

# Interactive Brokers (U.K.) Limited

Reference number: 208159

This firm is authorised for **specific activities and product types**. It's important to check the full record for what regulated activities this firm has permission to do.

## ▲ **Some activities by this firm may not be protected**

This firm is shown on the Register because it is now, or was previously, approved by the FCA (or relevant regulatory body). As a result, you may be able to complain about this firm to the Financial Ombudsman Service. If this firm goes out of business owing you money you may be able to claim compensation from the Financial Services Compensation Scheme (FSCS). However, this is not always the case and these organisations may not cover some of this firm's activities. Any cryptoasset services carried out by this firm are unlikely to be protected if something goes wrong. If you would like to check what is and what isn't covered, you can ask this firm to confirm this to you in writing. There's more information on the **Financial Ombudsman Service's website** (<https://www.financial-ombudsman.org.uk/consumers/complaints-can-help/>), and the **FSCS's website** (<https://www.fscs.org.uk/what-we-cover/>), about the kind of complaints and claims they can help with. The final decision on whether or not they will consider any complaint or claim is for the Financial Ombudsman Service or the FSCS.

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## Notices

### **Clones of this firm**

Individuals are using the details of this firm to suggest they work for the genuine firm. We call this a **cloned firm** and it is typically part of a scam.

To contact the genuine firm you should call the switchboard number listed on the Register - and contact us if it is not provided. Find out more about the clone firm(s):

#### **Interactive Brokers (clone of an FCA Authorised Firm)**

Added to the FS Register on 30 Jul 2021.

#### **Interactive Brokers / Polar Capital (Clone of FCA Authorised Firm)**

Added to the FS Register on 07 Jul 2023.

#### **Immediate Matrix (Clone of FCA Authorised Firm and Previously Authorised EEA Firm)**

Added to the FS Register on 09 Feb 2024.

#### **Broker (Clone of FCA Authorised Firm)**

Added to the FS Register on 20 May 2024.

#### **xtradecons.com (Clone of FCA Authorised Firm)**

Added to the FS Register on 20 May 2024.

#### **IBL Markets (clone of FCA authorised firm)**

Added to the FS Register on 25 Aug 2016.

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## Who is this firm?

### Firm details

Check details about this firm's place of business, contact details, etc.

**The 'firm details' displayed on the register have been confirmed as correct.**

Firms are required to confirm that the information shown is correct at least annually.

### Address

Interactive Brokers (UK) Ltd  
20 Fenchurch Street  
London  
City Of London  
EC3M 3BY  
UNITED KINGDOM

### Phone

+442077105630

### Email

complianceuk@interactivebrokers.co.uk

### Website

[www.interactivebrokers.co.uk](http://www.interactivebrokers.co.uk)

### Firm reference number

208159

### Registered company number

[03958476](#)

### Firm status

Check this firm's status and any additional regulatory information.

### Status

Authorised  
Since 06/02/2002

This firm is authorised for specific activities and product types. It's important to check the full record for what regulated activities this firm has permission to do.

### Type

Regulated

### Money Laundering Regulations Status

MLRs Registered  
Since 12/06/2023

## Trading names



This firm currently trades under 1 trading names.

## Current names

Showing 1 result out of 1

Name	Type of name (Registered, Trading)	Effective from
<b>Interactive Brokers (U.K.) Limited</b>	<b>Registered</b>	<b>04 Jan 2023</b>

## Previous names

Showing 1 result out of 1

Name	Type of name (Registered, Trading)	Effective from	Effective to
<b>Interactive Brokers (UK) Ltd</b>	<b>Registered</b>	<b>03 Feb 2014</b>	<b>04 Jan 2023</b>

## How are customers protected?

### Protections and support



Understand the protections you have when dealing with this firm, and how to make a complaint.

#### Customer protections and the Register

The Register tells you the activities the FCA has given this firm permission to carry out. For crypto asset firms, the register tells you if the firm is registered under the Money Laundering Regulations. The Register can only give you general information about the help from other organisations if something goes wrong when dealing with this firm. The Register does not detail the activities that the firm undertakes that do not require FCA approval.

The Financial Ombudsman Service and the Financial Services Compensation Scheme (FSCS) are the main organisations who may be able to help if something goes wrong when dealing with this firm. The Financial Ombudsman Service may be able to resolve your complaint against this firm if the firm fails to deal with it properly. The FSCS may be able to provide compensation if this firm goes out of business owing you money. The protection provided by the Financial Ombudsman Service and FSCS depends on the activity the firm has permission to carry out. As most cryptoassets are not specified investments under the Financial Services and Markets Act 2000 (FSMA), it is unlikely that customers will have access to the Financial Ombudsman or the FSCS.

There are also other conditions, such as needing to bring a complaint or claim within a set time period, that affect any protection you may have. The final decision to consider any specific complaint or claim is determined by the Financial Ombudsman Service or the FSCS. You should always check which activities are covered by these organisations before doing business with this firm.



## The Financial Ombudsman Service may be able to consider a complaint about this firm

If this firm fails to deal with your complaint properly, you can ask the Financial Ombudsman Service to help. But it may not be able to consider complaints about all the firm's activities. The Financial Ombudsman Service is unlikely to be able to consider a complaint about cryptoasset services. It has the final decision as to whether or not it will consider a specific complaint.

You can complain to the Financial Ombudsman Service about most regulated activities and some unregulated activities. The **Financial Ombudsman Service's website (<https://www.financial-ombudsman.org.uk/>)** has information about the type of activities you can complain about.

## The Financial Services Compensation Scheme may be able to consider a claim against this firm if it fails

If this firm goes out of business owing you money, you can ask the Financial Services Compensation Scheme (FSCS) to help. FSCS protection only applies to claims in connection with some regulated activities. FSCS is unlikely to be able to consider a claim about cryptoasset services. The FSCS has the final decision as to whether or not it will consider a specific complaint. The **FSCS website (<https://www.fscs.org.uk/>)** gives you information on what it protects.

## If you have a complaint about a firm

If you are concerned you've been scammed: consumers in England, Wales or Northern Ireland should immediately contact **the FCA (<https://fca.org.uk/contact>)** and **Action Fraud (<https://www.actionfraud.police.uk/>)**; consumers in Scotland should immediately contact **the FCA (<https://fca.org.uk/contact>)** and **Police Scotland (<https://www.scotland.police.uk>)**.

### Complain to the firm

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Interactive Brokers (UK) Ltd, 20 Fenchurch Street  
London  
City Of London  
EC3M 3BY  
UNITED KINGDOM

+442077105630

ibukcomplaints@interactivebrokers.co.uk

[www.interactivebrokers.co.uk](http://www.interactivebrokers.co.uk)

### Report to the FCA

If you have concerns about a firm listed on the Register, **contact the FCA directly (<https://www.fca.org.uk/contact>)**.



If you suspect you have been contacted by an unauthorised firm or individual carrying out an FCA-regulated activity, report it to us using **[this form](https://www.fca.org.uk/report-scam-unauthorised-firm-individual)**. (<https://www.fca.org.uk/report-scam-unauthorised-firm-individual>)

## Help using the Register

If you have any concerns or difficulties using the Register you can contact the FCA and we will talk you through the record and answer any queries you may have.

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## What can this firm do in the UK?

### Restrictions

Check the requirements placed on this firm. Requirements are restrictions governing the regulated activities that this firm can do.

### Client Money

This firm can hold and can control client money

Specific requirements may change this firm's ability to hold or control client money – see below for details.

### Financial promotions

Check if this firm has permission to approve financial promotions and what these permissions are.

#### What this information means

The law restricts who can promote financial services and products ('communicate financial promotions'). Firms or individuals ('persons') have to be authorised to do this, unless an authorised person has already approved the financial promotion or an exemption applies. This firm is an authorised person. This means it may be able to approve financial promotions for unauthorised persons in some circumstances. This section sets out the types of financial promotions this firm can approve.

Unless there is a **requirement** on this firm that says otherwise, then:

This firm can approve its own financial promotions as well as those of members of its wider group and, in certain circumstances, those of its appointed representatives.

If you have concerns about a financial promotion or would like to check that an authorised person has approved a financial promotion, please contact the authorised person who communicated or approved it.

If the financial promotion came from an unauthorised person, then the promotion may show the name of the



authorised person who approved it or that firm's reference number (FRN).

Please note The Financial Ombudsman Service is unlikely to consider a complaint about the approval of a financial promotion. The Financial Services Compensation Scheme is unlikely to be able to consider claims that are solely about the communication or approval of financial promotions.

If you're worried or have a complaint about the firm, please check '[How are customers protected?](#)' section.

## Activities and services

Learn about the regulated activities that this firm has FCA and/or PRA permission to provide and other information related to specific non-regulated activities and services that may impact your business with a firm.

### What to do with this information

These regulated activities are grouped into categories. You should check the specific activities within these categories relate to the business you want to do with the firm, not just the categories.

This firm is shown on the Register because it is now, or was previously, approved by the FCA (or relevant regulatory body). As a result, you may be able to complain about this firm to the Financial Ombudsman Service. If this firm goes out of business owing you money you may be able to claim compensation from the Financial Services Compensation Scheme (FSCS). However, this is not always the case and these organisations may not cover some of this firm's activities. If you would like to check what is and what isn't covered, you can ask this firm to confirm this to you in writing. There's more information on the Financial Ombudsman Service's website and the FSCS's website about the kind of complaints and claims they can help with. The final decision on whether or not they will consider any complaint or claim is for the Financial Ombudsman Service or the FSCS.

Once you have checked this page, you should contact the firm via their main contact details and ask them to confirm their permitted regulated activities.

If you don't understand whether the permissions cover the business you want to do, you should **contact the FCA.** (<https://www.fca.org.uk/contact>)

## Investments

### Arranging (bringing about) deals in investments

#### LIMITATIONS

## Customer Type

Eligible Counterparty

Professional

Retail (Investment)

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## Investment Type

Alternative Debenture

Certificates representing certain security

Commodity Future

Commodity option and option on commodity future

Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)

Debenture

Future (excluding a commodity future and a rolling spot forex contract)

Government and public security

Option (excluding a commodity option and an option on a commodity future)

Rights to or interests in investments (Contractually Based Investments)

Rights to or interests in investments (Security)

Rolling spot forex contract

Share

Unit

Warrant

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## Limitation

**Rights to or interests in (both).** : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

## Arranging safeguarding and administration of assets



### LIMITATIONS

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## Customer Type

Eligible Counterparty

Professional

Retail (Investment)

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## Investment Type



Alternative Debenture  
 Certificates representing certain security  
 Commodity Future  
 Commodity option and option on commodity future  
 Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)  
 Debenture  
 Future (excluding a commodity future and a rolling spot forex contract)  
 Government and public security  
 Option (excluding a commodity option and an option on a commodity future)  
 Rights to or interests in investments (Contractually Based Investments)  
 Rights to or interests in investments (Security)  
 Rolling spot forex contract  
 Share  
 Unit  
 Warrant

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## Limitation

**Rights to or interests in (both).** : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

## Dealing in investments as agent

### LIMITATIONS




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## Customer Type

Eligible Counterparty  
 Professional  
 Retail (Investment)

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## Investment Type

Alternative Debenture  
 Certificates representing certain security  
 Commodity Future  
 Commodity option and option on commodity future  
 Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)  
 Debenture  
 Future (excluding a commodity future and a rolling spot forex contract)  
 Government and public security  
 Option (excluding a commodity option and an option on a commodity future)  
 Rights to or interests in investments (Contractually Based Investments)



Rights to or interests in investments (Security)

Rolling spot forex contract

Share

Unit

Warrant

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## Limitation

**Rights to or interests in (both).** : Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

## Dealing in investments as principal

### LIMITATIONS




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## Customer Type

Eligible Counterparty

Professional

Retail (Investment)

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## Investment Type

Alternative Debenture

Certificates representing certain security

Commodity Future

Commodity option and option on commodity future

Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)

Debenture

Future (excluding a commodity future and a rolling spot forex contract)

Government and public security

Option (excluding a commodity option and an option on a commodity future)

Rights to or interests in investments (Contractually Based Investments)

Rights to or interests in investments (Security)

Rolling spot forex contract

Share

Unit

Warrant

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## Limitation

**Rights/interests - cont ltd to cont based inv** : Investment activity in "rights to or interests in investments (contractually



based)" is limited to investment types granted for this activity.

## Making arrangements with a view to transactions in investments



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### Customer Type

Eligible Counterparty  
Professional  
Retail (Investment)

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### Investment Type

Alternative Debenture  
Certificates representing certain security  
Commodity Future  
Commodity option and option on commodity future  
Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)  
Debenture  
Future (excluding a commodity future and a rolling spot forex contract)  
Option (excluding a commodity option and an option on a commodity future)  
Rights to or interests in investments (Contractually Based Investments)  
Rights to or interests in investments (Security)  
Rolling spot forex contract  
Share  
Unit  
Warrant

## Safeguarding and administration of assets (without arranging)



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### Customer Type

Eligible Counterparty  
Professional  
Retail (Investment)

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### Investment Type

Alternative Debenture  
Certificates representing certain security



Commodity Future  
 Commodity option and option on commodity future  
 Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)  
 Debenture  
 Future (excluding a commodity future and a rolling spot forex contract)  
 Government and public security  
 Option (excluding a commodity option and an option on a commodity future)  
 Rights to or interests in investments (Contractually Based Investments)  
 Rights to or interests in investments (Security)  
 Rolling spot forex contract  
 Share  
 Unit  
 Warrant

## Sending dematerialised instructions



### Customer Type

Eligible Counterparty  
 Professional  
 Retail (Investment)

### Investment Type

Alternative Debenture  
 Certificates representing certain security  
 Debenture  
 Government and public security  
 Option (excluding a commodity option and an option on a commodity future)  
 Rights to or interests in investments (Contractually Based Investments)  
 Rights to or interests in investments (Security)  
 Share  
 Unit  
 Warrant

## Other activities



### Agreeing to carry on a regulated activity



LIMITATIONS

### Customer Type



Eligible Counterparty  
Professional  
Retail (Investment)

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## Limitation

**Limited to carry on regulated activities.** : The firm can only agree to carry on the regulated activities specified in this Notice.

### Cryptoasset

A firm that carries out specific cryptoasset activities under the Money Laundering Regulations.

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## Who is involved with activities at this firm?

### Individuals

Individuals currently and previously involved in regulated activities at this firm.

You should check the details of any individual that you want to carry out regulated activities on your behalf, especially their current roles and any disciplinary or regulatory action on their record.

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### Current

Showing 8 results out of 8

Name	Individual reference number	Status	Role
<b><u>Colin Harrison</u></b>	<b>CXH06853</b>	<b>Approved by regulator</b>	<b>SMF16 Compliance Oversight</b> <b>SMF17 Money Laundering Reporting Officer (MLRO)</b>
<b><u>Gerald Perez</u></b>	<b>GXP01139</b>	<b>Approved by regulator</b>	<b>SMF1 Chief Executive</b>
<b><u>Bryn Waslin</u></b>	<b>BXW01470</b>	<b>Approved by regulator</b>	<b>SMF2 Chief Finance</b>
<b><u>Earl Harold Nemser</u></b>	<b>EHN01005</b>	<b>Approved by regulator</b>	<b>SMF9 Chair of the Governing Body</b> <b>SMF12 Chair of the Remuneration Committee</b> <b>SMF13 Chair of the Nominations Committee</b>



Name	Individual reference number	Status	Role
<b><u>Jonathan Chait</u></b>	<b>JXC01424</b>	<b>Approved by regulator</b>	<b>SMF10 Chair of the Risk Committee</b>
<b><u>Maria Jose Dieguez Rodriguez</u></b>	<b>MXD00462</b>	<b>Approved by regulator</b>	<b>SMF18 Other Overall Responsibility</b>
<b><u>Riccardo Luciani</u></b>	<b>RXL00446</b>	<b>Approved by regulator</b>	<b>SMF24 Chief Operations</b>
<b><u>Dobrin Banov</u></b>	<b>DXB01088</b>	<b>Approved by regulator</b>	<b>SMF24 Chief Operations</b>

## Previous

Showing 10 results out of 20

Name	Individual reference number	Role
<b><u>William George Sirett</u></b>	<b>WGS01038</b>	<b>CF1 Director</b> <b>SMF3 Executive Director</b> <b>SMF24 Chief Operations</b>
<b><u>Colin Harrison</u></b>	<b>CXH06853</b>	<b>CF10 Compliance Oversight</b> <b>CF11 Money Laundering Reporting</b>
<b><u>Jonathan Chait</u></b>	<b>JXC01424</b>	<b>CF1 Director</b> <b>SMF3 Executive Director</b> <b>SMF24 Chief Operations</b>
<b><u>Thomas Peterffy</u></b>	<b>TXP01068</b>	<b>CF1 Director</b> <b>CF2 Non Executive Director</b> <b>SMF9 Chair of the Governing Body</b> <b>SMF12 Chair of the Remuneration Committee</b>



Name	Individual reference number	Role
<b><u>Paul Jonathan Brody</u></b>	<b>PJB01251</b>	<b>CF2 Non Executive Director</b> <b>SMF10 Chair of the Risk Committee</b>
<b><u>James Bradie</u></b>	<b>JXB00754</b>	<b>[FCA CF] Significant management</b> <b>SMF3 Executive Director</b> <b>SMF24 Chief Operations</b>
<b><u>Nicolas Louis PINON</u></b>	<b>NXP00222</b>	<b>SMF4 Chief Risk</b>
<b><u>Graeme Farrell</u></b>	<b>GXF00163</b>	<b>SMF3 Executive Director</b> <b>SMF4 Chief Risk</b>
<b><u>Gerald Perez</u></b>	<b>GXP01139</b>	<b>CF1 Director</b> <b>CF3 Chief Executive</b> <b>CF8 Apportionment and Oversight</b> <b>CF10a CASS Oversight function</b> <b>CF21 Investment Adviser</b> <b>CF30 Customer</b>
<b><u>Bryn Waslin</u></b>	<b>BXW01470</b>	<b>CF1 Director</b> <b>CF10a CASS Oversight function</b>

## What can this firm do in the European Economic Area?

### Passport out

Regulated activities this firm can offer in other EEA countries.

A 'passport' enables this authorised firm to provide financial products or services, set up a base, or carry on its permitted activities in Gibraltar.



Select country

GIBRALTAR

**Country**

GIBRALTAR

**Directive**

Markets in Financial Instruments Directive

**Passport type**

Service

A(1) Reception and transmission of orders in relation to one or more financial instruments

**Investment Types**

A(2) Execution of orders on behalf of clients

**Investment Types**

B(1) Safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management

**Investment Types**

B(2) Granting credits or loans to an investor to allow him to carry out a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction

**Investment Types**

B(4) Foreign exchange services where these are connected to the provision of investment services

**Investment Types**

B(7) Investment services / activities / ancillary services of the type included in Sec. A/ B of Annex 1 related to the underlying of derivatives included under Sec. C - 5, 6, 7 and 10 - where connected to provision of investment or ancillary services

**Investment Types**

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**Who is this firm connected to?****Regulators**

Current and former regulators of this firm.

This table shows the former and current regulators of this firm, in the UK and in other European Economic Area (EEA) countries.

Showing 2 results out of 2

Regulator	Effective from	Effective to
<b>Financial Conduct Authority</b>	<b>01 Apr 2013</b>	



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Regulator	Effective from	Effective to
<b>Financial Services Authority</b>	<b>06 Feb 2002</b>	<b>31 Mar 2013</b>

