

New York State Department of Financial Services

ISSUED: July 21, 2017

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 BROKER HEARINGS

LICENSEE	ADDRESS	PENALTY
Grace Smith (Agent)	11926 Dupplin Castle Court Charlotte, NC 28277	License Revoked
Respondent purposely and knowingly embezzled, stole and converted for her own use, on a recurring basis, monies from the U.S. Social Security Administration that were intended for Respondent's deceased mother. As a consequence of the foregoing criminal activity, Respondent pled guilty to a felony in the United States District Court for the Western District of North Carolina. Respondent failed to report the criminal prosecution to the Superintendent within 30 days of the initial pretrial hearing date. Respondent also failed to report to the Superintendent the administrative actions taken against her in the States of Indiana, Kentucky, North Dakota, Nebraska, Arkansas, West Virginia, Delaware, South Dakota and Missouri. [Order issued May 25, 2017.]		

LICENSEE	ADDRESS	PENALTY
John Joseph Wills (Agent)	3325 N Lincoln Avenue Chicago, IL 60657	License Revoked
Respondent had his insurance producer license suspended by the Iowa Insurance Division, and had his insurance producer licenses revoked by the Delaware Insurance Department and the Louisiana Department of Insurance. Also, Respondent failed to report the suspension and the revocations to the Superintendent within 30 days of the final disposition of the matter, and failed to respond to the Department's letters. [Order issued May 24, 2017.]		

STIPULATIONS

Region: Albany

LICENSEE	ADDRESS	PENALTY
Troy Mackey (Agent and Broker- License Application Pending)	10 Compass Court Albany, NY 12205	\$750 fine
Respondent failed to disclose on his original application for a broker's license that he was found liable by order of the New York Surrogate's Court of a breach of a fiduciary duty. [Stipulation approved June 13, 2017.]		

Region: Mid-Hudson

LICENSEE	ADDRESS	PENALTY
Hotaling Property & Casualty LLC (Agent and Broker)	15 Davis Avenue Poughkeepsie, NY 12603	\$3,500 fine
Daniel G. Hickey Jr. (Broker and Sublicensee)	Same as above	
Respondents failed to disclose on their original application for an agent's license that Respondent Daniel G. Hickey Jr. was the subject of administrative actions by the States of Minnesota and New Hampshire and Respondent Daniel G. Hickey Jr. failed to notify the Department within thirty days of the above administrative actions. [Stipulation approved May 26, 2017.]		

Region: Mid-Island

LICENSEE	ADDRESS	PENALTY
Daniel Dvorznak (Agent and Life Broker)	3543 Lufberry Avenue Wantagh, NY 11793	\$2,250 fine
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that the Connecticut Department of Banking ordered that Respondent cease and desist from engaging in certain conduct. Respondent also failed to disclose in his renewal application for an agent's license and in his renewal application for a life broker's license that the Connecticut Department of Banking ordered that Respondent cease and desist from engaging in certain conduct as aforesaid. [Stipulation approved April 20, 2017.]		

Region: New York

LICENSEE	ADDRESS	PENALTY
Irving Guzman (Agent, Broker and Life Broker)	c/o National Auto School 13 West 183 rd Street Bronx, NY 10453	\$500 fine
Respondent commingled insurance premium fiduciary funds with business operating expense funds, and failed to appropriately identify his premium bank account. Respondent also used an unapproved name in conducting business as an insurance producer. [Stipulation approved June 2, 2017.]		

LICENSEE	ADDRESS	PENALTY
Nicola Nichols (Agent)	2529 Far Rock Boulevard Far Rockaway, NY 11691	\$1,500 fine
Respondent failed to disclose in license applications submitted to the Department that she had been convicted of crimes. [Stipulation approved May 26, 2017.]		

Region: Westchester

LICENSEE	ADDRESS	PENALTY
Matthew S. Sinclair (Agent)	1525 Journeys End Road Croton on Hudson, NY 10520	\$750 fine
Respondent, in connection with the replacement of a life insurance policy, provided the applicant with a Disclosure Statement form that contained inaccurate information. [Stipulation approved May 26, 2017.]		

Region: Out of State

LICENSEE	ADDRESS	PENALTY
James F. Donovan (Independent Adjuster)	48 Chestnut Street Wilmington, MA 01887	\$1,000 fine
Respondent failed to report to the Superintendent within 30 days of the initial pretrial hearing date that Respondent was the subject of a criminal prosecution, and Respondent also failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent's Georgia non-resident adjuster license was placed on a probationary status for a period of 12 months by the Georgia Insurance Department. [Stipulation approved May 26, 2017.]		

LICENSEE	ADDRESS	PENALTY
Henry O. Baker Inc. (Agent and Broker)	7 South Warren Street Dover, NJ 07801	\$2,000 fine
Jennifer Nicholas-McBride (Agent and Sublicensee)	Same as above	
Respondents failed to notify the Department within thirty days that they were the subject of administrative actions by the States of Florida and Massachusetts. Respondents failed to disclose the aforesaid administrative actions on Respondent Henry O Baker Inc.'s license renewal applications. [Stipulation approved June 13, 2017.]		

LICENSEE	ADDRESS	PENALTY
William R. Mints Agency Inc. (Agent)	10 E. Main Street Millville, NJ 08332	\$750 fine
Robert A. Conner (Agent, Broker and Sublicensee)	Same as above	
Frank A. Jones (Agent and Sublicensee)	Same as above	
Respondents failed to disclose in the original application for an agent's license of Respondent William R. Mints Agency Inc. that Respondent William R. Mints Agency Inc. was fined by the New Jersey Department of Banking and Insurance. [Stipulation approved June 16, 2017.]		

LICENSEE	ADDRESS	PENALTY
Tristar Risk Enterprise Management Inc. (Independent Adjuster)	2711 Centerville Road Wilmington, DE 19808	\$750 fine
Matthew T. Craig (Independent Adjuster and Sublicensee)	Same as above	
Respondents failed to disclose in Respondent Tristar's relicensing application for an independent adjuster's license that the State of Maine took an administrative action against Respondent Tristar. [Stipulation approved June 20, 2017.]		

LICENSEE	ADDRESS	PENALTY
Susan Z. Liftin Sileo (Agent)	155 Killarney Williamsburg, VA 23188	\$1,500 fine
Respondent failed to notify the Department within thirty days that she was the subject of administrative action by the States of Georgia and Delaware. Respondent by failing to timely notify the Department of the Delaware administrative action as stated above, violated a prior Stipulation she entered into with the Department wherein she agreed to report future administrative actions timely, as required. [Stipulation approved June 29, 2017.]		

LICENSEE	ADDRESS	PENALTY
Len Skipper (Agent and Broker)	Palomar Insurance Corporation 4525 Executive Park Drive Montgomery, AL 36116	\$1,000 fine
Respondent failed to notify the Department within thirty days that he was the subject of an administrative action by the State of Texas and failed to disclose the aforesaid administrative action on his license renewal applications. [Stipulation approved May 26, 2017.]		