Form X-17A-5 FOCUS Report Part II Cover Page

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
FOCUS REPORT (FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT)
Part II 11

(Please read instructions before preparing Form)

2021-12-23 02:30PM EST
Status: Accepted

OMB Approval
OMB Number: 3235-0123, 3235-0749
Estimated average burden hours per response: 12.00 (3235-0123) 16.00 (3235-0749)

This report is being filed by a/an:

1)	Broker-dealer not registered as an SBSD or MSBSP (stand-alone broker-dealer)	X 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 X 12007 Non-U.S. person 12008

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

1)	Rule 17a-5(a)	X 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
INTERACTIVE BROKERS LLC 13

SEC FILE NO.
8-47257 14

ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)
PICKWICK PLAZA 20
(No. and Street)
GREENWICH 21 (City) CT 22 (State/Province) 06830 23 (Zip Code)
United States of America 12009 (Country)

FIRM ID NO.
36418 15

FOR PERIOD BEGINNING (MM/DD/YY)
11/01/2021 24

AND ENDING (MM/DD/YY)
11/30/2021 25

NAME OF PERSON TO CONTACT IN REGARD TO THIS REPORT
James Menicucci 30

EMAIL ADDRESS
jmenicucci@interactivebrokers.com 12010

(AREA CODE) TELEPHONE NO.
(203) 618-8085 31

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

	32		33
	34		35
	36		37
	38		39

OFFICIAL USE

Is this report consolidated or unconsolidated? Consolidated 198 Unconsolidated X 199

Does respondent carry its own customer or security-based swap customer accounts? Yes X 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) _____ Principal Executive Officer or Comparable Officer	_____ 12011 Principal Executive Officer or Comparable Officer
2) _____ Principal Financial Officer or Comparable Officer	James Menicucci 12012 Principal Financial Officer or Comparable Officer
3) _____ Principal Operations Officer or Comparable Officer	_____ 12013 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
As of: 11/30/2021

Persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number

FOCUS Report Part II

COMPUTATION OF NET CAPITAL (FILER NOT AUTHORIZED TO USE MODELS)

2021-12-23 02:30PM EST
Status: Accepted

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				$ 6,352,797,577	3480
2. Deduct ownership equity not allowable for net capital				$(0)	3490
3. Total ownership equity qualified for net capital				$ 6,352,797,577	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				$ 6,352,797,577	3530
6. Deductions and/or charges					
A. Total nonallowable assets from Statement of Financial Condition	$ 432,715,363	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	$ 7,403,940	3570			
1. number of items	202	3450			
C. Aged short security differences-less reserve of	$ 0	3460	$ 0	3580	
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	$ 303,449,360	3610			
G. Deductions for accounts carried under Rules 15c3-1(a)(6) and (c)(2)(x)	$ 0	3615			
H. Total deductions and/or charges				$(743,568,663)	3620
7. Other additions and/or allowable credits (list)				$ 0	3630
8. Tentative net capital (net capital before haircuts)				$ 5,609,228,914	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	$ 0	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	$	12028			
9. Other securities	$ 0	3734			
D. Undue concentration	$ 0	3650			
E. Other (List:)	$ 2,570,132	3736			
10. Haircuts on security-based swaps	$	12053			
11. Haircuts on swaps	$	12054			
12. Total haircuts (sum of Lines 9A-9E, 10, and 11)				$(2,570,132)	3740
13. Net capital (Line 8 minus Line 12)				$ 5,606,658,782	3750

Name of Firm: INTERACTIVE BROKERS LLC

As of: 11/30/2021

Calculation of Excess Tentative Net Capital (If Applicable)

1. Tentative net capital	$	5,609,228,914	3640
2. Minimum tentative net capital requirement	$		12055
3. Excess tentative net capital (difference between Lines 1 and 2)	$	5,609,228,914	12056
4. Tentative net capital in excess of 120% of minimum tentative net capital requirement reported on Line 2	$	0	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	$	1,064,294,710	3870
i. Minimum CFTC net capital requirement (if applicable) $ 174,534,071 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)	$	1,064,294,710	12060
6. Fixed-dollar minimum net capital requirement	$	174,534,070	3880
7. Minimum net capital requirement (greater of Lines 5E and 6)	$	1,064,294,710	3760
8. Excess net capital (Item 3750 minus Item 3760)	$	4,542,364,072	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	$	4,329,505,130	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	$	2,945,922,008	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 after 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)	%	10.54	3851
17. Percentage of net capital, after anticipated capital withdrawals, to aggregate debits (Item 3750 less Item 4880, divided by Item 4470)	%	10.54	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

FOCUS Report Part II

COMPUTATION FOR DETERMINATION OF CUSTOMER RESERVE REQUIREMENTS

2021-12-23 02:30PM EST
Status: Accepted

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)	$	47,893,909,047	4340	
2. Monies borrowed collateralized by securities carried for the accounts of customers (see Note B)	$	6,849,819,979	4350	
3. Monies payable against customers' securities loaned (see Note C)	$	7,190,721,106	4360	
4. Customers' securities failed to receive (see Note D)	$	117,623,450	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	$	10,042,515	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: _____)	$	75,976,994	4425	
11. TOTAL CREDITS (sum of Lines 1-10)				$ 62,138,093,091 4430

DEBIT BALANCES

12. ** Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (see Note E)	$	42,845,043,148	4440	
13. Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver	$	3,516,126,242	4450	
14. Failed to deliver of customers' securities not older than 30 calendar days	$	3,876,229	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)	$	6,849,689,857	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)				$ 53,214,735,476 4470
19. ** Less 3% (for alternative method only – see Rule 15c3-1(a)(1)(ii)) (3% x Line Item 4470)				$(1,596,442,064) 4471
20. **TOTAL DEBITS (Line 18 less Line 19)				$ 51,618,293,412 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)	$ 10,519,799,679	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 $ 8,375,650,513 4505 value of qualified securities, at end of reporting period	$ 10,175,629,930	4510
25. Amount of deposit (or withdrawal) including $ 646,473,675 4515 value of qualified securities	$ 663,721,563	4520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including $ 9,022,124,188 4525 value of qualified securities	$ 10,839,351,493	4530
27. Date of deposit (MM/DD/YY)	12/01/21	4540

FREQUENCY OF COMPUTATION

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.

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

Name of Firm: INTERACTIVE BROKERS LLC

As of: 11/30/2021

SEGREGATION REQUIREMENTS

1. Net ledger balance			
A. Cash		$ 7,707,135,880	7010
B. Securities (at market)		$ 0	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		$ (140,839,119)	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market		$ 548,914,290	7032
B. Deduct market value of open option contracts granted (sold) on a contract market		$ (561,564,281)	7033
4. Net equity (deficit) (total of Lines 1, 2, and 3)		$ 7,553,646,770	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	$ 1,062,027 7045		
Less: amount offset by customer owned securities	$ (0) 7047	$ 1,062,027	7050
6. Amount required to be segregated (add lines 4 and 5)		$ 7,554,708,797	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		$ 1,627,049,686	7070
B. Securities representing investments of customers' funds (at market)		$ 3,521,250,369	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		$ 1,998,469,446	7100
B. Securities representing investments of customers' funds (at market)		$ 682,463,614	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		$ (43,239,357)	7130
10. Exchange traded options			
A. Value of open long option contracts		$ 548,914,289	7132
B. Value of open short option contracts		$ (561,564,280)	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)		$ 7,773,343,767	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		$ 218,634,970	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		$ 63,634,970	7198

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

2021-12-23 02:30PM 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		$ 496,322,722	7315
B. Securities (at market)		$	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		$ (16,027,312)	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade		$ 98,225	7335
B. Market value of open contracts granted (sold) on a foreign board of trade		$ (70,234)	7337
4. Net equity (deficit)(add lines 1. 2. and 3.)		$ 480,323,401	7345
5. Accounts liquidating to a deficit and accounts with			
debit balances - gross amount	$ 4,798 7351		
Less: amount offset by customer owned securities	$( ) 7352	$ 4,798	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)		$ 480,328,199	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.		$ 480,328,199	7360

Name of Firm: INTERACTIVE BROKERS LLC

As of: 11/30/2021

FOCUS Report Part II

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

2021-12-23 02:30PM 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		$ 60,582,340	7500	
B. Other banks qualified under 17 CFR. 30.7				
Name(s): JPMorgan, BMO Harris	7510	$	7520	$ 60,582,340 7530
2. Securities				
A. In safekeeping with banks located in the United States		$ 320,983,409	7540	
B. In safekeeping with other banks designated by 17 CFR. 30.7				
Name(s):	7550	$	7560	$ 320,983,409 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		$ 229,167,780	7700	
B. Securities		$	7710	
C. Unrealized gain (loss) on open futures contracts		$ (9,802,591)	7720	
D. Value of long option contracts		$ 98,225	7730	
E. Value of short option contracts		$(70,234)	7735	$ 219,393,180 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				$ 600,958,929 7770
9. Excess (deficiency) set aside funds for secured amount (Line Item 7770 minus Line Item 7360)				$ 120,630,730 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				$ 40,630,730 7785

Name of Firm: INTERACTIVE BROKERS LLC

As of: 11/30/2021