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SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

| OMB APPROVAL | | | | | | | |
|--------------------------|-----|--|--|--|--|--|--|
| OMB Number: 3235-028 | | | | | | | |
| Estimated average burden | | | | | | | |
| hours per response: | 0.5 | | | | | | |

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person* Harris Lawrence E | | | | 2. Issuer Name and Ticker or Trading Symbol Interactive Brokers Group, Inc. [IBKR] | | | | | | | | | | | tionship of Reporting I all applicable) Director Officer (give title | | 10% Owner | |
|--|---|--|---|--|---|--|-------------------------------|---|------------------------------------|-----------------|--|----------|------------------------|--|---|---|--|------------|
| (Last) ONE PICKW | ast) (First) (Middle) NE PICKWICK PLAZA | | | | 3. Date of Earliest Transaction (Month/Day/Year) 12/31/2021 | | | | | | | | | | below) | | jive title Other (spec below) | |
| (Street) GREENWICE | н ст | 0683 | 0 | 4. If Amendment, Date of Original Filed (Month/Day/Ye: | | | | | | | y/Year) | | 6. Indiv Line) X | ividual or Joint/Group Filing (Check Applicabl Form filed by One Reporting Person Form filed by More than One Reporting Person | | | | |
| (City) | (State) | (Zip) | Non Doriva | rative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | |
| 1. Title of Security (Instr. 3) | | | | 2. Transaction Date (Month/Day/Year) | | 2A Ex r) if a | 2A. Deemed Execution Date, | | 3. 4 Transaction Code (Instr. a | | 4. Securities A Disposed Of (and 5) | Acqu | ired (A | or 5. A 4 See Be | Amount of curities neficially ned | 6. Ownership Form: Direct (D) or Indirect (I) | 7. Nature of Indirect Beneficial Ownership | |
| | | | | | | | | | Cod | le V | 4 | Amount c | A) or D) | Price | Re Tra | lowing ported insaction(s) str. 3 and 4) | (Instr. 4) | (Instr. 4) |
| Class A common stock | | | | 12/31/2 | 01/04 | | 1/2022 | A | Λ | | 315 ⁽¹⁾ A | | \$79 (2 | | 62,636 | D | | |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | | | | | | | | | |
| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. | | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | 6. Date Exercisable an Expiration Date (Month/Day/Year) | | d | 7. Title and An of Securities Underlying Derivative Sec (Instr. 3 and 4) | | | 8. Price (Derivativ Security (Instr. 5) | | Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| Evolunation of R | | | | Code | v | (A) | (D) | Date Exercisal | | Expiration Date | on | Title | or No of | ımber | | | | |

- 1. This represents an annual grant of restricted stock units under the 2007 Stock Incentive Plan as amended for being a member of the issuer's Board of Directors, which vested immediately on 12/31/2021.
- 2. The price represents the closing price of the issuer's Class A common stock on December 31, 2021, the vesting date.

/s/ Raymond Bussiere as authorized signatory for Lawrence E. Harris

01/06/2022

** Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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

^{*} If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

^{**} Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).