

## SPECIAL INVESTIGATIONS UNIT – 3<sup>RD</sup> QUARTER 2011

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<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>
Anthony, Todd	Producer	7839	Misrepresentation in advertising	Settlement Agreement: Cease & Desist from violation(s)	8/17/11
Arthurs, Eric	Producer	8048	Failure to Timely Report Administrative Action	Settlement Agreement: \$500 Fine; Cease & Desist from Violation(s)	7/25/11
Atlas Mortgage & Insurance Company, Inc.	Producer	8017B	Failure to Make Required Disclosure on License Application	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation(s)	7/27/11
Bentley, Anna M.	Producer	7860	Failure to make required disclosure on license application	Settlement Agreement: \$250 Fine; Cease & Desist from Violation(s)	8/31/11
Brynsinski, Michael	Producer	8068	Unlicensed in Home State	Settlement Agreement: License Revocation; Cease & Desist from Violation(s)	7/29/11
Capstone Insurance, LLC	Producer	7838	Failure to Timely Report Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violation(s)	7/22/11
Destination Affairs	Producer	7856	Placed Travel Policies While Unlicensed	Settlement Agreement: Cease & Desist from Violation(s)	7/15/11

Duble & O'Hearn Insurance Agency	Producer	7827	Failure to Report Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violation(s)	7/20/11
Espino, Bonnie	Producer	7749	Misrepresentation in annuity sales application	Settlement Agreement: \$500 Fine; Cease & Desist from violation(s)	8/25/11
Gallagher, Matthew M.	Producer	8008	Failure to Timely Report Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violation(s)	7/18/11
GuideOne Mutual Insurance Company	Company	7652	Failure to renew or cancel agent appointments	Settlement Agreement: \$500 Fine; Cease & Desist from Violation(s)	8/23/11
GuideOne Specialty Mutual Insurance Company	Company	7651	Failure to renew or cancel agent appointments	Settlement Agreement: \$500 Fine; Cease & Desist from Violation(s)	8/23/11
Hatch, James B.	Producer	6747	Failure to Make Required Disclosure on License Application	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation(s)	7/22/11
Howard, Darren B.	Producer	8017A	Failure to Make Required Disclosure on License Application	Settlement Agreement: \$1,250 Fine; Cease & Desist from Violation(s)	7/27/11

Insurance Specialists, Inc.	Producer	8126	Placed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violation(s)	9/29/11
Javaid, Mohammad Aslam	Producer	7992	Failure to Timely Report Administrative Actions	Settlement Agreement: \$500 Fine; Cease & Desist from Violation(s)	7/12/11
John D. Walsh Insurance Agency, Inc.	Producer	7866	Placed Policies While Unlicensed	Settlement Agreement: \$300 Fine; Cease & Desist from Violation	7/15/11
KMS Financial Services, Inc.	Producer	8049	Failure to timely report administrative actions	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation(s)	9/29/11
KPR Travel, Inc.	Producer	8055	Placed Policies While Unlicensed	Settlement Agreement: Cease & Desist from Violation(s)	8/2/11
Massachusetts Homeland Insurance Company	Company	7656	Failure to Renew or Cancel Agent Appointments	Settlement Agreement: \$1,500 Fine; Cease & Desist from violation(s)	9/13/11
McKee Risk Management, Inc.	Non Resident Producer & Surplus Lines Broker	7854	Failure to timely report administrative action	Settlement Agreement: \$250 Fine; Cease & Desist from Violation(s)	9/23/11

Mullen, Thomas R.	Producer	6520	Untrustworthiness & Incompetence in business	Settlement Agreement: License Revocation; Cease & Desist from all insurance activity	8/15/11
Nantucket Insurance Agency, Inc.	Producer	7882	Placed Policies While Unlicensed	Settlement Agreement: \$1,600 Fine; Cease & Desist from Violation(s)	8/15/11
National Guardian Life Insurance Company	Company	7645	Failure to renew or cancel agent appointments	Settlement Agreement: \$250 Fine; Cease & Desist from Violation(s)	8/24/11
Nessara Insurance Agency, Inc.	Producer	8011	Placed Policies While Unlicensed	Settlement Agreement: \$850 Fine; Cease & Desist from Violation(s)	7/20/11
Occidental Fire & Casualty Company of NC	Company	7640	Failure to renew or cancel agent appointments	Settlement Agreement: \$500 Fine; Cease & Desist from Violations	8/25/11
PetFirst Healthcare, LLC	Producer	7849	Placed Policies While Unlicensed	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation(s)	8/24/11

R.A. Belter Insurance Agency, Inc.	Producer	8061	Failure to timely report administrative action	Settlement Agreement: \$150 Fine; Cease & Desist from violations	8/31/11
Ramy, Andre N.	Producer	7748	Failure to report criminal prosecution	Settlement Agreement: \$250 Fine; Cease & Desist from violations	9/16/11
Rockwood Programs, Inc.	Producer	7605	Placed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violations	7/26/11

Smith, Colleen M.	Producer	8053	Failure to make required disclosure on license application	Settlement Agreement: Cease & Desist from violations	9/15/11
Sterling Life Insurance Company	Company	7648	Failure to Renew or Cancel Agent Appointments	Settlement Agreement: \$500 Fine; Cease & Desist from Violations	9/26/11
Strategic Employee Benefit Services	Unlicensed	7865	Placed Policies While Unlicensed	Settlement Agreement: \$850 Fine; Cease & Desist from Violations	7/8/11
Therrel, John S.	Producer	8036	Untimely Notice of Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from violations	9/6/11

York Insurance Company of Maine	Company	7655	Failure to Renew or Cancel Agent Appointments	Settlement Agreement: \$500 Fine; Cease & Desist from violations	9/14/11
Zayan Takaful, LLC	Producer	8060B	Unlicensed; Failure to Report Administrative Action	Settlement Agreement: \$400 Fine; Cease & Desist from Violations	9/6/11
Zurich American Life Insurance Company	Company	7658	Failure to Renew or Cancel Agent Appointments	Settlement Agreement; \$500 Fine; Cease & Desist from Violations	9/23/11