

New York State Department of Financial Services

ISSUED: August 5, 2016

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.

AGENT AND BROKER HEARINGS

| LICENSEE | ADDRESS | PENALTY |
|---|---------------------------------------|--------------------|
| Katelyn Dee Gregory (Agent) | 9026 E 30th Street Tulsa, OK 74129 | License Revoked |
| Respondent had her insurance producer licenses revoked by the states of Nevada, Washington and Minnesota, and had her insurance producer license suspended by the state of Indiana. Additionally, Respondent failed to report the revocations and the suspension to the Superintendent within 30 days of the final disposition of the matter; failed to respond to Departmental investigatory letters; and failed to notify the Department of a business address change within 30 days of the change. [Order issued June 30, 2016.] | | |

| LICENSEE | ADDRESS | PENALTY |
|---|--------------------------------------|--------------------|
| Kenneth Alan Rice (Agent) | 2422 Severn Lane Dayton, OH 45459 | License Revoked |
| Respondent had his insurance producer licenses revoked by seven states, and had his insurance producer licenses suspended by two states. Additionally, Respondent failed to report the revocations and the suspensions to the Superintendent within 30 days of the final disposition of the matter; failed to respond to departmental investigatory letters; and failed to notify the Department of a business address change within 30 days of the change. [Order issued June 30, 2016.] | | |

| LICENSEE | ADDRESS | PENALTY |
|--|--|--------------------|
| Elizabeth M. Smith (Independent Adjuster) | 2514 Blakeslee Circle Canastota, NY 13032 | License Revoked |
| Respondent, while employed at an auto insurer, falsely reported to the claims department that a company vehicle had been damaged when parked on a street when actually, Respondent had caused the damage by driving the vehicle into a fence and a tree. As a result of making such report, which was a violation of company policy, Respondent's employment with the insurer was terminated. Respondent subsequently failed to respond to Departmental investigatory letters, thereby hampering and impeding the Department's investigation, and also failed to notify the Department of an address change. [Order issued June 30, 2016.] | | |

STIPULATIONS

Region: Broome

| LICENSEE | ADDRESS | PENALTY |
|---|--|----------------|
| Raymond L. Weiss (Independent Adjuster- License Application Pending) | 1 Clark Avenue Binghamton, NY 13901 | \$750 fine |
| Respondent failed to disclose that he was convicted of a crime on his relicensing application for an independent adjuster's license. [Stipulation approved June 2, 2016.] | | |

Region: Cattaraugus

| LICENSEE | ADDRESS | PENALTY |
|---|---|----------------|
| David P. Rutherford II (Independent Adjuster) | 2450 Constitution Avenue Olean, NY 14760 | \$750 fine |
| Respondent failed to disclose in his original application for an independent adjuster's license that at the time such application was submitted Respondent was charged with committing a crime. [Stipulation approved June 20, 2016.] | | |

Region: Nassau

| LICENSEE | ADDRESS | PENALTY |
|---|---------------------------------------|----------------|
| EBCO International Inc. (Agent and Broker) | 265 Post Avenue Westbury, NY 11590 | \$1,500 fine |
| Kathy Ann Luisi (Agent, Broker, and Sublicensee) | Same as above | |
| Respondents transacted insurance business as excess line brokers in this State without a license and utilized an advertisement that called attention to an unauthorized insurer. [Stipulation approved June, 20, 2016.] | | |

Region: New York

| LICENSEE | ADDRESS | PENALTY |
|---|-----------------------------------|----------------|
| Swett & Crawford Corp. (Agent, Broker, Excess Line Broker and Reinsurance Intermediary) | 32 Old Slip New York, NY 10005 | \$3,000 fine |
| Peter S. Thrasher (Agent and Sublicensee) | Same as above | |
| Jason R. White (Agent and Sublicensee) | Same as above | |
| Respondents failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent Swett & Crawford Corp. was fined by the Alaska Division of Insurance. Respondents also failed to disclose the Alaska fine in license applications submitted to the Department. [Stipulation approved June 10, 2016.] | | |

Region: Out of State

| LICENSEE | ADDRESS | PENALTY |
|--|---|--------------------|
| John Charles Dillon (Agent) | c/o Selectaquote Auto & Home Insurance 2020 W. 89 th Street Leawood, KS 66206 | License Revoked |
| Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that he was fined by the Minnesota Department of Commerce. [Stipulation approved June 10, 2016.] | | |

| LICENSEE | ADDRESS | PENALTY |
|---|---------------------------------------|----------------|
| Lions Share Holding Inc. (Agent) | 300 W Platt Street Tampa, FL 33606 | \$500 fine |
| Douglas Wilson King (Sublicensee) | Same as above | |
| Respondents failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent Lions Share Holding Inc. was fined by the Massachusetts Division of Insurance. [Stipulation approved June 29, 2016.] | | |

| LICENSEE | ADDRESS | PENALTY |
|---|---|----------------|
| Angelica Dianira Tobias-Zavala (Agent) | 2000 US Business Highway Ennis, TX 75119 | \$1,500 fine |
| Respondent failed to notify the Department within thirty days that she was the subject of administrative actions by the States of South Dakota and Virginia and failed to respond to Department investigatory letters, thereby hampering and impeding the Department's investigation. [Stipulation approved June 15, 2016.] | | |