Licensee Name	Type of License	Case No.	Primary Allegation(s)	<u>Disposition</u>	Effective Date
AHM Insurance Agency Inc. of Mass.	Producer	6797	Placed policies while unlicensed	Settlement Agreement: \$2,500 fine, cease & desist from violations	05/20/09
American Underwriting Managers Agency, Inc.	Producer	6875	Placed policies while unlicensed	Settlement Agreement: \$100 fine, cease & desist from violations	06/18/09
Aviation Insurance Agency, Inc.	Producer	6829	Placed policies while unlicensed	Settlement Agreement: \$150 fine, cease & desist from violations	06/05/09
Bader, Robert	Producer	6609	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$250 fine, cease & desist from violations	04/16/09
Brunswick Insurance Agency, Inc.	Producer	6825	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	05/05/09
Caddell & Associates Insurance, Inc.	Producer	6783	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: Cease & desist from violations	05/08/09
Capacity Coverage Co. of New Jersey	Producer	6780	Placed policies while unlicensed	Settlement Agreement: \$850 fine, cease & desist from violations	06/22/09
CFN Insurance Agency	Producer	6871	Placed policies while unlicensed	Settlement Agreement: \$3,150 fine, cease & desist from violations	06/30/09
Citation Ins. Co.	Company	6596B	Failed to timely report the declaration of a dividend	Settlement Agreement: \$250 fine, cease & desist from violations	04/28/09

			Failed to timely report		
			Failed to timely report administrative action(s),		
			failed to make proper	Settlement Agreement:	
			disclosure on licensing	\$1,750 fine, cease &	
Cochran, Cynthia D.	Producer	6104	application(s)	desist from violations	05/20/09
		0104		Settlement Agreement:	03/20/07
			Failed to timely report the	Ũ	
Commerce Ins. Co.	Company	6596A		from violations	04/28/09
	Company	03704			04720707
			Placed misleading	Settlement Agreement: Cease & desist from	
Commerce Ins. Co.	Company	5812	advertising	violations	06/26/09
	Company	5012			00/20/04
Coventry Health and Life			Failed to repow egent	Settlement Agreement: \$500 fine, cease & desist	
Coventry Health and Life Ins. Co.	Compony	6732	Failed to renew agent	from violations	05/05/09
IIIS. CO.	Company	0/32	appointments		05/05/09
				Settlement Agreement:	
	Due due en	(007	Placed policies while	\$250 fine, cease & desist	
Don Allen Agency, Inc.	Producer	6837	unlicensed	from violations	05/06/09
				Administrative Decision:	
				License Revocation,	
				\$3,000 fine, cease &	
Drowery Fred Amos	Producer	6009	Failed to timely report	desist from all insurance	05/06/09
Drewery, Fred Amos	Producer	6009	administrative action(s)	activity	05/06/09
Faults Diels Deatheans			Disco di na lisi se vubile	Settlement Agreement:	
Equity Risk Partners	Desideren	(000	Placed policies while unlicensed	\$250 fine, cease & desist	0/ /15 /00
Insurance Services	Producer	6820	uniicensea	from violations	06/15/09
				Settlement Agreement:	
Farm Family Casualty Ins.	0	(70)	Failed to renew agent	\$500 fine, cease & desist	04/10/00
Co.	Company	6726	appointments	from violations,	04/10/09
				Settlement Agreement:	
		(707	Failed to renew agent	\$500 fine, cease & desist	
Farm Family Life Ins. Co.	Company	6727	appointments	from violations,	04/10/09

Farmers New World Life			Foiled to repow egent	Settlement Agreement: \$500 fine, cease & desist	
Ins. Co.	Company	6202	Failed to renew agent appointments	from violations	06/08/09
			Failed to timely report	Administrative Decision:	
Fraga, Eleasar	Producer	5424 & 5548	administrative action(s), failed to make proper disclosure on licensing application(s)	License Revocation, \$2,000 fine, cease & desist from all insurance activity	05/06/09
Gianquitti, Steven Lou	Producer	6749	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$350 fine, cease & desist from violations	04/21/09
Grossman, Marc	Producer	6810	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations,	04/08/09
Group Benefit Advisors, Inc.	Producer	6575	Failed to timely report administrative action(s)	Settlement Agreement: Cease & desist from violations	06/19/09
Jesup & Lamont Securities Corporation	Producer	6699	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$600 fine, cease & desist from violations	06/22/09
Johnson, Michael Edward, Jr.	Producer	5220	Failed to make proper disclosure on licensing application(s)	Consent Agreement: License Revocation, cease & desist from all insurance activity	06/09/09
Kelly, James Thomas	Producer	6516	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$300 fine, cease & desist from violations,	04/08/09

				Settlement Agreement:	
Kittredge Insurance			Placed policy in	\$250 fine, cease & desist	
Agency, Inc.	Producer	6681A	unauthorized company	from violations,	04/02/09
			Failed to make proper	Consent Agreement: \$500	
			disclosure on licensing	fine, cease & desist from	
Machado, Joaquin C.	Producer	6714	application(s)	violations	06/09/09
			Failed to make proper	Consent Agreement: \$500	
			disclosure on licensing	fine, cease & desist from	
Mano, Luis Vidal	Producer	6902	application(s)	violations	06/09/09
				Settlement Agreement:	
Maxim Insurance Services,			Failed to timely report	\$250 fine, cease & desist	
Inc.	Producer	6757	administrative action(s)	from violations	04/07/09
			Failed to timely report	Administrative Decision:	
			administrative action(s),	License Revocation,	
			failed to make proper	\$12,000 fine, cease &	
			disclosure on licensing	desist from all insurance	
Mize, Lisa Sue	Producer	5025	application(s)	activity	04/13/09
				Settlement Agreement:	
			Failed to timely report	\$250 fine, cease & desist	
Nash, Lisa Wildfeuer	Producer	5561	administrative action(s)	from violations	04/07/09
				Settlement Agreement:	
				License Revocation,	
O'Connell, Christopher			Failed to remit premium,	cease & desist from all	
Lincoln	Producer	5577	misrepresentation	insurance activity	04/13/09
			Failed to make proper	Settlement Agreement:	
			disclosure on licensing	Cease & desist from	
Odice, Joseph R.	Producer	6704	application(s)	violations	05/14/09
				Settlement Agreement:	
			Failed to timely report	\$750 fine, cease & desist	
Pray, Edward B.	Producer	6606	administrative action(s)	from violations	06/05/09

Reese, William Joseph, Jr.	Producer	6070	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$750 fine, cease & desist from violations	04/21/09
Rennie, Gregg Thomas	Producer	6744	Failed to maintain the standards of trustworthiness and suitability, misrepresented the terms of an annuity	Administrative Decision: License Revocation, \$2,000 fine, cease & desist from all insurance activity	04/10/09
Robert J. Evaristo & Associates, Inc.	Producer	6728	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$350 fine, cease & desist from violations	05/07/09
Sanborn, Kimberly Anne	Producer	6518	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	06/10/09
Sandburg, Philip Carl	Producer	6148	Failed to remit premium	Administrative Decision: License Revocation, \$1,000 fine, cease & desist from all insurance activity	05/11/09
Schantz, Robert Edward	Producer	6423	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Consent Agreement: \$750 fine, cease & desist from violations	06/09/09
Shepard, Carl Stephen	Producer	6579	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	05/11/09

Silva, Mary M.	Producer	6836	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	05/01/09
South River Insurance Agency, Inc.	Producer	6880	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$250 fine, cease & desist from violations	06/15/09
Strong, Mark James	Producer	5662	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	05/04/09
Thorbahn, Peter M.	Producer	6605	Failed to maintain continuing education	Settlement Agreement: \$1,000 fine, cease & desist from violations, compliance plan	06/23/09
United Commercial Insurance Agency, Inc.	Producer	5805	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$850 fine, cease & desist from violations	05/11/09
Velis, James A.	Producer	6785	Failed to maintain continuing education	Settlement Agreement: Cease & desist from violations	05/13/09
Yamada, Judy A.	Producer	6098	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	05/14/09