



COMPANY INFORMATION

IG US LLC
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IG US LLC, a Forex Dealer Member of the National Futures Association (NFA #0509630) and Retail Foreign Exchange Dealer registered with the CFTC, is a subsidiary of IG Group Holdings plc, which is listed on the London Stock Exchange and a component of the FTSE 250 index.

LISTED PRINCIPALS

The IG US LLC ("IG US") listed principals are as follows:

- **Rupert Osborne, Chief Executive Officer.**
Rupert is the Chief Executive Officer of IG US and oversees and manages the operations of the firm, its personnel and its strategy.

Prior to becoming Chief Executive, Rupert worked for the IG Group in London as the Deputy Head of FX, managing the day-to-day operations of the IG Group's FX trading desk. He was responsible for the handling of FX orders, risk management and hedging for the IG Group's global client base of over 180,000 clients, processing billions of dollars' worth of customer trades each day.

Rupert has worked for the IG Group since 2010, originally employed as a dealer on the Flow Desk. He was previously employed as an analyst at investment bank Landsbanki Securities in London after graduating from Edinburgh University with an MA in History in 2006.
- **Ron Wetzel, Chief Financial Officer.**
Ron joined IG US in January 2018 as the Chief Financial Officer. He oversees IG US' Finance, Risk, and Operations functions and is responsible for leading the overall financial management of the company. He also oversees accounting, treasury, and financial planning for the firm. Ron has over 15 years of financial services experience.

Prior to joining the IG Group, he was the Financial Controller and subsequently became the Chief Financial Officer of optionsXpress, Inc. Ron is a Certified Public Accountant and holds a Masters of Accountancy degree from Northern Illinois University.
- **Karen deGroot, Chief Compliance Officer.**
Karen joined IG US in December 2017 as the Chief Compliance Officer. She is responsible for IG US' compliance with CFTC and NFA regulations.

Karen has over 10 years of financial services experience and was previously employed at the NFA and Chicago Mercantile Exchange in a variety of compliance roles. Karen is a member of the Illinois Bar Association and holds a Law degree from Thomas M. Cooley Law School, Michigan, and a BA in Political Science from Rutgers, New Jersey.

FIRM'S BUSINESS ACTIVITIES

IG US operates as a subsidiary of IG Group Holdings plc, a global provider of financial trading to retail customers which is based in the UK and is a member of the IG Group. Headquartered in Chicago, IG US acts as a dealer for foreign exchange contracts and options on foreign exchange contracts to customers that reside in the United States. IG US utilizes its capital to support its customers' trading activity and hedging in these products.

CUSTOMER BUSINESS ACTIVITIES

TYPES OF CUSTOMERS:

Institutional (Introducing Brokers, Commodity Pool Operators, Commodity Trading Advisors), Eligible Contract Participants ("ECPs") and Retail Customers.

MARKETS AND CURRENCIES TRADED:

Foreign exchange contracts and options on foreign exchange contracts that are not traded on any exchange.

PRIME BROKERS AND/OR LIQUIDITY PROVIDERS:

All of IG US' liquidity is provided by IG Markets Limited, a UK based IG Group company registered with the Financial Conduct Authority. IG US does not have any other prime brokerage relationships.

POLICIES AND PROCEDURES CONCERNING THE CHOICE OF BANK DEPOSITORIES, CUSTODIANS AND COUNTERPARTIES:

IG US holds its operating and customer funds in accounts at large, highly reputable banks. Before selecting a new bank depository, a thorough review of the bank's credit rating and financial information is completed. IG US uses an evaluation process to determine the financial condition of the bank. For any bank where IG US holds customer funds, thorough reviews are done at least annually to ensure its continued credit worthiness.

ECP COUNTERPARTY MATERIAL RISKS

When an ECP's total deposited funds are insufficient to cover any trading losses incurred, an ECP credit risk arises. An ECP's total deposited funds may be insufficient to cover trading losses if there is a sudden and significant movement in the market relating to an instrument in which an ECP client has in an open position. IG US mitigates the risks associated with ECP trading activities by requiring ECPs to deposit sufficient margin. IG US does not allow ECPs to enter into trades if the ECP has not deposited a sufficient amount of margin. In addition, IG US' trading platform also manages this risk by automatically closing out of any ECP's open positions when there is insufficient margin on deposit.

IG US also hedges its customer transactions through an affiliate ECP. This IG affiliate also hedges customer transactions with other affiliates through the world. If there is a sudden and significant movement in the market relating to an instrument for which our customers or any of our affiliate's customers has an open position, then the IG Group could incur significant losses.

The IG Group mitigates the risks associated with customer trading activities by requiring all IG Group customers to deposit sufficient margin, and hedging its exposure in the underlying market. In addition, the IG Group's trading platform also manages this risk by automatically closing out of any customer open positions when there is insufficient margin on deposit.

MATERIAL COMPLAINTS OR ACTIONS

IG US is required to disclose any material administrative, civil, enforcement or criminal complaints or actions filed against IG US during the last three years. Currently, IG US does not have any type of material complaints or actions filed against it. Please visit the NFA BASIC system at www.nfa.futures.org/basicnet for additional information regarding regulatory complaint issues.