

New York State Department of Financial Services

ISSUED: November 16, 2023

NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES TAKES DISCIPLINARY ACTIONS AGAINST LICENSEES OR REGISTRANTS UNDER THE INSURANCE LAW

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

STIPULATIONS/CONSENT ORDERS

Region: Buffalo

LICENSEE	ADDRESS	PENALTY
Daniel J. Schmidt (Agent)	615 Elmwood Ave Buffalo, NY 14222	\$4,000 fine
Respondent, during the approximate period October 2013 to July 2020, failed to supervise four employees, Joseph T. Calabrese, Cedrick A. Jordan, Christopher J. Ouimet and Stephanie Cabral, whose producer appointments were terminated for cause by an insurer, State Farm, during the approximate period May 1, 2019 to July 23, 2020. [Stipulation approved September 12, 2023.]		

Region: Mid-Hudson

LICENSEE	ADDRESS	PENALTY
Barbara Larsson (Agent)	164 Cortright Road Port Jervis, NY 12771	\$3,000 fine
Respondent failed to disclose in four license applications that in Paramus Municipal Court, State of New Jersey, Respondent was convicted of Forgery/Possession of Counterfeit Currency, in violation of New Jersey Statutes Section 2A:109-2(b). [Stipulation approved July 12, 2023.]		

Region: Mid-Island

LICENSEE	ADDRESS	PENALTY
Rodriguez Insurance Agency Corp. (Agent and Broker)	2786 Ravine Place Bellmore, NY 11710	\$8,250 fine
Eduardo Rodriguez (Agent, Broker, Life Broker, and Sublicensee)	Same as above	
<p>On or about June 8, 2021, Respondent Eduardo Rodriguez’s producer appointments were terminated for cause by an insurer, Allstate, for, among other things, submitting, to Allstate, documentation that contained false and/or inaccurate information relating to customers’ prior insurance coverage. Additionally, Respondent Eduardo Rodriguez failed to supervise two staff members, Laura Rodriguez and Juliana A. Rojas Lam, whose producer appointments were terminated for cause by Allstate on or about June 7, 2021. Additionally, Respondents failed to disclose in Respondent Rodriguez Insurance Agency Corp.’s relicensing application for an agent’s license that Respondent Eduardo Rodriguez’s producer appointments were terminated for cause by Allstate on or about June 8, 2021, as aforesaid. [Stipulation approved June 30, 2023.]</p>		

Region: Nassau

LICENSEE	ADDRESS	PENALTY
Enrico Abbondandolo (Agent, Broker and Life Broker)	P.O. Box 472 Locust Valley, NY 11560	\$4,500 fine
<p>Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent was the subject of administrative actions taken by the California Department of Insurance on or about January 6, 2022 and May 18, 2022. Additionally, Respondent failed to disclose the aforementioned administrative actions in four license renewal applications that he submitted to the Department on November 2, 2022. [Stipulation approved October 6, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Jorge Ernesto Hernandez (Agent)	300 Westbury Boulevard Hempstead, NY 11550	\$3,500 fine
<p>While Respondent was appointed as an agent by an insurer, Allstate, Respondent submitted, to Allstate, in connection with customers’ automobile insurance policies, documentation that contained false and/or inaccurate information relating to the homeownership status of the customers. Additionally, as a result of the aforementioned conduct, Respondent’s agency appointment was terminated for cause by Allstate. [Stipulation approved September 25, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Keats Insurance Agencies Inc. (Agent)	85 Jericho Turnpike Mineola, NY 11501	\$1,000 fine
Ronald F. Keats (Agent, Broker and Sublicensee)	Same as above	
<p>Respondents failed to supervise an employee of Respondent Keats Insurance Agencies Inc., a licensed insurance agent, who submitted false or inaccurate documentation to Nationwide Mutual Insurance Company ("Nationwide") regarding the prior insurance of applicants for insurance, and whose appointment was terminated for cause by Nationwide on or about October 25, 2021. [Stipulation approved September 25, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Alpha Risk Management Inc. (General Consultant)	1400 Old Country Road Suite 404n Westbury, NY 11590	\$7000 fine
Curtis J. Lee (General Consultant)	Same as above	
<p>Respondents, during the approximate period April 11, 2014, through January 15, 2021, permitted an individual to participate in the business of insurance without the benefit of written consent. [Stipulation approved September 27, 2023.]</p>		

Region: New York

LICENSEE	ADDRESS	PENALTY
Rommell Cooper Jr. (Agent)	4907 4 th Avenue Brooklyn, NY 11220	\$500 fine
<p>Respondent failed to report to the Superintendent, within thirty days of the final disposition of the matter, that he was the subject of an administrative action taken by the State of Wisconsin Office of the Commissioner of Insurance, effective February 19, 2020. [Stipulation approved September 28, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Transaction Liability Series of Lockton Specialties LLC (Agent, Broker, and Excess Line Broker)	1185 Avenue of the Americas, Suite 2010 New York, NY 10036	\$22,250 fine
Joshua David Halpern (Agent, Broker, Excess Line Broker, and Sublicensee)	Same as above	
Respondents, for the time period January 2021 to December 2022, failed to timely file documents with the excess line association for recording and stamping, pursuant to Insurance Law Section 2118(b)(1). [Consent Order approved October 2, 2023.]		

LICENSEE	ADDRESS	PENALTY
Shana A. Heath (Agent and Broker)	228-11 130th Avenue Laurelton, NY 11413	\$5,000 fine
On or about February 19, 2021, Respondent's producer appointments were terminated for cause by an insurer, Allstate, for submitting, to Allstate, in connection with automobile insurance policies, false and/or inaccurate information relating to customers' prior insurance coverage. Additionally, Respondent failed to supervise three employees, Carl Mathieu, Ayanna Alexander and Yaneke H. Duncan, whose producer appointments were terminated for cause by Allstate during the approximate period November 29, 2020 to February 22, 2021. [Stipulation approved August 29, 2023.]		

LICENSEE	ADDRESS	PENALTY
Avanna A. Mair (Agent)	557 East 29th Street Brooklyn, NY 11210	\$2,750 fine
Respondent's appointment was terminated for cause by an insurer, National Integrity Life Insurance Company ("National Integrity"), for altering an annuity application. Additionally, Respondent failed to disclose the National Integrity termination for cause in his renewal application for an agent's license, and Respondent violated Section 2134 of the Insurance Law and Regulation 6 (11 NYCRR § 22.3) in that he changed his business address and failed to notify the Department within 30 days of the change. Additionally, Respondent failed to timely respond to Department letters, and thereby hampered and impeded the Department's investigation. [Stipulation approved September 22, 2023.]		

LICENSEE	ADDRESS	PENALTY
United American Title Agency LLC (Title Agent)	101-05 Lefferts Boulevard, Suite 201-A South Richmond Hill, NY 11419	\$750 fine
George F. Russo (Sublicensee)	Same as above	
<p>Respondents provided materially incomplete information in Respondent United American Title Agency LLC's renewal application for a title agent's license, submitted to the Department on or about June 3, 2019, in that Respondent failed to disclose that he was the subject of administrative action taken against them by this Department effective January 26, 2018. [Stipulation approved October 6, 2023.]</p>		

Region: Rochester

LICENSEE	ADDRESS	PENALTY
Closing USA LLC (Title Insurance Agent)	7665 Omnitech Place Victor, NY 14564	\$500 fine
Daniel M. Gaudreau (Title Insurance Agent and Sublicensee)	Same as above	
<p>Respondents failed to report, within thirty days of the final disposition of the matter, an administrative action taken against Closing USA LLC by the Commonwealth of Virginia, the Bureau of Insurance, effective October 17, 2022. [Stipulation approved October 10, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Shannon Lynn Kloss (Life Broker)	71 Monroe Avenue Pittsford, NY 14534	\$750 fine
<p>Respondent provided materially incorrect and untrue information in her original application for a life broker's license, submitted to the Department on or about June 30, 2023, in that Respondent failed to disclose that she was convicted of a misdemeanor on or about March 20, 2002. [Stipulation approved September 25, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Insurance Consultants of Rochester Inc. (Agent and Broker)	2700 Elmwood Avenue Rochester, NY 14618	\$2,500 fine
D. Gordon Quinton (Agent and Sublicensee)	Same as above	
<p>Respondents utilized an advertisement that contained misleading statements regarding the rates charged by an insurer, and Respondents, in violation of Section 2122(b) of the Insurance Law, utilized advertisements on their website that referred to insurers without setting forth in the advertisements the full name of each insurer and the name of the city, town or village in which each insurer has its principal office in the United States. Additionally, Respondents utilized misleading advertisements that referred to specific savings for insurance. [Stipulation approved June 27, 2023.]</p>		

Region: Westchester

LICENSEE	ADDRESS	PENALTY
Anthony M. Schiero (Agent)	38 South Beechwood Road Bedford Hills, NY 10507	\$4,950 fine
<p>During the period March 2020 through July 2020, while Respondent was appointed as an agent for State Farm Fire and Casualty Company and State Farm Mutual Automobile Insurance Company ("State Farm"), Respondent signed ten Certificates of Liability Insurance each of which certified that a Commercial General Liability insurance policy had been issued by State Farm to the insured named in the Certificate, and added language stating that certain business entities were additional insureds to the ten Certificates and to Acord 101 Forms attached to two of the Certificates, without verifying with State Farm that such business entities were additional insureds, as Respondent was required to do by State Farm's procedures. Respondent also added language which described the scope of the insurance coverage or the insurance policy terms, to seven of the ten aforesaid Certificates of Liability Insurance and to an Acord 101 Form attached to one of the Certificates, without verifying with State Farm that the descriptions of the scope of the insurance coverage or the insurance policy terms were true pursuant to the contracts of insurance between State Farm and each of the insureds named in the seven Certificates. [Stipulation approved September 11, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Bluestone Brokerage LLC (Agent, Broker and Excess Line Broker – License Pending)	84 Business Park Drive Armonk, NY 10504	\$750 fine
Craig H. Shulman (Broker and Sublicensee)	Same as above	
Respondents failed to disclose on Respondent Bluestone Brokerage LLC's original application to act as an excess line broker an administrative action taken against Respondent Bluestone Brokerage LLC by the State of Washington, Office of the Insurance Commissioner. [Stipulation approved September 7, 2023.]		

Region: Out of State

LICENSEE	ADDRESS	PENALTY
James Anderson (Agent)	69 Waterman Ave Cranston, RI 02910	\$1,000 fine
Respondent, during the approximate period September 29, 2022 to October 28, 2022, acted as an insurance producer in the State of New York without having authority to do so by virtue of a license issued and in force pursuant to the provisions of the Insurance Law. [Stipulation approved September 5, 2023.]		

LICENSEE	ADDRESS	PENALTY
Tandem Securities Inc. (Broker – Relicensing Application Pending)	3706 SW Topeka Boulevard Topeka, KS 66609	\$1,250 fine
Faron E. Barr (Agent and Proposed Sublicensee)	Same as above	
Respondents failed to disclose on Respondent Tandem Securities Inc.'s original application to act as a life broker that an administrative action was taken against Kristopher W. Miller, Respondent Tandem Securities Inc.'s officer/director, by the State of Georgia, Office of the Insurance and Safety Fire Commissioner. Respondents failed to report an administrative action taken against Respondent Tandem Securities Inc., by the State of Florida, Office of Financial Regulation, within thirty days of the final disposition of the matter. [Stipulation approved September 7, 2023.]		

LICENSEE	ADDRESS	PENALTY
Arthur J Gallagher & Co. Insurance Brokers of California Inc. (Agent, Broker, and Excess Line Broker)	500 North Brand Boulevard, 10 th floor Glendale, CA 91203	\$45,300 fine
Douglas B. Bowring (Agent, Broker, Excess Line Broker, and Sublicensee)	Same as above	
Respondents, for the time period January 2017 to December 2022, failed to timely file documents with the excess line association for recording and stamping, pursuant to Insurance Law Section 2118(b)(1). [Consent Order approved October 2, 2023.]		

LICENSEE	ADDRESS	PENALTY
Isaac Brettler (Agent and Life Broker)	2500 McClellan Ave Pennsauken, NJ 08109	\$2,500 fine
Respondent failed to disclose in his relicensing application for an agent's license that he was convicted of a crime in the Superior Court of New Jersey, Camden County, and that he was the subject of an administrative action taken by the New Jersey Department of Banking and Insurance ("New Jersey DOBI"). Additionally, Respondent also failed to disclose the New Jersey DOBI administrative action in his original application for a life broker's license and his renewal application for a life broker's license. [Stipulation approved October 5, 2023.]		

LICENSEE	ADDRESS	PENALTY
John D. Burton & Company (Agent)	1400 Granary Rd Blue Bell, PA 19422	\$3,500 fine
John D. Burton (Agent, Broker and Sublicensee)	Same as above	
During the approximate period July 1, 2020 to July 21, 2020, Respondent John D. Burton & Company acted as an insurance producer in the State of New York without having authority to do so by virtue of a license issued and in force pursuant to the provisions of the Insurance Law. Additionally, Respondents, during the approximate period December 2017 to November 2020, used an unlicensed name, Burton & Company Inc., in conducting business as insurance producers in the State of New York. [Stipulation approved October 6, 2023.]		

LICENSEE	ADDRESS	PENALTY
Kenton Christopher Crabb (Agent)	13922 Denver West Pkwy Lakewood, CO 80401	\$1,000 fine
<p>Respondent failed to report to the Department, within thirty days of the final disposition of each matter, as required, administrative actions taken against him by the State of California Department of Insurance, wherein his license was ordered to be suspended for five days, as a result of his failure to report a disciplinary action taken against him by the Financial Industry Regulatory Authority, and by the State of Louisiana Department of Insurance, wherein he was fined for failing to timely report the above-mentioned State of California administrative action. [Stipulation approved September 7, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Risk Horizons LLC (Agent, Broker, and Excess Line Broker)	75 State Street, Suite 100 Boston, MA 02109	\$3,500 fine
Dmitry Dukhon (Agent, Broker, Excess Line Broker, and Sublicensee)	Same as above	
<p>Respondent Dukhon failed to report to the Superintendent within 30 days of the final disposition of the matter that his application for licensure was denied by the Florida Department of Financial Services. Additionally, Respondent Dukhon failed to disclose the aforementioned denial in his renewal application for an agent's license and his original application for an excess line broker's license. Additionally, Respondents failed to disclose the aforementioned denial of Respondent Dukhon's application for licensure in Respondent Risk Horizons' original application for an agent's license and Respondent Risk Horizons' original application for a broker's license. [Stipulation approved August 23, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Merrie Carol Foisset (Agent)	32 Los Lagos Lane Port Saint Lucie, FL 34952	License Revoked
Respondent provided materially incorrect and untrue information in three separate insurance licensing applications submitted to the Department. Respondent failed to disclose an administrative action taken against her by the Florida Department of Financial Services in her original application for an agent's license submitted on October 31, 2019; she failed to disclose the aforesaid Florida action and that the State of Connecticut Department of Insurance and Indiana Commissioner of Insurance both denied her applications for a license in her renewal application for an agent's license submitted to the Department on December 14, 2020; and Respondent failed to disclose the aforesaid Connecticut and Indiana actions as well as a fine by the North Carolina Department of Insurance in another renewal application submitted to the Department on December 13, 2022. Respondent failed to respond to Departmental letters regarding a license denial by the Kansas Insurance Department thereby hampering and impeding the Department's investigation; and failed to notify the Department within thirty days of the final disposition of the aforesaid Kansas and North Carolina actions as required. [Stipulation approved September 28, 2023.]		

LICENSEE	ADDRESS	PENALTY
Aaron Mitchell Hansome (Agent – License Pending)	641 E San Ysidro Blvd. San Ysidro, CA 92173	\$750 fine
Respondent failed to disclose on his original application to act as an agent, administrative actions taken against him by the State of California Department of Insurance, effective November 24, 2021, and by the State of Florida Department of Financial Services, effective September 26, 2022. [Stipulation approved September 28, 2023.]		

LICENSEE	ADDRESS	PENALTY
Lockton Affinity LLC (Agent, Broker, and Excess Line Broker)	10895 Lowell Avenue, Suite 300 Overland Park, KS 66210	\$37,450 fine
Jeffrey B. Hewitt (Agent, Broker, Excess Line Broker, and Sublicensee)	Same as above	
Respondents, for the time period January 2018 to December 2022, failed to timely file documents with the excess line association for recording and stamping, pursuant to Insurance Law Section 2118(b)(1). [Consent Order approved October 2, 2023.]		

LICENSEE	ADDRESS	PENALTY
Principle Insurance Services LLC (Broker – License Pending)	1385 Hwy 35 PMB 170 Middletown, NJ 07748	\$750 fine
Joshua Aaron Lamberg (Agent, Broker, Excess Line Broker and Proposed Sublicensee)	Same as above	
<p>Respondents failed to disclose in Respondent Principle Insurance Services LLC's original application for a broker's license that Respondent Joshua Aaron Lamberg had been involved as a party in several administrative proceedings regarding a professional or occupational license. [Stipulation approved October 6, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Lyons Insurance Agency Inc. (Agent, Broker, Life Broker, and Excess Line Broker)	501 Carr Road, Suite 301 Wilmington, DE 19809	\$1,000 fine
David Francis Lyons Jr. (Agent and Sublicensee)	Same as above	
<p>Respondents failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent Lyons Insurance Agency Inc. was the subject of an administrative action taken by the Pennsylvania Insurance Department. Additionally, Respondents failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondents were the subjects of an administrative action taken by the Louisiana Department of Insurance. [Stipulation approved August 23, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Gregory John Martin (Agent and Broker)	26847 Basswood Avenue Rancho Palos Verdes, CA 90275	\$1,500 fine
<p>Respondent failed to disclose in his original applications for licensure, submitted to the Department on January 18, 2023, that he was the subject of administrative action taken by the State of California Department of Insurance. [Stipulation approved September 7, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
David J. McNerney (Agent)	801 Gray Oak Dr Columbia, MS 65201	\$750 fine
Respondent provided materially incomplete information in his relicensing application for an agent's license, submitted to the Department on or about February 21, 2023, in that Respondent failed to disclose that he was the subject of administrative action taken against him by the State of Washington Insurance Department effective on or about March 10, 2021. [Stipulation approved September 28, 2023.]		

LICENSEE	ADDRESS	PENALTY
Christian Rogereo Mero (Agent)	1501 Ravana Drive Orlando, FL 32822	\$1,750 fine
Respondent failed to disclose in his original application for an agent's license that he was the subject of an administrative action taken by the Florida Department of Financial Services. Additionally, Respondent failed to timely submit to the Department information and documentation that was requested in Department letters, and thereby hampered and impeded the Department's investigation. [Stipulation approved September 25, 2023.]		

LICENSEE	ADDRESS	PENALTY
Dennise S. Nater (Agent)	66 Sunrise Boulevard Toms River, NJ 08753	\$750 fine
Respondent failed to disclose in her original application for an agent's license that she was convicted of misdemeanors in the Court of Common Pleas of Bucks County, Pennsylvania, on or about November 18, 2003. [Stipulation approved October 5, 2023.]		

LICENSEE	ADDRESS	PENALTY
Phillip J. Peachock (Agent)	3333 Massillon Road Akron, OH 44312	\$750 fine
Respondent failed to disclose in his original application for licensure, submitted to the Department on May 1, 2023, that he was the subject of two administrative actions taken by the State of Ohio Department of Insurance. [Stipulation approved September 12, 2023.]		

LICENSEE	ADDRESS	PENALTY
Skygen USA, LLC (Independent Adjuster)	W140n8981 Lilly Road Menomonee Falls, WI 53051	
James Purko (Independent Adjuster and Sublicensee)	Same as above	\$500 fine
<p>Respondents failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent Skygen USA, LLC was the subject of an administrative action by the State of Nevada. [Stipulation approved September 7, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Hector F. Ramirez (Agent and Life Broker – License Pending)	240 Velvet Avenue Ne Palm Bay, FL 32907	\$2,750 fine
<p>Respondent failed to disclose on his original application to act as a life broker, and on his original and renewal applications to act as an agent an administrative action taken against him by the State of Florida Department of Financial Services, effective December 18, 2015. Respondent failed to timely and/or sufficiently respond to the Department's investigatory letters, thereby hampering and impeding the Department's investigation. [Stipulation approved September 26, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Myrkia Rios (Agent and Broker)	443 Kipp Avenue Hasbrouck Heights, NJ 07604	\$1,500 fine
<p>Respondent, during the approximate period October 7, 2022 to October 25, 2022, acted as an insurance producer in the State of New York without having authority to do so by virtue of a license issued and in force pursuant to the provisions of the Insurance Law. Additionally, Respondent failed to timely submit to the Department information and documentation that was requested in Department letters, and thereby hampered and impeded the Department's investigation. [Stipulation approved September 8, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Insurance Canopy Agency LLC (Agent and Broker)	260 S 2500 W, Suite 303 Pleasant Grove, UT 84062	\$5,750 fine
Julie Marie Sheffield (Agent, Broker, and Sublicensee)	Same as above	
<p>Respondents failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent Insurance Canopy's insurance license was revoked by the Wisconsin Office of the Commissioner of Insurance. Additionally, Respondents failed to disclose the Wisconsin revocation in Respondent Insurance Canopy's original application for a broker's license. Additionally, Respondent Insurance Canopy, during the approximate period July 1, 2018 to June 28, 2019, acted as an insurance producer in the State of New York after its license to act as an agent pursuant to Section 2103(b) of the Insurance Law expired on June 30, 2018. [Stipulation approved August 24, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Lloyd MN Singh Jr. (Agent)	5812 Stirling Road Hollywood, FL 33021	\$1,000 fine
<p>Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent was the subject of administrative actions taken by the Florida Department of Financial Services on or about May 14, 2009 and April 8, 2011. [Stipulation approved September 25, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Debra A. Smith (Agent)	1715 Cedar Lane Hollts Summit, MO 65043	\$750 fine
<p>Respondent failed to disclose on original application to act as an agent that, on or about August 28, 2001, in the 18th Judicial Circuit Court, Missouri, the Respondent was convicted of Passing a Bad Check, a Class A misdemeanor and was sentenced to pay a fine; and on or about September 21, 2001, in the 13th Judicial Circuit Court of Callaway County, Missouri, the Respondent was convicted of Passing a Bad Check, a Class A misdemeanor, and was sentenced to six months' probation and ordered to pay fines and court fees. [Stipulation approved September 26, 2023.]</p>		

LICENSEE	ADDRESS	PENALTY
Pablo Soto (Agent)	647 Lynx Mountain San Antonio, TX 78251	\$1,000 fine
Respondent failed to report to the Superintendent within 30 days of the initial pretrial hearing date, in the County Court at Law, Bexar County, Texas, that Respondent was the subject of a criminal prosecution. Additionally, Respondent failed to disclose, in his renewal application for an agent's license, that at the time of the submission of said application to the Department, Respondent had pending the aforementioned criminal case in the County Court at Law, Bexar County, Texas. [Stipulation approved July 27, 2023.]		

LICENSEE	ADDRESS	PENALTY
Candace Lynn Starr (Agent)	2 Mako Drive Sebring, FL 33875	\$1,000 fine
Respondent, in or about September 2021, acted as an insurance agent in the State of New York after her license to act as an agent pursuant to Section 2103(a) of the Insurance Law expired on May 22, 2021. Additionally, Respondent violated Section 2134 of the Insurance Law and Regulation 5 (11 NYCRR § 21.4) in that she changed her residence address and failed to notify the Department within 30 days of the change. [Stipulation approved August 24, 2023.]		

LICENSEE	ADDRESS	PENALTY
Rodney Vincent Thompson (Agent)	19123 Dalton Points Place Leesburg, VA 20176	\$500 fine
Respondent provided materially incomplete information in his original application for an agent's license, submitted to the Department on or about April 3, 2023, in that Respondent failed to disclose that he was the subject of administrative action taken against him by the State of Maryland effective on or about April 16, 2010. [Stipulation approved October 5, 2023.]		

LICENSEE	ADDRESS	PENALTY
Richard T. Towey (Agent)	303 W Court Street Doylestown, PA 18901	\$1,250 fine
Respondent failed to report to the Superintendent within 30 days of the final disposition of the matter that Respondent was fined by the Pennsylvania Insurance Department. Additionally, Respondent failed to disclose the aforementioned fine in his renewal application for an agent's license. [Stipulation approved October 5, 2023.]		

LICENSEE	ADDRESS	PENALTY
Kwok K. Yee (Agent)	88 Talisman Irvine, CA 92620	\$500 fine
Respondent failed to report within thirty days of the final disposition of the matter that he was the subject of administrative action taken by the State of California Department of Insurance. [Stipulation approved September 25, 2023.]		

LICENSEE	ADDRESS	PENALTY
Jun Zhou Insurance Agency Inc. (Agent)	1533 N Larrabee St Chicago, IL 60610	\$1,500 fine
Jun Zhou (Agent and Sublicensee)	Same as above	
Respondent Jun Zhou failed to disclose in her renewal application for an agent's license that the Financial Industry Regulatory Authority ("FINRA") permanently barred her from associating with any FINRA member in any capacity. Additionally, Respondents failed to disclose the aforementioned permanent bar imposed upon Respondent Jun Zhou in Respondent Jun Zhou Insurance Agency Inc.'s renewal application for an agent's license. [Stipulation approved September 12, 2023.]		