

## SPECIAL INVESTIGATIONS UNIT – 2<sup>nd</sup> QUARTER 2014

<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>
Al Zeidler Insurance Agency, Inc.	Producer	8834	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violation	5/22/14
Berthiaume, Jeffrey	Producer	8908	Misrepresentation on annuity policy application	Settlement Agreement: \$2,000 Fine; Cease & Desist from Violation	4/24/14
Commonwealth Insurance Company of America	Property Casualty Company	8825	Conducted MA insurance business while unlicensed	Settlement Agreement: \$500 Fine; Cease & Desist from Violation	4/21/14
Degnan, Leonard J.	Producer	8436	Felony Conviction; Trustworthiness	Settlement Agreement: Permanent License Revocation; Cease & Desist from all Insurance activity	6/17/14
Duvall, Edna Denise	Non-Resident Producer	8368	Failure to Report Administrative Actions	Settlement Agreement: License Revocation; \$4,000 Fine; Cease & Desist from Violation	6/4/14

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Flood & Peterson Insurance, Inc.	Non-Resident Producer	8913	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$250 Fine; Cease & Desist from Violation	5/22/14
Goldbloom, Aryeh	Producer	8229	Late Notice of Administrative Action; Misrepresentation on license application	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation	5/22/14
Hutchinson, Nancy	Producer	7993	Failure to Report Criminal Prosecution; Trustworthiness	Hearing Officer Decision: License Revocation; \$2,000 Fine; Cease & Desist from Violation	5/6/14
Investment Professionals, Inc.	Non-Resident Producer	7553	Misrepresentation on license application	Settlement Agreement: Cease & Desist from Violation	5/7/14
Kruger Insurance Agency, Inc.	Producer	8934	Unlicensed	Settlement Agreement: \$750 Fine; Cease & Desist from Violation	6/5/14
Matthews, Kareem	Producer	8861	Misrepresentations on license application	Settlement Agreement: Permanent License Revocation; Cease & Desist from all insurance activity	4/14/14

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National Program Management, Inc.	Non-Resident Producer	8712	Placed or Renewed Policies while unlicensed	Settlement Agreement: \$500 Fine; Cease & Desist from Violation	5/14/14
O'Brien, Jane E.	Producer	8682	Trustworthiness; Securities Fraud Conviction	Settlement Agreement: License Revocation; Cease & Desist from Violation	5/22/14
Strategic Tax & Insurance Services, Inc.	Producer	8748	Placed or Renewed Policies While unlicensed	Settlement Agreement: \$3,600 Fine; Cease & Desist from Violation	5/13/14
Travel Associates, Inc.	Producer	8931	Placed or Renewed policies While Unlicensed	Settlement Agreement: \$250 Fine; Cease & Desist from Violation	5/27/14
Triton Insurance Agency, LLC	Non-Resident Producer	8779	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violation	4/15/14
Wesfair Agency, Inc.	Non-Resident Producer	8810	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$250 Fine; Cease & Desist from Violation	4/14/14

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Wood, Gutmann & Bogart Insurance Brokers	Non-Resident Producer	8768	Placed policies while unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violation	5/19/14