

July 13, 2022

[Report regarding the investigation result] Leakage of Personal Information within Group companies

As we have informed via the notification in our website on December 20, 2021, we have acknowledged that some employees of our affiliated companies (Interactive Brokers Singapore, Australia and Hong Kong) had access to the personal information of customers who had opened accounts with IBSJ.

Since it was difficult to investigate this matter using access logs, we, together with the parent company that manages our system, conducted an investigation of all employees of our group affiliates to confirm whether or not they have accessed the personal information, and have investigated some of the employees who have accessed the site, the results of which are reported below.

- Investigation Result

- ◆ Number of accessible accounts: 1435 accounts
- ◆ Personal information which was possible to access

Name, Address, Nationality, Date of Birth, Sex, Occupation (employer, job title), contact information (email address, telephone number), My Number ID and the following ID documents

- Driver's license
- Passport
- Health Insurance card
- Resident certificate
- My Number Card

#### Situation of Personal information

Our group companies who had access to customers' personal information have confirmed that this access was used only for business purposes, such as Client Services was to perform duties related to "handling customer inquiries," "account opening screening," "checking account registration details," "confirming system connections on the system," and "checking deposits and withdrawals" and Compliance Department was made in the course of operations related to "transaction screening". In addition, we confirmed that one IBG compliance employee temporarily stored the accessed

information electronically in the course of business operations, but the stored data was deleted after use and the information has not been leaked to any third party. Furthermore, we confirmed that network conditions had no evidence of unauthorized access from third parties.

We would like to explain regarding personal information Control Framework within group companies as follows:

- Personal information Control Framework within group companies

Customers' personal information is stored on an internal network used by our group. This network is used by the Group's affiliates that provide customer service and is brought in-house to provide a high level of cyber security control and is managed by an internal system and is not connected to the outside of group, including the cloud. Access is limited to the employees of the Group's affiliates through the use of two-step authentication using a security device provided by the Group. Neither IBSJ nor our group affiliates will outsource the management of personal information to external parties.

- Handling personal information in our group companies

As stated in the "Privacy Policy" posted on our website, we have a backup structure in place with our group companies to ensure the continuity of our business operations, including emergency measures. We may share customers' personal information in case we need to respond to your inquiries or for internal control related confirmation.

- Future actions

We sincerely apologize for any inconvenience this incident may have caused to customers. In the future, we will regularly audit the authorization for the access customers' personal information and will make every effort to prevent the recurrence of an incident.

If you have any questions or inquiries regarding this matter, please call 03-4588-9700 (weekdays from 9:00 a.m. to 5:00 p.m.) or contact us by Client Portal.

Interactive Brokers Securities Japan, Inc.  
Representative Director Daniel Kerrigan

December 20, 2021

## Personal Information Leakage

We would like to inform you that some employees of our group companies have been able to access the personal information that clients provided when opening an account with us.

The personal information that these IB Group employees could access include your name, address, date of birth, gender, occupation (employer, title), e-mail address, telephone number, My Number ID, etc.

The personal information of our customers is stored on the network used by our Group companies, which is used by each of our customer-facing affiliates. This network has been designed in-house to achieve a high level of cyber security control, and is maintained on an internal system, i.e., is not connected to "the cloud." It can only be accessed from an IBG office environment or using 2-factor authentication involving a physical security device provided by IBG. IB Japan and our affiliates do not subcontract the management of personal information.

Some employees of our group companies (Singapore, Australia, and Hong Kong) were authorized to access your information as employees of IBG affiliates may act as backups including BCP for their colleagues in customer service or compliance at other IBG companies. We have already removed the access rights of the employees of our affiliates who had access to this personal information.

We have conducted a survey on the status of our customers' personal information together with our parent company, which currently manages our systems, after the discovery of the case. We will provide you further information.

We sincerely apologize for any inconvenience this may have caused. In the future, we will regularly check the restrictions on access to customers' personal information and work to limit access to employees of Interactive Brokers Securities Japan. Should you have any questions regarding this matter, please contact us at 03-4588-9700 (9 am to 5 pm weekday) or through Client Portal.

Sincerely yours,

Interactive Brokers Securities Japan Inc.

Yasuaki Hayashi, Representative Director