



\*\*\*\*\*Provisional Translation for your reference only\*\*\*\*\*

## **Explanation as to contract for deposit and entry and transfer of money and securities**

(This document is provided under the Financial Instruments and Exchange Act. 37-3)

Interactive Brokers Securities Japan Inc.

Our company receives customer's money and securities which is necessary for buying and selling of securities, and keeps them separately from our assets under the law. The securities which don't have face value is separated from our assets, registered and transferred under law.

### **Regarding costs such as commission**

- Our company does not receive upkeep of accounts when we keep financial instruments such as stocks, bonds, certificates and foreign securities.

### **This contract is not an object for cooling-off**

- With this contract, the Financial Instruments Exchange Law Article 37-6 does not apply.

### **An outline of contract for deposit, entry and transfer of money and securities**

- Our company receives customer's money and securities which is necessary for buying and selling of securities, and keeps them separately from our assets under the law. The securities which don't have face value is separated from our assets, registered and transferred under law.

### **The content and means of the financial instruments exchange business**

- The financial instruments exchange business we do is the first one based on the first of twenty eighth article of the Financial Instruments Exchange Law. Our company accepts order for buying and selling of securities after customer open a securities exchange account.

### **The causes and reasons for termination of this contract**

If the causes and reasons in the prescribed stipulations are applicable to customer, this contract is canceled.

- The case where customer informs dissolution.
- The case where the given period passes with the assets insufficient.

- The case where the customer doesn't consent to change of the prescribed stipulation.
- The case where IBSJ advises termination of contract due to violation of this rule as well as local laws and regulations.

**The outline of our company**

Trade name: Interactive Brokers Securities Japan, Inc  
financial instruments firm #187 by Kanto Financial Bureau

Address: 4th Floor Tekko Kaikan, 3-2-10 Nihonbashi Kayabacho, Chuo-ku, Tokyo, Japan  
103-0025

Capital Stock: 1,150,520,000 Japanese yen

Primary Business: Trading and Broking Marketable Securities

Established: August, 2008

Contact Us: (Customer Service) 03-4588-9700

As of July-01-2010