

**NATIONAL FUTURES ASSOCIATION
BEFORE THE
BUSINESS CONDUCT COMMITTEE**

In the Matter of:)	
)	
FINTECH INVESTMENT GROUP, INC.)	
(NFA ID #495589),)	
)	
and)	NFA Case No. 20-BCC-006
)	
ALAN FRIEDLAND)	
(NFA ID #495932),)	
)	
Respondents.)	

DECISION

Having reviewed the Complaint issued by this Committee in the above-captioned case, and having considered the Offer of Settlement (Offer) submitted by Fintech Investment Group, Inc. (Fintech) and Alan Friedland (Friedland), and having accepted their Offer, this Committee hereby issues this Decision as to Fintech and Friedland.

I

ALLEGED VIOLATIONS OF NFA REQUIREMENTS

On April 2, 2020 NFA's Business Conduct Committee issued a Complaint against Fintech Investment Group, Inc. (Fintech), a former commodity trading advisor and NFA Member forex firm in Winter Park, Florida. The Complaint also named Friedland (Friedland) as a Respondent. At all times relevant to the allegations in the Complaint, Friedland was a listed principal and associated person (AP) of Fintech and an NFA Associate.

The Complaint charged Fintech and Friedland with violating NFA Compliance Rule 2-5 by failing to cooperate fully and promptly with NFA's inquiry of them by failing to provide records which NFA had requested regarding Fintech, Friedland and Compcoin LLC, an affiliate of Fintech that was wholly owned by Friedland.

II

OFFER OF SETTLEMENT

Fintech and Friedland – neither of which currently has any NFA membership status – submitted an Offer in which they proposed to settle the charges against them by agreeing to be barred permanently from NFA membership status and from acting as a principal of an NFA Member.

III

SANCTIONS

Having considered the matter and having accepted the Offer of Fintech and Friedland, this Committee orders them barred permanently from NFA membership status and from acting as a principal of an NFA Member.

IV

INELIGIBILITY

Pursuant to the provisions of Commodity Futures Trading Commission (CFTC) Regulation 1.63, this Decision and the sanctions imposed herein render Friedland permanently ineligible to serve on a disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization, as that term is defined in CFTC Regulation 1.63.

**NATIONAL FUTURES ASSOCIATION
BUSINESS CONDUCT COMMITTEE**

Date: June 1, 2020

By


Chairperson

MAS\Enforcement\Fintech\Settlement