



BEFORE THE IOWA INSURANCE COMMISSIONER

IN THE MATTER OF)	Division Case No. 94918
)	
THE SECURITIES AND)	ORDER OF APPOINTMENT
REGULATED INDUSTRIES)	OF DEPUTY ADMINISTRATOR
BUREAU)	FOR SECURITIES

WHEREAS, Iowa Code § 502.601(1) of the Iowa Uniform Securities Act (“Securities Act”) provides that the Securities Act shall be administered by the Commissioner of Insurance;

WHEREAS, the Commissioner may appoint a deputy administrator for the Securities and Regulated Industries Bureau and such other officers, attorneys, accountants and other employees as needed for the administration of the Securities Act; and

NOW THEREFORE, the Commissioner appoints Assistant Commissioner Andrew M. Hartnett as deputy administrator for the Securities and Regulated Industries Bureau under Iowa Code § 502.601(1) of the Securities Act.

IT IS ORDERED that the Commissioner delegates to Assistant Commissioner Hartnett the supervision of all administrative and investigative authority and functions necessary to administer the Securities Act, including, but not limited to, conducting investigations under Iowa Code §502.602, and issuing or denying securities, broker-dealer and agent registrations or exemptions as authorized by law. All prosecutorial functions in administrative enforcement actions, including the filing of statements of charges, remain delegated to the compliance attorneys in the Enforcement Bureau and all adjudicative functions including presiding over hearings, the making of the record and the issuance of disciplinary orders, cease and desist orders, consent orders and all other enforcement orders under Iowa Code § 502.604 are reserved to the Commissioner, or may be vested in the First Deputy Commissioner, who by assignment may preside over contested case hearings and submit proposed decisions and orders to the Commissioner.

SO ORDERED on this 25th day of June, 2019.

DOUGLAS M. OMMEN
Insurance Commissioner