

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

CAUSE NO. 15919-AG17-0109-015

IN THE MATTER OF:

Mesirow Insurance Services
353 N Clark Street
Chicago, IL 60610

Respondent.

Type of Agency Action: Enforcement

Indiana Insurance License No.: 3125737

FILED

MAR 06 2017

STATE OF INDIANA
DEPT. OF INSURANCE

FINAL ORDER

The Indiana Department of Insurance ("Department"), by its counsel, Claire Szpara, and Mesirow Insurance Services ("Respondent"), a non-resident surplus lines producer licensed to do business in Indiana, signed an Agreed Entry which purports to resolve all issues involved in the action by the Department and which has been submitted to the Commissioner of Insurance ("Commissioner") for approval.

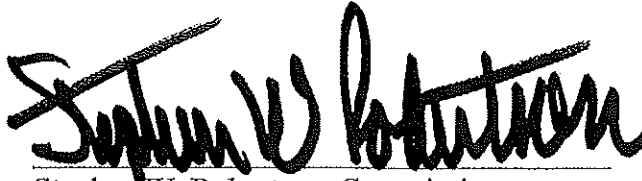
The Commissioner, after reviewing the Agreed Entry, finds it has been entered into fairly and without fraud, duress or undue influence, and is fair and equitable between the parties. The Commissioner hereby incorporates the Agreed Entry as if fully set forth herein, and approves and adopts in full the Agreed Entry as a resolution of this matter.

IT IS THEREFORE ORDERED by the Commissioner:

1. Respondent shall pay an administrative penalty in the amount of five hundred (\$500) dollars to the Department. This amount is due in full to the Department within sixty (60) days after the signing of this Final Order.

2. Respondent's non-resident surplus lines license suspension shall be lifted after the administrative penalty is received.

ALL OF WHICH IS ORDERED this 16 day of March, 2017.

A handwritten signature in black ink, appearing to read "Stephen W. Robertson", written over a horizontal line.

Stephen W. Robertson, Commissioner
Indiana Department of Insurance

Distribution:

Mesirow Insurance Services
353 N Clark Street
Chicago, IL 60610

Claire Szpara, Counsel
Indiana Department of Insurance
311 W. Washington St., Suite 103
Indianapolis, IN 46204

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AGREED ENTRY

This Agreed Entry is executed by the Indiana Department of Insurance ("Department"), by counsel, Claire Szpara, and Mesirow Insurance Services, ("Respondent"), a non-resident surplus lines producer licensed to do business in Indiana, to resolve all issues in the above captioned matter. This Agreed Entry is subject to the review and approval of Stephen W. Robertson, Commissioner, Indiana Department of Insurance ("Commissioner").

WHEREAS, Respondent is a non-resident surplus lines producer holding license number 3125737;

WHEREAS, Indiana Code § 27-1-15.8-4(a) requires a surplus lines producer, on or before February 1 and August 1 of each year, to collect from the insured and remit to the Department an amount equal to two and one-half percent (2 1/2%) of "all gross premiums upon all policies and contracts procured by the surplus lines producer under the provisions

of this section during the preceding six (6) month period ending December 31 and June 30.”;

WHEREAS, Indiana Code § 27-1-15.6-12(g) states that a licensed producer must furnish the commissioner with a full and complete report listing each insurer with which the licensee has held an appointment during the year preceding within ten (10) days of a request;

WHEREAS, Respondent has failed to provide the semi-annual report and a list of appointments within ten (10) days as requested by the Commissioner;

WHEREAS, John P. Harney, Managing Director-Executive Vice President of Mesirow Insurance Services, is authorized to act on behalf of Respondent and obligate it to perform in accordance with this agreement; and

WHEREAS, the Department and Respondent (collectively, “the Parties”) desire to resolve their differences and settle their issues without incurring the time and expense of a hearing.


IT IS, THEREFORE, NOW AGREED by and between the Parties as follows:

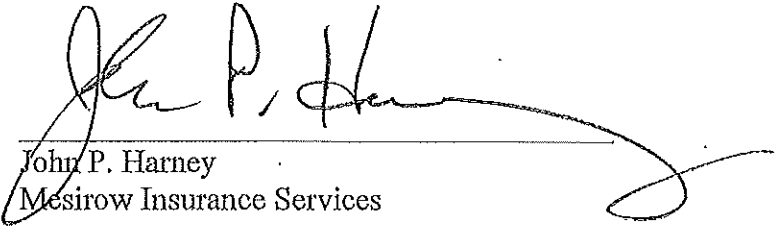
1. The Commissioner has jurisdiction over the subject matter and the Parties in this Agreed Entry.
2. This Agreed Entry is executed voluntarily by the Parties.
3. Respondent voluntarily and freely waives the right to a public hearing in this matter.
4. Respondent voluntarily and freely waives the right to judicial review of this matter.

5. Respondent agrees to pay an administrative penalty in the amount of five hundred dollars (\$500) to the Department within sixty (60) days of the Commissioner's Final Order adopting this Agreed Entry.
6. After Department receives Respondent's payment of five hundred dollars (\$500), the Department will file a motion to lift the suspension on Respondent's surplus lines license.
7. The Department agrees to accept Respondent's compliance with the Agreed Entry herein as full satisfaction of this matter.
8. Respondent has carefully read and examined this Agreed Entry and fully understands its terms.
9. Respondent has entered into this Agreed Entry freely, and has not been subject to duress, threat or undue influence.
10. Should this Agreed Entry not be accepted by the Commissioner, it is agreed that presentation to and consideration of this Agreed Entry by the Commissioner shall not unfairly or illegally prejudice the Commissioner from further participation in or resolution of these proceedings.
11. Respondent is aware that failure to comply with any term of this agreement will result in the matter being set for hearing.

3-1-17
Date Signed

2-27-17
Date Signed


Claire Szpara, Counsel (34219-64)
Indiana Department of Insurance


John P. Harney
Mesirow Insurance Services

STATE OF ILLINOIS)
) SS:
COUNTY OF _____)

Before me a Notary Public for COOK County, State of Illinois,
personally appeared John P. Harney, on behalf of Mesirow Insurance Services, and being
first duly sworn by me upon her oath, says that the facts alleged in the foregoing instrument
are true.

Signed and sealed this 21 day of February, 2017.



Elizabeth Fischer
Signature
Elizabeth Fischer
Printed

My Commission expires: 2-27-18

County of Residence: COOK

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

CAUSE NO.: 15919-AG17-0109-015

IN THE MATTER OF:

Mesirow Insurance Services
353 N Clark Street
Chicago, IL 60610

Respondent

License Number: 3125737

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STATE OF INDIANA
DEPT. OF INSURANCE

FINDINGS OF FACT AND SUSPENSION ORDER

WHEREAS, Mesirow Insurance Services ("Respondent") is a non-resident insurance producer under license # 3125737.

WHEREAS, Indiana Code § 27-1-15.8-4(a) requires a surplus lines producer, on or before February 1 and August 1 of each year, to collect from the insured and remit to the Department an amount equal to two and one-half percent (2 1/2%) of "all gross premiums upon all policies and contracts procured by the surplus lines producer under the provisions of this section during the preceding six (6) month period ending December 31 and June 30."

WHEREAS, Indiana Code § 27-1-15.6-12(g) states that a licensed producer must furnish the commissioner with a full and complete report listing each insurer with which the licensee has held an appointment during the year preceding within ten (10) days of a request.

WHEREAS, on November 22, 2016, the Commissioner of the Indiana Department of Insurance (“Commissioner”) mailed Respondent a certified letter requesting the semi-annual report and list of appointments.

WHEREAS, on November 29, 2016, the certified mail receipt for article # 91 7190 0005 2720 0065 7760, was delivered.

WHEREAS, Respondent has failed to provide the semi-annual report and a list of appointments within ten (10) days as requested by the Commissioner.

WHEREAS, Respondent’s failure to provide the list of appointments within ten (10) days constitutes a violation of Indiana Code § 27-1-15.6-12(g).

WHEREAS, Indiana Code § 27-1-15.6-12(h) provides that the Commissioner may, without a hearing and in his sole discretion, issue an order to suspend any insurance license held by the licensee in the event that the licensee fails to remit the list of appointments within ten (10) days.


WHEREAS, pursuant to Indiana Code § 4-21.5-4-4, the Commissioner shall set this matter for hearing on this Order upon a request by Respondent.

IT IS THEREFORE ORDERED BY THE COMMISSIONER that Respondent’s license number 3125737 is hereby suspended, effective immediately, and will remain suspended until Respondent:

1. Submits the semi-annual report and remits the surplus lines tax owed, and pays the late penalty as set out in Indiana Code § 27-1-15.8-4(h),
2. Submits the list of appointments requested by the Commissioner, and

3. Reaches a Consent Order with the Department for its expenses in obtaining compliance with this matter or schedules a hearing to determine the same.

ALL OF WHICH IS ORDERED the 20 day of January, 2017.



Stephen W. Robertson, Commissioner
Indiana Department of Insurance

Copies to:

Mesirow Insurance Services
353 N Clark Street
Chicago, IL 60610

Claire Szpara, Attorney
Indiana Department of Insurance
311 West Washington St. #103
Indianapolis, IN 46204