

**BrokerCheck Report**

**FUTURETRADE INVESTMENTS CORP.**

CRD# 117942

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## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

### · **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### · **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

### · **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

### · **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



## FUTURETRADE INVESTMENTS CORP. Report Summary for this Firm

CRD# 117942

SEC# 8-53615

### Main Office Location

8 GREENWICH OFFICE PARK  
GREENWICH, CT 06831  
Regulated by FINRA Boston Office

### Mailing Address

TWO PICKWICK PLAZA  
GREENWICH, CT 06830

### Business Telephone Number

203 618-5700

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 01/16/2009.  
Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

**This firm is registered with:**

- the SEC
- 3 Self-Regulatory Organizations
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 2 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

**The following types of disclosures have been reported:**

#### Type Count

Regulatory Event 1



## **Firm Profile**

This firm is classified as a corporation.

This firm was formed in Delaware on 01/16/2009.

Its fiscal year ends in December.

## **Firm Names and Locations**

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### **FUTURETRADE INVESTMENTS CORP.**

**Doing business as FUTURETRADE INVESTMENTS CORP.**

**CRD#** 117942

**SEC#** 8-53615

#### **Main Office Location**

8 GREENWICH OFFICE PARK  
GREENWICH, CT 06831

**Regulated by FINRA Boston Office**

#### **Mailing Address**

TWO PICKWICK PLAZA  
GREENWICH, CT 06830

#### **Business Telephone Number**

203 618-5700



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

**Legal Name & CRD# (if any):** IB EXCHANGE CORP.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Position** OWNER

**Position Start Date** 04/2015

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** BAUCH, JEFFREY ALEXANDER

4110351

**Is this a domestic or foreign entity or an individual?** Individual

**Position** ROSFP

**Position Start Date** 09/2009

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** BRODY, PAUL JONATHAN

1722066

**Is this a domestic or foreign entity or an individual?** Individual

**Position** SECRETARY

**Position Start Date** 01/2016

**Percentage of Ownership** Less than 5%

**Firm Profile****Direct Owners and Executive Officers (continued)**

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** FEIST, ARNOLD J  
1296808

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 10/2009

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** IOFFE, ALEXANDER M  
4287661

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CHIEF FINANCIAL OFFICER

**Position Start Date** 10/2008

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** PETERFFY, THOMAS PECHY

1722064

**Firm Profile****Direct Owners and Executive Officers (continued)**

	1722064
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CEO
<b>Position Start Date</b>	08/2009
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	Yes
<hr/>	
<b>Legal Name &amp; CRD# (if any):</b>	SANDERS, STEVEN JAY 2812548
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	EXECUTIVE VICE PRESIDENT SALES AND MARKETING
<b>Position Start Date</b>	08/2009
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

**Legal Name & CRD# (if any):** IBG HOLDINGS LLC

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Company through which indirect ownership is established** IBG LLC

**Relationship to Direct Owner** MEMBER

**Relationship Established** 10/2009

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** IBG LLC

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Company through which indirect ownership is established** IB EXCHANGE CORP.

**Relationship to Direct Owner** MANAGING MEMBER

**Relationship Established** 01/2002

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** INTERACTIVE BROKERS GROUP, INC.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Company through which indirect ownership is established** IBG LLC

**Relationship to Direct Owner** Report about FUTURETRADE INVESTMENTS CORP.



**Firm Profile****Indirect Owners (continued)**

<b>Company through which indirect ownership is established</b>	IBG LLC
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	12/2007
<b>Percentage of Ownership</b>	25% but less than 50%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	Yes

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





## Firm Operations

### Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 3 SROs and 53 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	12/18/2001

### SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	12/18/2001
Cboe C2 Exchange, Inc.	Approved	10/06/2010
Cboe Exchange, Inc.	Approved	04/21/2009

## Firm Operations



### Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/19/2011	North Carolina	Approved	08/08/2011
Alaska	Approved	08/05/2011	North Dakota	Approved	11/04/2011
Arizona	Approved	10/26/2011	Ohio	Approved	11/18/2011
Arkansas	Approved	12/01/2011	Oklahoma	Approved	08/24/2011
California	Approved	12/21/2001	Oregon	Approved	10/26/2011
Colorado	Approved	08/19/2011	Pennsylvania	Approved	11/08/2011
Connecticut	Approved	03/18/2003	Puerto Rico	Approved	11/04/2011
Delaware	Approved	10/03/2011	Rhode Island	Approved	09/28/2011
District of Columbia	Approved	10/18/2011	South Carolina	Approved	11/03/2011
Florida	Approved	02/23/2015	South Dakota	Approved	08/05/2011
Georgia	Approved	01/22/2004	Tennessee	Approved	10/15/2015
Hawaii	Approved	10/21/2011	Texas	Approved	08/03/2012
Idaho	Approved	08/05/2011	Utah	Approved	08/17/2011
Illinois	Approved	01/14/2003	Vermont	Approved	11/09/2011
Indiana	Approved	02/07/2012	Virgin Islands	Approved	06/07/2017
Iowa	Approved	08/05/2011	Virginia	Approved	09/15/2011
Kansas	Approved	01/05/2012	Washington	Approved	08/04/2011
Kentucky	Approved	08/08/2011	West Virginia	Approved	12/31/2007
Louisiana	Approved	08/10/2011	Wisconsin	Approved	09/27/2011
Maine	Approved	11/10/2011	Wyoming	Approved	11/02/2011
Maryland	Approved	09/27/2011			
Massachusetts	Approved	11/25/2002			
Michigan	Approved	10/25/2011			
Minnesota	Approved	08/09/2011			
Mississippi	Approved	08/05/2011			
Missouri	Approved	10/26/2006			
Montana	Approved	09/27/2011			
Nebraska	Approved	10/25/2011			
Nevada	Approved	11/03/2011			
New Hampshire	Approved	10/31/2011			
New Jersey	Approved	09/09/2008			
New Mexico	Approved	03/01/2005			
New York	Approved	01/06/2003			



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 2 types of businesses.**

#### Types of Business

Put and call broker or dealer or option writer

Other - FUTURETRADE INVESTMENTS CORP. WAS APPROVED BY THE NATIONAL FUTURES ASSOCIATION (NFA) TO BE AN INTRODUCING BROKER FOR COMMODITIES FUTURES AND OPTIONS. FUTURETRADE INVESTMENTS CORP. INTRODUCES COMMODITIES CLIENTS TO INTERACTIVE BROKERS LLC, A FUTURES COMMISSION MERCHANT.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## Firm Operations



### Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

### Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

**Name:** INTERACTIVE BROKERS LLC  
**CRD #:** 36418  
**Business Address:** ONE PICKWICK PLAZA  
2ND FLOOR  
GREENWICH, CT 06830  
**Effective Date:** 01/05/2009  
**Description:** FUTURETRADE INVESTMENTS CORP. INTRODUCES CUSTOMER ACCOUNTS  
ON A FULLY DISCLOSED BASIS TO INTERACTIVE BROKERS LLC

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## Firm Operations

### Industry Arrangements



#### This firm does have books or records maintained by a third party.

**Name:** INTERACTIVE BROKERS LLC

**CRD #:** 36418

**Business Address:** ONE PICKWICK PLAZA  
GREENWICH, CT 06830

**Effective Date:** 01/05/2009

**Description:** FUTURETRADE INVESTMENTS CORP. INTRODUCES CUSTOMER ACCOUNTS ON A FULLY DISCLOSED BASIS TO INTERACTIVE BROKERS LLC, THEREFORE CERTAIN BOOKS AND RECORDS ARE KEPT OR MAINTAINED BY THE CLEARING FIRM INTERACTIVE BROKERS LLC.

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#### This firm does have accounts, funds, or securities maintained by a third party.

**Name:** INTERACTIVE BROKERS LLC

**CRD #:** 36418

**Business Address:** ONE PICKWICK PLAZA  
GREENWICH, CT 06830

**Effective Date:** 01/05/2009

**Description:** FUTURETRADE INVESTMENTS CORP. INTRODUCES CUSTOMER ACCOUNTS ON A FULLY DISCLOSED BASIS TO INTERACTIVE BROKERS LLC, THEREFORE SECURITIES AND FUNDS OF INTERACTIVE BROKERS CORP. ARE HELD BY THE CLEARING FIRM INTERACTIVE BROKERS LLC.

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#### This firm does have customer accounts, funds, or securities maintained by a third party.

**Name:** INTERACTIVE BROKERS LLC

**CRD #:** 36418

**Business Address:** ONE PICKWICK PLAZA  
2ND FLOOR  
GREENWICH, CT 06830

**Effective Date:** 01/05/2009

**Description:** FUTURETRADE INVESTMENTS CORP. INTRODUCES CUSTOMER ACCOUNTS ON A FULLY DISCLOSED BASIS TO INTERACTIVE BROKERS LLC, THEREFORE CUSTOMER SECURITIES AND FUNDS ARE HELD BY THE CLEARING FIRM INTERACTIVE BROKERS LLC.

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#### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

## **Firm Operations**



### **Industry Arrangements (continued)**

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**





## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

**COVESTOR LTD. is under common control with the firm.**

<b>Business Address:</b>	1 DUCHESS STREET LONDON, UNITED KINGDOM W1W 6AN
<b>Effective Date:</b>	05/01/2015
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	UNITED KINGDOM
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	COVESTOR LTD. IS A U.S. SEC REGISTERED INVESTMENT ADVISOR; BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**INTERACTIVE BROKERS SECURITIES JAPAN, INC. is under common control with the firm.**

<b>Business Address:</b>	4TH FLOOR, TEKKO KAIKAN 3-2-10 NIHONBASHI KAYABACHO, CHUO-KU TOKYO, JAPAN 103-002
<b>Effective Date:</b>	10/27/2011
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	JAPAN
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	INTERACTIVE BROKERS SECURITIES JAPAN, INC. IS A MEMBER OF THE JAPAN SECURITIES DEALERS ASSOCIATION; BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**Firm Operations****Organization Affiliates (continued)**

**INTERACTIVE BROKERS (INDIA) PRIVATE LIMITED is under common control with the firm.**

**Business Address:** A-605, DYNASTY BUSINESS PARK  
151 ANDHERI KURLA ROAD, ANDHERI (E)  
MUMBAI, INDIA 400059

**Effective Date:** 10/27/2011

**Foreign Entity:** Yes

**Country:** INDIA

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** INTERACTIVE BROKERS (INDIA) PVT. LTD IS A MEMBER OF THE SECURITIES AND EXCHANGE BOARD OF INDIA; BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**IBG LLC controls the firm.**

**Business Address:** TWO PICKWICK PLAZA  
GREENWICH, CT 06830

**Effective Date:** 10/27/2011

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** IBG LLC (FORMERLY KNOWN AS INTERACTIVE BROKERS GROUP LLC) IS A HOLDING COMPANY WHICH OWNS 99.99% OR MORE OF APPLICANTS AFFILIATES.

**TIMBER HILL CANADA COMPANY is under common control with the firm.**

**Business Address:** 56 MCGILL COLLEGE  
SUITE 2106  
MONTREAL, CANADA H3A 3J6

**Effective Date:** 12/18/2007

**Foreign Entity:** Yes

**Country:** CANADA

## Firm Operations



### Organization Affiliates (continued)

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** TIMBER HILL CANADA COMPANY IS AN UNLIMITED LIABILITY COMPANY REGISTERED WITH THE ONTARIO SECURITIES COMMISSION AND THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

#### TIMBER HILL AUSTRALIA PTY LIMITED is under common control with the firm.

**Business Address:** 56 PITT STREET  
LEVEL 25  
SYDNEY, AUSTRALIA NSW 2000

**Effective Date:** 12/18/2007

**Foreign Entity:** Yes

**Country:** SYDNEY

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** TIMBER HILL AUSTRALIA PTY LIMITED IS AN AUSTRALIAN CORPORATION REGISTERED WITH THE AUSTRALIAN SECURITIES INVESTMENTS COMMISSION. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

#### INTERACTIVE BROKERS (U.K.) LIMITED is under common control with the firm.

**Business Address:** LEVEL 20 HERON TOWER  
110 BISHOPSGATE  
LONDON, UNITED KINGDOM EC2 V8AE

**Effective Date:** 12/18/2007

**Foreign Entity:** Yes

**Country:** UNITED KINGDOM

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** INTERACTIVE BROKERS (U.K.) LIMITED IS A UNITED KINGDOM ORGANIZATION THAT HAS BEEN AUTHORIZED BY THE FINANCIAL CONDUCT AUTHORITY TO CONDUCT INVESTMENT BUSINESS IN THE U.K. AND OTHER EUROPEAN COUNTRIES. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

## Firm Operations



**Organization Affiliates (continued)** INTERACTIVE BROKERS (U.K.) LIMITED IS A UNITED KINGDOM ORGANIZATION THAT HAS BEEN AUTHORIZED BY THE FINANCIAL CONDUCT AUTHORITY TO CONDUCT INVESTMENT BUSINESS IN THE U.K. AND OTHER EUROPEAN COUNTRIES. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**INTERACTIVE BROKERS CANADA INC is under common control with the firm.**

**Business Address:** 1800 MCGILL COLLEGE  
SUITE 2106  
MONTREAL, CANADA H3A 3J6

**Effective Date:** 12/18/2007

**Foreign Entity:** Yes

**Country:** CANADA

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** INTERACTIVE BROKERS CANADA INC. IS A CORPORATION REGISTERED UNDER THE CANADA CORPORATIONS ACT, THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA AND VARIOUS CANADIAN PROVINCIAL SECURITIES COMMISSIONS. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**TIMBER HILL SECURITIES HONG KONG LIMITED is under common control with the firm.**

**Business Address:** TWO PACIFIC PLACE, SUITE 1512  
88 QUEENSWAY  
ADMIRALTY, HONG KONG

**Effective Date:** 12/18/2007

**Foreign Entity:** Yes

**Country:** HONG KONG

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** TIMBER HILL SECURITIES HONG KONG LIMITED IS A CORPORATION REGISTERED WITH THE SECURITIES AND FUTURES COMMISSION IN HONG KONG. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**TIMBER HILL EUROPE AG is under common control with the firm.**

**Business Address:** GOTTHARDSTRASSE 3 OST  
ZUG, SWITZERLAND CH 6300

**Firm Operations****Organization Affiliates (continued)**

**Business Address:** GOTTHARDSTRASSE 3 OST  
ZUG, SWITZERLAND CH-6300

**Effective Date:** 12/18/2007

**Foreign Entity:** Yes

**Country:** SWITZERLAND

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** TIMBER HILL EUROPE AG IS A CORPORATION REGISTERED TO DO BUSINESS IN SWITZERLAND. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**TIMBER HILL LLC is under common control with the firm.**

**CRD #:** 33319

**Business Address:** ONE PICKWICK PLAZA  
GREENWICH, CT 06830

**Effective Date:** 12/18/2007

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** TIMBER HILL IS A U.S. REGISTERED BROKER DEALER AND FUTURES COMMISSION MERCHANT. BOTH FIRMS ARE UNDER COMMON CONTROL THROUGH IBG LLC.

**INTERACTIVE BROKERS LLC controls the firm.**

**CRD #:** 36418

**Business Address:** ONE PICKWICK PLAZA  
2ND FLOOR  
GREENWICH, CT 06830

**Effective Date:** 12/18/2007

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

Report about FUTURETRADE INVESTMENTS CORP.

## Firm Operations



### Organization Affiliates (continued)

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** INTERACTIVE BROKERS LLC IS THE PARENT COMPANY OF INTERACTIVE BROKERS CORP.

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**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



## Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	<b>Pending</b>	<b>Final</b>	<b>On Appeal</b>
Regulatory Event	0	1	0



## Disclosure Event Details

### What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - o A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
  - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - § A "pending" event involves allegations that have not been proven or formally adjudicated.
    - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - § A "final" event has been concluded and its resolution is not subject to change.
  - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - § An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - § A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

### Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Current Status:** Final

**Allegations:** NASD MARKETPLACE RULE 6955(A), NASD CONDUCT RULES 2110 AND  
 Report about FUTURE TRADE INVESTMENTS CORP  
 3010 - RESPONDENT MEMBER FUTURETRADE SECURITIES, LLC





**Allegations:** NASD MARKETPLACE RULE 6955(A), NASD CONDUCT RULES 2110 AND 3010 - RESPONDENT MEMBER FUTURETRADE SECURITIES, LLC SUBMITTED REPORTS TO OATS THAT WERE NOT IN ELECTRONIC FORM. THE REPORTS WERE REJECTED BY THE OATS SYSTEM AND NOTICE OF SUCH WAS MADE AVAILABLE ON THE OATS WEBSITE. RESPONDENT MEMBER DID NOT CORRECT OR REPLACE ANY OF THE SUBJECT REPORTS, RESULTING IN AN INACCURATE AND/OR INCOMPLETE AUDIT TRAIL. RESPONDENT MEMBER FAILED TO SUBMIT REQUIRED INFORMATION TO OATS ON 28 BUSINESS DAYS. RESPONDENT MEMBER TRANSMITTED REPORTS TO OATS THAT CONTAINED INACCURATE, INCOMPLETE, OR IMPROPERLY FORMATTED DATA. RESPONDENT MEMBER'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO THE APPLICABLE SECURITIES LAWS NASD REGULATIONS, AND THE RULES OF NASD, CONCERNING OATS.

**Initiated By:** NASD

**Date Initiated:** 08/19/2004

**Docket/Case Number:** CMS040116

**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:**

**Other Sanction(s)/Relief Sought:**

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 08/19/2004

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Sanctions Ordered:** Censure  
Monetary/Fine \$35,000.00

**Other Sanctions Ordered:** UNDERTAKING - REVISE THE FIRM'S WRITTEN SUPERVISORY PROCEDURES WITH RESPECT TO THE MATTERS IN THIS AWC. WITHIN 30 BUSINESS DAYS OF ACCEPTANCE OF THIS AWC BY THE NAC, A REGISTERED PRINCIPAL OF THE FIRM SHALL SUBMIT TO NASD, A SIGNED, DATED LETTER, PROVIDING THE FOLLOWING INFORMATION: (1) A REFERENCE TO THIS MATTER; (2) A REPRESENTATION THAT THE FIRM HAS REVISED ITS WRITTEN SUPERVISORY PROCEDURES TO ADDRESS THE



UNDERTAKING - REVISE THE FIRM'S WRITTEN SUPERVISORY PROCEDURES WITH RESPECT TO THE MATTERS IN THIS AWC. WITHIN 30 BUSINESS DAYS OF ACCEPTANCE OF THIS AWC BY THE NAC, A REGISTERED PRINCIPAL OF THE FIRM SHALL SUBMIT TO NASD, A SIGNED, DATED LETTER, PROVIDING THE FOLLOWING INFORMATION: (1) A REFERENCE TO THIS MATTER; (2) A REPRESENTATION THAT THE FIRM HAS REVISED ITS WRITTEN SUPERVISORY PROCEDURES TO ADDRESS THE MATTERS IN THE AWC; AND (3) THE DATE THE REVISED PROCEDURES WERE IMPLEMENTED.

**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT MEMBER CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: CENSURED AND FINED \$35,000.00 (COMPOSED OF A \$30,000 FINE FOR THE OATS VIOLATIONS AND A \$5,000 FINE FOR THE SUPERVISORY PROCEDURE VIOLATIONS).

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<b>Reporting Source:</b>	Firm
<b>Current Status:</b>	Final
<b>Allegations:</b>	ALLEGED VIOLATIONS OF NASD MARKETPLACE RULE 6955(A), NASD CONDUCT RULES 2110 AND 3010.
<b>Initiated By:</b>	NASDR
<b>Date Initiated:</b>	08/19/2004
<b>Docket/Case Number:</b>	CMS040116
<b>Principal Product Type:</b>	Equity - OTC
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Censure
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	08/19/2004
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$35,000.00
<b>Other Sanctions Ordered:</b>	THE FIRM WAS REQUIRED TO UPDATE ITS WRITTEN SUPERVISORY PROCEDURES.
<b>Sanction Details:</b>	NONE
<b>Firm Statement</b>	THE FIRM ACCEPTD AND CONSENTED, WITHOUT ADMITTING OR DENYING THE UNDERLYING ALLEGATIONS TO A FINDING THAT IT DID NOT APPROPRIATELY SUBMIT AND/OR CORRECT OATS FILES IT TRANSMITTED TO THE NASD.

## End of Report



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