

<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>
Assurance Agency, LTD.	Producer	6608	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	02/16/09
Baldo, John A.	Producer	5747	Failed to maintain the standards of trustworthiness and suitability	Settlement Agreement: License Revocation; cease & desist from all insurance activity	03/24/09
Belmont Savings Bank	Producer	6594	Placed policies while unlicensed	Settlement Agreement: \$150 fine, cease & desist from violations	02/05/09
Berndt, Jeffery	Producer	6626	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	02/12/09
Boucher Insurance Agency, Inc.	Producer	6601	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	02/11/09
Bradley, Byron L.	Producer	6539	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	01/21/09

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Citizens Union Savings Bank	Producer	6717	Placed policies while unlicensed	Settlement Agreement: \$1,700 fine, cease & desist from violations	03/03/09
Clarke & Sampson Insurance Agency	Producer	5786	Placed policies while unlicensed	Settlement Agreement: \$1,000 fine, cease & desist from violations	03/04/09
DaimlerChrysler Ins. Co. n/k/a Chrysler Ins. Co.	Company	6724	Failed to renew agent appointments	Settlement Agreement: \$250 fine, cease & desist from violations	03/20/09
Day, Frank Edmund	Producer	6671	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	01/13/09
Feitelberg Company, LLC	Producer	5792	Failed to notify insured of pre-inspection requirements	Settlement Agreement: \$250 fine, cease & desist from violations	03/13/09
Founders Financial Securities, Inc.	Producer	6711	Placed policies while unlicensed	Settlement Agreement: \$1,400 fine, cease & desist from violations	02/19/09

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Frances Deluca Insurance Agency, Inc.	Producer	6486	Placed policies while unlicensed	Settlement Agreement: \$5,000 fine, cease & desist from violations	02/20/09
Gaskins, William Terry	Producer	6242	Failed to timely report administrative action(s)	Settlement Agreement: \$175 fine, cease & desist from violations	02/19/09
Gennaco, Joseph	Producer	5717	Failed to maintain the standards of trustworthiness and suitability	Settlement Agreement: License Revocation, cease & desist from all insurance activity	02/25/09
Housing Insurance Services, Inc.	Producer	6490	Placed policies while unlicensed	Settlement Agreement: \$6,700 fine, cease & desist from violations	03/18/09
Klein, Scott J.	Producer	6408	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	02/05/09
Liberty Northwest Insurance Corporation	Company	6729	Failed to renew agent appointments	Settlement Agreement: \$250 fine, cease & desist from violations	03/16/09

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M Financial Securities Marketing, Inc.	Producer	6672	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	01/13/09
M Holding Securities, Inc. a/k/a M Holding Securities Insurance Agency	Producer	6670	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	01/13/09
Mahadeo, Hardat	Producer	6511	Failed to timely report administrative action(s), license revoked in state of residence	Consent Agreement: License Revocation, cease & desist from all insurance activity	01/30/09
MarketScout Corporation	Producer	6454	Placed policies while unlicensed	Settlement Agreement: \$1,000 fine, cease & desist from violations	03/06/09
Meadowbrook Insurance Services	Producer	6492	Placed policies while unlicensed, failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$1,700 fine, cease & desist from violations	02/25/09
Moreton Insurance of Colorado, LLC	Producer	6713	Placed policies while unlicensed	Settlement Agreement: Cease & desist from violations	03/04/09

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Morris Insurance Services, Inc.	Producer	6693	Placed policies while unlicensed	Settlement Agreement: Cease & desist from violations	02/13/09
National Health Ins. Co.	Company	6206	Failed to renew agent appointments	Settlement Agreement: \$500 fine, cease & desist from violations	01/30/09
Nelson, Craig Jacobs	Producer	6329	Failed to make proper disclosure	Settlement Agreement: \$250 fine, cease & desist from violations	01/27/09
New York Marine and General Ins. Co.	Company	6194	Failed to renew agent appointments	Settlement Agreement: \$500 fine, cease & desist from violations	01/28/09
Randolph Savings Bank	Producer	6616	Placed policies while unlicensed	Settlement Agreement: \$250 fine, cease & desist from violations	02/09/09
Rider Risk Specialists Insurance Agency, Inc.	Producer	6445	Placed policies while unlicensed	Settlement Agreement: \$3,000 fine, cease & desist from violations	02/24/09

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Robert A. Lucas & Associates, Inc. d/b/a Lucas Public Adjusting Associates	Public Insurance Adjuster	6017B	Negotiated public adjuster contracts while unlicensed, used unapproved adjuster contract	Settlement Agreement: \$1,900 fine, cease & desist from violations	02/13/09
Schupp, A. Douglas	Producer	6697	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	01/14/09
Settlement Professionals, Inc.	Producer	6149	Placed policies while unlicensed	Settlement Agreement: \$150 fine, cease & desist from violations	02/24/09
Spillers, Mary A.	Producer	6600	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$750 fine, cease & desist from violations	02/13/09
Turkalo, Mark J.	Producer	6708	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	02/05/09
Ulibarri, Brigitte Ursula	Producer	6522	Failed to maintain resident state license, failed to timely report administrative action(s)	Administrative Decision: License Revocation, \$2,000 fine, cease & desist from all insurance activity	02/04/09

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Walker Taylor Insurance Agency	Producer	6669	Placed policies while unlicensed	Settlement Agreement: \$600 fine, cease & desist from violations	02/09/09
Wesco Ins. Co.	Company	6728	Failed to renew agent appointments	Settlement Agreement: \$250 fine, cease & desist from violations	03/25/09