

SPECIAL INVESTIGATIONS UNIT – 3rd 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>
Assuretech Insurance Services	Non-Resident Producer	8413	Placed Policies While Unlicensed	Settlement Agreement: \$500 Fine; Cease & Desist from Violations	9/6/12
Atlantic Insurance Group Agency, Inc.	Producer	8346	Misrepresentation on Insurance Policy Applications	Settlement Agreement: \$50,000 Fine; Cease & Desist from violation	9/4/12
Broadstone Equine Insurance Agency, Inc.	Producer	8288	Placed Policies While Unlicensed	Settlement Agreement: Cease & Desist from violation	8/20/12
Cartwright, Brock A.	Non-Resident Producer	8370	License Revocation in another jurisdiction; Home state license surrender	Settlement Agreement: License Revocation; Cease & Desist from violation	9/24/12
Darton & Company	Non-Resident Producer	8324	Misrepresentation on license application; Late Notice of administrative action	Settlement Agreement: \$500 Fine; Cease & Desist from violation	8/24/12
Gahan, Gary A.	Non-Resident Producer	7863	Trustworthiness; Home state license revocation	Hearing Officer Decision: License Revocation; \$1,000 Fine; Cease & Desist from violation	9/26/12
Gallagher Benefit Services, Inc.	Producer	8325	Misrepresentation on license application	Settlement Agreement: \$750 Fine; Cease & Desist from violation	8/20/12
Gallery, Richard F.	Producer	8346	Failure to exercise adequate supervision	Settlement Agreement: \$50,000 Fine; 6 month license suspension; Cease & desist from violation	9/4/12
Heller, Jack V.	Non-Resident Producer	8259	Demonstrated Lack of Trustworthiness	Settlement Agreement: License Revocation; Cease & desist from violation	8/31/12

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John J. Lonergan Insurance Agency, Inc.	Producer	8359	Placed Policies While Unlicensed	Settlement Agreement: \$700 Fine; Cease & desist from violation	8/17/12
Keip, Jason M.	Non-Resident Producer	8282	Misrepresentation on License Application	Settlement Agreement: \$250 Fine; Cease & desist from violation	7/19/12
Kernan, Gerald A.	Non-Resident Producer	8326	Failure to Report Administrative Action	Settlement Agreement: \$250 Fine; Cease & desist from violation	8/1/12
Mahoney, Kevin Paul	Producer	7693	Demonstrated Lack of Trustworthiness	Settlement Agreement: Permanent License Revocation; Disposition of insurance business interests	8/28/12
Smith-Mallahy- Masciarelli Funeral Home, Inc.	Producer	8334	Placed Policies While Unlicensed	Settlement Agreement: \$400 Fine; Cease & Desist from violation	8/29/12
Wiersma Insurance Agency, LLC	Producer	8316	Placed Policies While Unlicensed	Settlement Agreement: \$6,000 Fine; Cease & desist from violation	8/1/12