

OMB Approval

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0123) 16.00 (3235-0749)

(Please read instructions before preparing Form)

This report is being filed by a/an:

- 1) Broker-dealer not registered as an SBSD or MSBSP
(stand-alone broker-dealer) ☒ 12000
- 2) Broker-dealer registered as an SBSD (broker-dealer SBSD) ☐ 12001
- 3) Broker-dealer registered as an MSBSP (broker-dealer MSBSP) ☐ 12002
- 4) SBSD without a prudential regulator and not registered as a broker-dealer (stand-alone SBSD) ☐ 12003
- 5) MSBSP without a prudential regulator and not registered as a broker-dealer (stand-alone MSBSP) ... ☐ 12004
- Check here if respondent is an OTC derivatives dealer ☐ 12005

This report is being filed by a: Firm authorized to use models ☐ 12006 U.S. person ☒ 12007 Non-U.S. person ☐ 12008

This report is being filed pursuant to (check applicable block(s)):

- 1) Rule 17a-5(a) ☒ 16
- 2) Rule 17a-5(b) ☐ 17
- 3) Special request by DEA or the Commission ☐ 19
- 4) Rule 18a-7 ☐ 12999
- 5) Other (explain: _____) ☐ 26

NAME OF REPORTING ENTITY

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.

PICKWICK PLAZA 20

36418 15

(No. and Street)

FOR PERIOD BEGINNING (MM/DD/YY)

GREENWICH 21 CT 22 06830 23

01/01/26 24

(City)

(State/Province)

(Zip Code)

AND ENDING (MM/DD/YY)

UNITED STATES 12009

01/31/26 25

(Country)

NAME OF PERSON TO CONTACT IN REGARD TO THIS REPORT

EMAIL ADDRESS

(AREA CODE) TELEPHONE NO.

James Menicucci 30 jmenicucci@interactivebrokers.com 12010 (203) 618-8085 31

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

OFFICIAL USE

_____ 32	_____ 33
_____ 34	_____ 35
_____ 36	_____ 37
_____ 38	_____ 39

Is this report consolidated or unconsolidated? Consolidated ☐ 198 Unconsolidated ☒ 199

Does respondent carry its own customer or security-based swap customer accounts? Yes ☒ 40 No ☐ 41

Check here if respondent is filing an audited report ☐ 42

EXECUTION: The registrant 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 _____, 2 _____.

Signatures of:

Names of:

- | | |
|--|--|
| 1) _____ | _____ 12011 |
| Principal Executive Officer or Comparable Officer | Principal Executive Officer or Comparable Officer |
| 2) _____ | James Menicucci 12012 |
| Principal Financial Officer or Comparable Officer | Principal Financial Officer or Comparable Officer |
| 3) _____ | _____ 12013 |
| Principal Operations Officer or Comparable Officer | Principal Operations Officer or Comparable Officer |

ATTENTION: Intentional misstatements and/or omissions of facts constitute federal criminal violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).)

Name of Firm: INTERACTIVE BROKERS LLC

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As of: 01/31/26

Items on this page to be reported by a: Stand-Alone Broker-Dealer (Not Authorized to use models)
Stand-Alone SBSD (Not Authorized to use models)
Broker-Dealer SBSD (Not Authorized to use models)
Broker-Dealer MSBSP (Not Authorized to use models)

Computation of Net Capital

1. Total ownership equity from Item 1800	\$	12,876,871,039	3480
2. Deduct ownership equity not allowable for net capital	\$	(0)	3490
3. Total ownership equity qualified for net capital	\$	12,876,871,039	3500
4. Add:			
A. Liabilities subordinated to claims of 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	\$	12,876,871,039	3530
6. Deductions and/or charges			
A. Total nonallowable assets from Statement of Financial Condition	\$	2,211,125,277	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
3. Additional charges for customers' and non-customers' security-based swap accounts	\$		12051
4. Additional charges for customers' and non-customers' swap accounts	\$		12052
B. Aged fail-to-deliver	\$	2,435,096	3570
1. number of items		168	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	\$	557,118,443	3610
G. Deductions for accounts carried under Rules 15c3-1(a)(6) and (c)(2)(x)	\$	0	3615
H. Total deductions and/or charges	\$	(2,770,678,816)	3620
7. Other additions and/or allowable credits (list)	\$	0	3630
8. Tentative net capital (net capital before haircuts)	\$	10,106,192,223	3640
9. Haircuts on securities other than security-based swaps			
A. Contractual securities commitments	\$	0	3660
B. Subordinated securities borrowings	\$	0	3670
C. Trading and investment securities	\$		
1. Bankers' acceptances, certificates of deposit, commercial paper, and money market instruments	\$	0	3680
2. U.S. and Canadian government obligations	\$	0	3690
3. State and municipal government obligations	\$	29,866,604	3700
4. Corporate obligations	\$	0	3710
5. Stocks and warrants	\$	0	3720
6. Options	\$	0	3730
7. Arbitrage	\$	0	3732
8. Risk-based haircuts computed under 17 CFR 240.15c3-1a or 17 CFR 240.18a-1a	\$	6,040,050	12028
9. Other securities	\$	0	3734
D. Undue concentration	\$	0	3650
E. Other (List:)	\$	6,507,203	3736
10. Haircuts on security-based swaps	\$		12053
11. Haircuts on swaps	\$		12054
12. Total haircuts (sum of Lines 9A-9E, 10, and 11)	\$	(42,413,857)	3740
13. Net capital (Line 8 minus Line 12)	\$	10,063,778,366	3750

Items on this page to be reported by a: Stand-Alone Broker-Dealer
Broker-Dealer SBSD (other than OTC Derivatives Dealer)
Broker-Dealer MSBSP

Calculation of Excess Tentative Net Capital (If Applicable)

1. Tentative net capital	\$		3640
2. Minimum tentative net capital requirement	\$		12055
3. Excess tentative net capital (difference between Lines 1 and 2)	\$		12056
4. Tentative net capital in excess of 120% of minimum tentative net capital requirement reported on Line 2	\$		12057

Calculation of Minimum Net Capital Requirement

5. Ratio minimum net capital requirement			
A. 62/3% of total aggregate indebtedness (Line Item 3840)	\$		3756
B. 2% of aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3	\$	1,769,648,361	3870
i. Minimum CFTC net capital requirement (if applicable)	\$	329,306,536	7490
C. Percentage of risk margin amount computed under 17 CFR 240.15c3-1(a)(7)(i) or (a)(10)	\$		12058
D. For broker-dealers engaged in reverse repurchase agreements, 10% of the amounts in 17 CFR 240.15c3-1(a)(9)(i)-(iii)	\$		12059
E. Minimum ratio requirement (sum of Lines 5A, 5B, 5C, and/or 5D, as applicable)	\$	1,769,648,361	12060
6. Fixed-dollar minimum net capital requirement	\$	329,306,536	3880
7. Minimum net capital requirement (greater of Lines 5E and 6)	\$	1,769,648,361	3760
8. Excess net capital (Item 3750 minus Item 3760)	\$	8,294,130,005	3910
9. Net capital and tentative net capital in relation to early warning thresholds			
A. Net capital in excess of 120% of minimum net capital requirement reported on Line 7	\$	7,940,200,333	12061
B. Net capital in excess of 5% of combined aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3.	\$	5,639,657,464	3920

Computation of Aggregate Indebtedness (If Applicable)

10. Total aggregate indebtedness liabilities from Statement of Financial Condition (Item 1230)	\$		3790
11. 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
D. Total additions (sum of Line Items 3800, 3810, and 3820)	\$		3830
12. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts (see Rule 15c3-1(c)(1)(vii))	\$		3838
13. Total aggregate indebtedness (sum of Line Items 3790 and 3830)	\$		3840
14. Percentage of aggregate indebtedness to net capital (Item 3840 divided by Item 3750)	%		3850
15. Percentage of aggregate indebtedness to net capital <u>after</u> anticipated capital withdrawals (Item 3840 divided by Item 3750 less Item 4880)	%		3853

Calculation of Other Ratios

16. Percentage of net capital to aggregate debits (Item 3750 divided by Item 4470)	%	11.37	3851
17. Percentage of net capital, <u>after</u> anticipated capital withdrawals, to aggregate debits (Item 3750 less Item 4880, divided by Item 4470)	%	11.37	3854
18. Percentage of debt to debt-to-equity total, computed in accordance with Rule 15c3-1(d)	%	0.00	3860
19. Options deductions/net capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6) and (c)(2)(x) divided by net capital	%	0.00	3852

Items on this page to be reported by a: Stand-Alone Broker-Dealer
Broker-Dealer SBSD
Broker-Dealer MSBSP

CREDIT BALANCES

1. Free credit balances and other credit balances in customers' security accounts (see Note A)	\$	82,179,228,698	4340
2. Monies borrowed collateralized by securities carried for the accounts of customers (see Note B)	\$	11,057,819,863	4350
3. Monies payable against customers' securities loaned (see Note C)	\$	18,678,490,047	4360
4. Customers' securities failed to receive (see Note D)	\$	187,016,746	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	\$	26,518,792	4390
7. ** Market value of short security count differences over 30 calendar days old	\$	8,260,562	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	\$	111,484,335	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	\$	160,679	4420
10. Other (List: _____)	\$	263,093,102	4425
11. TOTAL CREDITS (sum of Lines 1-10)	\$	112,512,072,824	4430

DEBIT BALANCES

12. ** Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (see Note E)	\$	72,581,752,773	4440
13. Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver	\$	4,868,361,857	4450
14. Failed to deliver of customers' securities not older than 30 calendar days	\$	0	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)	\$	11,032,303,403	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 (sum of Lines 12-17)	\$	88,482,418,033	4470
19. ** Less 3% (for alternative method only – see Rule 15c3-1(a)(1)(ii)) (3% x Line Item 4470)	\$	1,769,648,361	4471
20. **TOTAL DEBITS (Line 18 less Line 19)	\$	86,712,769,672	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)	\$	25,799,303,152	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 \$ 23,854,451,085 4505 value of qualified securities, at end of reporting period	\$	24,305,138,436	4510
25. Amount of deposit (or withdrawal) including \$ 1,750,505,641 4515 value of qualified securities	\$	1,750,742,711	4520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$ 25,604,956,726 4525 value of qualified securities	\$	26,055,881,147	4530
27. Date of deposit (MM/DD/YY)		02/02/26	4540

FREQUENCY OF COMPUTATION

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.

References to notes in this section refer to the notes to 17 CFR 240.15c3-1a.

Name of Firm: INTERACTIVE BROKERS LLC

As of: 01/31/26

Items on this page to be reported by: Futures Commission Merchant

SEGREGATION REQUIREMENTS

1. Net ledger balance			
A. Cash	\$	10,307,259,728	7010
B. Securities (at market)	\$	0	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market	\$	(20,455,503)	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market	\$	1,049,867,301	7032
B. Deduct market value of open option contracts granted (sold) on a contract market	\$	(919,801,713)	7033
4. Net equity (deficit) (total of Lines 1, 2, and 3)	\$	10,416,869,813	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	\$	2,125,391	7045
Less: amount offset by customer owned securities	\$	(0)	7047
	\$	2,125,391	7050
6. Amount required to be segregated (add lines 4 and 5)	\$	10,418,995,204	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash	\$	4,795,245,622	7070
B. Securities representing investments of customers' funds (at market)	\$	803,908,269	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	\$	1,460,232,957	7100
B. Securities representing investments of customers' funds (at market)	\$	3,903,887,835	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	\$	(459,056,200)	7130
10. Exchange traded options			
A. Value of open long option contracts	\$	1,049,867,300	7132
B. Value of open short option contracts	\$	(919,801,711)	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)	\$	10,634,284,072	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$	215,288,868	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	\$	60,288,868	7198

Items on this page to be reported by: Futures Commission Merchant

CLEARED SWAPS CUSTOMER REQUIREMENTS

1. Net ledger balance		
A. Cash	\$ 19,197,997	8500
B. Securities (at market)	\$ 0	8510
2. Net unrealized profit (loss) in open cleared swaps	\$ 0	8520
3. Cleared swaps options		
A. Market value of open cleared swaps option contracts purchased	\$ 2,116,941	8530
B. Market value of open cleared swaps option contracts granted (sold)	\$ (0)	8540
4. Net equity (deficit) (add lines 1, 2 and 3)	\$ 21,314,938	8550
5. Accounts liquidating to a deficit and accounts with debit balances		
- gross amount	\$ 4,270	8560
Less: amount offset by customer owned securities	\$ ()	8570
6. Amount required to be segregated for cleared swaps customers (add Lines 4 and 5)	\$ 21,319,208	8590

FUNDS IN CLEARED SWAPS CUSTOMER SEGREGATED ACCOUNTS

7. Deposited in cleared swaps customer segregated accounts at banks		
A. Cash	\$ 15,994,217	8600
B. Securities representing investment of cleared swaps customers' funds (at market)	\$ 0	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	\$ 0	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts		
A. Cash	\$ 6,923,731	8630
B. Securities representing investment of cleared swaps customers' funds (at market)	\$ 0	8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	\$ 0	8650
9. Net settlement from (to) derivatives clearing organizations	\$ 0	8660
10. Cleared swaps options		
A. Value of open cleared swaps long option contracts	\$ 2,116,941	8670
B. Value of open cleared swaps short option contracts	\$ (0)	8680
11. Net equities with other FCMs		
A. Net liquidating equity	\$ 0	8690
B. Securities representing investment of cleared swaps customers' funds (at market)	\$ 0	8700
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	\$ 0	8710
12. Cleared swaps customer funds on hand (describe:)	\$ 0	8715
13. Total amount in cleared swaps customer segregation (add Lines 7 through 12)	\$ 25,034,889	8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract Line 6 from Line 13)	\$ 3,715,681	8730
15. Management target amount for excess funds in cleared swaps segregated accounts	\$ 2,000,000	8760
16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) management target excess	\$ 1,715,681	8770

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD
IN SEPARATE ACCOUNTS FOR FOREIGN FUTURES
AND FOREIGN OPTIONS CUSTOMERS PURSUANT TO CFTC REGULATION 30.7

2026-02-25 03:23PM EST
Status: Accepted

Items on this page to be reported by a: Futures Commission Merchant

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	\$	717,852,454	7315
B. Securities (at market)	\$		7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$	31,912,069	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade	\$	384,873	7335
B. Market value of open contracts granted (sold) on a foreign board of trade	\$	(169,802)	7337
4. Net equity (deficit)(add lines 1. 2. and 3.)	\$	749,979,594	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$	784,794	7351
Less: amount offset by customer owned securities	\$	()	7352
	\$	784,794	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$	750,764,388	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$	750,764,388	7360

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD
IN SEPARATE ACCOUNTS FOR FOREIGN FUTURES
AND FOREIGN OPTIONS CUSTOMERS PURSUANT TO CFTC REGULATION 30.7

2026-02-25 03:23PM EST
Status: Accepted

Items on this page to be reported by: Futures Commission Merchant

FUNDS DEPOSITED IN SEPARATE 17 CFR. 30.7 ACCOUNTS

1. Cash in banks

A. Banks located in the United States \$ 69,690,988 7500
B. Other banks qualified under 17 CFR. 30.7
Name(s): JPMorgan, BMO Harris, Banco B3 S.A. 7510 \$ 7520 \$ 69,690,988 7530

2. Securities

A. In safekeeping with banks located in the United States \$ 598,941,089 7540
B. In safekeeping with other banks designated by 17 CFR. 30.7
Name(s): 7550 \$ 7560 \$ 598,941,089 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 \$ 192,615,002 7700
B. Securities \$ 7710
C. Unrealized gain (loss) on open futures contracts \$ 10,760,848 7720
D. Value of long option contracts \$ 384,873 7730
E. Value of short option contracts \$(169,802) 7735 \$ 203,590,921 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 17 CFR 30.7 accounts \$ 872,222,998 7770

9. Excess (deficiency) set aside funds for secured amount

(Line Item 7770 minus Line Item 7360) \$ 121,458,610 7380

10. Management target amount for excess funds in separate 17 CFR 30.7 accounts \$ 80,000,000 7780

11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess \$ 41,458,610 7785