

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

Cause Number: 15104-AG16-0324-070

IN THE MATTER OF)
)
David Raabe)
2010 W. Lawson Rd)
Marion, IN 46952)
Respondent)
)
Type of Agency Action: Enforcement)
)
Resident Producer License #: 2316660)

FILED
APR 22 2016
STATE OF INDIANA
DEPT. OF INSURANCE

FINAL ORDER


The Enforcement Division of the Indiana Department of Insurance (“Department”), by counsel Brigitte Collier, and David Raabe (“Respondent”), a licensed resident insurance producer, 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 (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, 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 a civil penalty of Two Hundred and Fifty Dollars and 00/100 (\$250.00), for failing to report an administrative action taken by Financial Industry Regulatory Authority (FINRA).
2. The Department agrees to accept this agreement as full resolution of this matter.

ALL OF WHICH IS ORDERED this 22nd day of April 2016.


Stephen W. Robertson,
Commissioner
Indiana Department of Insurance

Distribution:

Melissa Higgins, Investigator
INDIANA DEPARTMENT OF INSURANCE
311 West Washington Street, Suite 103
Indianapolis, Indiana 46204-2787

David Raabe
2010 W. Lawson Rd
Marion, IN 46952

Certified Mail Receipt: 91 7190 0005 2720 0058 8187

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STATE OF INDIANA
DEPT. OF INSURANCE

AGREED ENTRY

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

WHEREAS, on May 4, 1993, Respondent obtained an Indiana resident producer's license under number 2316660;

WHEREAS, Indiana Code §27-1-15.6-17(a) states that producers 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. The report shall include a copy of the order, consent to order, or other relevant legal documents;

WHEREAS, Respondent failed to timely report the December 12, 2013 administrative action taken by the Financial Industry Regulatory Authority ("FINRA") for failing to adhere to high standards while conducting business; and

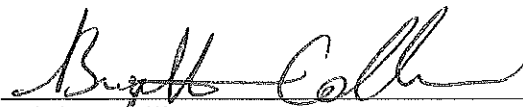
WHEREAS, the Department and Respondent (collectively, the "Parties") desire to resolve this matter without the necessity of a hearing.

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 this matter.
4. Respondent voluntarily and freely waives the right to judicial review of this agreement and the Commissioner's Final Order.
5. Respondent shall pay a civil penalty in the amount of Two Hundred and Fifty dollars (\$250.00) within thirty (30) days of the Commissioner's Final Order adopting this Agreed Entry.
6. The Department agrees to accept Respondent's compliance with this agreement as full satisfaction of this matter.
7. Respondent has carefully read this agreement and fully understands and accepts its terms.
8. Respondent has entered into this agreement freely, and has not been subject to duress, threat or undue influence.

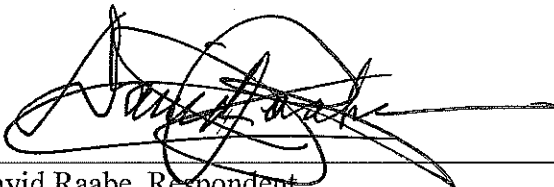
9. Should this Agreed Entry not be accepted by the Commissioner, it is agreed that presentation to and consideration of this Agreed Entry by the Commissioner shall not unfairly or illegally prejudice the Commissioner from further participation or resolution of these proceedings.
10. Respondent is aware that failure to comply with any of the terms of this agreement will result in the matter being set for a hearing.

4-19-16
Date Signed



Brigitte Collier, Attorney
Indiana Department of Insurance

4/1/16
Date Signed



David Raabe, Respondent

STATE OF INDIANA)
COUNTY OF Grant) SS:



Seal
Tammy J. Garcia
Notary Public
State of Indiana
My Commission Expires: February 24, 2024

Before me a Notary Public for Grant County, State of Indiana,
personally appeared David Raabe, 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 1 day of April, 2016.

Tammy J. Garcia
Signature

Tammy J. Garcia
Printed

My Commission expires: 2-24-24

County of Residence: Grant