

SPECIAL INVESTIGATIONS UNIT – 1ST QUARTER 2012

<u>Licensee Name</u>	<u>Type of License</u>	<u>Case No.</u>	<u>Primary Allegation</u>	<u>Disposition</u>	<u>Effective Date</u>
Berthel, Fisher & Company, Inc.	Non-Resident Producer	7995	Placed policies while unlicensed	Settlement Agreement: \$300 Fine; Cease & Desist from violations	3/6/12
Blatt, Peter A.	Non-Resident Producer	8091	Failure to Make Required Disclosure on License application	Settlement Agreement: \$500 Fine; Cease & Desist from violations	1/23/12
Burke, Joseph Gary	Non-Resident Producer	8221	Misrepresentation on License Application	Settlement Agreement: Cease & Desist from violations	3/16/12
Cabezas, Marco	Non-Resident Producer	8244	Misrepresentation on license application	Settlement Agreement: Cease & Desist from violations	3/5/12
Cleland & Associates Insurance, Inc.	Non-Resident Producer	8181	Placed Policies While Unlicensed	Settlement Agreement: \$1,250 Fine; Cease & Desist from violations	2/9/12
David E. Zeller Insurance Agency, Inc.	Producer	8164	Misrepresentation on insurance policy applications	Settlement Agreement: \$1,000 Fine; Cease & Desist from violation	2/6/12

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Dowling Insurance Agency, Inc.	Producer	8072	Failure to make required disclosure on license application	Settlement Agreement: \$300 Fine; Cease & Desist from violations	1/25/12
Eckberg, Monica	Non-Resident Producer	8234	Late Reporting of Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from violations	1/20/12
Feibish, Martin B.	Non-Resident Producer	8067	Failure to maintain trustworthiness; Home state license revocation	Settlement Agreement: Permanent License Revocation; Cease & Desist from all insurance activity	1/26/12
Grossman, Marc	Non-Resident Producer	8220	Misrepresentation on license application	Settlement Agreement: \$1,000 Fine; Cease & Desist from violations	3/9/12
Halpert, Jason M.	Non-Resident Producer	8139	Misuse of Personal Information	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violations	2/6/12

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IndyMac Financial Services Corporation	Non-Resident Producer	8201	Placed Policies While Unlicensed	Settlement Agreement: \$50,000 Fine; Cease & Desist from Violations	1/6/12
The Insurance Solutions Group, Inc.	Producer	8151	Placed Policies While Unlicensed	Settlement Agreement: \$250 Fine; Cease & Desist from Violations	1/12/12
Keen, Battle, Mead & Company	Non-Resident Producer	8006	Placed Policies While Unlicensed	Settlement Agreement: \$350 Fine; Cease & Desist from Violations	2/8/12
Lewis, Tiffany	Non-Resident Producer	8005	Misrepresentation on license application	Settlement Agreement: Permanent License Revocation; Cease & Desist from all insurance activity	3/9/12
Lukatsky, Edward H.	Producer	8030	Violation of CAR rules	Settlement Agreement: \$800 Fine; Cease & Desist from Violations	2/22/12

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Morin Insurance Agency, Inc.	Producer	8101	Unauthorized issuance of insurance certificate	Settlement Agreement: \$350 Fine; Cease & Desist from Violations	3/2/12
Nardiello, Michael A.	Non-Resident Producer	8174	Failure to Make Required Disclosure on License Application	Settlement Agreement: Cease & Desist from Violations	1/11/12
North Land Insurance Agency, Inc.	Producer	7818	Placed Policies While Unlicensed	Settlement Agreement: \$300 Fine; Cease & Desist from Violations	1/5/12
Pacific Wholesale Insurance Brokers, LLC	Non-Resident Producer	7485	Placed Policies While Unlicensed	Settlement Agreement: \$1,250 Fine; Cease & Desist from Violations	2/9/12
Performance Management Group	Producer	8241	Placed policies while unlicensed	Settlement Agreement: \$300 Fine; Cease & Desist from violations	3/16/12
Professional Risk & Asset Management Insurance Services, Inc.	Non-Resident Producer	8198	Failure to Make Required disclosure on license application	Settlement Agreement: \$250 Fine; Cease & Desist from Violations	1/31/12

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Rider, James Isaac	Producer	6487, 7738	Failure to remit premium	Consent Agreement; License Revocation; Cease & Desist from all insurance activity	3/9/12
Whitaker, Beverly J.	Producer	7327A	Misrepresentation on license application	Settlement Agreement; \$1,500 Fine; Cease & Desist from violation	1/12/12
Zanotti, John Steven	Non-Resident Producer	7196	Late reporting of Administrative Action; Failure to disclose same on license application	Settlement Agreement; \$500 Fine; Cease & Desist from Violations	1/18/12
Zeba, Dragan	Non-Resident Producer	7798	Misrepresentation on License Application	Settlement Agreement; Permanent License Revocation; Cease & Desist from Violations	3/7/12