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IN THE MATTER OF §
THE INVESTMENT ADVISER §
REGISTRATION OF §
INTEGRITY RIA, LLC §

Order No. REG19-CAF-03

TO: Shawn M. Defoe, President/CCO
Integrity RIA, LLC (CRD # 150415)
221 Southpark Rd., Ste. 102
Lafayette, LA 70508

DISCIPLINARY ORDER

Be it remembered that Integrity RIA, LLC ("Respondent") appeared before the Securities Commissioner of the State of Texas ("Securities Commissioner") and consented to the entry of this order ("Order") and the Findings of Fact and the Conclusions of Law contained herein.

FINDINGS OF FACT

1. Respondent has waived (a) Respondent's right to notice and hearing in this matter; (b) Respondent's right to appear and present evidence in this matter; (c) Respondent's right to appeal this Order; and (d) all other procedural rights granted to the Respondent by the Securities Act, Tex. Rev. Civ. Stat. Ann. Arts. 581-1 to 581-45 (West 2010 & Supp. 2018) ("Texas Securities Act"), and the Administrative Procedure Act, Tex. Gov't Code Ann. §§ 2001.001 to 2001.902 (West 2008 & Supp. 2018) ("Administrative Procedure Act").
2. On November 30, 2018 Respondent applied for registration with the Securities Commissioner as an investment adviser. This registration is currently pending.

3. Beginning in December 2009, Respondent engaged in the business of advising others with respect to the advisability of investing in, purchasing, or selling securities in the state of Texas.
4. For the period between December 2009 and September 2018, Respondent collected compensation in connection with its investment advisory services to Texas residents.
5. Respondent has never been registered with the Securities Commissioner in any capacity. However, Respondent is located in the state of Louisiana and, at all times during the relevant period, has been registered as an investment adviser with the Louisiana Office of Financial Institutions Securities Division.
6. Respondent has never maintained a place of business in Texas.
7. Respondent relied on Section §116.1(b)(2)(A)(iv) of the Rules and Regulations of the Texas State Securities Board, which exempts from the registration requirements of the Texas Securities Act an investment adviser who does not have a place of business located in Texas and, during the preceding twelve-month period, has had five (5) or fewer clients who are Texas residents.
8. In February 2013, however, Respondent acquired more than five (5) clients who are Texas residents. Yet, Respondent continued to render investment advice, for compensation, to Texas clients.

CONCLUSIONS OF LAW

1. From December 2009 through September 2018, Respondent acted as an “investment adviser” in Texas as the term “investment adviser” is defined by Section 4.N of the Texas Securities Act.
2. From February 2013 through September 2018, Respondent violated Section 12.B of the Texas Securities Act by rendering services as an investment adviser in Texas at a time when Respondent was not registered with the Securities Commissioner as an investment adviser and was no longer exempt from registration requirements.
3. Pursuant to Section 14.A(6) of the Texas Securities Act, Respondent’s violation of Section 12.B of the Texas Securities Act constitutes a basis for the issuance of an order reprimanding Respondent.

4. Pursuant to Section 23-1 of the Texas Securities Act, Respondent's violation of Section 12.B of the Texas Securities Act constitutes a basis for the assessment of an administrative fine against Respondent.

ORDER

1. It is therefore ORDERED that the investment adviser registration of Integrity RIA, LLC is hereby GRANTED.
2. It is further ORDERED that Integrity RIA, LLC is hereby REPRIMANDED.
3. It is further ORDERED that Integrity RIA, LLC shall pay an ADMINISTRATIVE FINE in the amount of Twelve Thousand and Five Hundred Dollars (\$12,500.00). Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of Twelve Thousand and Five Hundred Dollars (\$12,500.00), payable to the State of Texas, contemporaneously with the delivery of this Order.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 1st
day of April, 2019.



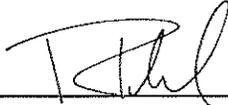
TRAVIS J. ILES
Securities Commissioner

Respondent:

Integrity RIA, LLC
By: Shawn M. Defoe, President/CCO

Approved as to Form:

Clinton Edgar
Deputy Securities Commissioner



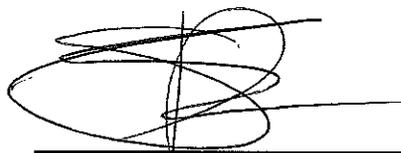
Ronak Patel
Attorney for Respondent

Brittanie R. Jones
Attorney
Registration Division



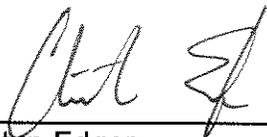
Stephen Miles
Attorney for Respondent

Respondent:



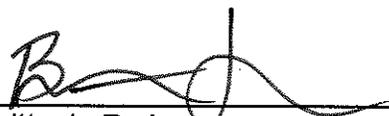
Integrity RIA, LLC
By: Shawn M. Defoe, President/CCO

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