



# Interactive Brokers Business Continuity Plan Disclosure

In accordance with applicable regulations, Interactive Brokers ("IBKR") has developed a Business Continuity Plan ("BCP") to assist the firm in promptly addressing and responding to the possibility of a future Significant Business Disruption ("SBD"). This plan is designed to mitigate or eliminate the impacts of SBDs of varying scope and heighten IBKR's overall operational resilience.

IBKR's BCP was developed using a risk-based approach to identify critical business activities, systems, data and functions and determine the means by which customers will be provided prompt access to their funds and accounts in the event of an SBD. Additionally, the plan describes resiliency and redundancy controls implemented within the systems infrastructure to minimize the potential adverse effects of a disruption.

IBKR's BCP is designed to restore client access to the systems which service funds and positions within 24 hours of a disruption, although recovery time can vary depending on the nature of the disruption, the specific services that have been disrupted or factors outside of IBKR's control.

Key elements of IBKR's BCP include:

1. Alternate physical meeting locations.

IBKR employees receive procedures and training on what to do and where to go in the event of an SBD, including physical meeting locations away from the impacted office space. These instructions may vary depending on the nature and scope of the disruption.

2. Geographically diverse resources.

IBKR has designed its systems, procedures and personnel structure to include significant redundancy and cross-capability in the event of a disaster or disruption impacting its Headquarters or one of its primary data centers. These system redundancies allow disruptions affecting communications lines, computer hardware components, or systems to be addressed as promptly as possible.

Additionally, IBKR operations are supported by a global workforce. Should a disruption occur that is localized to a specific geographic location, IBKR staff around the world are available to work with clients via chat, email or telephone.

IB back office staff from other locations can generally provide support in the event of a localized disruption.

3. An infrastructure in place to support all key staff working remotely.

As an online broker, IBKR is naturally well positioned to continuously operate in the event that physical locations become compromised due to a disruption. IBKR has a robust infrastructure in place to support all key staff working remotely should office locations, including IBKR Headquarters, be unavailable.

4. Detailed communication plans to keep staff and customers informed during a disruption.

Disruptions are often dynamic events that can change moment to moment. During the course of a disruption, IBKR provides staff with updates through various channels such as email, telephone, or instant messaging.

In addition, the BCP is reviewed with IBKR staff no less than annually to ensure that staff are well aware of what to do in the event of a disruption, and how they may receive updates as a situation unfolds.