

## COMPANY INFORMATION

IG US LLC  
1330 W. Fulton Market Suite 610,  
Chicago, IL 60607 USA  
Telephone: 312 981 0499

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.
- Thomas Johnson is the Chief Compliance Officer  
Tom joined IG US LLC in February 2024 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. Tom has over 18 years of experience in the financial services industry and has worked in various Compliance, Anti-Money Laundering, and Supervision roles at Interactive Brokers, TD Ameritrade, and OANDA prior to joining IG US. Tom earned his Finance degree from Indiana University's Kelley School of Business, his MBA from Northern Illinois University, and a Mechanics of Risk Management Certificate from Middlesex University and holds multiple licenses with FINRA (inactive) and the NFA.
- 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.

- Isaac Poore, Chief Financial Officer  
Isaac is the Chief Financial Office 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").
- Rizwan Arastu is the Regional Finance Controller  
Rizwan is the Financial Controller of IG US. He joined us with 12+ years of experience in accounting and finance roles. Upon receiving his CPA license, he spent the first part of his career at KPMG and PwC. Within consulting he led audits, M&A deals, and spent time abroad to train international support teams. After leaving consulting he led a FP&A team at a large insurance company and just prior to joining he served as a Controller, leading the accounting and finance department at a financial services firm. Along with the core functions of finance, he is also experienced in financial systems implementation and integration.

## 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 and counterparty for foreign exchange contracts with 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 offered over-the-counter, they are not listed on a Designated Contract Market.

### 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. For the last three years, IG US has not been party to a material complaint or action. 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.