

<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>
Adler, Michael Phillip	Producer	5646	Failed to report administrative action(s)	Settlement Agreement: \$200 fine, cease & desist from violations	01/31/07
Amica Mutual Insurance Company	Company	5545	Misleading advertising	Settlement Agreement: \$12,000 administrative assessment, cease & desist from violations	02/07/07
Anastasi, Paul M.	Producer	5757	Inducement	Settlement Agreement: \$100 fine, cease & desist from violations	03/26/07
Aon Benefit Services, Inc.	Producer	5727	Placed policies while unlicensed	Settlement Agreement: \$150 civil penalty, cease & desist from violations	02/20/07
Arch Ins. Co.	Company	5499A	Placed policies while not properly licensed	Settlement Agreement: \$3,000 administrative assessment, cease & desist from violations	03/20/07
Babcock, John S.	Producer	5588	Failed to timely report administrative action(s)	Settlement Agreement: \$250 civil penalty, cease & desist from violations	02/20/07
Bankson, James P.	Producer	5692	Failed to timely report administrative action(s)	Settlement Agreement: \$1,250 civil penalty, cease & desist from violations	01/29/07
Benefit Plans of America, Inc.	Unlicensed	4254	Enrolled residents in a dental plan without authority to offer dental coverage in MA	Settlement Agreement: \$250 fine, cease & desist from violations	01/29/07

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Bourgault, Ashe & Associates, Inc.	Producer	5773	Placed policies while unlicensed	Settlement Agreement: \$350 fine, cease & desist from violations	02/28/07
Brokers International, Ltd. d/b/a Brokers International Insurance	Producer	5760	Failure to make required disclosure on licensing application(s)	Settlement Agreement: \$250 civil penalty, cease & desist from violations	02/20/07
Cobleigh, David A.	Producer	5629	Failed to report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	02/15/07
Cronin, Gervino & Warlick, Inc.	Producer	5743	Placed policies while unlicensed	Settlement Agreement: \$200 fine, cease & desist from violations	03/12/07
David E. Zeller Insurance Agency, Inc.	Producer	4270	Misleading advertising	Settlement Agreement: cease & desist from violations	12/09/06
First Heartland Capital, Inc.	Producer	5755	Placed policies while unlicensed	Settlement Agreement: \$250 fine, cease & desist from violations	03/01/07
Group Health Solutions, Inc.	Producer	5723	Placed policies while unlicensed	Settlement Agreement: \$300 fine, cease & desist from violations	02/05/07
Hagan, Philip Stephen	Producer	5609	Failed to report administrative action(s)	Settlement Agreement: \$250 civil penalty, cease & desist from violations	03/21/07
Hamel, Roger Gordon	Producer	5476	Failed to timely report administrative action(s), placed policies while unlicensed	Consent Agreement: License Revocation; cease & desist from all insurance activity	03/27/07

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Harry David Zutz Ins., Inc.	Producer	5719	Placed policies while unlicensed	Settlement Agreement: \$50 fine, cease & desist from violations	02/12/07
Haynes, Steven Hadley	Producer	5695	Failure to make required disclosure on licensing application(s)	Settlement Agreement: \$1,000 fine, cease & desist from violations	02/28/07
Heritage Warranty Insurance, RRG, Inc.	Risk Retention Group	4511	Placed policies while unregistered	Settlement Agreement: \$1,500 civil penalty, cease & desist from violations	03/26/07
Hornor, Townsend & Kent Incorporated	Producer	5734	Placed policies while unlicensed	Settlement Agreement: \$325 civil penalty, cease & desist from violations	03/13/07
IMT Services Corporation	Producer	5807	Placed policies while unlicensed	Settlement Agreement: \$1,000 fine, cease & desist from violations	03/26/07
J M Associates Insurance Services	Producer	5744	Placed policies while unlicensed	Settlement Agreement: \$500 civil penalty, cease & desist from violations	02/09/07
Kawai, Juntaro	Producer	5740	Failure to make required disclosure	Settlement Agreement: \$250 fine, cease & desist from violations	02/26/07
Lubrano, Salvatore Robert	Producer	4855	Failed to timely report administrative action(s)	Settlement Agreement: \$500 fine, cease & desist from violations	03/21/07
Maddaleni, Michael J.	Adjuster	5471B	Doing business in a name not on his license	Settlement Agreement: \$300 fine, cease & desist from violations	02/09/07

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Massachusetts Mutual Life Ins. Co.	Company	5768	Failure to give timely notification of transaction	Cease & desist from violations	03/20/07
Montuori Insurance Agency, Inc.	Producer	5720	Placed policies while unlicensed	Settlement Agreement: \$800 fine, cease & desist from violations	03/21/07
Naspo, David	Unlicensed	5000	Placed policies while unlicensed	Settlement Agreement: \$100 civil penalty, cease & desist from violations	03/08/07
Oak Tree Insurance Agency, Inc.	Producer	4921	Placed policies while unlicensed	Settlement Agreement: \$100 civil penalty, cease & desist from violations	01/17/07
One Stop Insurance Agency, Inc.	Producer	4805	Failed to maintain supervision	Settlement Agreement: \$500 civil penalty, cease & desist from violations	03/20/07
O'Rourke, Brian Christopher	Producer	5648	Failed to timely report administrative action(s)	Settlement Agreement: \$250 civil penalty, cease & desist from violations	02/23/07
Oxonia Insurance Group, Inc.	Producer	5722	Placed policies while unlicensed	Settlement Agreement: \$5,000 fine, cease & desist from violations	02/27/07
Pinnacle Insurance Agency, Inc.	Producer	5799	Placed policies while unlicensed	Settlement Agreement: \$150 fine, cease & desist from violations	03/14/07
Quinn, Thomas Francis	Producer	5554	Misrepresentation on an application for insurance	Settlement Agreement: \$2,000 fine, cease & desist from violations	03/20/07

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Reardon, Daniel Joseph	Producer	4279A	Trustworthiness - licenses revoked in other states	Administrative Decision: License Revocation; cease & desist from all insurance activity	01/03/07
Today's Insurance Agency, Inc.	Producer	5789	Placed policies while unlicensed	Settlement Agreement: \$300 fine, cease & desist from violations	03/08/07
Trafalgar Marine Insurance Service, Inc.	Producer	5728	Placed policies while unlicensed	Settlement Agreement: \$50 fine, cease & desist from violations	02/09/07
Wagner, John Victor	Producer	5290	Failed to report administrative action(s)	Settlement Agreement: \$300 fine, cease & desist from violations	03/30/07
Willis of New York, Inc.	Producer	5608B	Failed to timely report administrative action(s)	Settlement Agreement: \$250 civil penalty, cease & desist from violations	03/08/07
Young, Bernard D.	Producer	5217	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	03/16/07