

SPECIAL INVESTIGATIONS UNIT – 2nd QUARTER 2013

<u>Licensee Name</u>	<u>Type of License</u>	<u>Case No.</u>	<u>Primary Allegation</u>	<u>Disposition</u>	<u>Effective Date</u>
Allen, Hope	Producer	8361	Misappropriation of client funds	Hearing Officer Decision & Order: License Revocation; \$1,000 Fine; Cease & Desist from Violations	6/10/13
Bilodeau, Gail A.	Producer	7015	Placed policies without line of authority	Settlement Agreement: Cease & Desist from violation	4/5/13
Fred C. Froebel Insurance Agency, Inc.	Producer	8722	Placed or renewed policies while unlicensed	Settlement Agreement: Cease & Desist from violation	5/10/13
Hogan, John P.	Non-Resident Producer	7848	Placed policies while unlicensed	Settlement Agreement: \$350 Fine; Cease & Desist from violation	4/5/13
Janney Montgomery Scott, LLC	Producer	7511	Misrepresentation on license application	Settlement Agreement: Cease & Desist from violation	5/28/13
Logue Insurance Agency, Inc.	Producer	8738	Placed or renewed policies while unlicensed	Settlement Agreement: Cease & Desist from Violation	5/23/13

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Schwartz, Michael D.	Non-Resident Producer	8218	Misrepresentation on annuity application	Settlement Agreement: Cease & Desist from Violation	4/3/13
Settlers Life Insurance Company	Life Insurance Company	7646	Failure to timely renew agent appointments	Settlement Agreement: \$500 Fine; Cease & Desist from violation	4/9/13
Tower National Insurance Company	Domestic Property Casualty Company	8445	Failure to Report Declaration of Dividend	Settlement Agreement: Cease & Desist from violation	4/16/13
Wieselmann, Jason & International Bond & Marine Brokerage, Ltd.	Non-Resident Producer	8236	Late Notice of Administrative Action	Settlement Agreement: \$300 Fine; Cease & Desist from violation	4/24/13
Wood, Anthony T. ; Wood & Associates Insurance Agency, Inc.	Producer	7061A & 7061B	Unfair Trade Practice	Settlement Agreement: \$23,000 Fine; \$29,698 Restitution; Cease & Desist from violation	4/11/13