

SPECIAL INVESTIGATIONS UNIT – 3rd 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>
Aon Risk Services Northeast	Non-Resident Producer	8943	Placed Policies While Unlicensed	Settlement Agreement: \$15,000 Fine; Cease & Desist from Violation	9/5/14
Berry, James O.	Producer	8941	Placed Policies While Unlicensed	Settlement Agreement: Cease & Desist from Violation	7/15/14
Bicalho, Samuel	Producer	8273	Misrepresentation on License Application	Hearing Officer Decision & Order: License Revocation; \$1,000 civil penalty; Cease & Desist from all insurance activity	9/17/14
C and K Travel Company, Inc.	Producer	8953	Placed or Renewed Policies While Unlicensed	Settlement Agreement: Cease & Desist from Violation	8/15/14
David A. Noyes & Company	Non-resident producer	8375	Misrepresentation on license application	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation	8/11/14

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Ferrer, Michael Anthony	Non-resident producer	8980	Late Notice of Administrative Actions	Settlement Agreement: \$500 Fine; Cease & Desist from Violation	9/5/14
iPolicyQuote, Inc.	Producer	8949	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$100 Fine; Cease & Desist from Violation	8/20/14
Lupke, David B.	Non-Resident Producer	8927B	Late Notice of Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violation	7/14/14
McGruder, Leo	Non-Resident Producer	8976	Misrepresentation on License Application	Settlement Agreement: \$500 Fine; Cease & Desist from Violation	9/25/14
Oftring, Robert	Producer	8715	Misrepresentation on License Application	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation	8/8/14

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Pena, Jorge Alberto	Non-Resident Producer	7573	Misrepresentation on License Application	Hearing Officer Decision & Order: License Revocation; \$8,000 Fine; Cease & Desist from all insurance activity	8/6/14
Peters, Ashwell	Non-Resident Producer	8925	Failure to Report Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violation	8/15/14
Residential Insurance Agency, LLC	Non-Resident Producer	8947	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$2,000 Fine; Cease & Desist from Violation	8/26/14
Simpson, Paul C.	Non-Resident Producer	8957	Late Notice of Administrative Actions	Settlement Agreement: Cease & Desist from Violation	7/25/14
Synergy Life Brokerage Group, LLC	Non-Resident Producer	8929	Placed or Renewed Policies While Unlicensed	Settlement Agreement: Cease & Desist from Violation	7/25/14
The Kyes Agency, Inc.	Non-Resident Producer	8829	Placed or Renewed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violation	8/6/14
Toyias, John J.	Producer	7392	Felony Conviction; Misrepresentation on License Application	Settlement Agreement: License Revocation; Cease & Desist From All Insurance Activity	8/19/14

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Vi Tran Agency, LLC	Producer	8993X	Placed Policies While Unlicensed	Settlement Agreement: \$1,500 Fine; Cease & Desist from Violation	8/13/14
Wilkie, Aaron	Non-Resident Producer	8402	Failure to Report Administrative Actions	Settlement Agreement: \$1,250 Fine; Cease & Desist from Violation	7/28/14
Wirth, Kenneth	Non-Resident Producer	8960	Misrepresentation on License Application	Settlement Agreement: \$1,000 Fine; Cease & Desist from Violation	7/17/14