

2007 Administrative Actions:
April - June

| <u>Licensee Name</u> | <u>Type of License</u> | <u>Case No.</u> | <u>Primary Allegation(s)</u> | <u>Disposition</u> | <u>Effective Date</u> |
|--|------------------------|-----------------|--|---|-----------------------|
| 3 Mark Financial Texas, Inc. | Producer | 5892 | Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$1,250 fine, cease & desist from violations | 05/18/07 |
| Aldred, James J. | Producer | 5678B | Operated under a name not on his license | Settlement Agreement: \$200 civil penalty, cease & desist from violations | 05/24/07 |
| Anawan Insurance Agency, Inc./Michaels, Stephen G. | Producer | 3149A | Paid compensation to an unlicensed entity | Administrative Decision: \$30,000 fine, cease & desist from violations | 05/16/07 |
| Anderson, Belinda M. | Producer | 4878 | Failed to timely report administrative action(s) | Administrative Decision: License Revocation; \$1,000 fine, cease & desist from all insurance activity | 05/14/07 |
| Arc Excess & Surplus, LLC | Producer | 5774 | Placed policies while unlicensed | Settlement Agreement: \$400 fine, cease & desist from violations | 04/02/07 |
| Bolton, Suzanne Lynn | Producer | 5771 | Failed to timely report administrative action(s) | Settlement Agreement: Cease & desist from violations | 05/24/07 |
| Cardinale, Guy G. | Producer | 5659 | Failed to make required disclosure | Settlement Agreement: License Revocation; cease & desist from all insurance activity | 04/17/07 |

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| Chaturvedi, Rahul | Unlicensed | 5576A | Offered health care plans in Massachusetts without being properly licensed, failed to file plans with the Division and failed to respond to information requests | Settlement Agreement: License revocation, cease & desist from all insurance activity | 06/27/07 |
| Durkin & DeVries Insurance Agency, LLC | Producer | 5420 | Issued an invalid bond | Settlement Agreement: \$5,000 fine, cease & desist from violations | 05/18/07 |
| Eleftherion, James A. | Producer | 5691B | Failed to timely report administrative action(s) | Consent Agreement: \$250 fine, cease & desist from violations | 04/11/07 |
| Haddix, Terrence Scott | Producer | 4861 | Failed to timely report administrative action(s), failure to cooperate with an investigation | Administrative Decision: License Revocation; \$2,000 fine, cease & desist from all insurance activity | 05/23/07 |
| Hedberg, Larry L. | Producer | 4487 | Failed to make required disclosure | Settlement Agreement: \$350 fine, cease & desist from violations | 04/26/07 |
| Herman E. Wealcatch (Maryland), Inc. | Producer | 5803 | Placed policies while unlicensed | Settlement Agreement: \$300 fine, cease & desist from violations | 04/02/07 |
| Hettenhaus, Pamela A. | Producer | 5344 | Failed to timely report administrative action(s) | Settlement Agreement: \$250 fine, cease & desist from violations | 05/10/07 |
| Hoh, Bohdan Stephen | Producer | 5700 | Failed to timely report administrative action(s) | Settlement Agreement: Cease & desist from violations | 05/31/07 |

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| Howard, Justin Marc | Producer | 5764 | Failed to timely report administrative action(s) | Settlement Agreement: \$500 civil penalty, cease & desist from violations | 04/26/07 |
| Kaveney Insurance Agency, Inc. | Producer | 5732 | Failed to make required disclosure on licensing application(s) | Settlement Agreement: \$150 fine, cease & desist from violations | 05/01/07 |
| Landry, Paul A. | Producer | 5325 | Failed to timely report administrative action(s) | Settlement Agreement: License Revocation; cease & desist from all insurance activity | 04/18/07 |
| Lee & Mason Financial Services, Inc. | Producer | 5499F | Placed policies while unlicensed, placed policies with a company not authorized to write those policies | Settlement Agreement: \$1,500 fine, cease & desist from violations | 06/13/07 |
| Martin Rosner Eleftherion, Inc. | Producer | 5691A | Failed to timely report administrative action(s) | Consent Agreement: \$250 fine, cease & desist from violations | 04/11/07 |
| Martin, Peter G. | Producer | 5766A | Unfair Trade Practice | Settlement Agreement: \$1,000 fine, cease & desist from violations | 06/27/07 |
| Matternas, John J. | Producer | 5388 | Failed to timely report administrative action(s) | Settlement Agreement: \$400 fine, cease & desist from violations | 04/18/07 |
| McKeseey, Winnifred Frazer d/b/a Aztec Insurance Agency | Producer | 5132 | Failed to remit premiums in a timely manner | Settlement Agreement: License Revocation; cease & desist from all insurance activity | 04/05/07 |

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| Members First Insurance Brokerage, Inc. | Producer | 5724 | Placed policies while unlicensed | Settlement Agreement: \$225 civil penalty, cease & desist from violations | 04/18/07 |
| Novak Charter Oak Financial Group | Producer | 5718 | Impersonation, failed to notify of the dissolution a the partnership | Settlement Agreement: \$500 civil penalty, cease & desist from violations | 04/11/07 |
| Periera, Agenario G. | Producer | 5745 | Failed to make proper disclosure on licensing application(s) | Settlement Agreement: License revocation, cease & desist from all insurance activity | 05/22/07 |
| Physician Medical Centers, Inc. | Unlicensed | 5576B | Offered health care plans in Massachusetts without being properly licensed, failed to file plans with the Division and failed to respond to information requests | Settlement Agreement: License revocation, cease & desist from all insurance activity | 06/27/07 |
| Quality Contracting, Inc. | Unlicensed | 5251 | Adjusted without a license | Settlement Agreement: \$500 fine, cease & desist from violations | 04/30/07 |
| R. Marcil Associates, Inc. | Producer | 5911 | Placed policies while unlicensed | Settlement Agreement: \$1,700 fine, cease & desist from violations | 06/26/07 |
| Relmark Insurance Program Managers | Producer | 5828 | Placed policies while unlicensed | Settlement Agreement: \$200 fine, cease & desist from violations | 05/14/07 |
| Richard K. Bernache, LLC | Producer | 5800 | Placed policies while unlicensed | Settlement Agreement: \$1,000 fine, cease & desist from violations | 04/18/07 |

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| Rosen, Robert Stephen | Producer | 5870 | Failed to maintain continuing education, failed to respond to the Division | Settlement Agreement: License suspended, \$100 fine, cease & desist from violations | 06/05/07 |
| Senior Health Insurance Partnership, LLC | Producer | 5851 | Placed policies while unlicensed, operated in a name not on its license | Settlement Agreement: \$1,000 fine, cease & desist from violations | 06/05/07 |
| Sompo Japan Insurance Company of America | Company | 5791 | Produced policies without proper licensing authority | Settlement Agreement: \$6,200 administrative assessment, cease & desist from violations | 04/17/07 |
| Tiller, Cynthia L. | Producer | 5685 | Failed to make required disclosure on licensing application(s) | Settlement Agreement: \$500 fine, cease & desist from violations | 05/11/07 |
| Total Benefit Panning, Inc. d/b/a TBP Insurance | Producer | 5855 | Placed policies while unlicensed | Settlement Agreement: \$150 fine, cease & desist from violations | 06/27/07 |
| Ulico Insurance Group, Inc. | Producer | 5849 | Placed policies while unlicensed | Settlement Agreement: \$150 fine, cease & desist from violations | 05/14/07 |
| Windsor Benefit Consultants, Inc. | Unlicensed | 4638 | Placed policies while unlicensed, sold unapproved policies | Settlement Agreement: \$1,000 civil penalty, cease & desist from violations | 04/04/07 |