

New York State Department of Financial Services

ISSUED: December 3, 2013

FOR IMMEDIATE RELEASE

NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES TAKES DISCIPLINARY ACTIONS AGAINST COMPANIES, AGENTS, BROKERS & ADJUSTERS

The New York State Department of Financial Services has taken disciplinary action against the following licensees. Those categorized as stipulations have been agreed to by the licensee. Department actions that result from Department hearings are subject to judicial review and possible stay of enforcement.

INSURANCE COMPANIES

LICENSEE	ADDRESS	PENALTY
Aetna Health, Inc.	151 Farmington Avenue Farmington, CT 06156	\$41,100 fine
Aetna Life Insurance Company	Same as above	
Aetna Health Insurance Company of New York	980 Jolly Road Blue Bell, NY 19422	
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved August 23, 2013.]		

LICENSEE	ADDRESS	PENALTY
Affinity Health Plan	2500 Halsey Street Bronx, NY 10461	\$35,300 fine
Respondent failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved August 23, 2013.]		

LICENSEE	ADDRESS	PENALTY
Allstate Property and Casualty Insurance Company	3075 Sanders Road Northbrook, IL 60062	\$9,000 fine
Respondent exceeded the maximum number of private passenger automobile non-renewals permitted for calendar year 2012. [Stipulation approved September 30, 2013.]		

LICENSEE	ADDRESS	PENALTY
American Medical and Life Insurance Company	59 Maiden Lane - Suite 610 New York, NY 10038	\$10,250 fine
Respondent failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Amerigroup New York, LLC	4425 Corporation Lane Virginia Beach, VA 23462	\$27,300 fine
Respondent failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved August 23, 2013.]		

LICENSEE	ADDRESS	PENALTY
Capital District Physicians Health Plan	Patroon Creek Corporate Center 500 Patroon Creek Boulevard Albany, NY 12206	\$7,300 fine
Respondent failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved August 23, 2013.]		

LICENSEE	ADDRESS	PENALTY
CIGNA Healthcare of New York Inc.	3473 Collondale Drive Wellington, FL 33449	\$28,200 fine
Respondent failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved August 23, 2013.]		

LICENSEE	ADDRESS	PENALTY
Empire Healthchoice Assurance Inc.	1 Liberty Plaza 165 Broadway New York, NY 10002	\$61,700 fine
Empire Healthchoice HMO, Inc.	15 Metrotech Center Brooklyn, NY 11201	
Respondents failed to process certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved August 23, 2013.]		

LICENSEE	ADDRESS	PENALTY
Excellus Health Plan, Inc.	165 Court Street Rochester, NY 14647	\$45,100 fine
Excellus Health Plan	Same as above	
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
GHI HMO Select, Inc.	441 Ninth Avenue New York, NY 10001	\$157,200 fine
Group Health Incorporated	Same as above	
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Healthfirst PHSP Inc.	25 Broadway New York, NY 10004	\$27,500 fine
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved August 23, 2013.]		

LICENSEE	ADDRESS	PENALTY
Health Insurance Plan of Greater New York	55 Water Street New York, NY 10011	\$106,900 fine
HIP Insurance Company of New York	Same as above	
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Health Plus Prepaid Health Services Plan, Inc.	241 37th Street Brooklyn, NY 11232	\$18,100 fine
Respondent failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Integon National Insurance Company	P.O. Box 3199 Winston Salem, NC 27101	\$10,000 fine
Respondent exceeded the maximum number of private passenger automobiles non-renewals permitted for the calendar year 2012. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Metroplus Health Plan, Inc.	160 Water Street New York, NY 10038	\$68,500 fine
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 17, 2013.]		

LICENSEE	ADDRESS	PENALTY
New York State Catholic Health Plans, Inc. d/ba Fidelis Care New York	95-25 Queens Boulevard Rego Park, NY 11374	\$34,700 fine
Respondent failed to pay certain claims within the time limitations. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Oxford Health Plans (NY), Inc.	48 Monroe Turnpike Trumbull, CT 06611	\$77,700 fine
Oxford Health Insurance, Inc.	Same as above	
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Tri-State Consumer Insurance Company	2 Robbins Lane Jericho, NY 11753	\$20,000 fine
Respondent exceeded the maximum number of private passenger automobile non-renewals permitted for a calendar year. [Stipulation approved October 2, 2013.]		

LICENSEE	ADDRESS	PENALTY
UnitedHealthcare Insurance Company of New York	c/o Oxford Health Plans 48 Monroe Turnpike Trumbull, CT 06611	\$86,100 fine
UnitedHealthcare of New York Inc.	Same as above	
Respondents failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Wellcare of New York, Inc.	110 Fifth Avenue - 3rd Floor New York, NY 10013	\$7,900 fine
Respondent failed to pay certain claims within the time limitations specified in Section 3224-a of the Insurance Law. [Stipulation approved September 6, 2013.]		

AGENT AND BROKER HEARINGS

Region: Mid-Hudson

LICENSEE	ADDRESS	PENALTY
Kingstar Company Inc. (Broker and Excess Line Broker)	405 Lucas Avenue Kingston, NY 12401	\$2,000 fine
Thomas Derella (Broker and Sublicensee)	Same as above	
<p>Respondents sold excess line insurance policies and insureds were charged premiums by insurers for the calendar years 2010 through 2012. Respondents were required to file tax returns and pay taxes on the foregoing policies to the Superintendent, but failed to pay the taxes and failed to timely file the tax returns. Respondents also impeded a Department investigation by refusing to provide information. [Order issued August 20, 2013.]</p>		

Region: Mid-Island

LICENSEE	ADDRESS	PENALTY
Otari Bater (Agent)	34 Phipps Lane Plainview, NY 11590	License Revoked
<p>Respondent, individually and acting in concert with others, engaged in an ongoing scheme to submit false applications for insurance policies in order to gain money in excess of \$1,000.00, for which Respondent was convicted, upon a plea of guilty, of Scheme to Defraud in the second degree, a class A misdemeanor. Respondent also failed to report the aforementioned criminal prosecution to the Superintendent within 30 days of the initial pretrial hearing date; falsely attested on his original application for an agent's license that he had completed statutory pre-qualifying courses, when in fact he had not completed such courses; and failed to respond to a Departmental investigatory letter. [Order issued March 7, 2013.]</p>		

Region: New York City

LICENSEE	ADDRESS	PENALTY
Yakov Korogodskiy (Agent)	1024 Banner Avenue Brooklyn, NY 11235	\$500 fine
<p>Respondent was the subject of a criminal prosecution and failed to notify the Department of the aforesaid criminal prosecution within 30 days of the initial pretrial hearing date. Respondent was subsequently convicted of a crime. [Order issued September 26, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
George C. Zouvelos (Bail Bond Agent)	81 Baxter Street New York, 10013	License Revoked
<p>Respondent conducted business for a period of years as Spartan Bail Bonds, Inc. (“Spartan”), a corporation that he knew had not been licensed by the Department.</p> <p>Respondent demonstrated that he cannot be trusted to return collateral to indemnitors in the correct amount and in a reasonable period of time. On numerous occasions Respondent delayed, for months or even years, returning collateral that was due indemnitors. Respondent also deducted from collateral that indemnitors had deposited with him substantial amounts of money for alleged expenses, and such expenses were often excessive or unnecessary on their face. In many cases, Respondent failed to provide contemporaneous invoices documenting the alleged expenses.</p> <p>Respondent was convicted in New York State of Criminal Possession of a Weapon in the Fourth Degree, Obstructing Governmental Administration in the Second Degree, and Possession of an Unloaded Shotgun.</p> <p>Respondent made a false statement on his license application for Spartan by his negative answer to the question of whether any owner of Spartan was currently charged with committing a crime. At the time of the application, Respondent was facing criminal charges that had yet to be resolved.</p> <p>[Order issued August 5, 2013]</p>		

Region: Queens

LICENSEE	ADDRESS	PENALTY
Maspeth Complete Coverage Brokerage Corp. (Broker)	54-08 Flushing Avenue Maspeth, NY 11378	Licenses Revoked
Omar K. Khan (Agent, Broker and Sublicensee)	Same as above	
<p>Respondents submitted to the New York Automobile Insurance Plan insurance applications in which Respondents misrepresented underwriting information necessary to properly rate the policies, insurance applications for which Respondents submitted insufficient premium deposits and insurance applications that were deficient because they were untimely and contained other deficiencies, for which the NYAIP revoked Respondents’ NYAIP producer certification for a period of 5 years. Respondents also violated Section 2119(c)(1) of the Insurance Law by collecting a service free from an insured without obtaining from the insured a signed memorandum specifying the amount of the service fee, and failed to remit to the premium finance company a portion of a premium finance loan payment that Respondents collected from the insured. Respondents also failed to submit to the Department information and documentation requested in Department letters, and failed to appear at the Department’s office for the purpose of giving a statement under oath as directed in Department letters. [Order issued March 6, 2013.]</p>		

Region: Suffolk

LICENSEE	ADDRESS	PENALTY
ADS Professional Services Ltd. (Agent and Broker)	99 Smithtown Boulevard Smithtown, NY 11787	Licenses Revoked
Deanna A. McCartin (Agent, Broker, and Sublicensee)	Same as above	
Respondents collected a renewal insurance premium payment check from an insured and failed to remit the full amount received or otherwise properly account for said funds. Respondents misappropriated premium money. [Order issued September 13, 2013.]		

Region: Out of State

LICENSEE	ADDRESS	PENALTY
Carline Maureen Smith (Agent)	c/o CM Smith Insurance 1155 Simonton Peak Way Lawrenceville, GA 30045	\$500 fine
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that her license was revoked by the Washington Office of Insurance Commissioner. Respondent also failed to timely and fully respond to Department letters. [Order issued October 2, 2013.]		

LICENSEE	ADDRESS	PENALTY
Michael C. Nicolai (Broker and Excess Line Broker)	7 Jersey Lane Spring Lake, NJ 07762	Licenses revoked and \$1000 fine
Respondent failed to appear at the Department's offices or to submit information and documentation to the Department as directed in Departmental investigatory letters relating to Respondent's license applications. Respondent also failed to notify the Department within 30 days that he changed his business and residence addresses, and failed to file annual excess line premium tax statements for the calendar years 2006 and 2007. [Order issued March 15, 2013.]		

AGENT & BROKER STIPULATIONS

Region: Albany

LICENSEE	ADDRESS	PENALTY
Shawn D. Decelle (Agent)	695 Columbia Turnpike East Greenbush, NY 12061	\$2,500 fine
Respondent stole assets intrusted to the custody and care of a bank while he was providing foreclosure services on behalf of the bank, for which Respondent was convicted of a crime. [Stipulation approved August 16, 2013.]		

LICENSEE	ADDRESS	PENALTY
Anthony Friello (Agent and Broker)	510 Tony Drive Schenectady, NY 12306	\$3,500 fine
Respondent, while acting as an agent for an insurer, signed the signature of the proposed insured on applications for life insurance without the proposed insured's authorization, and thereby violated the insurer's company policy. [Stipulation approved September 17, 2013].		

LICENSEE	ADDRESS	PENALTY
Michael McCaffery t/b/a Perfetti McCaffery Bail Bonds Agency (Bail Bond Agent- License Application pending)	2 Stanton Street Troy, NY 12180	\$1,000 fine
Respondent acted as a bail bond agent in the State of New York without a license. [Stipulation approved August 16, 2013.]		

LICENSEE	ADDRESS	PENALTY
Michael P. Salvati (Agent)	51 School Street, Schaghticoke, NY 12154	License Revoked
Respondent, in connection with an application for life insurance that he submitted to an insurer, allowed someone other than the insured to sign the insured's name on the application and to answer the medical questions that the application asked regarding the insured, for which Respondent's agency appointment was terminated for cause by the insurer. Respondent also failed to respond to Departmental investigatory letters. [Stipulation approved September 6, 2013.]		

Region: Brooklyn

LICENSEE	ADDRESS	PENALTY
Cesar C. Alarcon (Agent)	159 Lorimer Street Brooklyn, NY 11206	\$5,000 fine
Respondent was terminated for cause by an insurance company for soliciting and selling Medicare Advantage Plans to Medicare beneficiaries without having a previously arranged appointment with the Medicare beneficiaries, as required under the Centers for Medicare and Medicaid Services Guidelines, and for failing to properly complete company scope of appointment forms. [Stipulation approved July 31, 2013.]		

LICENSEE	ADDRESS	PENALTY
Marta Antoszezwska (Agent)	185 Meserole Avenue Brooklyn, NY 11222	\$2,500 fine
Respondent, while she was appointed as an agent by an insurer, changed the named insured on an automobile insurance policy to a customer who did not qualify for the policy after the business had been qualified with the original named insured's credit, driver's license and prior insurance information, for which the insurer terminated Respondent's agency appointment for cause. Respondent also failed to disclose the termination for cause on her relicensing applications for an agent's license. [Stipulation approved October 28, 2013.]		

LICENSEE	ADDRESS	PENALTY
Chaim Babad (Agent)	1065 53rd Street Brooklyn, NY 11219	\$750 fine
Respondent failed to disclose on his renewal application for an agent's license that he had a delinquent tax obligation that was not then the subject of a repayment agreement. [Stipulation approved August 19, 2013.]		

LICENSEE	ADDRESS	PENALTY
Mendelovitz Associates Inc. (Agent)	490 Argyle Road Brooklyn, NY 11218	\$4,500 fine
Hillel Mendelovitz (Agent and Sublicense)	Same as above	
<p>Respondents acted as life agents in the State of New York in the name of Respondent Mendelovitz Associates Inc. after the license of Respondent Mendelovitz Associates Inc. to act as a life agent expired. Respondents also failed to disclose in the relicensing application for an agent's license of Respondent Mendelovitz Associates Inc. that Respondent Mendelovitz Associates Inc. acted as a life agent in the State of New York after its license to act as a life agent expired. [Stipulation approved June 12, 2013.]</p>		

Region: Mid-Island

LICENSEE	ADDRESS	PENALTY
Yohance Perry (Broker and Bail Bond Agent)	174 Hutchinson Boulevard Mount Vernon, NY 10552	\$1,500 fine
<p>Respondent acted as a bail bond agent in the State of New York in the name of a corporation that had no license to act as a bail bond agent. [Stipulation approved November 6, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
Ellen M. Thomson (Broker)	192 West 4 th Street Deer Park, NY 11729	License Revoked
<p>Respondent stole an amount exceeding \$1,000.00 in United States currency by false pretenses from the insurance agency at which she was employed, for which Respondent was convicted, upon a plea of guilty, of Attempted Grand Larceny in the Fourth Degree, a class A misdemeanor. [Stipulation approved September 26, 2013.]</p>		

Region: Nassau

LICENSEE	ADDRESS	PENALTY
Kelly A. Grecki (Independent Adjuster)	Claims Services Bureau of NY Inc. 21 Hempstead Avenue P.O. Box 805 Lynbrook, NY 11563	\$500 fine
Respondent failed to report to the Superintendent within 30 days of the initial pretrial hearing date that she was the subject of a criminal prosecution. Subsequently, the charges upon which the criminal prosecution was based were dismissed. [Stipulation approved October 2, 2013.]		

Region: New York City

LICENSEE	ADDRESS	PENALTY
Rossie C. Cardwell (Independent Adjuster- License Application pending)	PO Box 1161 New York, NY 10268	\$4,500 fine
Respondent conducted insurance business in this State without a license. [Stipulation approved October 25, 2013.]		

LICENSEE	ADDRESS	PENALTY
Richard K. Finney (Agent- License Application Pending)	503 West 133rd Street New York, NY 10027	\$750 fine
Respondent failed to disclose on his original application for an agent's license that he had a delinquent tax obligation that was not then the subject of a repayment agreement. [October 24, 2013.]		

LICENSEE	ADDRESS	PENALTY
Gold Coast Advantage Ltd. (Broker)	352 Seventh Avenue New York, NY 10001	\$1,500 fine
Respondent acted as an excess line broker in the State of New York after its sole sublicensee died, and thereby acted as an excess line broker in the State of New York without a sublicensee. [Stipulation approved September 19, 2013.]		

LICENSEE	ADDRESS	PENALTY
AG Intermediary Inc. (Reinsurance Intermediary)	31 West 52 nd Street New York, NY 10019	\$3,000 fine
Philip R. Kastlelec (Sublicensee)	Same as above	
Respondents conducted business as a reinsurance intermediary in the state of New York after its license to do so had expired. [Stipulation approved September 20, 2013.]		

LICENSEE	ADDRESS	PENALTY
Denise R. Wasserman (Independent Adjuster)	PO Box 1161 New York, NY 10268	\$3,000 fine
Respondent conducted insurance business in this State without a license. [Stipulation approved October 25, 2013.]		

LICENSEE	ADDRESS	PENALTY
John K. Wessels (Agent – License Pending)	601 Lexington Avenue New York, NY 10022	\$8,500 fine
Respondent solicited, negotiated and/or delivered in the State of New York annuity contracts issued by an unauthorized insurer in the State of New York, and otherwise aided and facilitated an unauthorized insurer in doing an insurance business in the State of New York. [Stipulation approved October 22, 2013.]		

Region: Queens

LICENSEE	ADDRESS	PENALTY
J. A. B. Insurance Agency Inc. (Broker)	26-46 93rd Street Elmhurst, NY 11369	Licenses Revoked
LJM of New York Insurance Brokerage Corp. (Broker)	Same as above	
Jose A. Castro (Agent and Sublicensee)	Same as above	
<p>Respondents J. A. B. Insurance Agency Inc. and Jose A. Castro utilized their New York Automobile Insurance Plan certification to aid and abet other producers whose certifications had previously been revoked by the NYAIP in the sale of insurance through the NYAIP. Respondents J. A. B. and Castro also submitted insurance applications to the NYAIP in connection with which Respondents J. A. B. and Castro failed to recognize and deter false and purposely erroneous reporting of information by their clients, and thereby engaged in rate evasion and/or identity theft. Respondents J. A. B. and Castro also submitted deficient insurance applications to the NYAIP. [Stipulation approved October 11, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
Salvatore Ventimiglia t/b/a Magna Services (Agent and Broker)	60-82 Fresh Pond Road Maspeth, NY 11378	\$2,500 fine
Salvatore Ventimiglia (Agent and Broker)	Same as above	
<p>Respondent collected a return insurance premium payment from an insurer and failed to remit the payment to the insured. Respondent also failed to appropriately identify his premium bank account and commingled insurance premium fiduciary funds with business operating expense funds and with funds held by Respondent in his capacity as a travel agent. [Stipulation approved October 25, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
Selamawit Yisma (Agent)	150-38 Union Turnpike Flushing, NY 11367	License Revoked
<p>Respondent was convicted, upon a plea of guilty, of Grand Larceny in the Third Degree, a class D felony. Respondent also failed to disclose the conviction in her original and renewal applications for an agent's license. [Stipulation approved September 26, 2013.]</p>		

Region: Suffolk

LICENSEE	ADDRESS	PENALTY
Amaden Gay Agencies Inc. (Agent and Broker)	11 Gay Road, P.O. Box 5004 East Hampton, NY 11937	\$2,000 fine
James P. Amaden (Agent, Broker and Sublicensee)	Same as above	
Respondent Amaden Gay Agencies Inc. failed to report to the Superintendent within 30 days of the final disposition of the matter that it was fined by the Florida Department of Financial Services and by the Louisiana Department of Insurance. Additionally, Respondents Amaden Gay Agencies Inc. and James P. Amaden failed to disclose the Florida fine in the renewal application for an agent's and the renewal application for a broker's license of Respondent Amaden Gay Agencies Inc. [Stipulation approved October 2, 2013.]		

LICENSEE	ADDRESS	PENALTY
Leonardo Calvo (Agent)	620 Asharoken Blvd Bay Shore, NY 11706	License Revoked
Respondent was terminated for cause by an insurance company for submitting an application for life insurance to an insurance company without the applicant's knowledge or consent. [Stipulation approved August 21, 2013.]		

LICENSEE	ADDRESS	PENALTY
PaulaJean Porter (Agent-Relicensing application pending)	5 Dorfer Lane Nesconset, NY 11767	\$17,500 fine
Respondents' agent and broker licenses were previously revoked for failing to remit premium payments to the New York Automobile Insurance plan. Respondent has failed to provide sufficient proof that she has since remitted the outstanding premium payments to the New York Automobile Insurance Plan. [Stipulation approved September 6, 2013.]		

LICENSEE	ADDRESS	PENALTY
Geraldine Werner (Broker)	122 Noel Drive Centereach, NY 11720	License Revoked
Respondent submitted numerous applications for renter's insurance to an insurer without the applicants' knowledge or consent and as a result of the foregoing, was terminated for caused by her employer. Respondent owes taxes plus interest and penalties to the New York State Department of Taxation and Finance. [Stipulation approved October 11, 2013.]		

Region: Staten Island

LICENSEE	ADDRESS	PENALTY
Peter D'Agostino (Public Adjuster)	18 Evergreen Avenue Staten Island, NY 10304	\$2,250 fine
Respondent failed to disclose on his relicensing application for a public adjuster's license that he was convicted of crimes. [Stipulation approved October 9, 2013.]		

LICENSEE	ADDRESS	PENALTY
Anthony V. DeRosa (Agent)	180 Graham Avenue Staten Island, NY 10314	\$1,500 fine
Respondent, in connection with the sale of an annuity, signed an applicant's name to a Transfer and Exchange Form without the applicant's knowledge or consent. [Stipulation approved August 28, 2013.]		

Region: Syracuse

LICENSEE	ADDRESS	PENALTY
Joseph A. Gangemi (Independent Adjuster)	406 East Manchester Road Syracuse, NY 13219	\$1,500 fine
Respondent failed to disclose on his renewal application for an independent adjuster's license that he had two pending criminal charges. [Stipulation approved October 22, 2013.]		

Region: Watertown

LICENSEE	ADDRESS	PENALTY
Trevor P. Beach (Independent Adjuster – License Pending)	27344 Wilson Road Theresa, NY 13691	\$3,000 fine
Respondent conducted insurance business in this State without a license. (Stipulation approved August 28, 2013.)		

Region: Westchester

LICENSEE	ADDRESS	PENALTY
Steven G. Lockwood (Agent)	2 Tall Tree Lane Pleasantville, NY 10570	\$7,500 fine
Respondent, in connection with the sale of a life insurance policy to an insured, failed to supervise an employee who submitted false information concerning the insured's net worth to a life insurer. [Stipulation approved August 16, 2013.]		

Region: Out of State

LICENSEE	ADDRESS	PENALTY
Stephanie P. Buffington (Agent)	117 East 21st Street North Little Rock, AR 72118	License Revoked
Respondent, in connection with the sale of a life insurance policy, submitted an asset allocation form to a life insurer without the insured's knowledge or consent; and as a result of the foregoing, Respondent was terminated for cause by the insurer. [Stipulation approved October 24, 2013.]		

LICENSEE	ADDRESS	PENALTY
Daniel Patrick Cobb (Agent)	1875 Eveningside Way NW Kennesaw, GA 30152	License Revoked
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that his nonresident insurance producer's license was revoked by the South Dakota Division of Insurance. Respondent also failed to disclose in his original application for an agent's license that he was fined by the Georgia Office of Commissioner of Insurance, and failed to submit to the Department information and documentation that was requested in Department letters. [Stipulation approved September 26, 2013.]		

LICENSEE	ADDRESS	PENALTY
JBL Trinity Group Ltd. (Agent and Broker)	100 Matawan Road Matawan, NJ 07747	\$2,500 fine
Joseph B. DiMattina (Agent, Broker, and Sublicensee)	Same as above	
Respondents acted as property/casualty agents in the State of New York in the name of Respondent JBL Trinity Group Ltd. after the license of Respondent JBL Trinity Group Ltd. to act as a property/casualty agent had expired. [Stipulation approved October 11, 2013.]		

LICENSEE	ADDRESS	PENALTY
James R. Eisengart (Agent)	915 Saxonburg Boulevard Pittsburgh, PA 15223	\$1,500 fine
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that he was fined by the Illinois Division of Insurance. Respondent also failed to disclose the Illinois fine in his renewal application for an agent's license. [Stipulation approved October 7, 2013.]		

LICENSEE	ADDRESS	PENALTY
Roy Flynn (Agent)	570 Dugwell Road Boones Mill, VA 24065	\$750 fine
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent's application for a permanent individual intermediary agent's insurance license was denied by the Wisconsin Office of the Commissioner of Insurance. [Stipulation approved October 2, 2013.]		

LICENSEE	ADDRESS	PENALTY
Gallagher Benefit Services Inc. (Agent)	545 Metro Place South Dublin, OH 43017	\$3,750 fine
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent was fined by the Florida Department of Financial Services and by the Utah Insurance Department. Respondent also failed to disclose on its original application for an agent's license that its owner was ordered by the Illinois Division of Insurance to establish a fund to be paid to certain policyholders of the owner, and was ordered by the Illinois DOI not to engage in certain conduct in placing, renewing, consulting on or servicing any retail insurance policy. [Stipulation approved October 11, 2013.]		

LICENSEE	ADDRESS	PENALTY
Tiffany Michelle Gillespie (Agent)	417 Rawls Circle Irving, TX 75061	License Revoked
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that her application for a permanent individual surplus lines insurance license was denied by the Wisconsin Office of the Commissioner of Insurance. Respondent also failed to respond to Department letters directing her to submit information and documentation to the Department. [Stipulation approved October 18, 2013.]		

LICENSEE	ADDRESS	PENALTY
Ogilvie Security Advisors Corp. (Agent)	1 N. Franklin Street - Suite 3150 Chicago, IL 60606	\$1,500 fine
Debra A. Hoag (Agent, Life Settlement Broker and Sublicensee)	Same as above.	
<p>Respondents failed to notify the Department within thirty days that Respondent Ogilvie Security Advisors Corp. was the subject of administrative actions by the States of Washington and Wisconsin; and Respondents changed their business and residence addresses and failed to notify the Department within thirty days. [Stipulation approved September 11, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
Daniel S. Kennedy (Independent Adjuster)	462 Midland Road Jamesville, WI 53546	\$3,750 fine
<p>Respondent used an unapproved name in conducting business as an independent adjuster in the State of New York. Additionally, in response to a Department letter requesting information and documentation regarding Respondent's license application, Respondent submitted a letter to the Department in which he failed to disclose that a corporation of which he is president was fined by the Nevada Division of Insurance. [Stipulation approved September 20, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
Robert J. Kennedy (Agent)	9599 Savona Winds Drive Delray Beach, FL 33446	\$2,000 fine
<p>Respondent sold two unauthorized insurance products in this State. [Stipulation approved October 24, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
Anthony Mento (Agent)	43 Mardor Avenue Hammonton, NJ 08037	\$1,500 fine
<p>Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that he was fined by the New Jersey Department of Banking and Insurance. Additionally, Respondent failed to disclose the aforementioned fine imposed by the New Jersey Department of Banking and Insurance in his renewal application for an agent's license. [Stipulation approved October 2, 2013.]</p>		

LICENSEE	ADDRESS	PENALTY
Steve Parks (Agent and Broker – License Pending)	512 East Randolph Road Silver Spring, MD 20904	License Revoked
Respondent solicited, negotiated and/or delivered in the State of New York annuity contracts issued by an unauthorized insurer, and otherwise aided and facilitated an unauthorized insurer in doing an insurance business in the State of New York and Respondent conducted insurance business in this State without a license. [Stipulation approved October 24, 2013.]		

LICENSEE	ADDRESS	PENALTY
Gallagher Bassett Services Inc. (Independent Adjuster- Relicensing Application pending)	Two Peirce Place Itasca, IL 60143	\$10,000 fine
Kathleen M. Skelly (Proposed sublicensee)	Same as above	
Suzanne S. Sortino (Proposed sublicensee)	Same as above	
Respondents conducted insurance business in this State after Respondent Gallagher Bassett Services Inc.'s independent adjuster's license had expired. Respondents failed to disclose on the original and relicensing applications of Respondent Gallagher Bassett Services Inc. for an independent adjuster's license that Respondent v was the subject of administrative actions by the States of Nevada, Connecticut and South Dakota. [Stipulation approved October 2, 2013.]		

LICENSEE	ADDRESS	PENALTY
MTM Insurance Associates Agency LLC (Broker)	1320 Osgood Street North Andover, MA 01845-1011	\$3,750 fine
Cindy Louise Traverso (Agent, Broker and Sublicensee)	Same as above	
Respondents failed to disclose in Respondent MTM's original application for a broker's license that Respondent MTM was fined by the Florida Department of Financial Services. Respondents also acted as insurance producers in the State of New York in the name of Respondent MTM when Respondent MTM had no license pursuant to any provision of the Insurance Law. [Stipulation approved September 20, 2013.]		