

STATE OF INDIANA )  
 ) SS:  
COUNTY OF MARION )

BEFORE THE INDIANA  
COMMISSIONER OF INSURANCE

CAUSE NUMBER: 16154-AG17-0501-093

IN THE MATTER OF: )  
 )  
Cody Richardson )  
3 Pine Grove St. )  
Pawtucket, RI 02861 )  
 )  
License Number: 877795 )  
 )  
Respondent )  
 )  
Type of Agency Action: Enforcement )

**FILED**  
JUN 16 2017  
STATE OF INDIANA  
DEPT. OF INSURANCE

**FINAL ORDER**

The Indiana Department of Insurance (“Department”), by its counsel, Cathleen Nine-Altevoigt, and Cory Richardson (“Respondent”), a non-resident insurance producer licensed to do business in Indiana, signed an Agreed Entry which purports to resolve all issues involved in the action by the Department regarding Respondent’s license, 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 of Insurance:

Respondent's Indiana insurance producer license shall be permanently revoked immediately after the signing of this Final Order.

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

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

Stephen W. Robertson, Commissioner  
Indiana Department of Insurance

Distribution:

Dennis Wood  
Sr. Insurance Investigator  
INDIANA DEPARTMENT OF INSURANCE  
311 West Washington Street, Suite 300  
Indianapolis, Indiana 46204-2787

Cody Richardson  
3 Pine Grove St.  
Pawtucket, RI 02861

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**AGREED ENTRY**

This Agreed Entry is executed by and between the Enforcement Division of the Indiana Department of Insurance ("Department"), by counsel, Cathleen Nine-Altevogt, and Cody Richardson ("Respondent"), a non-resident insurance 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 for the Indiana Department of Insurance ("Commissioner").

WHEREAS, Respondent is a licensed Indiana resident insurance producer, holding license number 877795;

WHEREAS, Respondent was employed by Amica Mutual Insurance company. During a routine audit, it was discovered that all ten of the audited files indicated that key underwriting questions had been asked of the customers, but the telephone recordings of his conversations with

these customers indicated that he was either not asking the customer's qualifying underwriting questions, or he was entering different information than was supplied by the customers—;

WHEREAS, Indiana Code § 27-1-15.6-12(b)(8) states the Commissioner may levy a civil penalty, place an insurance producer on probation or take any combination of these actions, against a producer for using fraudulent, coercive, or dishonest practices, or demonstrating incompetence, untrustworthiness, or financial irresponsibility in the conduct of business in Indiana or elsewhere;

WHEREAS, Respondent has been advised of his right to an administrative hearing before a Department administrative law judge;

WHEREAS, the Department and Respondent (collectively, the "Parties") desire to resolve their differences and settle the issues without the necessity of an administrative 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 his right to a public hearing on this matter.
4. Respondent voluntarily and freely waives his right to judicial review of this matter.
5. Respondent agrees to a permanent revocation of his Indiana producer's license immediately effective after the Commissioner's signature adopting this Agreed Entry.
6. The Department agrees to accept Respondent's compliance with the terms of this Agreed Entry herein as full satisfaction of this matter.
7. Respondent has carefully read and examined this Agreed Entry and fully understands its terms.

8. Respondent has entered into this Agreed Entry freely, and has not been subject to duress, threat or undue influence.
9. 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.
10. Respondent is aware that failure to comply with any term of this agreement will result in the matter being set for hearing.

6-13-17  
Date Signed

6-5-17  
Date Signed

Cathleen Nine-Altevogt  
Cathleen Nine-Altevogt (Atty. No. 32706-49)  
Indiana Department of Insurance

Cody Richardson  
Cody Richardson, Respondent

STATE OF ~~INDIANA~~ <sup>MASS</sup> )  
 ) SS: SEEKONIC  
COUNTY OF BRISTOL )

Before me a Notary Public for Bristol County, State of ~~Rhode Island~~ <sup>MASS</sup>,  
personally appeared <sup>Cody</sup> ~~Cory~~ Richardson being first duly sworn by me upon his oath, says that the  
facts alleged in the foregoing instrument are true.

Signed and sealed this 5 day of MA ~~June~~ <sup>June</sup>, 2017.

Signature [Handwritten Signature]  
Printed Luan Lima

My Commission expires: 3/30/23

County of Residence: MA, BRISTOL

**Return executed originals to:**  
INDIANA DEPARTMENT OF INSURANCE  
Enforcement Division, Suite 103  
311 West Washington Street  
Indianapolis, IN 46204-2787  
317/233-4243 - telephone  
317/232-5251 - facsimile

*[Faint, illegible text]*