

Primary Business Name: INTERACTIVE BROKERS LLC

BD Number: 36418

BD - AMENDMENT

10/11/2023

BD - DIRECT OWNERS/EXECUTIVE OFFICERS

Are there any indirect owners of the *applicant* required to be reported on Schedule B?

☒ Yes ☐ No

Ownership Codes: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%

A - 5% but less than 10% C - 25% but less than 50% E - 75% or more

| Full Legal Name          | DE/FE/I | Title or Status  | Date Acquired | Own. Code | Control Person | PR | CRD #(or S.S.No., IRS Tax #, Emp. ID) |
|--------------------------|---------|--|---------------|-----------|----------------|----|---------------------------------------|
| BRODY, PAUL JONATHAN     | I       | SECRETARY, PRINCIPAL OPERATIONS OFFICER                  | 04/1994       | NA        | Y              | N  | 1722066                               |
| CHAIT, JONATHAN          | I       | EXECUTIVE VICE PRESIDENT, COO                            | 04/2004       | NA        | Y              | N  | 4582696                               |
| FRIEDLAND, DAVID ERIC    | I       | MANAGING DIRECTOR-ASIAN OPERATIONS                       | 09/1998       | NA        | N              | N  | 2715164                               |
| GALIK, MILAN             | I       | CHIEF EXECUTIVE OFFICER                                  | 10/2019       | NA        | Y              | N  | 2204066                               |
| GELMAN, JONATHAN MICHAEL | I       | CHIEF COMPLIANCE OFFICER                                 | 10/2019       | NA        | N              | N  | 5440103                               |
| IBG LLC                  | DE      | MANAGING MEMBER  | 01/2002       | E         | Y              | N  | 13-3832398                            |
| MANDELBAUM, ELAINE       | I       | GENERAL COUNSEL  | 11/2019       | NA        | Y              | N  | 2957713                               |
| MENICUCCI, JAMES         | I       | PRINCIPAL FINANCIAL OFFICER                              | 09/2019       | NA        | Y              | N  | 6590173                               |
| SANDERS, STEVEN JAY      | I       | SENIOR VICE PRESIDENT, MARKETING AND PRODUCT DEVELOPMENT | 04/2004       | NA        | Y              | N  | 2812548                               |
| SHAO-CHEN, KENGNING      | I       | TREASURER  | 08/2019       | NA        | N              | N  | 5910386                               |