

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.
- Andy Snyder, Chief Financial Officer.**
 Andy is the Chief Financial Officer of IG US and oversees the Accounting, Finance, Risk, and Treasury functions for the firm. Prior to joining the IG Group, Andy worked for William Blair Investment Management in Alternative Investment Accounting & Operations and also at RSM US LLP as an audit manager in the Alternative Investments and Brokerage Practice. Andy has a BS in Accounting from Miami University and is a Certified Public Accountant as well as a Chartered Alternative Investment Analyst. Andy has over 15 year of financial services experience.
- Megan McGrath, Chief Compliance Officer.**
 Megan joined IG US LLC in November 2020 as CCO. She is responsible for IG US compliance with CFTC and NFA regulations.

Megan has over 20 years of experience in financial services with 13 years specifically in regulatory compliance roles. Most recently she was Managing Director of Compliance for a CFTC registered designated contract market (DCM). Prior to that she was CCO for an NFA-member futures commission merchant (FCM), as well as holding compliance roles at other FCMs, broker-dealers and proprietary trading firms. Megan earned a Bachelor’s degree from Northwestern University in Philosophy of Communication and previously held Series 7 and 63 licenses.

- Ian Peacock, President**

Ian is President of IG Group North America and President and CEO of the North American Derivatives Exchange (Nadex). Previously Ian served as CEO of IG Group’s UK business. Ian has 30 years’ experience in financial markets holding executive roles at exchanges, brokers and banks. Before joining IG in 2014, Ian spent 10 years at Credit Agricole CIB working initially in New York, as US CEO, and subsequently in London as UK CEO of their Cheuvreux equities franchise. Ian has held leadership roles in various jurisdictions under the regulation of the SEC, FINRA, CFTC, FCA and MAS.

Ian holds an undergraduate degree from the University of Leeds in Computer Science, and a Postgraduate degree in Leadership and Strategy from London Business School, where he graduated with distinction as a Sloan fellow.

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 has committed 100% of its assets 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:

IG US’ liquidity is provided by IG Markets Limited, a UK based IG Group company registered with the Financial Conduct Authority, and JP Morgan bank. JP Morgan also acts as a prime broker in foreign exchange to IG US.

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.

ECP COUNTERPARTY MATERIAL RISKS (CONTINUED)

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.