

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

CAUSE NUMBER: 9374-AG11-0208-022

Financial West Investment Group,)
Agent / Respondent)
)
4510 E. Thousand Oaks Blvd.)
Westlake Village, CA 91362)
)
Type of Agency Action: Enforcement)
)
)
Indiana Insurance License No.: 31213

FILED

MAR 18 2011

STATE OF INDIANA
DEPT. OF INSURANCE

FINAL ORDER

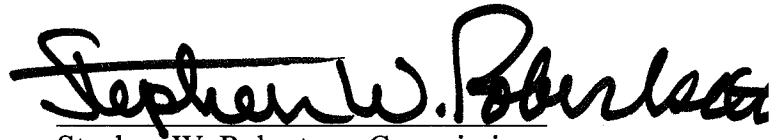
The Indiana Department of Insurance (“Department”) and Financial West Investment Group, (“Respondent”), signed an Agreed Entry which purports to resolve all issues involved in the action by the Department regarding Respondent’s license, and which has been submitted to the Commissioner of Insurance (the “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 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 of Insurance:

1. Respondent failed to report to the Commissioner administrative action taken against it in four (4) Financial Industry Regulatory Authority (FINRA) actions, Docket/Case Numbers C02030070, I04-068, E0220021063-02, and 2005001331301, within thirty (30) days after the final disposition of the matters.
2. Respondent agrees to pay an administrative fine in the amount of two thousand dollars (\$2,000.00), payable within thirty (30) days from the date of the signing of the Commissioner's Final Order.

ALL OF WHICH IS ORDERED this 18th day of March 2011.



Stephen W. Robertson, Commissioner
Indiana Department of Insurance

Distribution:

Nikolas P. Mann
INDIANA DEPARTMENT OF INSURANCE
311 West Washington Street, Suite 300
Indianapolis, Indiana 46204-2787

Financial West Investment Group
4510 E. Thousand Oaks Boulevard
Westlake Village, CA 91362

Attn: Dorothy Gibbens
Director of Compliance

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

CAUSE NUMBER: 9374-AG11-0208-022

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Type of Agency Action: Enforcement)
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STATE OF INDIANA
DEPT. OF INSURANCE

Indiana Insurance License No.: 31213

AGREED ENTRY

This Agreed Entry is entered into by Nikolas P. Mann, attorney for and on behalf of the State of Indiana, Department of Insurance ("Department"), and Financial West Investment Group ("Respondent"), a licensed Indiana non-resident producer organization holding license number 31213, to resolve all matters under cause number 9374-AG11-0208-022. This Agreed Entry is subject to the review and approval of Stephen W. Robertson, Commissioner, Indiana Department of Insurance.

WHEREAS, Respondent is a licensed non-resident insurance producer organization in the State of Indiana; and

WHEREAS, the Department and Respondent desire to resolve their differences and settle the issues without 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 Respondent in this administrative action.
2. This Agreed Entry is executed voluntarily by the parties.
3. Respondent voluntarily and freely waives there right to a public hearing on the issues in this action.
4. Respondent agrees to pay an administrative fine in the amount of two thousand dollars (\$2,000.00), payable within thirty (30) days from the date of the signing of the Commissioner's Final Order.
5. Respondent admits that they failed to report to the commissioner administrative action taken against them in four (4) FINRA actions, Docket/Case Numbers C02030070, I04-068, E0220021063-02, and 2005001331301, within thirty (30) days after the final disposition of the matters.
6. The Department agrees to accept Respondent's compliance with the terms of this Agreed Entry as full resolution of this matter.
7. 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.
8. Respondent has carefully read this agreement and fully understands and accepts its terms.

3/10/11
Date Signed

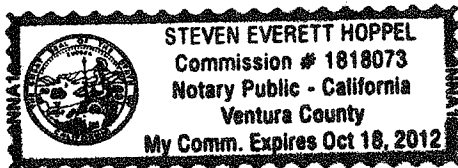
Nikolas P. Mann
Nikolas P. Mann, Attorney
Indiana Department of Insurance

3/1/2011
Date Signed

[Signature]
Respondent

STATE OF CALIFORNIA)
) SS:
COUNTY OF VENTURA)

Before me a Notary Public for VENTURA County, State of California, personally appeared DOROTHY GIBBENS on behalf of Financial West Investment Group and being first duly sworn by me upon ~~his~~/her oath, states that the facts alleged in the foregoing instrument are true. Signed and sealed this 1st day of MARCH, 2011.



[Signature]
Notary Signature

STEVEN EVERETT HOPPEL
Notary Name Printed

My Commission expires: Oct 18, 2012

County of Residence: VENTURA COUNTY STATE
LOS ANGELES COUNTY RESIDE

INDIANA DEPARTMENT OF INSURANCE
Enforcement Division
Suite 300
311 West Washington Street
Indianapolis, IN 46204-2787
317/234-5888 - telephone
317/232-2103 - facsimile