

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

FILED

MAY 20 2021

NATIONAL FUTURES ASSOCIATION
LEGAL DOCKETING

In the Matter of:)
)
PETER CHRIS GEORGANTONES) NFA Case No. 21-BCC-004
(NFA ID #190234),)
)
Respondent.)

DECISION

Having reviewed all matters relevant to the Complaint issued by the Business Conduct Committee (BCC or Committee) of National Futures Association (NFA) against Peter Chris Georgantones (Georgantones), and having considered the Offer of Settlement (Offer) submitted by Georgantones, and having accepted his Offer, this Committee hereby issues this Decision as to Georgantones.

I

ALLEGED VIOLATIONS OF NFA REQUIREMENTS

On May 20, 2021, this Committee issued a Complaint against Georgantones, a former NFA Associate and associated person (AP) of an introducing broker (IB) Member of NFA that is currently located in Plymouth, Minnesota. The Complaint alleged that Georgantones violated NFA Compliance Rules 2-2(a) and 2-4 by utilizing unauthorized trades and fictitious trade transfer requests to improperly allocate winning trades to the accounts of favored customers, while allocating losing or unprofitable trades to the accounts of non-favored customers. The Complaint also

alleged that Georgantones violated NFA Compliance Rule 2-8(a) by exercising discretion over customers' accounts without written authorization.

II

OFFER OF SETTLEMENT

Georgantones submitted an Offer in which – without admitting or denying the allegations of the Complaint – he offered to settle this case by agreeing not to apply for NFA membership or reapply for NFA associate membership or principal status, or act as a principal of an NFA Member at any time in the future.

III

PENALTY

Having considered the matter and having accepted Georgantones's Offer, this Committee orders Georgantones not to apply for NFA membership or reapply for NFA associate membership or principal status, or act as a principal of an NFA Member at any time in the future. Georgantones's Offer, and this Decision, may be used in an action to enforce the terms thereof.

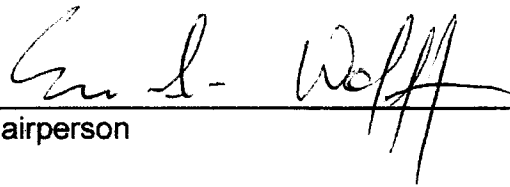
IV

INELIGIBILITY

Pursuant to Commodity Futures Trading Commission (CFTC) Regulation 1.63, this Decision and the sanctions imposed herein render Georgantones 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: 5/20/21

By: 
Chairperson

m/cxc/Decisions/Georgantones Decision (final)