

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

2020-03-24 02:24PM EDT
Status: Accepted

FORM
X-17A-5

FOCUS REPORT
(FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT)
PART II 11

(Please read instructions before preparing Form)

This report is being filed pursuant to (Check Applicable Block(s)):

- 1) Rule 17a-5(a) 16 2) Rule 17a-5(b) 17 3) Rule 17a-11 18
4) Special request by designated examining authority 19 5) Other 26

NAME OF BROKER-DEALER

SEC. FILE NO.

INTERACTIVE BROKERS LLC 13

8-47257 14

ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)

FIRM ID NO.

36418 15

ONE PICKWICK PLAZA-2ND FL. 20

FOR PERIOD BEGINNING (MM/DD/YY)

(No. and Street)

02/01/20 24

AND ENDING (MM/DD/YY)

GREENWICH 21 CT 22 06830 23

02/29/20 25

(City)

(State)

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT(Area code) - Telephone No.

James Menicucci 30

(203)618-8085 31

NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT

OFFICIAL USE

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DOES RESPONDENT CARRY ITS OWN CUSTOMER ACCOUNTS ? YES 40 NO 41

CHECK HERE IF RESPONDENT IS FILING AN AUDITED REPORT 42

EXECUTION:

The registrant/broker or dealer submitting this Form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements and schedules remain true, correct and complete as previously submitted.

Dated the _____ day of _____ 20 _____

Manual Signatures of:

1) _____
Principal Executive Officer or Managing Partner

2) _____
Principal Financial Officer or Partner

3) _____
Principal Operations Officer or Partner

ATTENTION - Intentional misstatements or omissions of facts constitute Federal Criminal Violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78:f (a))

FINRA

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

2020-03-24 02:24PM EDT
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BROKER OR DEALER INTERACTIVE BROKERS LLC	as of <u>02/29/20</u>
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COMPUTATION OF NET CAPITAL

1. Total ownership equity (from Statement of Financial Condition - Item 1800)	\$	5,807,613,233	3480
2. Deduct: Ownership equity not allowable for Net Capital		(0)	3490
3. Total ownership equity qualified for Net Capital		5,807,613,233	3500
4. Add:			
A. Liabilities subordinated to claims of general creditors allowable in computation of net capital		0	3520
B. Other (deductions) or allowable credits (List)		0	3525
5. Total capital and allowable subordinated liabilities	\$	5,807,613,233	3530
6. Deductions and/or charges:			
A. Total non-allowable assets from			
Statement of Financial Condition (Notes B and C)	\$	546,718,054	3540
1. Additional charges for customers' and non-customers' security accounts		0	3550
2. Additional charges for customers' and non-customers' commodity accounts		0	3560
B. Aged fail-to-deliver:		1,367,629	3570
1. number of items	67	3450	
C. Aged short security differences-less reserve of	\$	0	3460
number of items		0	3470
D. Secured demand note deficiency		0	3590
E. Commodity futures contracts and spot commodities - proprietary capital charges		0	3600
F. Other deductions and/or charges		120,577,173	3610
G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)		0	3615
H. Total deductions and/or charges		(668,662,856)	3620
7. Other additions and/or allowable credits (List)		0	3630
8. Net Capital before haircuts on securities positions	\$	5,138,950,377	3640
9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):			
A. Contractual securities commitments	\$	0	3660
B. Subordinated securities borrowings		0	3670
C. Trading and investment securities:			
1. Bankers' acceptances, certificates of deposit and commercial paper		0	3680
2. U.S. and Canadian government obligations		14,022,509	3690
3. State and municipal government obligations		0	3700
4. Corporate obligations		0	3710
5. Stocks and warrants		0	3720
6. Options		750,002	3730
7. Arbitrage		0	3732
8. Other securities		0	3734
D. Undue concentration		0	3650
E. Other (List)		776,735	3736
10. Net Capital	\$	(15,549,246)	3740
		5,123,401,131	3750

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
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BROKER OR DEALER
INTERACTIVE BROKERS LLC

as of 02/29/20

COMPUTATION OF BASIC NET CAPITAL REQUIREMENT

Part A

11. Minimal net capital required (6-2/3% of line 19)	\$	3756
12. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A)	\$	3758
13. Net capital requirement (greater of line 11 or 12)	\$	3760
14. Excess net capital (line 10 less 13)	\$	3770
15. Net capital less greater of 10% of line 19 or 120% of line 12	\$	3780

COMPUTATION OF AGGREGATE INDEBTEDNESS

16. Total A.I. liabilities from Statement of Financial Condition	\$	3790
17. Add:		
A. Drafts for immediate credit	\$	3800
B. Market value of securities borrowed for which no equivalent value is paid or credited	\$	3810
C. Other unrecorded amounts (List)	\$	3820
18. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts(15c3-1(c)(1)(vii))	\$	3838
19. Total aggregate indebtedness	\$	3840
20. Percentage of aggregate indebtedness to net capital (line 19 divided by line 10)	%	3850
21. Percentage of aggregate indebtedness to net capital after anticipated capital withdrawals (line 19 divided by line 10 less item 4880 page 12)	%	3853

COMPUTATION OF ALTERNATE NET CAPITAL REQUIREMENT

Part B

22. 2% of combined aggregate debit items as shown in Formula for Reserve Requirements pursuant to Rule 15c3-3 prepared as of the date of net capital computation including both brokers or dealers and consolidated subsidiaries' debits	\$	519,003,526	3870
23. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note(A)	\$	102,912,591	3880
24. Net capital requirement (greater of line 22 or 23)	\$	519,003,526	3760
25. Excess net capital (line 10 less 24)	\$	4,604,397,605	3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	%	19.74	3851
27. Percentage of Net Capital, after anticipated capital withdrawals, to Aggregate Debits item 10 less Item 4880 page 12 divided by line 17 page 8)	%	19.74	3854
28. Net capital in excess of the greater of: 5% of combined aggregate debit items or 120% of minimum net capital requirement	\$	3,825,892,315	3920

OTHER RATIOS

Part C

29. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1 (d)	%	0.00	3860
30. Options deductions/Net Capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) divided by Net Capital	%	0.00	3852

NOTES:

- (A) The minimum net capital requirement should be computed by adding the minimum dollar net capital requirement of the reporting broker dealer and, for each subsidiary to be consolidated, the greater of:
1. Minimum dollar net capital requirement, or
 2. 6-2/3% of aggregate indebtedness or 2% of aggregate debits if alternate method is used.
- (B) Do not deduct the value of securities borrowed under subordination agreements or secured demand notes covered by subordination agreements not in satisfactory form and the market values of memberships in exchanges contributed for use of company (contra to item 1740) and partners' securities which were included in non-allowable assets.
- (C) For reports filed pursuant to paragraph (d) of Rule 17a-5, respondent should provide a list of material non-allowable assets.

BROKER OR DEALER

INTERACTIVE BROKERS LLC

as of 02/29/20

FORMULA FOR DETERMINATION OF CUSTOMER ACCOUNT RESERVE REQUIREMENTS
OF BROKERS AND DEALERS UNDER RULE 15c3-3
(See Rule 15c3-3, Exhibit A and Related Notes)

CREDIT BALANCES

1. Free credit balances and other credit balances in customers' security accounts (See Note A)	\$ 37,153,949,153	4340
2. Monies borrowed collateralized by securities carried for the accounts of customers (See Note B)	3,522,061,149	4350
3. Monies payable against customers' securities loaned (See Note C)	2,973,187,508	4360
4. Customers' securities failed to receive (See Note D)	45,403,450	4370
5. Credit balances in firm accounts which are attributable to principal sales to customers	0	4380
6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days	0	4390
7. ** Market value of short security count differences over 30 calendar days old	0	4400
8. ** Market value of short securities and credits (not to be offset by longs or by debits) in all suspense accounts over 30 calendar days	3,689,718	4410
9. Market value of securities which are in transfer in excess of 40 calendar days and have not been confirmed to be in transfer by the transfer agent or the issuer during the 40 days	0	4420
10. Other (List)	65,485,959	4425
11. TOTAL CREDITS	\$ 43,763,776,937	4430

DEBIT BALANCES

12. ** Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)	\$ 20,452,611,685	4440
13. Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver	1,964,884,754	4450
14. Failed to deliver of customers' securities not older than 30 calendar days	10,618,727	4460
15. Margin required and on deposit with the Options Clearing Corporation for all option contracts written or purchased in customer accounts (See Note F)	3,522,061,149	4465
16. Margin required and on deposit with a clearing agency registered with the Commission under section 17A of the Act (15 U.S.C. 78q-1) or a derivatives clearing organization registered with the Commodity Futures Trading Commission under section 5b of the Commodity Exchange Act (7 U.S.C. 7a-1) related to the following types of positions written, purchased or sold in customer accounts: (1) security futures products and (2) futures contracts (and options thereon) carried in a securities account pursuant to an SRO portfolio margining rule (See Note G)	0	4467
17. Other (List)	0	4469
18. ** Aggregate debit items	\$ 25,950,176,315	4470
19. ** Less 3% (for alternative method only, - see Rule 15c3-1(a)(1)(ii))	(778,505,289)	4471
20. ** TOTAL 15c3-3 DEBITS	\$ 25,171,671,026	4472

RESERVE COMPUTATION

21. Excess of total debits over total credits (line 20 less line 11)	\$ 0	4480
22. Excess of total credits over total debits (line 11 less line 20)	18,592,105,911	4490
23. If computation is made monthly as permitted, enter 105% of excess of total credits over total debits		4500
24. Amount held on deposit in "Reserve Bank Account(s)", including \$ 17,996,585,700 value of qualified securities, at end of reporting period	19,157,424,401	4510
25. Amount of deposit (or withdrawal) including \$ (421,453,004) value of qualified securities	(290,982,039)	4520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$ 17,575,132,696 value of qualified securities	\$ 18,866,442,362	4530
27. Date of deposit (MMDDYY)	03/02/20	4540

FREQUENCY OF COMPUTATION

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28. Daily 4332 Weekly 4333 Monthly 4334

** In the event the Net Capital Requirement is computed under the alternative method, this "Reserve Formula" shall be prepared in accordance with the requirements of paragraph (a)(1)(ii) of Rule 15c3-1.

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
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BROKER OR DEALER

INTERACTIVE BROKERS LLC

as of 02/29/20

STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. Net ledger balance			
A. Cash	\$	4,343,346,675	7010
B. Securities (at market)		0	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		(155,739,894)	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market		556,830,086	7032
B. Deduct market value of open option contracts granted (sold) on a contract market	(597,676,049)	7033
4. Net equity (deficit) (add lines 1, 2, and 3)		4,146,760,818	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount		924,471	7045
Less: amount offset by customer owned securities	(0)	7047
6. Amount required to be segregated (add lines 4 and 5)	\$	4,147,685,289	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		1,145,298,031	7070
B. Securities representing investments of customers' funds (at market)		1,799,715,821	7080
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7090
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash	\$	14,846,954	7100
B. Securities representing investments of customers' funds (at market)		1,469,620,762	7110
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7120
9. Net settlement from (to) derivatives clearing organizations of contract markets		(33,008,578)	7130
10. Exchange traded options			
A. Value of open long option contracts		556,830,085	7132
B. Value of open short option contracts	(597,676,047)	7133
11. Net equities with other FCMs			
A. Net liquidating equity		0	7140
B. Securities representing investments of customers' funds (at market)		0	7160
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7170
12. Segregated funds on hand (describe: _____)		0	7150
13. Total amount in segregation (add lines 7 through 12)		4,355,627,028	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$	207,941,739	7190
15. Management Target Amount for Excess funds in segregation	\$	155,000,000	7194
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	\$	52,941,739	7198

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STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
 PURSUANT TO COMMISSION REGULATION 30.7

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder	\$		7305
1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers			
A. Cash	\$	511,085,851	7315
B. Securities (at market)			7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		(12,989,359)	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade		153,081	7335
B. Market value of open contracts granted (sold) on a foreign board of trade		(278,296)	7337
4. Net equity (deficit) (add lines 1. 2. and 3.)	\$	497,971,277	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$	57,185	7351
Less: amount offset by customer owned securities		()	7352
		57,185	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$	498,028,462	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$	498,028,462	7360

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BROKER OR DEALER INTERACTIVE BROKERS LLC	as of <u>02/29/20</u>
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STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
PURSUANT TO COMMISSION REGULATION 30.7

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks			
A. Banks located in the United States	\$	62,282,869	7500
B. Other banks qualified under Regulation 30.7			
Name(s): JPMorgan, BMO Harris		7510	7520
			\$ 62,282,869 7530
2. Securities			
A. In safekeeping with banks located in the United States	\$	447,003,194	7540
B. In safekeeping with other banks qualified under Regulation 30.7			
Name(s):		7550	7560
			447,003,194 7570
3. Equities with registered futures commission merchants			
A. Cash	\$		7580
B. Securities			7590
C. Unrealized gain (loss) on open futures contracts			7600
D. Value of long option contracts			7610
E. Value of short option contracts		()	7615
			7620
4. Amounts held by clearing organizations of foreign boards of trade			
Name(s):		7630	
A. Cash	\$		7640
B. Securities			7650
C. Amount due to (from) clearing organizations - daily variation			7660
D. Value of long option contracts			7670
E. Value of short option contracts		()	7675
			7680
5. Amounts held by members of foreign boards of trade			
Name(s): BBVA, IBC, IBUK, IBJP, IBHK, IBA		7690	
A. Cash	\$	108,289,828	7700
B. Securities			7710
C. Unrealized gain (loss) on open futures contracts		3,699,247	7720
D. Value of long option contracts		153,080	7730
E. Value of short option contracts		(278,296)	7735
			111,863,859 7740
6. Amounts with other depositories designated by a foreign board of trade			
Name(s):		7750	7760
7. Segregated funds on hand (describe:)			
			7765
8. Total funds in separate section 30.7 accounts		\$	621,149,922 7770
9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8)		\$	123,121,460 7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts		\$	80,000,000 7780
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target		\$	43,121,460 7785