



BEFORE THE IOWA INSURANCE COMMISSIONER

IN THE MATTER OF CARMEN HOCKING,	Division Case No. 105268
DOB: XX/XX/1951	ORDER AND CONSENT TO ORDER
Respondent.	

NOW THEREFORE, upon motion of the Iowa Insurance Division (“Division”) and by the consent of Respondent Carmen Hocking, and pursuant to the provisions of Iowa Code chapter 522B—Licensing of Insurance Producers, the Commissioner enters the following Order and Consent to Order (“Consent Order”):

I. PARTIES AND JURISDICTION

1. The Commissioner of Insurance, Douglas M. Ommen, directly and through his designees, administers and enforces Iowa Code § 522B.16B—Written Consent to Engage or Participate in Business of Insurance pursuant to Iowa Code § 505.8.
2. Carmen Hocking (hereinafter “Respondent”) is not a licensed insurance producer in the state of Iowa.
3. Respondent was an employee of Adam Hocking & Associates II Inc. (“AHA”), with a business address of 1239 73rd Street, Suite A, Windsor Heights, Iowa 50324.
4. AHA is and has been licensed in the state of Iowa as a resident insurance producer since April 9, 2013. AHA is licensed under National Producer Number 16933283. AHA is owned and operated by Adam Hocking, a resident insurance producer in the State of Iowa under National Producer Number 9839832.

5. Pursuant to Iowa Code § 505.28, Respondent has consented to the jurisdiction of the Commissioner of Insurance by committing acts governed by chapter 522B.

II. FINDINGS OF FACT

6. On or about November 17, 2015, Respondent was convicted in the United States District Court for the Southern District of Iowa on two counts of felony wire fraud affecting a financial institution under 18 U.S.C. § 1343.

7. Records examined by the Division indicate that Respondent began working and receiving payments from AHA in October of 2016.

8. Respondent's duties at AHA were administrative in nature and included: answering phones, processing and handling customer payments, submitting changes and updates to insurance carriers on behalf of agency customers, and assisting in other daily functions of AHA business.

9. Respondent has agreed to no longer work for AHA or Adam Hocking in any capacity.

10. Respondent has agreed that if she were to ever resume working for AHA or Adam Hocking or any other insurance agent or agency in any capacity she would only do so after first applying and receiving permission from the Commissioner pursuant to Iowa Code § 522B.16B.

11. Respondent cooperated with the Division's investigation and the Division determined that Respondent did not knowingly violate any provision of Iowa law.

III. CONCLUSIONS OF LAW

12. Pursuant to Iowa Code § 522B.16B:

A person who is prohibited by 18 U.S.C. § 1033 from engaging or participating in the business of insurance because that person has been convicted of a crime under that statute or of a felony involving dishonesty or breach of trust may apply to the commissioner for written consent to engage or participate in the business of insurance in this state.

13. Respondent was convicted of a felony involving dishonesty and breach of trust as defined under Iowa Administrative Code rule 191-13.2.

14. Respondent was an employee of an insurance producer who was engaged in the business of insurance pursuant to 18 U.S.C § 1033 and Iowa Administrative Code rule 191-13.2.

15. Respondent participated in the business of insurance by working for a licensed insurance producer in the state of Iowa without first obtaining permission from the Commissioner to do so.

16. Respondent's acts and practices were in violation of Iowa Code § 522B.16B.

IV. ORDER

WHEREFORE, IT IS ORDERED pursuant to the powers granted to the Commissioner of Insurance by Iowa Code chapter 522B that Respondent is prohibited from participating in the business of insurance by processing or handling customer payments, submitting changes and updates to insurance carriers on behalf of agency customers or otherwise assisting in the daily insurance functions of a licensed producer unless Respondent has applied for and received permission from the Commissioner pursuant to Iowa Code § 522B.16B.

WHEREFORE YOU ARE NOTIFIED that this order may be enforced under Iowa Code chapters 507B, and 522B including but not limited to Iowa Code §§ 507B.8 and 522B.17(3).

WHEREFORE YOU ARE NOTIFIED that a final order in an administrative action does not resolve any potential criminal or civil violations or causes of action that might arise from the same or similar conduct that is the subject of this this Order.

SO ORDERED on the 22nd day of September, 2020.



DOUGLAS M. OMMEN
Iowa Insurance Commissioner

Respectfully submitted,

/s/ Adam J. Kenworthy
Adam J. Kenworthy
Compliance Attorney
Two Ruan Center
601 Locust St., 4th Floor Des Moines, IA 50309
Adam.kenworthy@iid.iowa.gov
(515) 281-8160
Attorney for Iowa Insurance Division

Email Copy to:
Holly Logan
hollylogan@davisbrownlaw.com
ATTORNEY FOR RESPONDENT

CERTIFICATE OF SERVICE

The undersigned certifies that the foregoing instrument was served upon all parties to the above cause, or their attorney, at their respective addresses disclosed on the pleadings on

September 22, 2020.

By: First Class Mail Personal Service
 Restricted certified mail, return receipt Email, by consent
 Certified mail, return receipt _____

Signature: /s/ Hilary Foster
Hilary Foster

CONSENT TO ORDER AND AGREEMENT

I, Carmen Hocking, Respondent in this matter, have read, understood, and do knowingly consent to this Order in its entirety. By executing this Consent, I understand that I am waiving my rights to a hearing, to confront and cross-examine witnesses, to produce evidence, and to judicial review.

Dated: 9/19/20

Carmen Hocking
Carmen Hocking, Respondent

Address of Signatory

Subscribed and sworn before me by Carmen Hocking on this 19th day of September, 2020.



Cole Bruening IA
Notary Public for the State of Iowa