

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

CAUSE NO.: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
2168 Lee Lane)
West Harrison, IN 47060)

Respondent.)

Type of Agency Action: Enforcement)

License Number: 2512970)

FILED

FEB 08 2019

STATE OF INDIANA
DEPT. OF INSURANCE

FINAL ORDER

The Indiana Department of Insurance ("Department"), by counsel, Erica J. Dobbs, and Tammy S. Eckstein ("Respondent"), a licensed resident 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 Indiana Department of Insurance ("Commissioner") for approval.

The Commissioner, after reviewing the Agreed Entry, which places Respondent on probation for two (2) years, with conditions that she successfully complete Anger Management Counseling and three (3) hours of ethics training in addition to that required by Indiana Code § 27-1-15.7-2(a) within one hundred and twenty (120) days of this order, and pay a civil penalty of five hundred (\$500) dollars, due to having a misdemeanor battery conviction, failing to timely report the charges, and failing to timely report a FINRA suspension, 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 of Insurance:

1. Respondent's license shall be renewed, and Respondent placed on probation for a period of two (2) years beginning the date of this Order, during which time any violation of Title 27 of the Indiana Code will result in the Department seeking immediate revocation of Respondent's license.
2. Respondent shall provide proof of successful completion of criminal probation to the Department within thirty (30) days of the order being issued.
3. Respondent shall provide proof of successful completion of Anger Management Counseling to the Department within one hundred twenty (120) days of the date of this Order.
4. Respondent shall take three (3) hours of ethics training, in addition to the requirements of Indiana Code § 27-1-15.7-2(a), and provide proof of successful completion to the Department within one hundred twenty (120) days of the date of this Order.
5. Respondent shall pay a civil penalty in the amount of five hundred dollars (\$500) within thirty days (30) days of the date of this Order.

2-8-2019

Dated



Stephen W. Robertson, Commissioner
Indiana Department of Insurance

Distribution:

Erica J. Dobbs, Attorney
ATTN: Melissa Higgins, Sr. Investigator
INDIANA DEPARTMENT OF INSURANCE
311 West Washington Street, Suite 103
Indianapolis, Indiana 46204-2787

Tammy S. Eckstein
2168 Lee Lane
West Harrison, IN 47060

Michael Brown, Counsel for Respondent
KIGHTLINGER & GRAY, LLP
One Indiana Square, Suite 300
211 North Pennsylvania Street
Indianapolis, Indiana 46204

STATE OF INDIANA)
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**BEFORE THE INDIANA
COMMISSIONER OF INSURANCE**

CAUSE NO.: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
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West Harrison, IN 47060)

Respondent.)

Type of Agency Action: Enforcement)

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FILED

FEB 08 2019

**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, Erica J. Dobbs, and Tammy S. Eckstein ("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, Respondent was a licensed resident insurance producer, holding license number 2512970 since January 21, 1995;

WHEREAS, criminal charges were filed against Respondent in Ripley County Superior Court I on January 13, 2017;

WHEREAS, on January 13, 2017, an Initial Hearing Order was entered by the Court;

WHEREAS, On June 1, 2018, Respondent reported to the Department that she had been convicted of Battery Resulting in Moderate Bodily Injury, a Level 6 Felony, on May 3, 2018, pursuant to a guilty plea;

WHEREAS, On January 18, 2019, an Order Granting Agreed Motion to Modify Sentence was filed in Ripley Circuit Court, amending the sentence of Battery Resulting in Moderate Bodily Injury from a Felony to a Class A Misdemeanor;

WHEREAS, the Department discovered that on March 2, 2017 Respondent entered a Financial Industry Regulatory Authority ("FINRA") Letter of Acceptance, Waiver, and Consent resulting in a two (2) month suspension of Respondent's FINRA license and a two thousand five hundred dollar (\$2500) fine;

WHEREAS, the Respondent failed to disclose this action to the Department;

WHEREAS, Respondent's license expired on January 31, 2019;

WHEREAS, Indiana Code § 27-1-15.6-12(b)(8) states, in part, that the Commissioner may place an insurance producer on probation and levy a civil penalty for using fraudulent, coercive, or dishonest practices, or demonstrating incompetence, untrustworthiness, or financial irresponsibility in the conduct of business in Indiana or elsewhere;

WHEREAS, Indiana Code § 27-1-15.6-12(b)(2)(A) states, in part, that the Commissioner may place an insurance producer on probation and levy a civil penalty for violating an insurance law;

WHEREAS, Indiana Code § 27-1-15.6-17(a) is an insurance law, which states that not more than thirty (30) days after the final disposition of the matter, an insurance producer shall report to the Commissioner any administrative action of the producer initiated in any jurisdiction or governmental agency;

WHEREAS, Indiana Code § 27-1-15.6-17(b) is an insurance law, which states that not more than thirty (30) days after an initial pretrial hearing date, a producer shall report to the commissioner any criminal prosecution of the producer initiated in any jurisdiction. The report

shall include a copy of the initial complaint filed, the order resulting from the hearing, and any other relevant legal documents; 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. In order to avoid formal litigation in this matter, Respondent has determined that it is in her best interests to enter into this Agreed Entry. As such, Respondent acknowledges that she executes this Agreed Entry with full realization of its contents and effects.
3. This Agreed Entry is executed knowingly, voluntarily, and freely by the Parties. The Parties agree that the terms of this Agreed Entry constitute final resolution of this matter.
4. Respondent knowingly, voluntarily and freely waives the right to a public hearing on this matter, including the right to appear in person before the Commissioner, present evidence, cross-examine witnesses, and present arguments.
5. Respondent knowingly, voluntarily and freely waives the right to judicial review of this matter or otherwise appeal or challenge the validity of this Agreed Entry.
6. Respondent knowingly, voluntarily, and freely waives, releases, and forever discharges all claims or challenges, known or unknown, against the Department, its Commissioner, employees, agents, and representatives, in their individual and official capacities, that arise out of or are related to the Agreed Entry or Final Order, including but not limited to any

act or omission as part of the underlying audit, investigation, negotiation, or approval process.

7. Respondent's license renewal application shall be approved, and Respondent placed on probation for a period of two (2) years, beginning the date the Commissioner enters the Final Order adopting this Agreed Entry.
8. During the probationary period any violation of Title 27 of the Indiana Code will result in the Department seeking immediate revocation of Respondent's license.
9. Respondent must provide proof of successful completion of her probation in the criminal case referenced above within thirty (30) days of her release from probation.
10. Respondent shall successfully complete Anger Management Counseling and three (3) hours of ethics training (in addition to those required by Indiana Code § 27-1-15.7-2(a)) within the first one hundred twenty (120) days following the date of the Final Order adopting this Agreed Entry, and provide proof of completion to the Department.
11. Respondent shall pay a civil penalty in the amount of five hundred dollars (\$500) within thirty (30) days of the Final Order adopting this Agreed Entry.
12. Respondent has carefully read and examined this Agreed Entry and fully understands its terms.
13. Respondent has had the opportunity to have this Agreed Entry reviewed by legal counsel of her choosing, at her own expense, and is aware of the benefits gained and obligations incurred by the execution of this Agreed Entry. Respondent understands and agrees that the Department cannot give him legal advice.
14. Respondent has entered into this Agreed Entry knowingly, voluntarily, and freely, and has not been subject to duress, coercion, threat, or undue influence.

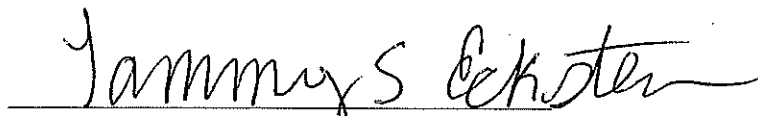
15. This Agreed Entry constitutes the entire agreement between the Parties, and no other promises or agreements, express or implied, have been made by the Department or by any employee, director, agent or other representative thereof to induce Respondent to enter this Agreed Entry.
16. The Department agrees to accept Respondent's compliance with the terms of this Agreed Entry as full satisfaction of this matter, and warrants and represents that so long as Respondent complies with the terms of this Agreed Entry, the Department will not bring any further action against Respondent based on the facts that gave rise to this Agreed Entry.
17. In the event the Department finds there has been a breach of any of the provisions of this Agreed Entry, the Department may reopen this matter and pursue alternative action pursuant to Indiana Code § 27-1-15.6-12.
18. Respondent waives any applicable statute of limitations for purposes of any enforcement of the terms and conditions of this Agreed Entry.
19. Respondent acknowledges that this Agreed Entry may be admitted into evidence in any judicial or administrative proceeding against Respondent to enforce the terms and conditions contained herein.
20. Respondent understands that this Agreed Entry resolves only the matter pending with the Department and does not affect any criminal prosecution or civil litigation that may be pending or hereinafter commence against Respondent.
21. This Agreed Entry does not in any way affect the Department's authority in future audits, investigations, examinations, negotiations, or other complaints involving Respondent.

22. It is expressly understood that this Agreed Entry is subject to the Commissioner's acceptance and has no force or effect until such acceptance is evidenced by the entry of a Final Order by the Commissioner.
23. 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 or Respondent from further participation in or resolution of these proceedings.
24. If this Agreed Entry is accepted by the Commissioner, it will become part of Respondent's permanent record and may be considered in future actions brought by the Department or any other regulator against Respondent. It is further understood that, if accepted by the Commissioner, this Agreed Entry and resulting Final Order are public records pursuant to Indiana Code § 4-21.5-3-32 that may not be sealed or otherwise withheld from the public, and may be reported to the National Association of Insurance Commissioners and published on the Department's website as required.
25. Respondent acknowledges that this is an Administrative Action she may be required to report to other jurisdictions in which she is licensed and on future licensing applications.

2/7/19
Date Signed


Erica J. Dobbs, Attorney #30588-49
Indiana Department of Insurance

2-5-19
Date Signed


Tammy S. Eckstein, Respondent

STATE OF ~~INDIANA~~ OHIO)
) SS:
COUNTY OF Hamilton)

Before me a Notary Public for Hamilton County, State of ~~Indiana~~ ^{OHIO},
personally appeared Tammy S. Eckstein, and being first duly sworn by me upon her oath, says that
the facts alleged in the foregoing instrument are true.

Signed and sealed this 5th day of February, 2019.



STEPHANIE LARICCIA
Notary Public, State of Ohio
My Commission Expires 09-13-2022

Stephanie Lariccia
Signature

Stephanie Lariccia
Printed

My Commission expires: 9-13-2022

County of Residence: Hamilton

Return executed originals to:

INDIANA DEPARTMENT OF INSURANCE
Enforcement Division, Suite 103
311 West Washington Street
Indianapolis, IN 46204-2787
317/234-5883 - telephone
317/234-5882 - facsimile

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER of INSURANCE

CAUSE NO.: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
2168 Lee Lane)
West Harrison, IN 47060)

Respondent.)

License Number: 2512970)

Type of Action: Enforcement)

FILED

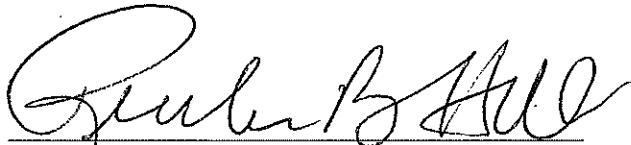
FEB 18 2019

STATE OF INDIANA
DEPT. OF INSURANCE

ORDER OF DISMISSAL

This matter comes before the Administrative Law Judge on the Department's Motion to Dismiss the Statement of Charges pending in this Cause.

IT IS THEREFORE ORDERED, the Statement of Charges filed in this Cause is hereby dismissed, without prejudice, and the hearing scheduled for May 22, 2019 at 10:00 a.m. is VACATED.



Reuben Hill
Administrative Law Judge

Distribution:

Erica J. Dobbs, Attorney
ATTN: Melissa Higgins, Sr. Insurance Investigator
INDIANA DEPARTMENT OF INSURANCE
311 W. Washington St., Suite 103
Indianapolis, IN 46204-2787

Michael Brown
KIGHTLINGER & GRAY, LLP
One Indiana Square, Suite 300
211 North Pennsylvania Street
Indianapolis, IN 46204

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER of INSURANCE

CAUSE NO.: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
2168 Lee Lane)
West Harrison, IN 47060)

Respondent.)

License Number: 2512970)

Type of Action: Enforcement)

FILED

FEB 18 2019

STATE OF INDIANA
DEPT. OF INSURANCE

DEPARTMENT'S MOTION TO DISMISS AND VACATE HEARING

The Indiana Department of Insurance ("Department") herein moves the Administrative Law Judge to dismiss the Statement of Charges filed in this Cause and vacate the hearing scheduled for May 22, 2019 at 10:00 a.m., for the following reason(s):

- 1) The Parties have executed a mutually acceptable Agreed Entry, which the Commissioner adopted by way of Final Order on February 8, 2019, thereby resolving this matter.

WHEREFORE, the Indiana Department of Insurance moves the Administrative Law Judge to dismiss this Cause, without prejudice, and for all other relief just and proper in the premises.

Respectfully Submitted,


Erica J. Dobbs, Attorney #30588-49
Enforcement Division – Indiana Dept. of Insurance

Distribution:

Erica J. Dobbs, Attorney
ATTN: Melissa Higgins, Sr. Insurance Investigator
INDIANA DEPARTMENT OF INSURANCE
311 W. Washington St., Suite 103
Indianapolis, IN 46204-2787

Michael Brown
KIGHTLINGER & GRAY, LLP
One Indiana Square, Suite 300
211 North Pennsylvania Street
Indianapolis, IN 46204

STATE OF INDIANA)
) SS:
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BEFORE THE INDIANA
COMMISSIONER OF INSURANCE
CAUSE NO: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
2168 Lee Lane)
West Harrison, IN 47060)

Respondent.)

License Number: 2512970)

Type of Action: Enforcement)

FILED

OCT 12 2018

**STATE OF INDIANA
DEPT. OF INSURANCE**

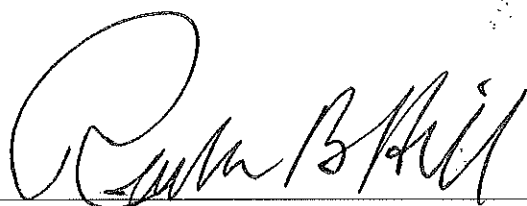
ORDER GRANTING UNOPPOSED MOTION FOR CONTINUANCE

This cause came before the Administrative Law Judge upon the unopposed motion of the Respondent Tammy S. Eckstein for a continuance of the hearing now set for October 24, 2018, and the Administrative Law Judge having reviewed same, now GRANTS said motion.

IT IS THEREFORE ORDERED that the hearing scheduled for October 24, 2018 will be continued for a period of 60 days. This matter is now set for hearing on the 3 day of _____

January, 2019. at 10:00AM.

DATED: 10-12-18



Administrative Law Judge
Indiana Commissioner of Insurance

Distribution to:

Michael E. Brown - mbrown@k-glawn.com
Erica Dobbs - Edobbs@idoi.in.gov

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE
CAUSE NO: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
2168 Lee Lane)
West Harrison, IN 47060)

Respondent.)

License Number: 2512970)

Type of Action: Enforcement)

FILED

OCT 09 2018

STATE OF INDIANA
DEPT. OF INSURANCE

APPEARANCE

1. Please enter my appearance for: Tammy S. Eckstein
2. Attorney information (as applicable for service of process):

Name:	Michael E. Brown	Atty. Number: 2914-49
Address:	Kightlinger & Gray, LLP	Phone: 317/638-4521
	211 N. Pennsylvania Street	FAX: 317/636-5917
	Suite 300	Computer address:
	Indianapolis, Indiana 46204	mbrown@k-glawn.com
3. Will responding party accept service by FAX and EMAIL

Respectfully Submitted,

By: Michael E. Brown

Michael E. Brown
Attorney I.D. No. 2914-49
Attorney for Respondents

CERTIFICATE OF SERVICE

The undersigned hereby certifies that a true and correct copy of the foregoing document has been served upon the following via Email this 8th day October, 2018:

Erica Dobbs – Edobbs@idoi.in.gov
ATTN: Melissa Higgins, Sr. Insurance Investigator
Indiana Department of Insurance
311 W. Washington Street, Suite 103
Indianapolis, IN 46204-2787

Judson McMillin
814 Main Street
Brookville, IN 47012

/s Michael E. Brown
Michael E. Brown

Michael E. Brown
KIGHTLINGER & GRAY, LLP
211 N. Pennsylvania, Suite 300
Indianapolis, Indiana 46204
Telephone: (317) 968-8119
mbrown@k-glaw.com

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE
CAUSE NO: 17308-AG18-0716-117

IN THE MATTER OF:)
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Tammy S. Eckstein)
2168 Lee Lane)
West Harrison, IN 47060)
)
Respondent.)
)
License Number: 2512970)
)
Type of Action: Enforcement)

FILED

JAN 03 2019

STATE OF INDIANA
DEPT. OF INSURANCE

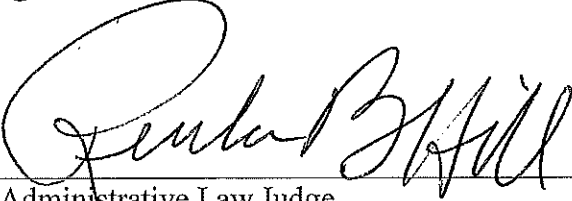
ORDER GRANTING UNOPPOSED MOTION FOR CONTINUANCE

This cause came before the Administrative Law Judge upon the unopposed motion of the Respondent Tammy S. Eckstein to continue the hearing now set for January 3, 2019, and the Administrative Law Judge having reviewed same, now GRANTS said motion.

IT IS THEREFORE ORDERED that the hearing scheduled for January 3, 2019 is continued to May 22, 2019, subject to request of either party to seek an earlier date.

@ 10:00 AM Est.

DATED: 1-3-19



Administrative Law Judge
Indiana Commissioner of Insurance

Distribution to:

Michael E. Brown – mbrown@k-glaw.com
Erica Dobbs – Edobbs@idoi.in.gov

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE
CAUSE NO: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
2168 Lee Lane)
West Harrison, IN 47060)

Respondent.)

License Number: 2512970)

Type of Action: Enforcement)

FILED

DEC 27 2018

**STATE OF INDIANA
DEPT. OF INSURANCE**

UNOPPOSED MOTION FOR CONTINUANCE

Respondent Tammy S. Eckstein, by counsel, moves the Administrative Law Judge to continue the hearing now set for January 3, 2019 and in support show the following:

1. The Department filed a Statement of Charges against the Respondents on September, 12 2018.
2. Counsel for the parties have been discussing a possible resolution of the charges and the potential impact thereon of other proceedings but additional time is needed to determine whether an agreement can be reached.
3. The Respondent's license will lapse soon and a renewal will not be approved pending resolution of the pending charges.
4. The undersigned is authorized to advise that counsel for the Department has no objection to this continuance.

Wherefore, Respondent Tammy S. Eckstein prays the Administrative Law Judge continue the hearing in this cause from January 3, 2019 to a date after June 1, 2019, subject to request of either party to seek an earlier date, and for all other just and proper relief in the premises.

Respectfully Submitted,

By: Michael E. Brown

Michael E. Brown

Attorney I.D. No. 2914-49

Attorney for Respondent

CERTIFICATE OF SERVICE

The undersigned hereby certifies that a true and correct copy of the foregoing document has been served upon the following via Email this 26th day December 2018:

Erica Dobbs – Edobbs@idoi.in.gov

/s Michael E. Brown

Michael E. Brown

Michael E. Brown
KIGHTLINGER & GRAY, LLP
211 N. Pennsylvania, Suite 300
Indianapolis, Indiana 46204
Telephone: (317) 968-8119
mbrown@k-glaw.com

STATE OF INDIANA)
) SS:
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BEFORE THE INDIANA
COMMISSIONER of INSURANCE

CAUSE NO.: 17308-AG18-0716-117

IN THE MATTER OF:)

Tammy S. Eckstein)
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West Harrison, IN 47060)

Respondent.)

License Number: 2512970)

Type of Action: Enforcement)

FILED

SEP 12 2018

STATE OF INDIANA
DEPT. OF INSURANCE

NOTICE OF HEARING

Notice is hereby given, pursuant to Indiana Code § 4-21.5-3 *et seq.*, that an evidentiary hearing will be held on October 24, 2018, at 10:00 Eastern Time at 311 West Washington Street, Suite 103, Indianapolis, Indiana 46204-2787, to determine whether the Indiana Department of Insurance is entitled to the relief requested in its Statement of Charges.

The hearing will be conducted in accordance with the provisions of the Administrative Orders and Procedures Act, codified at Indiana Code § 4-21.5-3 *et seq.* The Commissioner's authority regarding agent licensing is contained in Indiana Code § 27-1-15.6-12(b).

The issues to be resolved at the hearing are those described in the Statement of Charges filed the same date as this Notice.

The Indiana Department of Insurance asserts that Respondent has violated Indiana Code § 27-1-15.6-12(b)(6) by having been convicted of a felony, and Indiana Code § 27-1-15.6-12(b)(2)(A), by violating insurance laws, specifically Indiana Code §§ 27-1-15.6-17(a) and 27-1-15.6-17(b).

In accordance with Indiana Code § 27-1-15.6-34, the Administrative Law Judge in this matter is:

Reuben B. Hill

Indiana Department of Insurance
311 West Washington Street, Suite 103
Indianapolis, Indiana 46204-2787
Telephone: (317) 232-2387

The Department of Insurance will be represented by its counsel, Erica J. Dobbs, who can be reached at:

Indiana Department of Insurance
311 West Washington Street, Suite 103
Indianapolis, Indiana 46204-2787
Telephone: (317) 234-5887

A party who fails to attend or participate in a pre-hearing conference, hearing or other later stage of the proceeding, may be held in default or have a proceeding dismissed under Indiana Code Section 4-21.5-3-24.

Dated: 9/12/18

Reuben B. Hill
Administrative Law Judge
Indiana Department of Insurance

Distribution:

Erica J. Dobbs, Attorney
ATTN: Melissa Higgins, Sr. Insurance Investigator
Indiana Department of Insurance
311 W. Washington St., Suite 103
Indianapolis, IN 46204-2787

Tammy Eckstein
2168 Lee Lane
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STATE OF INDIANA)
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BEFORE THE INDIANA
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SEP 12 2018

STATE OF INDIANA
DEPT. OF INSURANCE

STATEMENT OF CHARGES

The Enforcement Division of the Indiana Department of Insurance ("Department"), by counsel, Erica J. Dobbs, pursuant to the Indiana Administrative Orders and Procedures Act, Indiana Code § 4-21.5 *et seq.*, files its Statement of Charges against Tammy S. Eckstein ("Respondent"), as follows:

FACTS

1. Respondent is a licensed resident insurance producer, holding license number 2512970 since January 21, 1995.
2. Criminal charges were filed against Respondent in Ripley County Superior Court I on January 13, 2017.
3. Court records show that Respondent pushed another individual, resulting in the other individual suffering a fracture to her finger on her left hand, a fracture to her right wrist, and a separated left shoulder.
4. The same day charges were filed, Respondent, by counsel, filed a request that the warrant be recalled, the matter be set for initial hearing, and that that initial hearing be waived.

5. The Court granted Respondent's request, setting her Initial Hearing for January 13, 2017, waiving said hearing, and setting the matter for an Omnibus Pretrial Conference on February 28, 2017.
6. On June 1, 2018, Respondent reported to the Department that she had been convicted of Battery Resulting in Moderate Bodily Injury, a Level 6 Felony, on May 3, 2018, pursuant to a guilty plea.
7. During its investigation into this matter, the Department discovered that on March 2, 2017, Respondent entered a Financial Industry Regulatory Authority ("FINRA") Letter of Acceptance, Waiver, and Consent resulting in a two (2) month suspension of Respondent's FINRA license and a two thousand five hundred dollar (\$2500) fine.
8. Respondent never reported this FINRA action to the Department.

CHARGES

COUNT I

1. Averments 1 through 6 are incorporated fully herein by reference.
2. Indiana Code § 27-1-15.6-12(b) states the Commissioner of the Indiana Department of Insurance ("Commissioner") may permanently revoke an insurance producer license, due to a number of causes.
3. Specifically, Indiana Code § 27-1-15.6-12(b)(6) states the Commissioner may permanently revoke an insurance producer license for having been convicted of a felony.

COUNT II

1. Averments 1 through 6 are incorporated fully herein by reference.
2. Indiana Code § 27-1-15.6-12(b) states the Commissioner may permanently revoke an insurance producer license, due to a number of causes.

3. Specifically, Indiana Code § 27-1-15.6-12(b)(2)(A) states the Commissioner may permanently revoke an insurance producer license for violating an insurance law.
4. Respondent's conduct violates Indiana Code § 27-1-15.6-17(b), which is an insurance law that requires, in part, that not more than thirty (30) days after an initial pretrial hearing date, an insurance producer shall report to the Commissioner any criminal prosecution of the producer initiated in any jurisdiction.

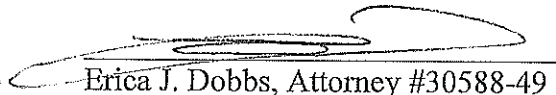
COUNT III

1. Averments 1 and 7 through 8 are incorporated fully herein by reference.
2. Indiana Code § 27-1-15.6-12(b) states the Commissioner may permanently revoke an insurance producer license, due to a number of causes.
3. Specifically, Indiana Code § 27-1-15.6-12(b)(2)(A) states the Commissioner may permanently revoke an insurance producer license for violating an insurance law.
4. Respondent's conduct violates Indiana Code § 27-1-15.6-17(a), which is an insurance law that requires, in part, 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.

WHEREFORE, the Enforcement Division of the Indiana Department of Insurance, by counsel, Erica J. Dobbs, requests that the Commissioner set this matter for a hearing pursuant to Indiana Code § 4-21.5 *et seq.*, and:

- (1) Issue an order permanently revoking Respondent's insurance producer license; and
- (2) Grant all other relief just and proper in the premises.

Respectfully submitted,

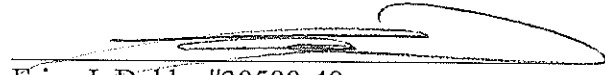


Erica J. Dobbs, Attorney #30588-49
Attorney, Enforcement Division

Indiana Department of Insurance
Enforcement Division
311 West Washington Street, Suite 103
Indianapolis, Indiana 46204-2787
Telephone: (317) 234-5887
Facsimile: (317) 232-5251

CERTIFICATE OF SERVICE

I certify that a copy of the foregoing has been served upon the Respondent and Judson McMillin, Counsel for Respondent, at the address listed below, by United States first class mail, postage prepaid, this 12 day of September 2018.



Erica J. Dobbs #30588-49

Distribution:

Erica J. Dobbs, Attorney
ATTN: Melissa Higgins, Sr. Insurance Investigator
Indiana Department of Insurance
311 W. Washington St., Suite 103
Indianapolis, IN 46204-2787

Tammy Eckstein
2168 Lee Lane
West Harrison, IN 47060

Judson McMillin
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Brookville, IN 47012