, Interactive Brokers collects and manages your personal information in accordance with group standards as well as with Australian Privacy Requirements. You should read the Interactive Brokers Group Privacy Notice ("IB Group Policy") in conjunction with this supplement.

The kinds of information that Interactive Brokers collects

As outlined in the IB Group Policy, we collect your personal information when you apply to open account with us or ask us to provide services or products.

In addition to the personal information we collect from you during account opening, we may collect information about you from public registers, including government administered databases, or other information aggregating services when we assess your application for an account, or any of the products and services we offer.

After you have opened an account with us, we may collect or verify your personal information when and if we need to update our records and when you interact with us via telephone or email.

How we hold personal information

Typically, we hold all personal information we collect electronically. Your personal information will be stored outside of Australian in places where we maintain electronic storage facilities. We may also hold your personal information with affiliates who provide services to us in Australia or offshore. Where you have provided physical documents which contain personal information, we will hold those on location in our Sydney office in secure storage or offsite in secure storage until they are returned to you or destroyed.

Interactive Brokers website

Interactive Brokers collects anonymous statistical information about its website and Interactive Brokers Group websites. The information is used to evaluate website usage and for development purposes.

Interactive Brokers and its affiliates use “cookies”. By accessing the websites of Interactive Brokers, its affiliates or third-party services or information providers you acknowledge and accept the use of cookies.

Telephone calls

We may record the telephone conversations you have with us and our customer services staff. We may be legally required to make a record of these conversations if they involve instructions to buy or sell certain financial products.

Interactive Brokers may use such recordings in the resolution of disputes and if we do so, we will provide you a copy upon request.

Unsolicited information

If we receive unsolicited information from you, we will take reasonable steps to destroy it or remove it from our electronic systems. However, if that unsolicited information is co-mingled with information we have requested from you, you acknowledge that it will be handled in accordance with this policy.

Use of personal information

You agree and acknowledge that as we outlined in the IB Group Policy, we will use the personal information you have provided to meet our legal obligations, including to match against electronic records maintained by government bodies and third party information aggregators, and to determine your eligibility for products and services. We may disclose your personal information to:

- Affiliates within the Interactive Brokers Group;
- Other financial services institutions or similar entities that we deal with as a result of the nature of our business or in relation to the products and services that you utilise (e.g. including third-party services or information providers accessible through Interactive Brokers Group websites, sub-custodians or other third party brokers);
- External services providers including consulting, legal, accounting or audit firms;
- Regulatory and government bodies in Australia and in other countries;
- Professional firms engaged by us to match your personal information against government records; or,
- Other third parties as required by a court with jurisdiction.

Your obligations and rights

You are not obliged to provide us personal information however we will not be able to offer you products and services should you choose not to.

If you provide any personal information about yourself or any other person or entity to Interactive Brokers when you apply for any of our services of products, you represent and warrant that you are authorised to provide such information and that the personal information is true and accurate in all aspects. Where you provide personal information on behalf of another person or entity, you agree to inform that person or entity of how we may use such information.

You have the right to ensure we hold correct personal information about you and you undertake, as a term of the customer agreement with us, to inform us or update

your account immediately should any information you have previously provided change.

You also have the right to access the personal information we hold about, see below regarding how you may do so, and make a complaint.

Questions, Requests and Complaints

Should you have any questions, requests or a complaint about your privacy please contact us. This can be done by clicking on "Inquiry Ticket." Under "New Ticket" select the following:

Category: Other Regulatory

Sub-category: Submit a Complaint

Alternatively, customers may submit their complaints as follows:

- By email to: help@interactivebrokers.com
- By telephone to the customer services telephone numbers listed on the IB website at www.interactivebrokers.com
  Or
- In hard copy addressed to:

  The Privacy Complaints Officer
  Legal & Compliance Department-Asia Pac
  Interactive Brokers Group
  PO Box R229
  Royal Exchange NSW 1225

We will provide acknowledgement of a complaint as soon as possible, but within 5 business days of receipt. We will respond to the complaint as soon as possible and in a reasonable timeframe (generally within 30 days).

If your complaint is not resolved by us to your satisfaction, you may contact the Office of the Australian Information Commissioner ("OAIC"). Please refer to the following website www.oaic.gov.au for further details. You may also contact the OAIC at

Email: enquiries@oaic.gov.au

Facsimile: +61 2 9284 9666

Post: Sydney Office, GPO Box 5218 Sydney NSW 2001

Why we collect personal information

Interactive Brokers is required by law to collect certain information about you in order to comply with the Anti-Money Laundering and Counter Terrorism Financing Act 2006, the Corporations Act 2001, and other laws and regulation of our home jurisdiction in the United States of America. We also collect information from you in order to determine your eligibility for certain services offered.

We also use the information we collect to improve our offering to our customers and to monitor customer accounts for unauthorised activity.

How you may access personal information we collect about you

Customers of Interactive Brokers may access any information Interactive Brokers holds about them by contacting IB at the details set out above under 'Questions, Requests and Complaints'. We aim to process all request within 30 days, but if your request is complex we may take longer and will advise you of this.

There are no fees associated with requesting access to the information we hold about you, however Interactive Brokers reserves the right to charge you a reasonable fee for complying with your request if it involves the production of physical documents from our electronic records and the costs associated with postage.

In certain legal circumstances we cannot provide you access to the information we hold about you. Where this is so we will explain to you the reasons for denying you access.

Revision of this Privacy Policy

We may revise this Privacy Policy from time to time for any reason. Where this Privacy Policy is revised we will upload the revised version to the website as soon as reasonably practicable.