

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

Cause Number: 16330-AG17-0725-147

IN THE MATTER OF)
)
R.F. Lafferty & Co., Inc.)
40 Wall Street Suite 1901)
New York, NY 10005)
Respondent)
)
Type of Agency Action: Enforcement)
)
Producer License #: 782474)

FILED

AUG 24 2017

STATE OF INDIANA
DEPT. OF INSURANCE

FINAL ORDER

The Enforcement Division of the Indiana Department of Insurance ("Department"), by counsel, Cathleen Nine-Altevogt, and R.F. Lafferty & Co., Inc. ("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 a civil penalty of seven hundred and fifty dollars (\$750), for failure to timely report three (3) administrative actions taken in other states.
2. The Department agrees to accept this agreement as full resolution of this matter.

ALL OF WHICH IS ORDERED this 20th day of August 2017.



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

R.F. Lafferty & Co., Inc.
40 Wall St. Suite 1901
New York, NY 10005

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA

COMMISSIONER OF INSURANCE

Cause Number: 16330-AG17-0725-147

IN THE MATTER OF:

R.F. Lafferty & Co., Inc.
40 Wall St Ste. 1901
New York, NY 10005

Respondent

Type of Agency Action: Enforcement

License Number: 782474

FILED

AUG 24 2017

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, Cathleen Nine-Altevogt, and R.F. Lafferty & Co. Inc. ("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 February 22, 2016, Respondent obtained an Indiana nonresident producer's organization license under number 782474;

WHEREAS, Respondent failed to report three (3) administrative actions within the statutorily required timeframe;

WHEREAS, Indiana Code § 27-1-15.6-17(a) states the 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, Thomas Herity, Compliance Officer for Respondent, is authorized to act on behalf of Respondent and obligated to perform in accordance with this agreement;

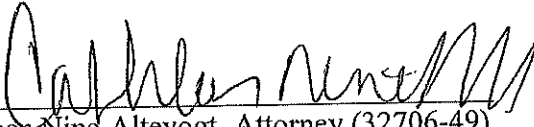
WHEREAS, the Department and Respondent (collectively, the "Parties") desire to resolve this matter without the necessity of a hearing.

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 in the amount of seven hundred fifty dollars (\$750) within thirty (30) days after the Commissioner signs the Final Order adopting this Agreed Entry.
6. 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 is aware that failure to comply with any of the terms of this agreement will result in the matter being set for a hearing.

Date Signed

8/14/17
Date Signed



Cathleen Nine-Altevogt, Attorney (32706-49)
Indiana Department of Insurance



Thomas Herity, Compliance Officer
R.F. Lafferty & Co., Inc., Respondent

STATE OF NEW YORK)
COUNTY OF New York) SS:

Before me a Notary Public for New York County, State of New York, personally appeared Thomas Herity on behalf of R.F. Lafferty & Co., Inc., 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 14 day of August, 2017.

Holly Begley
Signature
Holly Begley
Printed

My Commission expires: HOLLY BEGLEY
Notary Public - State of New York
No. 01BE6084861
County of Residence: Qualified in New York County
My Commission Expires Feb. 3, 2019

SECURITY FEATURES INCLUDE TRUE WATERMARK PAPER HEAT SENSITIVE ICON AND FOIL HOLOGRAM

10365

R.F. LAFFERTY CO., INC.
40 WALL STREET FLOOR 19
NEW YORK, NY 10005

CUSTOMERS BANK
CustomersBank.com

60-297/313

CHECK NUMBER

8/14/2017

PAY TO THE
ORDER OF

INDIANA DEPT OF INSURANCE

\$ **750.00

DOLLARS

Seven Hundred Fifty and 00/100*****

INDIANA DEPT OF INSURANCE
311 W WASHINGTON STREET
SUITE 103
INDIANAPOLIS, INDIANA 46204-2787

MEMO

ENFORCEMENT CASE 16330



Robert H. [Signature]

AUTHORIZED SIGNATURE

⑈010365⑈ ⑆031302971⑆ 647 741 9⑈