



Companies House

— for the record —

Company Name

INTERACTIVE BROKERS (U.K.)  
LIMITED

Company Type

Private Company Limited By  
Shares

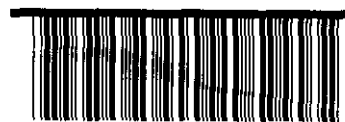
Company Number /

3958476

Information extracted from  
Companies House records on  
4th June 2005

## 363s Annual Return

- > Please check the details printed in blue on this statement.
- > If any details are wrong, strike them through and write the correct details in the "Amended details" column.
- > Please use black pen and write in capitals.



A41  
COMPANIES HOUSE

\*ARTNU601\*

0750  
10/06/05

### Section 1: Company details

Ref: 3958476/03/10

|   | Current details  | Amended details                                 |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
|---|--|---|-------------|------|------------------------------------|---|----------|-------------|--|--|--|--|--|--|--|--|--|--|--|--|
| > Registered Office Address<br><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>     | 10 Arthur Street<br>London<br>EC4R 9AY   | Address<br><br><br><br>UK Postcode    _ _ _ _ _ |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
| > Register of Members<br><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>           | <b>Address where the Register is held</b><br><br>At Registered Office  | Address<br><br><br><br>UK Postcode    _ _ _ _ _ |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
| > Register of Debenture Holders<br><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i> | Not Applicable   | Address<br><br><br><br>UK Postcode    _ _ _ _ _ |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
| > Principal Business Activities<br><i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i> | <table border="1"> <thead> <tr> <th>SIC Code</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>6712</td> <td>Security broking &amp; fund management</td> </tr> </tbody> </table> | SIC Code  | Description | 6712 | Security broking & fund management | <table border="1"> <thead> <tr> <th>SIC CODE</th> <th>Description</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table> | SIC CODE | Description |  |  |  |  |  |  |  |  |  |  |  |  |
| SIC Code  | Description  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
| 6712  | Security broking & fund management   |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
| SIC CODE  | Description  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
|   |  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
|   |  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
|   |  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
|   |  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
|   |  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
|   |  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |
| > Please enter additional principal activity code(s) in "Amended details" column. See notes for guidance for list of activity codes.                            |  |   |             |      |                                    |   |          |             |  |  |  |  |  |  |  |  |  |  |  |  |

435112/30

## Section 2: Details of Officers of the Company

|   | Current details   | Amended details   |
|---|---|---|
| <b>&gt; Company Secretary</b><br><i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i><br><br><br><br><br><i>Particulars of a new Company Secretary must be notified on form 288a.</i> | <b>Name</b><br>Paul J BRODY<br><br><b>Address</b><br>305 Weed Street<br>New Canaan<br>Ct 06840<br>Usa   | <b>Name</b><br><br><input type="checkbox"/> Tick this box if this address is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985.<br><b>Address</b><br><br><br><br>UK Postcode    _ _ _ _ _<br>Date of change    _ _ / _ _ / _ _ _ _<br>Date Paul J BRODY<br>ceased to be secretary (if applicable)<br>_ _ / _ _ / _ _ _ _  |
| <b>&gt; Director</b><br><i>If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.</i><br><br><br><br><br><i>Particulars of a new Director must be notified on form 288a.</i>                   | <b>Name</b><br>Yograj AGGARWAL<br><br><b>Address</b><br>48 Kelmscott Road<br>Birmingham<br>West Midlands<br>B17 8QN<br><br><b>Date of birth</b> 23/02/1957<br><br><b>Nationality</b> British<br><br><b>Occupation</b> Compliance Director | <b>Name</b><br><br><input type="checkbox"/> Tick this box if this address is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985.<br><b>Address</b><br><br><br><br>UK Postcode    _ _ _ _ _<br>Date of birth      _ _ / _ _ / _ _ _ _<br>Nationality        _____<br>Occupation        _____<br>Date of change    _ _ / _ _ / _ _ _ _<br>Date Yograj AGGARWAL ceased to be<br>director (if applicable)<br>_ _ / _ _ / _ _ _ _ |

### Amended details

Name \_\_\_\_\_

Jonathan CHAIT

**Address**

**Date of birth** 15/03/1961

**Nationality** Usa Citizen

**Occupation** Director

Name \_\_\_\_\_

☐ Tick this box if this address is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985.

Address

UK Postcode \_\_\_\_\_

Date of birth    \_ \_ / \_ \_ / \_ \_ \_ \_

Nationality \_\_\_\_\_

Occupation \_\_\_\_\_

Date of change    /    /   

Date Jonathan CHAIT ceased to be director (if applicable)

— 5 — / — 6 — / — 7 — — 8 —

Name \_\_\_\_\_

**Name**  
Gerald PEREZ

### Address

Vestry Court 5 Monck Street  
London  
SW1P 2BW

**Date of birth** 13/10/1963

Nationality Us Citizen

**Occupation** Managing Director

Name \_\_\_\_\_

☐ Tick this box if this address is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985.

Address

UK Postcode    \_ \_ \_ \_ \_

Date of birth      \_ \_ / \_ \_ / \_ \_ \_ \_

Nationality \_\_\_\_\_

Occupation \_\_\_\_\_

Date of change    /    /   

Date Gerald PEREZ ceased to be director (if applicable)

\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

> **Director**  
*If any of the details for this person are wrong, strike them through and fill in the correct details in the "Amended details" column.*

*Particulars of a new Director must be notified on form 288a.*

| Current details   | Amended details   |
|---|---|
| <b>Name</b><br>Thomas PETERFFY  | <b>Name</b><br><br>   |
| <b>Address</b><br>4 Sound Shore Drive<br>Greenwich Ct<br>Usa<br>06830 | <input type="checkbox"/> Tick this box if this address is a service address for the beneficiary of a Confidentiality Order granted under section 723B of the Companies Act 1985.<br><br><b>Address</b><br><br><br>  |
| <b>Date of birth</b> 30/09/1944                                       | <b>UK Postcode</b> _ _ _ _ _<br><b>Date of birth</b> _ _ / _ _ / _ _ _ _<br><b>Nationality</b> _ _ _ _ _<br><b>Occupation</b> _ _ _ _ _<br><br><b>Date of change</b> _ _ / _ _ / _ _ _ _<br><b>Date</b> Thomas PETERFFY ceased to be director (if applicable) _ _ / _ _ / _ _ _ _ |
| <b>Nationality</b> American   |   |
| <b>Occupation</b> Chairman  |   |

## Section 3: Share Capital

|  | Current details                                 | Amended details                                 |
|--|---|---|
| <b>&gt; Issued Share Capital</b>   | <b>Class of share</b>                           | <b>Class of share</b>                           |
| <i>This table shows the total number of shares that have been issued by your company and their Nominal Value. If any of the details are wrong, please fill in the correct details.</i>   | Ordinary A                                      |   |
|  | <b>Nominal value of each share</b>              | <b>Nominal value of each share</b>              |
|  | £1.00   |   |
|  | <b>Number of shares issued</b>                  | <b>Number of shares issued</b>                  |
|  | 700   |   |
|  | <b>Aggregate Nominal Value of issued shares</b> | <b>Aggregate Nominal Value of issued shares</b> |
|  | £700.00   |   |
|  | <b>Class of share</b>                           | <b>Class of share</b>                           |
|  | Ordinary B                                      |   |
|  | <b>Nominal value of each share</b>              | <b>Nominal value of each share</b>              |
| €  | £1.00   | £ 1.00  |
|  | <b>Number of shares issued</b>                  | <b>Number of shares issued</b>                  |
|  | 125,000   |   |
|  | <b>Aggregate Nominal Value of issued shares</b> | <b>Aggregate Nominal Value of issued shares</b> |
| €  | £125,000.00                                     | £ 125,000                                       |
| <b>&gt; Total shares issued and value</b>  | <b>Total number of shares issued</b>            | <b>Total number of shares issued</b>            |
| <i>If any of the details are wrong, strike them through and fill in the correct details in the "Amended details" column.</i>   | 125,700   |   |
|  | <b>Total Nominal value of shares issued</b>     | <b>Total Nominal value of shares issued</b>     |
|  | <del>£125,700.00</del>                          | <del>£ 700</del>                                |
|  | £ 700   | £ 700   |
|  | £ 125,000                                       | £ 125,000                                       |
| <b>&gt; At the date of this Annual Return, if the company has altered or changed its share capital in any way or allotted new shares, please refer to the guidance notes for details of the appropriate form that should be sent with this Annual Return. Annual return guidance notes are available on the Companies House web site at <a href="http://www.companieshouse.gov.uk">www.companieshouse.gov.uk</a> or by ringing 0870 3333636.</b> |   |   |

Section 4: Details of Shareholders

- > The details we hold on your company's shareholders and their shareholdings are printed below. These are based on your last Annual Return.
- > If any details have changed, or if any shares have been transferred, please fill in the details in the "Amended details" or "Shares transferred" column.
- > Please give details of any other shareholders in Section 5.

| Current details |   | Amended details | Shares transferred   |        |                  |
|-----------------|---|-----------------|--|--------|------------------|
| >               | Shareholder Name  | Name            | Shares transferred by<br>INTERACTIVE BROCKERS<br>GROUP LLC |        |                  |
|                 | INTERACTIVE BROCKERS<br>GROUP LLC                                     |                 |  |        |                  |
|                 | Address   | Address         |  |        |                  |
|                 | 2 Pickwick Plaza<br>Greenwich Ct<br>06830<br>United States Of America |                 |  |        |                  |
|                 | Shares held   | UK Postcode     |  |        |                  |
|                 | Class   | Shares held     | Class  | Number | Date of transfer |
|                 | Ordinary B  | Class           |  |        |                  |
|                 | Ordinary A  | Number          |  |        |                  |
|                 | 125000  |                 |  |        |                  |
|                 | 700   |                 |  |        |                  |

**Section 5: Details of Other Shareholders**

- > Please fill in details of any persons or corporate bodies who are shareholders of the company at the date of this return, but whose details are not printed in Section 4.
- > Also, provide the details of any persons who became but have ceased to be shareholders of the company since the date of the last annual return.
- > For jointly held shares please list those joint shareholders consecutively on the form. If a joint shareholder also holds shares in their own right, list that holding separately.
- > Please copy this page if there is not enough space to enter all the company's other shareholders.

| Shareholders details  | Class and number of shares or amount of stock held | Class and number of shares or amount of stock transferred (If appropriate) | Date of registration of transfer (If appropriate) |
|---|--|--|---|
| Name<br>_____<br>Address<br>_____<br>_____<br>_____<br>UK Postcode    _ _ _ _ _ |  |  |   |
| Name<br>_____<br>Address<br>_____<br>_____<br>_____<br>UK Postcode    _ _ _ _ _ |  |  |   |
| Name<br>_____<br>Address<br>_____<br>_____<br>_____<br>UK Postcode    _ _ _ _ _ |  |  |   |
| Name<br>_____<br>Address<br>_____<br>_____<br>_____<br>UK Postcode    _ _ _ _ _ |  |  |   |



**Companies House**  
for the record

## 363s Annual Return Declaration

- > When you have checked all the sections of this form, please complete this page and sign the declaration below.
- > If you want to change the made up date of this annual return, please complete 2 below.

### 1. Declaration

- ☐ I confirm that the details in this annual return are correct as at the made-up-date (shown at 2 below). I enclose the filing fee of £30.

Signature *J. Aggar*  
(Director / Secretary)

Date 07 / 06 / 2005

*This date must not be earlier than the return date at 2 below*

#### **What to do now**

*Complete this page then send the whole of the Annual Return and the declaration to the address shown at 4 below.*

### 2. Date of this return

- ☐ This AR is made up to 28/3/2005 If you are making this return up to an earlier date, please give the date here

     /      /     

*Note: The form must be delivered to CH within 28 days of this date*

### 3. Date of next return

- ☐ If you wish to change your next return to a date earlier than **28th March 2006** please give the new date here:

     /      /     

### 4. Where to send this form

- ☐ Please return this form to:

Registrar of Companies  
Companies House  
Crown Way  
Cardiff CF14 3UZ

OR

For members of the Hays Document  
Exchange service  
DX 33050 Cardiff

***Have you enclosed the filing fee with the company number written on the reverse of the cheque?***

### Contact Address

You do not have to give any contact information below, but if you do, it will help Companies House to contact you if there is a query on the form. The contact information that you give will be visible to searchers of the public record.

Contact Name

Telephone number *inc code*

Address

DX number *if applicable*

DX exchange

Postcode