

<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>
AHM Insurance Agency Inc. of Mass.	Producer	6797	Placed policies while unlicensed	Settlement Agreement: \$2,500 fine, cease & desist from violations	05/20/09
American Underwriting Managers Agency, Inc.	Producer	6875	Placed policies while unlicensed	Settlement Agreement: \$100 fine, cease & desist from violations	06/18/09
Aviation Insurance Agency, Inc.	Producer	6829	Placed policies while unlicensed	Settlement Agreement: \$150 fine, cease & desist from violations	06/05/09
Bader, Robert	Producer	6609	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$250 fine, cease & desist from violations	04/16/09
Brunswick Insurance Agency, Inc.	Producer	6825	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	05/05/09
Caddell & Associates Insurance, Inc.	Producer	6783	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: Cease & desist from violations	05/08/09
Capacity Coverage Co. of New Jersey	Producer	6780	Placed policies while unlicensed	Settlement Agreement: \$850 fine, cease & desist from violations	06/22/09
CFN Insurance Agency	Producer	6871	Placed policies while unlicensed	Settlement Agreement: \$3,150 fine, cease & desist from violations	06/30/09
Citation Ins. Co.	Company	6596B	Failed to timely report the declaration of a dividend	Settlement Agreement: \$250 fine, cease & desist from violations	04/28/09

Cochran, Cynthia D.	Producer	6104	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$1,750 fine, cease & desist from violations	05/20/09
Commerce Ins. Co.	Company	6596A	Failed to timely report the declaration of a dividend	Settlement Agreement: \$250 fine, cease & desist from violations	04/28/09
Commerce Ins. Co.	Company	5812	Placed misleading advertising	Settlement Agreement: Cease & desist from violations	06/26/09
Coventry Health and Life Ins. Co.	Company	6732	Failed to renew agent appointments	Settlement Agreement: \$500 fine, cease & desist from violations	05/05/09
Don Allen Agency, Inc.	Producer	6837	Placed policies while unlicensed	Settlement Agreement: \$250 fine, cease & desist from violations	05/06/09
Drewery, Fred Amos	Producer	6009	Failed to timely report administrative action(s)	Administrative Decision: License Revocation, \$3,000 fine, cease & desist from all insurance activity	05/06/09
Equity Risk Partners Insurance Services	Producer	6820	Placed policies while unlicensed	Settlement Agreement: \$250 fine, cease & desist from violations	06/15/09
Farm Family Casualty Ins. Co.	Company	6726	Failed to renew agent appointments	Settlement Agreement: \$500 fine, cease & desist from violations,	04/10/09
Farm Family Life Ins. Co.	Company	6727	Failed to renew agent appointments	Settlement Agreement: \$500 fine, cease & desist from violations,	04/10/09

Farmers New World Life Ins. Co.	Company	6202	Failed to renew agent appointments	Settlement Agreement: \$500 fine, cease & desist from violations	06/08/09
Fraga, Eleasar	Producer	5424 & 5548	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Administrative Decision: License Revocation, \$2,000 fine, cease & desist from all insurance activity	05/06/09
Gianquitti, Steven Lou	Producer	6749	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$350 fine, cease & desist from violations	04/21/09
Grossman, Marc	Producer	6810	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations,	04/08/09
Group Benefit Advisors, Inc.	Producer	6575	Failed to timely report administrative action(s)	Settlement Agreement: Cease & desist from violations	06/19/09
Jesup & Lamont Securities Corporation	Producer	6699	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$600 fine, cease & desist from violations	06/22/09
Johnson, Michael Edward, Jr.	Producer	5220	Failed to make proper disclosure on licensing application(s)	Consent Agreement: License Revocation, cease & desist from all insurance activity	06/09/09
Kelly, James Thomas	Producer	6516	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$300 fine, cease & desist from violations,	04/08/09

Kittredge Insurance Agency, Inc.	Producer	6681A	Placed policy in unauthorized company	Settlement Agreement: \$250 fine, cease & desist from violations,	04/02/09
Machado, Joaquin C.	Producer	6714	Failed to make proper disclosure on licensing application(s)	Consent Agreement: \$500 fine, cease & desist from violations	06/09/09
Mano, Luis Vidal	Producer	6902	Failed to make proper disclosure on licensing application(s)	Consent Agreement: \$500 fine, cease & desist from violations	06/09/09
Maxim Insurance Services, Inc.	Producer	6757	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	04/07/09
Mize, Lisa Sue	Producer	5025	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Administrative Decision: License Revocation, \$12,000 fine, cease & desist from all insurance activity	04/13/09
Nash, Lisa Wildfeuer	Producer	5561	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	04/07/09
O'Connell, Christopher Lincoln	Producer	5577	Failed to remit premium, misrepresentation	Settlement Agreement: License Revocation, cease & desist from all insurance activity	04/13/09
Odice, Joseph R.	Producer	6704	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: Cease & desist from violations	05/14/09
Pray, Edward B.	Producer	6606	Failed to timely report administrative action(s)	Settlement Agreement: \$750 fine, cease & desist from violations	06/05/09

Reese, William Joseph, Jr.	Producer	6070	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$750 fine, cease & desist from violations	04/21/09
Rennie, Gregg Thomas	Producer	6744	Failed to maintain the standards of trustworthiness and suitability, misrepresented the terms of an annuity	Administrative Decision: License Revocation, \$2,000 fine, cease & desist from all insurance activity	04/10/09
Robert J. Evaristo & Associates, Inc.	Producer	6728	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$350 fine, cease & desist from violations	05/07/09
Sanborn, Kimberly Anne	Producer	6518	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	06/10/09
Sandburg, Philip Carl	Producer	6148	Failed to remit premium	Administrative Decision: License Revocation, \$1,000 fine, cease & desist from all insurance activity	05/11/09
Schantz, Robert Edward	Producer	6423	Failed to timely report administrative action(s), failed to make proper disclosure on licensing application(s)	Consent Agreement: \$750 fine, cease & desist from violations	06/09/09
Shepard, Carl Stephen	Producer	6579	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	05/11/09

Silva, Mary M.	Producer	6836	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	05/01/09
South River Insurance Agency, Inc.	Producer	6880	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$250 fine, cease & desist from violations	06/15/09
Strong, Mark James	Producer	5662	Failed to timely report administrative action(s)	Settlement Agreement: \$250 fine, cease & desist from violations	05/04/09
Thorbahn, Peter M.	Producer	6605	Failed to maintain continuing education	Settlement Agreement: \$1,000 fine, cease & desist from violations, compliance plan	06/23/09
United Commercial Insurance Agency, Inc.	Producer	5805	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$850 fine, cease & desist from violations	05/11/09
Velis, James A.	Producer	6785	Failed to maintain continuing education	Settlement Agreement: Cease & desist from violations	05/13/09
Yamada, Judy A.	Producer	6098	Failed to make proper disclosure on licensing application(s)	Settlement Agreement: \$500 fine, cease & desist from violations	05/14/09