

No. **2020-6520**

**Official Order  
of the  
Texas Commissioner of Insurance**

**Date: 10/27/2020**

**Subject Considered:**

Lockton Companies, LLC  
444 W. 47<sup>th</sup> Street, Ste. 900  
Kansas City, MO 64112

Consent Order  
TDI Enforcement File No. 25958

**General remarks and official action taken:**

This is a consent order with Lockton Companies, LLC. Lockton Companies, LLC failed to timely file surplus lines policies and related documents. Lockton Companies, LLC has agreed to pay a \$19,675 administrative penalty for these violations.

**Waiver**

Lockton Companies, LLC acknowledges that the Texas Insurance Code and other applicable law provide certain rights. Lockton Companies, LLC waives all of these rights, and any other applicable procedural rights, in consideration of the entry of this consent order.

**Findings of Fact**

1. Lockton Companies, LLC, organization identification number 24959, holds a surplus lines license issued by the Texas Department of Insurance.

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2. Pursuant to TEX. INS. CODE § 981.105(a), a surplus lines insurance agent must file with the Surplus Lines Stamping Office of Texas either:
  - a. a copy of the policy issued or
  - b. if the policy has not yet been issued, a copy of the certificate, cover note, or other confirmation of insurance delivered to the insured.

This information is due not later than the 60<sup>th</sup> day after the later of the effective date or the issue date of new or renewal surplus lines insurance.

3. In 2019, Lockton Companies, LLC filed surplus lines policies late.
4. The commissioner previously disciplined Lockton Companies, LLC for violating TEX. INS. CODE § 981.105(a) in Official Order No. 3237, entered on April 25, 2014; in Official Order No. 2016-4702, entered on October 7, 2016; in Official Order No. 2017-5306, entered on December 7, 2017; and in Official Order No. 6253, entered on February 26, 2020.

## Conclusions of Law

1. The commissioner of insurance has jurisdiction over this matter pursuant to TEX. INS. CODE §§ 82.051-82.055, 84.021-84.044, and 981.105.
2. The commissioner of insurance has authority to informally dispose of this matter under TEX. INS. CODE § 82.055, TEX. GOV'T CODE § 2001.056, and 28 TEX. ADMIN. CODE § 1.47.
3. Lockton Companies, LLC has knowingly and voluntarily waived all procedural rights to which it may have been entitled regarding the entry of this order, including, but not limited to, issuance and service of notice of intention to institute disciplinary action, notice of hearing, a public hearing, a proposal for decision, rehearing by the commissioner, and judicial review.
4. Lockton Companies, LLC violated TEX. INS. CODE § 981.105(a) by failing to timely file new or renewal surplus lines policies and related documents.

## Order

It is ordered that Lockton Companies, LLC must pay an administrative penalty of \$19,675. The administrative penalty must be paid within 30 days from the date of this order. The

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administrative penalty must be paid by cashier's check or money order made payable to the "State of Texas." Mail the administrative penalty to the Texas Department of Insurance, Attn: Enforcement Division, Division 60851, MC 9999, P.O. Box 149104, Austin, Texas 78714-9104.

Commissioner of Insurance

DocuSigned by:  
  
By: C77A87C8C21B435.....  
Doug Slape  
Chief Deputy Commissioner  
TEX. GOV'T CODE § 601.002  
Commissioner's Order No. 2018-5528

Recommended and reviewed by:



Leah Gillum, Deputy Commissioner  
Enforcement Division



Whitney Fraser, Attorney  
Enforcement Division

**Affidavit**

THE STATE OF Missouri §

§

COUNTY OF Jackson §

Before me, the undersigned authority, personally appeared the affiant, who being by me duly sworn, deposed as follows:

"My name is Claudia Mandato. I am of sound mind, capable of making this statement, and have personal knowledge of these facts which are true and correct.

I hold the office of Exec Vice President and am the authorized representative of Lockton Companies, LLC. I am duly authorized by the organization to execute this statement.

Lockton Companies, LLC has knowingly and voluntarily entered into the foregoing consent order and agrees with and consents to the issuance and service of the same by the commissioner of insurance of the state of Texas."

Claudia Mandato

Affiant

SWORN TO AND SUBSCRIBED before me on October 20, 2020.

(NOTARY SEAL)

**DANIEL E. OVERBEY  
NOTARY PUBLIC-NOTARY SEAL  
STATE OF MISSOURI  
CASS COUNTY  
MY COMMISSION EXPIRES NOV. 24, 2022  
COMMISSION #14631403**

Daniel Overbey

Signature of Notary Public

Daniel E. Overbey

Printed Name of Notary Public