

## SPECIAL INVESTIGATIONS UNIT – 1<sup>st</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>
Carithers, Toni	Non-Resident Producer	8717	Misrepresentation on License Application	Settlement Agreement: Cease & Desist from Violation	2/26/14
CliftonLarson Allen Wealth Advisors, LLC	Non-Resident Producer	8873	Placed Policies While Unlicensed	Settlement Agreement: \$500 Fine; Cease & Desist from Violation	3/19/14
David Byrne Insurance Agency, Inc.	Non-Resident Producer	8758	Placed Policies While Unlicensed	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation	3/13/14
Diversified Agrisurance Company	Non-Resident Producer	8394	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$1,500 Fine; Cease & Desist from Violation	1/24/14
Duane Alger Insurance Agency, Inc.	Producer	8266	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$1,500 Fine; Cease & Desist from Violation	1/9/14
Hoyng, Daniel	Producer	8416	Failure to Report Criminal Prosecution	Settlement Agreement: Permanent License Revocation; Disposition of all insurance business interests	2/28/14

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Smolin, Lewis Marvin	Producer	8329	Failure to complete continuing education requirements	Settlement Agreement: Cease & Desist from Violation	2/27/14
Souza, Mark D.	Producer	7408	Failure to Remit Premium	Settlement Agreement: \$500 Fine; Cease & Desist from Violation	2/3/14
Sutherland, Gary B.	Producer	8429	Misrepresentation on license application	Settlement Agreement: \$500 Fine; Cease & Desist from Violation	3/18/14
Ron Filice Enterprises, Inc.	Non-Resident Producer	8252	Placed or renewed policies while unlicensed	Settlement Agreement: Cease & Desist from Violation	1/9/14