DEPARTMENT OF INSURANCE, FINANCIAL INSTITUTIONS AND PROFESSIONAL REGISTRATION

P.O. Box 690, Jefferson City, Mo. 65102-0690

RECEIVED
MAR 05 2012
DEPT OF INSURANCE, FINANCIAL INSTITUTIONS & PROFESSIONAL REGISTRATION

In Re: Investment Professionals, Inc.
16414 San Pedro Ave., Ste. 150
San Antonio, TX 78232

Tracking ID 158968e

VOLUNTARY FORFEITURE

It is hereby agreed by Investment Professionals, Inc. and the Consumer Affairs Division of the Department of Insurance, Financial Institutions and Professional Registration, as follows:

WHEREAS, John M. Huff is the duly appointed Director of the Department of Insurance, Financial Institutions and Professional Registration, State of Missouri, (hereinafter, Director) whose duties, pursuant to Chapters 374 and 375, RSMo, include the supervision and regulation of the business of insurance;

WHEREAS, the Consumer Affairs Division of the Department of Insurance, Financial Institutions and Professional Registration is charged with investigating producers and companies engaged in the business of insurance pursuant to Sections 374.085 and 374.190, RSMo 2000 and is authorized by the Director to recommend enforcement action under the laws relating to insurance;

WHEREAS, Investment Professionals, Inc. has a non-resident business entity producer license renewal application pending with the Department of Insurance, Financial Institutions and Professional Registration, pursuant to Chapters 374 and 375, RSMo;

WHEREAS, information has been received by the Consumer Affairs Division that Investment Professionals, Inc. failed to correctly answer on the license application that it was the subject of two administrative actions imposed by FINRA and the state of Colorado, respectively, which is grounds for discipline under Section 375.141.1(1), RSMo (Supp. 2011), subjecting Investment Professionals, Inc. to enforcement action by the Director;

WHEREAS, Investment Professionals, Inc. has been informed of the nature of the violation, of its right to counsel and of its right to contest any attempt by the Department of Insurance, Financial Institutions and Professional Registration, to refuse its license, or to recover whatever penalties or other monetary relief as may be provided for by statute, and states that it understands its rights to contest any such actions;

NOW, THEREFORE, in lieu of the institution by the Department of Insurance, Financial Institutions and Professional Registration of any action to deny the license of Investment Professionals, Inc., or to impose any other penalties provided for by statute for the above-described violations, after being afforded the opportunity to consult legal counsel, Investment Professionals, Inc. does hereby voluntarily and knowingly surrender and forfeit the sum of $500, such sum to be paid into the Missouri State School Fund pursuant to Sections 374.046 and 374.280, RSMo.

Investment Professionals, Inc. shall submit this sum to the Department of Insurance, Financial Institutions and Professional Registration, by cashier's check or money order made payable to the Missouri State School Fund no later than March 4, 2012.

DATED: 3. 2. 2012

Investment Professionals, Inc.
License Number: 8010371

DATED: 3. 7. 12

Matt Barton, Director
Division of Consumer Affairs

DATED: 3. 8. 12

John M. Huff, Director
Department of Insurance,
Financial Institutions and
Professional Registration

Please return original to:
Lynda Kammeier
PO Box 4001
Jefferson City, MO 65102