

\*\*\*\*\*Provisional Translation for your reference only\*\*\*\*\*

## **IBSJ Basic Policy against Anti-Social Forces**

Interactive Brokers Securities Japan, Inc.

Our company observes “the laws concerning prevention of profit transference by crimes” and, to secure soundness and fairness in securities market and safety of customers and workers, we makes systems for exclusion of antisocial forces such as gangs, gang concerned and corporate racketeer. Also, by dealing with them systematically, we completely discontinue relations with these forces.

1. We will not deal with antisocial forces at all.
2. If a customer dealing with our company turns out to be antisocial forces, we speedily take appropriate steps to dissolve the transaction.
3. We will not supply antisocial forces with funds at all.
4. We will not comply with unjust demands. In case unjust demands of antisocial forces are made, we legally take civil or criminal measures.
5. With regard to exclusion of antisocial forces, we will closely build cooperative relations with the outside institutions such as lawyers, police, The Center for The Elimination of Gangs.

(2010/06/30)