

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION

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

INTERACTIVE BROKERS LLC 13

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

ONE PICKWICK PLAZA-2ND FL. 20

(No. and Street)

GREENWICH 21 CT 22 06830 23

(City)

(State)

(Zip Code)

SEC. FILE NO.

8-47257 14

FIRM ID NO.

36418 15

FOR PERIOD BEGINNING (MM/DD/YY)

01/01/15 24

AND ENDING (MM/DD/YY)

01/31/15 25

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

Michael Ellman 30

(203)422-8926 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) )

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II

BROKER OR DEALER  
INTERACTIVE BROKERS LLC

as of 01/31/15

COMPUTATION OF NET CAPITAL

1. Total ownership equity (from Statement of Financial Condition - Item 1800)	\$	2,841,801,212	3480
2. Deduct: Ownership equity not allowable for Net Capital	(	0	3490
3. Total ownership equity qualified for Net Capital		2,841,801,212	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	\$	2,841,801,212	3530
6. Deductions and/or charges:			
A. Total non-allowable assets from			
Statement of Financial Condition (Notes B and C)	\$	235,985,141	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:		61,141	3570
1. number of items	71	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		43,860,200	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	(	279,906,482	3620
7. Other additions and/or allowable credits (List)		0	3630
8. Net Capital before haircuts on securities positions	\$	2,561,894,730	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		78,170,166	3690
3. State and municipal government obligations		0	3700
4. Corporate obligations		0	3710
5. Stocks and warrants		0	3720
6. Options		0	3730
7. Arbitrage		0	3732
8. Other securities		0	3734
D. Undue concentration		0	3650
E. Other (List)		23,918,650	3736
10. Net Capital	\$	2,459,805,914	3750

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**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**  
**PART II**

BROKER OR DEALER

INTERACTIVE BROKERS LLC

as of 01/31/15

**COMPUTATION OF BASIC NET CAPITAL REQUIREMENT**

**Part A**

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

**COMPUTATION OF AGGREGATE INDEBTEDNESS**

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

**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	\$	<u>274,000,284</u>	<u>3870</u>
23. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note(A)	\$	<u>94,484,371</u>	<u>3880</u>
24. Net capital requirement (greater of line 22 or 23)	\$	<u>274,000,284</u>	<u>3760</u>
25. Excess net capital (line 10 less 24)	\$	<u>2,185,805,630</u>	<u>3910</u>
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	%	<u>17.95</u>	<u>3851</u>
27. Percentage of Net Capital, <u>after</u> anticipated capital withdrawals, to Aggregate Debits item 10 less Item 4880 page 12 divided by line 17 page 8)	%	<u>17.95</u>	<u>3854</u>
28. Net capital in excess of the greater of: 5% of combined aggregate debit items or 120% of minimum net capital requirement	\$	<u>1,774,805,204</u>	<u>3920</u>

**OTHER RATIOS**

**Part C**

29. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1 (d)	%	<u>0.00</u>	<u>3860</u>
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	%	<u>0.00</u>	<u>3852</u>

**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.

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II

BROKER OR DEALER

INTERACTIVE BROKERS LLC

as of 01/31/15

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)	\$ 20,496,877,913	4340
2. Monies borrowed collateralized by securities carried for the accounts of customers (See Note B)	955,305,663	4350
3. Monies payable against customers' securities loaned (See Note C)	2,177,864,350	4360
4. Customers' securities failed to receive (See Note D)	80,393,478	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	3,171,626	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)	31,261,894	4425
11. TOTAL CREDITS	\$ 23,744,874,924	4430

**DEBIT BALANCES**

12. ** Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)	\$ 10,382,241,760	4440
13. Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver	2,361,054,591	4450
14. Failed to deliver of customers' securities not older than 30 calendar days	2,832,005	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)	953,885,838	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	\$ 13,700,014,194	4470
19. ** Less 3% (for alternative method only - see Rule 15c3-1(a)(1)(ii))	( 411,000,426)	4471
20. ** TOTAL 15c3-3 DEBITS	13,289,013,768	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)	10,455,861,156	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 \$ 7,393,414,456 4505 value of qualified securities, at end of reporting period	10,689,361,828	4510
25. Amount of deposit (or withdrawal) including \$ 209,012,638 4515 value of qualified securities	6,148,451	4520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$ 7,602,427,094 4525 value of qualified securities	\$ 10,695,510,279	4530
27. Date of deposit (MMDDYY)	02/02/15	4540

**FREQUENCY OF COMPUTATION**

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28. Daily X 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  
PART II

BROKER OR DEALER  
INTERACTIVE BROKERS LLC

as of 01/31/15

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	\$	2,416,925,283	7010
B. Securities (at market)		0	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		100,822,188	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market		138,265,638	7032
B. Deduct market value of open option contracts granted (sold) on a contract market	(	218,121,043	7033
4. Net equity (deficit) (add lines 1, 2, and 3)		2,437,892,066	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount		4,324,289	7045
Less: amount offset by customer owned securities	(	0	7047
6. Amount required to be segregated (add lines 4 and 5)	\$	2,442,216,355	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		491,431,830	7070
B. Securities representing investments of customers' funds (at market)		1,219,126,484	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	\$	15,268,584	7100
B. Securities representing investments of customers' funds (at market)		100,533,749	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		2,006,968	7130
10. Exchange traded options			
A. Value of open long option contracts		1,661,826	7132
B. Value of open short option contracts	(	10,607,410	7133
11. Net equities with other FCMs			
A. Net liquidating equity		(36,107,192)	7140
B. Securities representing investments of customers' funds (at market)		850,443,111	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)		2,633,757,950	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$	191,541,595	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	\$	36,541,595	7198

SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II

BROKER OR DEALER  
INTERACTIVE BROKERS LLC

as of 01/31/15

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	\$	348,945,824	7315
B. Securities (at market)			7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		12,592,031	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade		113,507	7335
B. Market value of open contracts granted (sold) on a foreign board of trade		(59,921)	7337
4. Net equity (deficit) (add lines 1. 2. and 3.)	\$	361,591,441	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$	8,056,103	7351
Less: amount offset by customer owned securities	(		7352
		8,056,103	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$	369,647,544	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$	369,647,544	7360

SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II

BROKER OR DEALER

INTERACTIVE BROKERS LLC

as of 01/31/15

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	\$	389,886,255	7500	
B. Other banks qualified under Regulation 30.7				
Name(s): Citibank N.A., JPMorgan			7510	
			7520	\$ 389,886,255 7530

2. Securities

A. In safekeeping with banks located in the United States	\$		7540	
B. In safekeeping with other banks qualified under Regulation 30.7				
Name(s):			7550	
			7560	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): ABN AMRO, BBVA, IBUK, IBSJ, IBC			7690	
A. Cash	\$	105,116,134	7700	
B. Securities			7710	
C. Unrealized gain (loss) on open futures contracts		2,888,410	7720	
D. Value of long option contracts		113,507	7730	
E. Value of short option contracts	(	(59,921)	7735	108,058,130 7740

6. Amounts with other depositories designated by a foreign board of trade

Name(s):			7750	
				7760

7. Segregated funds on hand (describe: )				7765
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8. Total funds in separate section 30.7 accounts	\$	497,944,385	7770	
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9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8)

\$	128,296,841	7380
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10. Management Target Amount for Excess funds in separate section 30.7 accounts

\$	80,000,000	7780
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11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target

\$	48,296,841	7785
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