

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

CAUSE NO.: 16896-AG18-0328-049

IN THE MATTER OF:)
)
Sylvia Swaby)
10101 David Taylor Dr., Ste 250)
Charlotte, NC 28262)
)
Respondent.)
)
License Number: 911851)
)
Type of Agency Action: Enforcement)

FILED

APR 06 2018

STATE OF INDIANA
DEPT. OF INSURANCE

FINDINGS OF FACT AND SUSPENSION ORDER

WHEREAS, Sylvia Swaby ("Respondent") is a nonresident insurance producer holding license number 911851;

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

WHEREAS, on January 29, 2018, the Commissioner of the Indiana Department of Insurance ("Commissioner") mailed Respondent a letter requesting a list of appointments and a written response to a complaint received by the Department;

WHEREAS, the letter was mailed to 10101 David Taylor Dr., Ste 250, Charlotte, NC 28262, Respondent's address of record with the Department.

WHEREAS, on March 13, 2018, a second letter requesting a list of appointments and a written response was mailed to the Respondent at the Respondent's address of record;

WHEREAS, neither letter was returned to the Commissioner as undeliverable;


WHEREAS, Respondent has failed to provide a list of appointments within ten (10) days of receiving the Commissioner's request;

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); and

WHEREAS, Indiana Code § 27-1-15.6-12(h) provides that the Commissioner may, without a hearing and in his sole discretion, 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 of receiving the request.

IT IS THEREFORE ORDERED BY THE COMMISSIONER that Respondent's license number 911851 is hereby suspended, effective immediately, and will remain suspended until Respondent submits the list of appointments as requested by the Commissioner.

ALL OF WHICH IS ORDERED the 6 day of April, 2018.


Stephen W. Robertson, Commissioner
Indiana Department of Insurance

Copies to:

Sylvia Swaby
10101 David Taylor Dr., Ste 250
Charlotte, NC 28262

Dennis Wood- Investigating Supervisor
Indiana Department of Insurance
311 W. Washington St. #103
Indianapolis, IN 46204-2787