

# PUBLIC DISCLOSURE

## 01 COMPANY INFORMATION

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

## 02 LISTED PRINCIPALS

Listed principals of tastyfx are as follows:

- IG US Holdings Inc. is tastyfx's holding company, and is registered as a principal of tastyfx.
- Thomas Johnson is the Chief Compliance Officer of tastyfx, joining the firm in February 2024. Tom 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. Tom earned his Finance degree from Indiana University's Kelley School of Business, his MBA from Northern Illinois University, 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 of tastyfx 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 tastyfx: Initially as a floor trader and subsequently as a principal at Aspire Trading, dealing in FX and Treasury cash/futures arbitrage. Peter 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.
- Frank Kaberna is the Chief Commercial Officer of tastyfx overseeing all commercial functions, including sales, marketing, and business development, aimed at driving the company's growth. Before entering this role, Frank held various roles in business and product development across 9+ years of experience with tastytrade, the Small Exchange, and tastyfx. Frank has worked in content creation with an emphasis on education for derivatives products at tastytrade as well as product development and customer experience with futures products at the Small Exchange. Frank received his undergrad degree in Mathematics from the University of Michigan.
- Isaac Poore is the Chief Financial Officer of tastyfx. Before joining tastyfx, Isaac worked in professional services at EY for nearly 10 years. He provided financial services customers 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 customers 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 joined tastyfx with 12+ years of experience in various accounting and finance roles. Upon receiving his CPA license, Rizwan spent the first part of his career at KPMG and PwC. Within consulting Rizwan led audits, M&A deals, and spent time abroad to train international support teams. After leaving consulting, Rizwan led a FP&A team at a large insurance company, and just prior to joining tastyfx, Rizwan served as 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.

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## FIRM'S BUSINESS ACTIVITIES

tastyfx 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, tastyfx acts as a dealer and counterparty for foreign exchange contracts with customers that reside in the United States. tastyfx has committed 100% of its assets to support its customers' trading activity and hedging in these products.

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## 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:

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

### Policies and procedures concerning the choice of bank depositories, custodians, and counter-parties:

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

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## ECP COUNTERPARTY MATERIAL RISKS

When an ECP's total deposited funds are insufficient to cover any trading losses incurred, this signifies a credit risk. 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 customer has an open position. tastyfx mitigates the risks associated with ECP trading activities by requiring ECPs to deposit sufficient margin. tastyfx does not allow ECPs to enter into trades if the ECP has not deposited a sufficient amount of margin. In addition, the tastyfx trading platform also manages this risk by automatically closing out of any ECP's open positions when there is insufficient margin on deposit.

tastyfx hedges its customer transactions through an affiliate ECP. This affiliate firm 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 affiliates' 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 electronic trading platform manages this risk by automatically closing out of any customers' open positions when there is insufficient margin on deposit.

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## MATERIAL COMPLAINTS OR ACTIONS

tastyfx is required to disclose any material administrative, civil, enforcement or criminal complaints or actions filed against tastyfx during the last three years. For the last three years, tastyfx has not been party to a material complaint or action. Please visit [NFA's BASIC](#) for additional information regarding regulatory complaint issues.