

| <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> |
|---|------------------------|-----------------|--|---|-----------------------|
| Bruce, Terrel Y. | Producer | 6136 | Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s) | Administrative Decision: License Revocation; cease & desist from all insurance activity, \$2,500 fine | 08/06/08 |
| Bruen Deldin DiDio Insurance Associates | Producer | 6143 | Placed policies while unlicensed | Settlement Agreement: \$400 fine, cease & desist from violations | 07/22/08 |
| First Allied Securities, Inc. | Producer | 6227 | Placed policies while unlicensed | Settlement Agreement: \$500 fine, cease & desist from violations | 08/08/08 |
| Fitzgerald, Donald L. | Producer | 6421 | Failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$750 fine, cease & desist from violations | 08/22/08 |
| Fry, Keith A. | Producer | 5178 | Failed to timely report administrative action(s) | Settlement Agreement: Cease & desist from violations | 08/04/08 |
| Glass, Susan Kay | Producer | 5560 | Failed to timely report administrative action(s) | Settlement Agreement: \$250 fine, cease & desist from violations | 07/25/08 |
| Harrigan Insurance Agency, Inc. | Producer | 6379 | Placed policies while unlicensed | Settlement Agreement: \$100 fine, cease & desist from violations | 07/10/08 |
| Harris, Robert Thomas | Producer | 6376 | Failed to timely report administrative action(s) | Consent Agreement: \$500 fine, cease & desist from violations | 08/29/08 |
| Heritage Marine Insurance Agency, Inc. | Producer | 6362 | Placed policies while unlicensed | Settlement Agreement: \$1,000 fine, cease & desist from violations | 08/22/08 |
| Herlihy, Michael | Producer | 6309 | Placed surplus lines policies while unlicensed | Settlement Agreement: \$500 fine, cease & desist from violations | 07/02/08 |
| Hilb Rogal & Hobbs Ins Services of California | Producer | 6264 | Placed policies while unlicensed | Settlement Agreement: \$200 fine, cease & desist from violations | 07/31/08 |
| HRH E&S Services, LLC | Producer | 6464 | Failed to timely report administrative action(s) | Settlement Agreement: \$250 fine, cease & desist from violations | 09/17/08 |
| Insurance Profillment Solutions, LLC | Producer | 6244 | Placed policies while unlicensed | Settlement Agreement: \$2,100 fine, cease & desist from violations | 09/30/08 |
| Intego Insurance Services, LLC | Producer | 6297 | Placed policies while unlicensed | Settlement Agreement: \$3,500 fine, cease & desist from violations | 07/07/08 |

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| Johnson, Joel M. | Producer | 6176 | Failed to timely report administrative action(s) | Settlement Agreement: License Revocation; cease & desist from all insurance activity | 09/10/08 |
| Kelsey National Corporation | Producer | 6416 | Failed to timely report administrative action(s) | Consent Agreement: \$250 fine, cease & desist from violations | 09/12/08 |
| Korpics, John Edward | Producer | 6400 | Failed to timely report administrative action(s) | Settlement Agreement: \$250 fine, cease & desist from violations | 08/08/08 |
| Marino, Anthony C., Jr. | Producer | 6144 | Issued fictitious quotes and failed to remit premium | Settlement Agreement: License Revocation; cease & desist from all insurance activity | 07/28/08 |
| Massachusetts Mutual Life Ins. Co. | Company | 6026 | Failed to provide prior notice of a transaction | Settlement Agreement: Cease & desist from violations | 08/22/08 |
| Mehra, Vivek | Producer | 6339 | Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$750 fine, cease & desist from violations | 07/02/08 |
| Miller, Donald Alan | Producer | 6399 | Failed to timely report administrative action(s) | Settlement Agreement: \$250 fine, cease & desist from violations | 08/08/08 |
| Mims, Kiana Chelese | Producer | 5587 | Failed to timely report administrative action(s) | Administrative Decision: License Revocation; cease & desist from all insurance activity, \$1,000 fine | 08/22/08 |
| Nelson, James | Producer | 5567 | Failed to timely report administrative action(s) | Settlement Agreement: \$750 fine, cease & desist from violations | 07/17/08 |
| Odice, Joseph R. | Producer | 5354 | Failed to timely report administrative action(s) | Settlement Agreement: \$750 fine, cease & desist from violations | 09/22/08 |
| O'Gorman & Young, Inc. | Producer | 6228 | Placed policies while unlicensed | Settlement Agreement: \$425 fine, cease & desist from violations | 07/10/08 |
| Padula Insurance Agency, Inc. | Producer | 6458 | Placed policies while unlicensed | Settlement Agreement: \$1,200 fine, cease & desist from violations | 09/19/08 |

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| Prudential Insurance Agency, LLC | Producer | 5716 | Failed to make proper disclosure on licensing application(s) | Settlement Agreement: Cease & desist from violations | 08/22/08 |
| Robert J. Evaristo & Associates, Inc. | Producer | 6259 | Placed policies while unlicensed | Settlement Agreement: \$250 fine, cease & desist from violations | 07/03/08 |
| Senn, Dunn Marsh & Roland Insurance Agency, LLC | Producer | 6389 | Placed policies while unlicensed | Settlement Agreement: \$250 fine, cease & desist from violations | 07/22/08 |
| Serres, Visone, & Rice Insurance Agency | Producer | 6449 | Failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$1,400 fine, cease & desist from violations | 09/22/08 |
| Shelton, Thomas Eugene | Producer | 5552 | Failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$150 fine, cease & desist from violations | 08/15/08 |
| Smith, Virginia Erlene | Producer | 6095 | Failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$500 fine, cease & desist from violations | 07/23/08 |
| SRC Insurance Services, Inc. | Producer | 5585 | Failed to timely report administrative action(s) | Settlement Agreement: Cease & desist from violations | 09/25/08 |
| Sweeney, John Christopher | Producer | 5553 | Failed to timely report administrative action(s) | Administrative Decision: License Revocation; cease & desist from all insurance activity, \$1,000 fine | 08/22/08 |
| Universal Benefit Plans, Inc. | Producer | 6146 | Placed policies while unlicensed | Settlement Agreement: \$2,500 fine, cease & desist from violations | 07/31/08 |
| Wagner, John Victor | Producer | 6263 | Failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$500 fine, cease & desist from violations | 07/23/08 |
| Weir, Terry Dominic | Producer | 5765 | Failed to timely report administrative action(s) | Consent Agreement: \$300 fine, cease & desist from violations | 08/25/08 |
| Wells Fargo Insurance Services of Texas, Inc. | Producer | 6404 | Placed policies while unlicensed | Settlement Agreement: \$750 fine, cease & desist from violations | 09/19/08 |
| Wentworth-Deangelis Insurance | Producer | 6272 | Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s) | Settlement Agreement: \$750 fine, cease & desist from violations | 07/25/08 |

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| Westport Insurance Brokerage, Inc. | Producer | 6185 | Placed policies while unlicensed | Settlement Agreement: \$250 fine, cease & desist from violations | 08/22/08 |
| Wong, Kieu My | Producer | 5746 | Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s) | Consent Agreement: \$600 fine, cease & desist from violations | 08/25/08 |