

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

Cause Number: 14388-AG16-0419-098

IN THE MATTER OF)
)
Securities America)
12325 Port Grace Blvd)
La Vista, NE 68128)
)
Respondent)
)
Type of Agency Action: Enforcement)
)
Producer's License: 220180N)

FILED

MAY 13 2016

STATE OF INDIANA
DEPT. OF INSURANCE

FINAL ORDER

The Enforcement Division of the Indiana Department of Insurance ("Department"), by counsel Brigitte R. Collier, and Securities America ("Respondent"), a licensed nonresident insurance producer organization, signed an Agreed Entry which purports to resolve all issues involved in the above-captioned cause number, and which has been submitted to the Commissioner of the Indiana Department of Insurance ("Commissioner") for approval.

The Commissioner, after reviewing the Agreed Entry, finds it has been entered into fairly and without fraud, duress or undue influence, and is fair and equitable between the parties. The Commissioner hereby incorporates the Agreed Entry, attached, as if fully set forth herein, and approves and adopts in full the Agreed Entry as a resolution of this matter.

IT IS THEREFORE ORDERED by the Commissioner as follows:

1. Respondent shall pay an administrative fine of two thousand dollars (\$2,000.00) within thirty (30) days after the Commissioner signs the Final Order, for their

failure to timely report several administrative actions between the years of 2005 and 2015.

2. The Department agrees to accept this agreement as full resolution of this matter.

ALL OF WHICH IS ORDERED this 13 day of May 2016.



Stephen W. Robertson, Commissioner
Indiana Department of Insurance

Distribution:

Calla Dain, Insurance Investigator
Indiana Department Of Insurance
311 West Washington Street, Suite 103
Indianapolis, Indiana 46204-2787

Securities America
C/O Christina Heller
12325 Port Grace Blvd
La Vista, NE 68128

Certified Mail Receipt: 91 7190 0005 2720 0059 5352

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STATE OF INDIANA
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AGREED ENTRY

This Agreed Entry is executed by and between the Enforcement Division of the Indiana Department of Insurance ("Department"), by counsel Brigitte R. Collier, and Securities America ("Respondent"), to resolve all issues in the above-captioned cause number. This Agreed Entry is subject to the review and approval of the Department's Commissioner, Stephen W. Robertson ("Commissioner");

WHEREAS, Respondent is a licensed Nonresident Producer Organization, holding license number 220180N;

WHEREAS, Between the years of 2005 and 2015 Respondent failed to timely report several administrative actions;

WHEREAS, Respondent and Department have worked together to make sure all past administrative actions have been properly reported;

WHEREAS, the Respondent's actions are in violation of Indiana Code §27-1-15.6-17(a), which states that a producer shall report to the commissioner any administrative action taken

against the producer in another jurisdiction or by another governmental agency in Indiana not more than thirty (30) days after the final disposition of the matter;

WHEREAS, Mark T. Lasswell, Senior Vice President and Chief Compliance Officer of Securities America, is authorized to act on behalf of Respondent and obligate it to perform in accordance with this agreement;

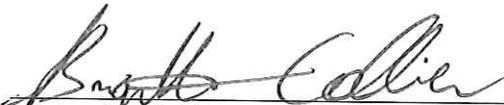
WHEREAS, the Department and Respondent (collectively, the "Parties") desire to resolve this matter without the necessity of a hearing.

IT IS, THEREFORE, NOW AGREED by and between the parties as follows:

1. The Commissioner has jurisdiction over the subject matter and the Parties to this Agreed Entry.
2. This Agreed Entry is executed voluntarily by the Parties.
3. Respondent voluntarily and freely waives the right to a public hearing on the issues in this matter.
4. Respondent voluntarily and freely waives the right to judicial review of this matter.
5. Respondent shall pay an administrative fine of two thousand dollars (\$2,000.00) within thirty (30) days after the Commissioner signs the Final Order approving this Agreed Entry.
6. Should additional violations manifest, further administrative actions will be taken for the new violation.
7. The Department agrees to accept Respondent's compliance with this agreement as full satisfaction of this matter.

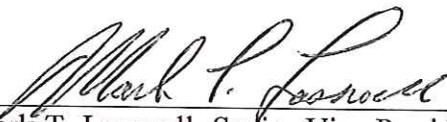
8. Respondent has carefully read and examined this agreement and fully understands and accepts its terms.
9. Respondent has entered into this agreement freely, and has not been subject to duress, threat or undue influence.
10. Should this Agreed Entry not be accepted by the Commissioner, it is agreed that presentation to and consideration of this Agreed Entry by the Commissioner shall not unfairly or illegally prejudice the Commissioner from further participation in or resolution of these proceedings.
11. Respondent is aware that failure to comply with any terms of this agreement will result in the matter being set for a hearing.

5/10/16
Date Signed



Brigitte R. Collier, Attorney
Indiana Department of Insurance

5-6-16
Date Signed



Mark T. Lasswell, Senior Vice President and Chief
Compliance Officer of Securities America,
Respondent

STATE OF NEBRASKA)
) SS:
COUNTY OF Douglas)

Before me a Notary Public for Douglas County, State of Nebraska personally appeared Mark T. Lasswell, in his capacity as Senior Vice President and Chief Compliance Officer of Securities America and being first duly sworn by me upon his oath, says that the facts alleged in the foregoing instrument are true.

Signed and sealed this 16th day of May, 2016.

Erin S. Hughes
Signature

Erin S. Hughes
Printed

My Commission expires: June 30, 2016

County of Residence: Douglas

