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ORDER NO. E26-67

STATE OF NEW JERSEY
DEPARTMENT OF BANKING AND INSURANCE

IN THE MATTER OF:

Proceedings by the Commissioner of Banking and Insurance, State of New Jersey, to fine the insurance license of, Transamerica Capital Inc. Reference No. 1057472	))))	CONSENT ORDER

To: Transamerica Capital Inc.
1801 California St
Suite 5200
Denver, CO 80202

This matter, having been opened by the Commissioner of Banking and Insurance ("Commissioner"), State of New Jersey, upon information that Transamerica Capital, LLC formerly known as Transamerica Capital Inc. ("Respondent"), formerly licensed as a non-resident insurance producer, pursuant to N.J.S.A. 17:22A-34, may have violated various provisions of the insurance laws of the State of New Jersey; and

WHEREAS, Respondent is subject to the provisions of the New Jersey Insurance Producer Licensing Act of 2001, N.J.S.A. 17:22A-26 to -48 (the "Producer Act"), and the regulations governing Producer Licensing, N.J.A.C. 11:17 1.1 to -6.8; and

WHEREAS, pursuant to N.J.S.A. 17:22A-40a, the Commissioner may place on probation, suspend, revoke or refuse to renew an insurance producer's license, and may levy a civil penalty for a violation of the Producer Act; and

WHEREAS, pursuant to N.J.S.A. 17:22A-40a (19), an insurance producer shall not fail to notify the Commissioner within 30 days of the final disposition of any formal disciplinary action taken against the producer, by the Financial Industry Regulatory Authority (FINRA); and

WHEREAS, pursuant to N.J.S.A. 17:22A-47 (c), an insurance producer shall report to the commissioner any disciplinary action taken against the insurance producer, or any formal disciplinary proceedings initiated against the producer, by the Financial Industry Regulatory Authority (FINRA), any successor organization, or other similar non-governmental regulatory authority with statutory authority to create and enforce industry standards of conduct, within 30 days of the final disposition of the matter. The report shall include a copy of the order, consent order or other relevant legal documents.; and

WHEREAS, the Respondent signed a FINRA Letter of Acceptance, Waiver and Consent (AWC) on March 8, 2023.; and

WHEREAS, Respondent reported the FINRA AWC on May 10, 2024;and

WHEREAS, Respondent failed to report the FINRA AWC, within 30 days, in violation of N.J.S.A. 17:22A-40a(19) and N.J.S.A. 17:22A-47 (c).; and

WHEREAS, the Respondent:

1) Has admitted responsibility for the aforementioned violations; and
2) Has cooperated with the investigation conducted by the Department; and
3) Has asserted that the violations cited in this Consent Order were not willful; and

WHEREAS, the Respondent has waived the right to a hearing on the aforementioned violations and consented to the payment of a fine in the amount of two thousand five hundred dollars ($2,500.00) ; and

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WHEREAS, this matter should be resolved upon the consent of the Parties without resort to a formal hearing.

NOW, THEREFORE, IT IS on this 19 day of May , 2026

ORDERED AND AGREED, that the Respondent pay a fine in the amount of $2,500.00 to the Department; and

IT IS FURTHER ORDERED AND AGREED, that said fine shall be paid by certified check, cashier's check or money order made payable to the "State of New Jersey, General Treasury," which shall be paid upon execution of this Consent Order by Respondent; and

IT IS FURTHER ORDERED AND AGREED that the signed Consent Order, together with the fine payment of $2,500.00, shall be remitted to:

New Jersey Department of Banking and Insurance
Attention: Thomas Stanley- Enforcement Manager
9th Floor, Consumer Protection Services, Enforcement
P. O. Box 329
Trenton, New Jersey 08625-329

and;

IT IS FURTHER ORDERED AND AGREED, that the provisions of this Consent Order represent a final agency decision and constitute a final resolution of the violations contained herein; and

IT IS FURTHER ORDERED AND AGREED, that the Respondent shall cease and desist engaging in the conduct that gave rise to this Consent Order.

Susan Ochs
Acting Commissioner

Consented to as to Form,
Entry and Content:

By: DocuSigned by: 1C8C20DB5F7842A...

Brian Beitzel
Authorized signatory for Transamerica Capital, LLC
(formerly known as Transamerica Capital, Inc.)

Date: 4/9/2026 | 12:41 PDT