

## 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:

- IG US Holdings Inc. is our holding company, and is registered as a Principal of IG US LLC.

- Brandon Childs is the Chief Compliance Officer

Brandon joined IG US LLC in June 2022 as Chief Compliance Officer and is responsible for ensuring the firm's compliance with Commodity Futures Trading Commission (CFTC) and National Futures Association (NFA) regulatory requirements. Brandon has 15 years of experience with interpreting, implementing, and enforcing CFTC regulations and NFA compliance rules, and has done so from both the regulatory and registrant/commercial sides of the industry. Brandon was an integral member of the compliance team for StoneX Financial Inc., a Futures Commission Merchant (FCM) with multiple exchange memberships, and subsidiary of a global, corporate hierarchy with a Fortune 500, publicly traded, parent-company; beginning there in 2012. Brandon managed the onboarding function for the FCM and the affiliated, provisionally registered Swap Dealer, StoneX Markets LLC, from 2018 through 2021. Thereafter, Brandon was tasked with improving the Swap Dealer's compliance program as Deputy Chief Compliance Officer before joining IG US. Before his time at StoneX, Brandon was a Staff Examiner and Field Supervisor with National Futures Association.

- Peter Mulmat is the Chief Executive Officer

Peter Mulmat 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, Peter served as Chief Commercial Officer at The Small Exchange overseeing new business and product development. Prior to working at the Small Exchange Peter Was Chief futures Strategist at Tastytrade working with content creation as well as guiding Tastyworks a registered Broker Dealer and IB with NFA to design their trading platform, functionality, exchange connectivity and customer experience. Peter also brings over three decades of trading experience to IG Initially as a floor trader and subsequently as a principal at Aspire Trading, dealing in FX and Treasury cash/futures arbitrage. Mr. Mulmat earned a Master's Degree from the Kellogg Graduate School of Management at Northwestern University and received his undergrad degree in Economics from Tulane University.

- Matt Hellmuth, Chief Financial Officer.

Matt is the Chief Financial Officer of IG US and oversees the Accounting, Finance, Risk, and Treasury functions for the firm. Matt has held various leadership roles in accounting and financial management throughout his 20 year career. Most recently, Matt worked as the CFO of tastytrade, Inc. and joined IG Group through its acquisition of the firm in 2021. Matt has a BS in Finance from Illinois State University, a Masters Degree in Accounting & Financial Management from Keller School of Business and is a Certified Public Accountant.

- Isaac Poore is the Regional Finance Controller

Isaac is the Regional Financial Controller of IG US. Before joining IG, Isaac worked in professional services at EY for nearly 10 years. He provided financial services clients with assistance on financial accounting and reporting matters, process improvement, and control implementation and remediation. In addition to this, Isaac worked with the firm's audit practice providing audit services to clients in regulated industries with a core focus on financial services. He is a Certified Public Accountant ("CPA") licensed in both Illinois and Tennessee and an active member of the American Institute of Certified Public Accountants ("AICPA").

## 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 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.

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](http://www.nfa.futures.org/basicnet) for additional information regarding regulatory complaint issues.