Edgar Filing: Frank Thomas AJ - Form 4

| Frank Thomas AJ Form 4 October 23, 2017OMB APPROVALFORM 4 October 23, 2017UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549OMB APPROVALCheck this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).TATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIESOMB APPROVALFiled pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b).Simated average subject of 1935 or Section(Print or Type Response)Simated average Section 17(a) of the Investment Company Act of 1940 30(h) of the Investment Company Act of 1940 1(b).Simated average subject of 1940 30(h) of the Investment Company Act of 1940 30(h) of the Investment Company Act of 1940 | | | | | | | | | |
|---|--|--|----------------|--|---|---------------------------|--|---|---------------------------|
| 1. Name and Frank Thor | Issuer Name an nbol eractive Brok SKR] | | | - | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | |
| (Last) | Date of Earliest 7 onth/Day/Year) /19/2017 | Fransaction | | | Director 10% Owner Officer (give title Other (specify below) Chief Information Officer | | | | |
| GREENW | f Amendment, D ed(Month/Day/Yea | - | 1 | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | | |
| (City) | (State) (| (Zip) | Table I - Non- | Derivative | Secur | ities Acq | uired, Disposed of | , or Beneficial | ly Owned |
| 1.Title of Security (Instr. 3) | - | 2A. Deemed Execution Dat any (Month/Day/Y | Code | 4. Securit or(A) or Di (Instr. 3, 4) | sposed | l of (D) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. 7. Nature of Ownership Indirect Form: Direct Beneficial (D) or Ownership Indirect (I) (Instr. 4) (Instr. 4) | |
| Class A common stock | 10/19/2017 | | S | 12,423 (1) | D | \$ 49.24 (4) | 329,273 <u>(2)</u> | Ι | By IBG Holdings LLC |
| Class A common stock | 10/19/2017 | | S | 4,427 (<u>1)</u> | D | \$ 49.55 (5) | 324,846 <u>(2)</u> | Ι | By IBG Holdings LLC |
| Class A common stock | 10/20/2017 | | S | 16,850 (1) | D | \$ 49.43 <u>(6)</u> | 307,996 <u>(2)</u> | Ι | By IBG Holdings LLC |
| Class A common | | | | | | | 311,827 | D <u>(3)</u> | |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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) | 4. Transactio Code (Instr. 8) | 5. ionNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, | Expiration Date (Month/Day/Year) | | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owno Follo Repo Trans (Instr | |
|---|---|---|--|---|-------------------------------------|--------------------|---|---|---|--|
| | | | Code V | 4, and 5) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

stock

Relationships **Reporting Owner Name / Address** Director 10% Owner Officer Other Frank Thomas AJ **Chief Information Officer** ONE PICKWICK PLAZA GREENWICH, CT 06830 Signatures

/s/ Raymond Bussiere as authorized signatory for Thomas AJ Frank

**Signature of Reporting Person

Explanation of Responses:

- * 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).
- The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by IBG Holdings LLC, in which the (1)reporting person has a pecuniary interest through his membership interest in IBG Holdings LLC that went into effect August 2, 2017.
- Represents number of securities owned by IBG Holdings LLC in which the Reporting Person has a pecuniary interest through his (2)membership interest in IBG Holdings LLC.
- (3) These shares of Class A common stock are owned directly by the reporting person and represent the aggregate number of shares of restricted stock from awards granted under the 2007 Stock Incentive Plan since its inception, less vested shares that were withheld for tax

10/23/2017

Date

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purposes, or sold previously.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$48.43 to \$49.42, inclusive. The reporting person undertakes to provide Interactive Brokers Group, Inc. (the "Company"), any security holder of

- (4) the Company, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each price within the ranges set forth in footnotes (4) (6) to this Form 4.
- (5) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$49.43 to \$49.81, inclusive.
- (6) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from 49.04 to 49.73, inclusive.

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