STATE OF OREGON
DEPARTMENT OF CONSUMER AND BUSINESS SERVICES
DIVISION OF FINANCIAL REGULATION

In the Matter of:	Case No. INS-17-0042
RICHARD B. BATES, JR., Applicant.	FINAL ORDER TO CEASE AND DESIST, ORDER ASSESSING CIVIL PENALTY, AND CONSENT TO ENTRY OF ORDER

The Director of the Department of Consumer and Business Services for the State of Oregon ("the Director"), acting in accordance with the Oregon Revised Statutes ("ORS") chapters 731, 732, 733, 734, 735, 737, 742, 743, 743A, 744, 746, 748 and 750 ("the Insurance Code"), has conducted an investigation into the Nonresident Insurance Producer License ("License") application of Richard B. Bates, Jr..

Bates wishes to resolve and settle this matter with the Director.

Now, therefore, as evidenced by the signature(s) subscribed on this Order, Bates hereby CONSENTS to entry of this Order.

Division of Financial Regulation
Labor and Industries Building
350 Winter Street NE, Suite 410
Salem, OR 97301-3881
Telephone: (503) 378-4387

FINDINGS OF FACT

The Director FINDS that:

1. Bates is an insurance producer licensed in Washington. His NAIC National Producer Number is 667101.

2. On or about February 27, 2017, Bates applied for an Oregon License.

3. As part of the application process, Bates completed and submitted to the Division of Financial Regulation ("the Division") an application form indicating that he had never been named or involved as a party in an administrative proceeding.

4. During review of the application, the Division learned that Bates had been

involved in an administrative proceeding in Washington, where a consent order levying a fine upon Bates entered on June 8, 2015.

5. Bates subsequently admitted to being the subject of an administrative proceeding.

CONCLUSIONS OF LAW

The Director CONCLUDES that:

6. Accurate information about an applicant's history of administrative proceedings is material to the Director's decision whether to issue a License.

7. Bates's representation in his application that he had not been named or involved as a party in an administrative proceeding was incorrect, misleading, incomplete or materially untrue.

8. ORS 744.074(1)(a) authorizes the Director to refuse to issue an insurance producer license and to take other actions authorized by the Insurance Code in lieu thereof or in addition thereto, if an applicant provides incorrect, misleading, incomplete or materially untrue information in the license application.

9. ORS 731.988(1) authorizes the Director to impose upon Bates a civil penalty of up to $1,000 per violation for violating a provision of the Insurance Code.

ORDERS

Now therefore, the Director issues the following Orders:

10. As authorized by ORS 731.252(1), the Director ORDERS Richard B. Bates, Jr. to CEASE AND DESIST from violating any provision of the Insurance Code or the administrative rules promulgated thereunder.

11. Pursuant to ORS 731.988(1), the Director ORDERS Richard B. Bates, Jr. to pay a CIVIL PENALTY of $500 for providing incorrect, misleading, incomplete or

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materially untrue information in a license application.

12. The CIVIL PENALTY assessed herein is due and payable at the time this Order is returned to the Division.

SO ORDERED this 21st day of April, 2017.

PATRICK M. ALLEN, Director
Department of Consumer and Business Services

/s/ David Tatman
David C. Tatman, Chief of Enforcement
Division of Financial Regulation

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CONSENT TO ENTRY OF ORDER

I, Richard B. Bates, Jr., state that I have read the foregoing Order and that I know and fully understand the contents hereof; that the factual allegations stated herein are true and correct; that I have been advised of my right to a hearing, and that I have been advised of my right to be represented by counsel in this matter; that I voluntarily consent to the entry of this Order without any force or duress, expressly waiving any right to a hearing in this matter, as well as any rights to administrative or judicial review of this order; that I understand that the Director reserves the right to take further actions against me to enforce this Order or to take appropriate action upon discovery that I have committed other violations of the Insurance Code; and that I will fully comply with the terms and conditions stated herein.

I understand that this Order is a public document.

/s/ Richard B. Bates, Jr.

Signature

State of Washington

County of Spokane

Signed or attested before me on this 10th day of April, 2017 by Richard B. Bates, Jr..

/s/ Nancy K. Blades

Notary Public

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