Edgar Filing: Interactive Brokers Group, Inc. - Form 4

Interactive Brokers Group, Inc. Form 4 December 23, 2013

December 23	3, 2013	3										
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION								OMB APPROVAL				
		UNITEI) STATES		RITIES A shington,			NGE C	COMMISSION	OMB Number:	3235-0287	
Check the if no long					Expires:	January 31,						
subject to Section 1 Form 4 o	6.	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP SECURITIES								Estimated a burden hou response		
Form 5 obligation may cont <i>See</i> Instru 1(b).	tinue.	-	7(a) of the		tility Hold	ding Cor	npan	y Act of	e Act of 1934, 1935 or Section 0	·		
(Print or Type F	Respons	ses)										
1. Name and Address of Reporting Person <u>*</u> Nemser Earl H			2. Issuer Symbol	Name and	l Ticker or	Tradi	ng	5. Relationship of Reporting Person(s) to Issuer				
			Interact [IBKR]	ive Broke	ers Group	o, Inc		(Check all applicable)				
(Month/I					e of Earliest Transaction n/Day/Year) /2013				_X_ Director 10% Owner _X_ Officer (give title Other (specify below) below) Vice Chairman			
	(St	areet)			ndment, Da nth/Day/Year	-	.1		6. Individual or Jo Applicable Line) _X_Form filed by 0	One Reporting Pe	erson	
GREENWIG	CH, C	T 06830							Form filed by M Person	Iore than One Re	porting	
(City)	(St	tate)	(Zip)	Tabl	e I - Non-D	Derivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)		nsaction Da h/Day/Yea	any	med on Date, if Day/Year)	3. Transactic Code (Instr. 8)	(Instr. 3,	ispose 4 and (A) or	d of (D) 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Class A					Code V	Amount	(D)	Price \$	(, ,		By IBG	
Common Stock	12/20	0/2013			S	7,082 (1)	D	$ \begin{array}{c} \phi \\ 24.24 \\ \underline{(4)} \end{array} $	294,282 <u>(2)</u>	Ι	Holdings LLC	
Class A Common Stock	12/23	3/2013			S	7,442 (1)	D	\$ 24.39 (5)	286,840 <u>(2)</u>	Ι	By IBG Holdings LLC	

Class A Common 86,673 D (3) Stock

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. Transactic Code (Instr. 8)	of Derivative Securities Acquired (A) or Disposed of (D)	6. Date Exercisable and 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 Owne Follo Repo Trans (Instr
				(Instr. 3, 4, and 5)						
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Nemser Earl H ONE PICKWICK PLAZA GREENWICH, CT 06830	Х		Vice Chairman				
Signatures							

Signature

/s/ Raymond Bussiere as authorized signatory for Earl H. 12/23/2013 Nemser **Signature of Reporting Person Date

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 November 18, 2013.
- 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.
- These shares of Class A Common Stock are owned directly by the reporting person and represent the aggregate number of shares of (3) restricted stock from awards granted under the 2007 Stock Incentive Plan since its inception, less vested shares that were withheld for tax
- purposes, or sold previously. (4) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$24.16
- to \$24.39, inclusive. The reporting person undertakes to provide Interactive Brokers Group, Inc. (the "Company"), any security holder of

Edgar Filing: Interactive Brokers Group, Inc. - Form 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) and (5) 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 \$24.14 to \$24.56, 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.