NATIONAL FUTURES ASSOCIATION
BEFORE THE HEARING PANEL

In the Matter of:

SYNERGISTIC GROUP LLC
(NFA ID #430255),

and

GEOFFREY THOMPSON
(NFA ID #421211),

Respondents.

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NFA Case No. 18-BCC-011

DECISION

Having reviewed all matters relevant to the Complaint issued by the Business Conduct Committee of National Futures Association (NFA) against Synergistic Group LLC (Synergistic) and Geoffrey Thompson (Thompson), and having considered the Offer of Settlement (Offer) submitted by Synergistic and Thompson and having accepted their Offer, the Hearing Panel (Panel) hereby issues this Decision as to them.

I

ALLEGED VIOLATIONS OF NFA REQUIREMENTS

On August 13, 2018, the Committee issued a Complaint against Synergistic, a former commodity pool operator and commodity trading adviser Member of NFA located in Frankfort, Illinois. The Complaint also named Thompson as a respondent. Thompson was the sole associated person and a listed principal of Synergistic, and an NFA Associate.
The Complaint alleged that Synergistic and Thompson violated NFA Compliance Rule 2-5(a) by failing to cooperate promptly and fully with NFA during its attempted examination of Synergistic.

II

OFFER OF SETTLEMENT

Synergistic and Thompson submitted an Offer in which they neither admitted nor denied the allegations of the Complaint and proposed to settle the charges against them on the following terms:

a. Synergistic agreed not to reapply for NFA membership and to be permanently barred from NFA and from acting as a principal of an NFA Member; and

b. Thompson agreed not to apply for NFA membership, or reapply for NFA associate membership, or act as a principal of an NFA Member for a period of seven years and to pay a $50,000 fine to NFA if he again seeks NFA membership or principal status.

III

PENALTY

Having considered this matter and having accepted the Offer made by Synergistic and Thompson, the Panel hereby orders as follows:

a. Synergistic shall not reapply for NFA membership and shall be permanently barred from NFA and from acting as a principal of an NFA Member; and

b. Thompson shall not apply for NFA membership, or reapply for NFA associate membership, or act as a principal of an NFA Member for a period of seven years from the date of the Decision and shall pay a $50,000 fine to NFA if he again seeks NFA membership or principal status.
The Panel's acceptance of Synergistic and Thompson's Offer shall operate to bar any future Member Responsibility Actions and BCC Complaints against Synergistic and Thompson for any conduct occurring up to the date of their Offer of which NFA had corporate knowledge, and shall resolve and terminate all complaints, investigations and examinations relating to Synergistic and Thompson pending as of the date of this Panel's acceptance of their Offer. In addition, their Offer and this Decision accepting their Offer shall not be used as a sole basis for any other action or proceeding by NFA against Synergistic and Thompson, including any registration matter, except their Offer and this Decision accepting their Offer may be used in an action to enforce the terms thereof or in a subsequent disciplinary action or regulatory action, where they may be considered as evidence in aggravation.

IV

INELIGIBILITY

Pursuant to Commodity Futures Trading Commission (CFTC) Regulation 1.63, this Decision and the sanctions imposed herein render Thompson ineligible for a period of seven years 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 HEARING PANEL

Dated: 02/05/2019

By: [Signature]
Chairperson