

BrokerCheck Report

PIMCO INVESTMENTS LLC

CRD# 154957

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Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



PIMCO INVESTMENTS LLC

CRD# 154957

SEC# 8-68686

Main Office Location

1633 BROADWAY
45TH FLOOR
NEW YORK, NY 10019
Regulated by FINRA New York Office

Mailing Address

1633 BROADWAY
45TH FLOOR
NEW YORK, NY 10019

Business Telephone Number

212.739.3000

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/07/2010.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 4 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

The number of disclosures from non-registered control affiliates is 54



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/07/2010.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

PIMCO INVESTMENTS LLC

Doing business as PIMCO INVESTMENTS LLC

CRD# 154957

SEC# 8-68686

Main Office Location

1633 BROADWAY
45TH FLOOR
NEW YORK, NY 10019

Regulated by FINRA New York Office

Mailing Address

1633 BROADWAY
45TH FLOOR
NEW YORK, NY 10019

Business Telephone Number

212.739.3000



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): PACIFIC INVESTMENT MANAGEMENT COMPANY LLC

104559

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SOLE MEMBER

Position Start Date 07/2010

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BENTLEY, JAMES DANIEL

5138093

Is this a domestic or foreign entity or an individual? Individual

Position MANAGER, BOARD OF MANAGERS

Position Start Date 04/2022

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BURG, ANTHONY ALAN

6005184

Is this a domestic or foreign entity or an individual? Individual

Position TREASURER

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date 02/2020

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): DUBITZKY, YITZHAK ZVI
6897287

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER & CHIEF LEGAL OFFICER

Position Start Date 05/2019

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FERRARI, DAVID RICHARD
6004690

Is this a domestic or foreign entity or an individual? Individual

Position PRINCIPAL FINANCIAL OFFICER & FINANCIAL AND OPERATIONS
PRINCIPAL

Position Start Date 10/2019

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any):	HALL, GREGORY WESTON 3111343
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL EXECUTIVE OFFICER & CHAIRMAN, BOARD OF MANAGERS
Position Start Date	10/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	OGLESBY, SARAH JANE 7676855
Is this a domestic or foreign entity or an individual?	Individual
Position	SECRETARY
Position Start Date	01/2023
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	PITTERS, CALEB JOSEPH ALEXANDER JR 3198603
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGER, BOARD OF MANAGERS
Position Start Date	02/2020

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SUTHERLAND, ERIC MICHAEL
1724744

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT & MANAGER, BOARD OF MANAGERS

Position Start Date 08/2020

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): THOMAS, MARK GARETH
2923871

Is this a domestic or foreign entity or an individual? Individual

Position HEAD OF BUSINESS MANAGEMENT

Position Start Date 12/2021

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): TRACY, LAUREN RITA

Firm Profile



Direct Owners and Executive Officers (continued)

	4027974
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGER, BOARD OF MANAGERS
Position Start Date	02/2020
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):

WHITTAKER, MEGAN HAYES

6442805

Is this a domestic or foreign entity or an individual?	Individual
Position	AML COMPLIANCE OFFICER
Position Start Date	05/2022
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	ALLIANZ ASSET MANAGEMENT GMBH
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	ALLIANZ ASSET MANAGEMENT OF AMERICA HOLDINGS INC.
Relationship to Direct Owner	SOLE STOCKHOLDER
Relationship Established	01/2003
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLIANZ ASSET MANAGEMENT OF AMERICA LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC
Relationship to Direct Owner	MEMBER
Relationship Established	01/2023
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLIANZ EUROPE B.V.
Is this a domestic or foreign entity or an individual?	Foreign Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established ALLIANZ OF AMERICA, INC.

Relationship to Direct Owner SOLE STOCKHOLDER

Relationship Established 06/2012

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): ALLIANZ OF AMERICA, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established ALLIANZ ASSET MANAGEMENT OF AMERICA LLC

Relationship to Direct Owner MEMBER

Relationship Established 05/2000

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): ALLIANZ SE

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established ALLIANZ EUROPE B.V.

Relationship to Direct Owner SOLE STOCKHOLDER

Relationship Established 06/2012

Firm Profile



Indirect Owners (continued)

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ALLIANZ SE

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established ALLIANZ ASSET MANAGEMENT GMBH

Relationship to Direct Owner SOLE STOCKHOLDER

Relationship Established 01/2003

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ALLIANZ ASSET MANAGEMENT OF AMERICA HOLDINGS INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established ALLIANZ ASSET MANAGEMENT OF AMERICA LLC

Relationship to Direct Owner MANAGING MEMBER

Relationship Established 01/2003

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued) company?

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/19/2011

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	01/19/2011



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/27/2011	North Carolina	Approved	10/20/2010
Alaska	Approved	01/20/2011	North Dakota	Approved	02/01/2011
Arizona	Approved	01/25/2011	Ohio	Approved	01/31/2011
Arkansas	Approved	01/20/2011	Oklahoma	Approved	01/26/2011
California	Approved	01/20/2011	Oregon	Approved	01/21/2011
Colorado	Approved	01/27/2011	Pennsylvania	Approved	01/25/2011
Connecticut	Approved	01/20/2011	Puerto Rico	Approved	01/20/2011
Delaware	Approved	01/20/2011	Rhode Island	Approved	01/20/2011
District of Columbia	Approved	01/21/2011	South Carolina	Approved	01/21/2011
Florida	Approved	01/20/2011	South Dakota	Approved	01/21/2011
Georgia	Approved	01/20/2011	Tennessee	Approved	01/20/2011
Hawaii	Approved	01/21/2011	Texas	Approved	01/20/2011
Idaho	Approved	01/20/2011	Utah	Approved	01/25/2011
Illinois	Approved	01/20/2011	Vermont	Approved	01/24/2011
Indiana	Approved	01/21/2011	Virgin Islands	Approved	01/24/2011
Iowa	Approved	01/20/2011	Virginia	Approved	01/20/2011
Kansas	Approved	01/21/2011	Washington	Approved	01/20/2011
Kentucky	Approved	01/20/2011	West Virginia	Approved	01/21/2011
Louisiana	Approved	01/20/2011	Wisconsin	Approved	01/20/2011
Maine	Approved	01/20/2011	Wyoming	Approved	01/20/2011
Maryland	Approved	01/25/2011			
Massachusetts	Approved	01/20/2011			
Michigan	Approved	01/25/2011			
Minnesota	Approved	01/20/2011			
Mississippi	Approved	01/26/2011			
Missouri	Approved	01/21/2011			
Montana	Approved	01/20/2011			
Nebraska	Approved	01/27/2011			
Nevada	Approved	01/25/2011			
New Hampshire	Approved	01/26/2011			
New Jersey	Approved	01/20/2011			
New Mexico	Approved	01/20/2011			
New York	Approved	01/20/2011			



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 4 types of businesses.

Types of Business

Mutual fund underwriter or sponsor

Mutual fund retailer

Private placements of securities

Other - THE FIRM MAY ALSO (I) MARKET AND DISTRIBUTE OFF-SHORE FUNDS; (II) PROVIDE MARKETING SUPPORT FOR INITIAL OFFERINGS OF CLOSED-END MUTUAL FUNDS AND SHAREHOLDER SERVICING THEREAFTER; AND (III) MARKET AND PROVIDE SHAREHOLDER SERVICING FOR COLLECTIVE INVESTMENT TRUSTS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: THE FIRM MAY ACT AS A SOLICITOR FOR SEPERATELY MANAGED ACCOUNTS.

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: AMAZON WEB SERVICES, INC.
Business Address: 410 TERRY AVENUE NORTH
SEATTLE, WA 98109
Effective Date: 05/01/2024
Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH AMAZON WEB SERVICES, INC. ("AWS") PURSUANT TO WHICH AWS WILL PROVIDE PIMCO INVESTMENTS WITH ELECTRONIC STORAGE OF CERTAIN BOOKS AND RECORDS AND RELATED SERVICES.

Name: PROOFPOINT, INC.
Business Address: 892 ROSS DRIVE
SUNNYVALE, CA 94089
Effective Date: 10/01/2020
Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH PROOFPOINT, INC. PURSUANT TO WHICH PROOFPOINT, INC. WILL PROVIDE ELECTRONIC ARCHIVING SERVICES TO PIMCO INVESTMENTS OF CERTAIN OF ITS BOOKS AND RECORDS.

Name: BOX, INC.
Business Address: 900 JEFFERSON AVE
REDWOOD CITY, CA 94063
Effective Date: 12/16/2019
Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH BOX, INC. ("BOX") PURSUANT TO WHICH BOX WILL PROVIDE PIMCO INVESTMENTS WITH ELECTRONIC STORAGE OF CERTAIN BOOKS AND RECORDS AND RELATED SERVICES.

Name: RED OAK COMPLIANCE SOFTWARE, LLC
Business Address: 1320 ARROW POINT DRIVE
SUITE 411
CEDAR PARK, TX 78613
Effective Date: 03/09/2020
Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH RED OAK COMPLIANCE SOFTWARE, LLC ("RED

Firm Operations



Industry Arrangements (continued)

OAK") PURSUANT TO WHICH RED OAK WILL PROVIDE PIMCO INVESTMENTS WITH ELECTRONIC STORAGE OF CERTAIN BOOKS AND RECORDS AND RELATED SERVICES.

Name: GLOBAL RELAY COMMUNICATIONS INC.

Business Address: 220 CAMBIE ST. 2ND FLOOR
VANCOUVER, CANADA V6B 2M9

Effective Date: 01/02/2019

Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH GLOBAL RELAY COMMUNICATIONS INC. ("GLOBAL RELAY") PURSUANT TO WHICH GLOBAL RELAY WILL PROVIDE ELECTRONIC ARCHIVING SERVICES WITH RESPECT TO THE EMAIL OF CERTAIN PIMCO INVESTMENTS' ASSOCIATED PERSONS.

Name: SMARSH, INC

Business Address: 851 SW 6TH AVE SUITE 800
PORTLAND, OR 97204

Effective Date: 04/15/2015

Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH SMARSH, INC. ("SMARSH") PURSUANT TO WHICH SMARSH WILL PROVIDE PIMCO INVESTMENTS WITH ELECTRONIC ARCHIVING OF ITS WEB SITE AND RELATED SERVICES.

Name: ALLIANZ ASSET MANAGEMENT OF AMERICA LLC

Business Address: 650 NEWPORT CENTER DRIVE
NEWPORT BEACH, CA 92660

Effective Date: 01/01/2023

Description: PIMCO INVESTMENTS HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH ALLIANZ ASSET MANAGEMENT OF AMERICA LLC PURSUANT TO WHICH ALLIANZ ASSET MANAGEMENT OF AMERICA LLC MAINTAINS CERTAIN BOOKS AND RECORDS ON BEHALF OF PIMCO INVESTMENTS.

Name: IRON MOUNTAIN

Business Address: 2100 NORCROSS PARKWAY
SUITE 150
NORCROSS, GA 30071

Effective Date: 02/07/2011

Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH IRON MOUNTAIN PURSUANT TO WHICH IRON MOUNTAIN WILL PROVIDE PIMCO INVESTMENTS WITH OFF-SITE

Firm Operations



Industry Arrangements (continued)

RECORDS STORAGE AND RELATED SERVICES WITH RESPECT TO ITS NEW YORK OFFICE.

Name: VRC COMPANIES, LLC

Business Address: 2721 MICHELLE DRIVE
TUSTIN, CA 92780

Effective Date: 02/07/2011

Description: PIMCO INVESTMENTS OR AN AFFILIATE HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH VRC COMPANIES, LLC (PREVIOUSLY SCHICK RECORDS MANAGEMENT, PRIOR TO MERGER IN JULY 2021) PURSUANT TO WHICH VRC COMPANIES, LLC WILL PROVIDE PIMCO INVESTMENTS WITH OFF-SITE RECORDS STORAGE AND RELATED SERVICES WITH RESPECT TO ITS CALIFORNIA OFFICE.

Name: PACIFIC INVESTMENT MANAGEMENT COMPANY LLC

CRD #: 104559

Business Address: 650 NEWPORT CENTER DR
NEWPORT BEACH, CA 92660

Effective Date: 02/07/2011

Description: PIMCO INVESTMENTS HAS ENTERED INTO CERTAIN ARRANGEMENTS WITH PACIFIC INVESTMENT MANAGEMENT COMPANY LLC ("PIMCO") PURSUANT TO WHICH PIMCO OR ITS DESIGNEES MAINTAINS CERTAIN BOOKS AND RECORDS ON BEHALF OF PIMCO INVESTMENTS.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

ALLIANZ GLOBAL INVESTORS FUND MANAGEMENT CO., LTD. is under common control with the firm.

Business Address:	479 LUJIAZUI RING ROAD UNIT 3301-3304, LEVEL 33, SHANGHAI TOWER SHANGHAI, CHINA
Effective Date:	04/18/2024
Foreign Entity:	Yes
Country:	CHINA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS FUND MANAGEMENT CO., LTD.

PT ALLIANZ GLOBAL INVESTORS ASSET MANAGEMENT INDONESIA is under common control with the firm.

Business Address:	REVENUE TOWER, 11TH FLOOR, DISTRICT 8, CENTRAL BUSINESS DISTRICT, JI. JEND. SUDIRMAN, KAV 52-53 DKI JAKARTA, INDONESIA 12190
Effective Date:	01/31/2022
Foreign Entity:	Yes
Country:	INDONESIA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ

Firm Operations



Organization Affiliates (continued)

ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017)
INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND
CONTROLS PT ALLIANZ GLOBAL INVESTORS ASSET MANAGEMENT
INDONESIA.

PIMCO PRIME REAL ESTATE (SHANGHAI) CO., LTD. is under common control with the firm.

Business Address: SUITE 7204, SHANGHAI TOWER
479 LUJIAZUI RING ROAD, PUDONG
SHANGHAI, CHINA 200120

Effective Date: 10/01/2020

Foreign Entity: Yes

Country: SHANGHAI, CHINA

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ SE INDIRECTLY OWNS AND CONTROLS THE APPLICANT AND PIMCO PRIME REAL ESTATE (SHANGHAI) CO., LTD.

PIMCO PRIME REAL ESTATE JAPAN GK is under common control with the firm.

Business Address: LEVEL 21, SHIN-MARUNOUCHI CENTER BUILDING
1-6-2 MARUNOUCHI, CHIYODA-KU
TOKYO, JAPAN 100-0005

Effective Date: 10/01/2020

Foreign Entity: Yes

Country: JAPAN

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ SE INDIRECTLY OWNS AND CONTROLS THE APPLICANT AND PIMCO PRIME REAL ESTATE JAPAN GK

PIMCO PRIME REAL ESTATE ASIA PACIFIC PTE. LTD. is under common control with the firm.

Business Address: 8 MARINA VIEW, #30-04 ASIA SQUARE, TOWER 1
SINGAPORE, SINGAPORE 018960

Effective Date: 10/01/2020

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ALLIANZ SE INDIRECTLY OWNS AND CONTROLS THE APPLICANT AND PIMCO PRIME REAL ESTATE ASIA PACIFIC PTE. LTD.

PIMCO PRIME REAL ESTATE GMBH is under common control with the firm.

Business Address:	SEIDLSTR. 24-24A MUNICH, GERMANY 80335
Effective Date:	10/01/2020
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	ALLIANZ SE INDIRECTLY OWNS AND CONTROLS THE APPLICANT AND PIMCO PRIME REAL ESTATE GMBH

PIMCO INVESTMENT MANAGEMENT (SHANGHAI) LIMITED is under common control with the firm.

Business Address:	SUITE 7204, SHANGHAI TOWER 479 LUJIAZUI RING ROAD, PUDONG SHANGHAI, CHINA 200120
Effective Date:	11/09/2020
Foreign Entity:	Yes
Country:	CHINA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO INVESTMENT MANAGEMENT (SHANGHAI) LIMITED.

Firm Operations



Organization Affiliates (continued)

ALLIANZ GLOBAL INVESTORS ASSET MANAGEMENT (SHANGHAI) LIMITED is under common control with the firm.

Business Address: ROOM 1403, LEVEL 14, SHANGHAI TOWER
501 YINCHENG MIDDLE RD, LUJIAZUI, PUDONG NEW AREA
SHANGHAI, CHINA 200120

Effective Date: 03/27/2019

Foreign Entity: Yes

Country: CHINA

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS ASSET MANAGEMENT (SHANGHAI) LIMITED.

PIMCO TAIWAN LIMITED is under common control with the firm.

Business Address: 40F., NO.68, SEC. 5, ZHONGXIAO E. RD., XINYI DIST.
TAIPEI CITY 110, TAIWAN 11065

Effective Date: 05/30/2018

Foreign Entity: Yes

Country: TAIWAN

Securities Activities: No

Investment Advisory Activities: Yes

Description: PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO TAIWAN LIMITED.

ALLIANZ GLOBAL INVESTORS OVERSEAS ASSET MANAGEMENT (SHANGHAI) LIMITED is under common control with the firm.

Business Address: UNITS 2132 & 2133, LEVEL 21
NO. 166 LUJIAZUI RING ROAD
SHANGHAI, CHINA 200120

Firm Operations**Organization Affiliates (continued)**

Effective Date: 08/10/2018

Foreign Entity: Yes

Country: CHINA

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS OVERSEAS ASSET MANAGEMENT (SHANGHAI) LIMITED.

ALLIANZ CAPITAL PARTNERS OF AMERICA LLC is under common control with the firm.

CRD #: 161684

Business Address: 1633 BROADWAY
NEW YORK, NY 10019

Effective Date: 04/01/2018

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ OF AMERICA, INC. INDIRECTLY OWNS AND CONTROLS THE APPLICANT AND ALLIANZ CAPITAL PARTNERS OF AMERICA LLC.

ALLIANZ CAPITAL PARTNERS GMBH is under common control with the firm.

Business Address: SEIDLSTR. 24-24A
MUNICH, GERMANY 80335

Effective Date: 02/21/2018

Foreign Entity: Yes

Country: GERMANY

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ CAPITAL PARTNERS GMBH.

PIMCO AUSTRALIA MANAGEMENT LIMITED is under common control with the firm.

Business Address: 5 MARTIN PLACE
LEVEL 19
SYDNEY, AUSTRALIA NSW 2000

Effective Date: 08/15/2016

Foreign Entity: Yes

Country: AUSTRALIA

Securities Activities: No

Investment Advisory Activities: Yes

Description: PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO AUSTRALIA MANAGEMENT LIMITED.

ALLIANZ GLOBAL INVESTORS (SCHWEIZ) AG is under common control with the firm.

Business Address: GOTTFRIED-KELLER-STRASSE 5
ZURICH, SWITZERLAND 8001

Effective Date: 10/01/2015

Foreign Entity: Yes

Country: SWITZERLAND

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY OWNS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS (SCHWEIZ) AG.

ALLIANZ INVESTMENT MANAGEMENT LLC is under common control with the firm.

Firm Operations**Organization Affiliates (continued)**

CRD #: 111925

Business Address: 5701 GOLDEN HILLS DRIVE
MINNEAPOLIS, MN 55416

Effective Date: 01/03/2013

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ SE INDIRECTLY OWNS THE APPLICANT AND ALLIANZ INVESTMENT MANAGEMENT LLC.

ALLIANZ LIFE FINANCIAL SERVICES, LLC is under common control with the firm.

CRD #: 612

Business Address: 5701 GOLDEN HILLS DRIVE
MINNEAPOLIS, MN 55416

Effective Date: 01/03/2013

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: ALLIANZ SE INDIRECTLY OWNS THE APPLICANT AND ALLIANZ LIFE FINANCIAL SERVICES, LLC.

PIMCO LATIN AMERICA ADMINISTRADORA DE CARTEIRAS LTDA. is under common control with the firm.

Business Address: AV. BRIGADEIRO FARIA LIMA 3477, ITAIM BIBI
TORRE A, 5° ANDAR
SÃO PAULO, BRAZIL 04538-132

Effective Date: 03/16/2012

Foreign Entity: Yes

Country: BRAZIL

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND DIRECTLY AND INDIRECTLY OWNS, AND CONTROLS, PIMCO LATIN AMERICA ADMINISTRADORA DE CARTEIRAS LTDA.

PIMCO EUROPE GMBH is under common control with the firm.

Business Address: SEIDLSTRASSE 24-24A
D-80335
MUNICH, GERMANY

Effective Date: 12/22/2011

Foreign Entity: Yes

Country: GERMANY

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND DIRECTLY OWNS AND CONTROLS PIMCO EUROPE GMBH (FORMERLY KNOWN AS PIMCO DEUTSCHLAND GMBH).

PIMCO GLOBAL ADVISORS (LUXEMBOURG) S.A. is under common control with the firm.

Business Address: 2 RUE DU FOSSE
5TH FLOOR
LUXEMBOURG, GRAND DUCHY OF LUXEMBOURG L-1536

Effective Date: 12/16/2010

Foreign Entity: Yes

Country: LUXEMBOURG

Securities Activities: No

Investment Advisory Activities: Yes

Description: PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND PIMCO GLOBAL ADVISORS

Firm Operations



Organization Affiliates (continued)

(LUXEMBOURG) S.A., F/K/A PIMCO LUXEMBOURG IV S.A. EFFECTIVE 07/01/2021, ALLIANZ INVESTMENT REAL ESTATE SOLUTIONS S.A.R.L. MERGED WITH PIMCO GLOBAL ADVISORS (LUXEMBOURG) S.A. THE SURVIVING ENTITY IS PIMCO GLOBAL ADVISORS (LUXEMBOURG) S.A.

ALLIANZ GLOBAL INVESTORS NOMINEE SERVICES LTD. is under common control with the firm.

Business Address: 32/F, TWO PACIFIC PLACE, 88 QUEENSWAY, ADMIRALTY HONG KONG, HONG KONG

Effective Date: 07/07/2010

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS NOMINEE SERVICES LTD.

ALLIANZ GLOBAL INVESTORS TAIWAN LTD. is under common control with the firm.

Business Address: 7-9 F., NO. 42, SEC 2, ZHONGSHAN N. RD. ZHAONGSHAN DIST. TAIPEI CITY, TAIWAN 10416

Effective Date: 07/07/2010

Foreign Entity: Yes

Country: TAIWAN

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS TAIWAN LTD.

ALLIANZ GLOBAL INVESTORS JAPAN CO. LTD. is under common control with the firm.

Business Address: ARK HILLS SOUTH TOWER 19F,

Firm Operations**Organization Affiliates (continued)**

1-4-5 ROPPONGI, MINATO-KU
TOKYO, JAPAN 106-0032

Effective Date: 07/07/2010

Foreign Entity: Yes

Country: JAPAN

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS JAPAN CO. LTD.

ALLIANZ GLOBAL INVESTORS SINGAPORE LTD. is under common control with the firm.

Business Address: 79 ROBINSON RD., #09-03
SINGAPORE, SINGAPORE 068897

Effective Date: 07/07/2010

Foreign Entity: Yes

Country: SINGAPORE

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS SINGAPORE LTD.

ALLIANZ GLOBAL INVESTORS GMBH is under common control with the firm.

Business Address: BOCKENHEIMER LANDSTRASSE 42-44
FRANKFURT AM MAIN, GERMANY 60323

Effective Date: 09/03/2012

Foreign Entity: Yes

Country: GERMANY

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS ALLIANZ GLOBAL INVESTORS GMBH. PLEASE NOTE THAT ALLIANZ GLOBAL INVESTORS GMBH WAS FORMERLY KNOWN AS ALLIANZ GLOBAL INVESTORS EUROPE GMBH (EFFECTIVE 11/28/2014, ALLIANZ GLOBAL INVESTORS EUROPE GMBH CHANGED ITS NAME TO ALLIANZ GLOBAL INVESTORS GMBH).

ALLIANZ GLOBAL INVESTORS ASIA PACIFIC LIMITED is under common control with the firm.

CRD #: 289358

Business Address: 32/F, TWO PACIFIC PLACE
88 QUEENSWAY, ADMIRALTY
HONG KONG, HONG KONG

Effective Date: 06/01/2015

Foreign Entity: Yes

Country: HONG KONG

Securities Activities: No

Investment Advisory Activities: Yes

Description: ALLIANZ ASSET MANAGEMENT GMBH (FORMERLY KNOWN AS ALLIANZ ASSET MANAGEMENT AKTIENGESELLSCHAFT - EFFECTIVE 4/11/2017) INDIRECTLY CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS RCM ASIA PACIFIC LTD. EFFECTIVE 06/01/2015, RCM ASIA PACIFIC LIMITED MERGED WITH ALLIANZ GLOBAL INVESTORS HONG KONG LTD. THE SURVIVING ENTITY IS RCM ASIA PACIFIC LIMITED. EFFECTIVE 06/01/2015, RCM ASIA PACIFIC LIMITED CHANGED ITS NAME TO ALLIANZ GLOBAL INVESTORS ASIA PACIFIC LTD.

PIMCO ASIA LIMITED is under common control with the firm.

Business Address: SUITE 2201, 22ND FLOOR, TWO INTL. FINANCE CENTER
NO. 8 FINANCE STREET, CENTRAL
HONG KONG, HONG KONG

Effective Date: 07/07/2010

Foreign Entity: Yes

Firm Operations



Organization Affiliates (continued)

Country:	HONG KONG
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO ASIA LIMITED.

PIMCO EUROPE LTD. is under common control with the firm.

Business Address:	11 BAKER STREET LONDON, ENGLAND W1U 3AH
Effective Date:	07/07/2010
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO EUROPE LTD.

PIMCO ASIA PTE LTD. is under common control with the firm.

Business Address:	8 MARINA VIEW, ASIA SQUARE, TOWER 1, LEVEL 30 SINGAPORE, SINGAPORE 238880
Effective Date:	07/07/2010
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO ASIA PTE LTD.

PIMCO AUSTRALIA PTY LTD. is under common control with the firm.

Firm Operations**Organization Affiliates (continued)**

Business Address: 5 MARTIN PLACE
LEVEL 19
SYDNEY, AUSTRALIA NSW 2000

Effective Date: 07/07/2010

Foreign Entity: Yes

Country: AUSTRALIA

Securities Activities: No

Investment Advisory Activities: Yes

Description: PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO AUSTRALIA PTY LTD.

PIMCO GLOBAL ADVISORS (IRELAND) LIMITED is under common control with the firm.

Business Address: 57B HARCOURT STREET
HARCOURT BUILDING, 3RD FLOOR
DUBLIN 2, IRELAND D02F721

Effective Date: 07/07/2010

Foreign Entity: Yes

Country: IRELAND

Securities Activities: No

Investment Advisory Activities: Yes

Description: PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO GLOBAL ADVISORS (IRELAND) LIMITED.

PIMCO JAPAN LTD. is under common control with the firm.

Business Address: TORANOMON STATION TOWER
2-6-1, TORANOMON, MINATO-KU
TOKYO, JAPAN 105-5519

Effective Date: 07/07/2010

Foreign Entity: Yes

Country: BRITISH VIRGIN ISLANDS

Firm Operations



Organization Affiliates (continued)

Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO JAPAN LTD.

PIMCO CANADA CORP. is under common control with the firm.

Business Address:	199 BAY STREET, SUITE 2050 COMMERCE COURT, P.O. BOX 363 TORONTO, ONTARIO, CANADA ML5 1G2
Effective Date:	07/07/2010
Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT AND INDIRECTLY OWNS AND CONTROLS PIMCO CANADA CORP.

PACIFIC INVESTMENT MANAGEMENT COMPANY LLC controls the firm.

CRD #:	104559
Business Address:	650 NEWPORT CENTER DR NEWPORT BEACH, CA 92660
Effective Date:	07/07/2010
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	PACIFIC INVESTMENT MANAGEMENT COMPANY LLC DIRECTLY OWNS AND CONTROLS THE APPLICANT.

Firm Operations



Organization Affiliates (continued)

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events for Non-Registered Control Affiliates

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	54	0



Disclosure Event Details

Regulatory - Final

Disclosure 1 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK
Current Status:	Final
Allegations:	ALLEGATIONS FROM MARKET CONDUCT EXAM THAT ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK WAS NOT IN COMPLIANCE WITH CERTAIN PROVISIONS OF THE NEW YORK INSURANCE LAW WITH REGARD TO PROPER EXAMINATION OF THE DISCLOSURE STATEMENT, FAILURE TO PROVIDE COMPLETE INFORMATION TO APPLICANTS WITHIN THE DISCLOSURE STATEMENT AND FAILURE TO FURNISH THE INSURER COMPLETE INFORMATION PRIOR TO THE DELIVERY RECEIPT DEADLINE REQUIREMENT.
Initiated By:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Date Initiated:	02/26/2024
Docket/Case Number:	2021-0199-S
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	LIFE INSURANCE
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	02/26/2024
Sanctions Ordered:	Monetary/Fine \$577,250.00
Other Sanctions Ordered:	CONTROL AFFILIATE TO DEMONSTRATE TO THE DEPARTMENT THE CORRECTIVE ACTION TAKEN WITHIN SPECIFIED TIME PERIOD.
Sanction Details:	ON FEBRUARY 26, 2024, CONTROL AFFILIATE AGREED TO AN ORDER WITH THE NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES AND PAID A CIVIL PENALTY OF \$577,250.
Firm Statement	ON FEBRUARY 26, 2024, CONTROL AFFILIATE AGREED TO AN ORDER WITH THE NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES AND PAID A CIVIL PENALTY OF \$577,250.

Disclosure 2 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	THE DEPARTMENT ALLEGES THAT ALLIANZ LIFE VIOLATED ARK. CODE ANN. § 23-63-216 BY FAILING TO TIMELY FILE ITS LTC MCAS.
Initiated By:	ARKANSAS INSURANCE DEPARTMENT
Date Initiated:	09/19/2023
Docket/Case Number:	AID ORDER NO.: 2023-95
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	09/19/2023
Sanctions Ordered:	Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE ARKANSAS INSURANCE DEPARTMENT ON SEPTEMBER 19, 2023 AND HAS PAID A MONETARY PENALTY IN THE AMOUNT OF \$1,000.00.
Firm Statement	AS STATED ABOVE, THE AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE ARKANSAS INSURANCE DEPARTMENT ON SEPTEMBER 19, 2023 AND HAS PAID A MONETARY PENALTY IN THE AMOUNT OF \$1,000.00.

Disclosure 3 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ GLOBAL INVESTORS U.S. LLC



Current Status: Final

Appealed To and Date Appeal Filed: N/A

Allegations: ON MARCH 21, 2023, THE COMMODITY FUTURES TRADING COMMISSION (THE "CFTC") ISSUED A NOTICE OF INTENT TO REVOKE THE REGISTRATIONS OF ALLIANZ GLOBAL INVESTORS US LLC (THE "NOTICE") AND AN OPINION AND ORDER ACCEPTING OFFER OF SETTLEMENT OF ALLIANZ GLOBAL INVESTORS US LLC, MAKING FINDINGS AND IMPOSING REMEDIAL SANCTIONS (THE "ORDER"). THE NOTICE ALLEGES THAT ALLIANZ GLOBAL INVESTORS U.S. LLC'S ("AGI US") REGISTRATIONS AS A COMMODITY TRADING ADVISOR ("CTA") AND COMMODITY POOL OPERATOR ("CPO") ARE SUBJECT TO REVOCATION PURSUANT TO SECTION 8A(2)(E)(I) OF THE COMMODITY EXCHANGE ACT ("CEA"), WHICH PROVIDES THAT THE CFTC MAY REVOKE OR PLACE RESTRICTIONS ON THE REGISTRATION OF ANY PERSON IF THAT PERSON WITHIN TEN YEARS PRECEDING THE FILING OF THE APPLICATION FOR REGISTRATION OR AT ANY TIME THEREAFTER HAS BEEN FOUND IN A PROCEEDING BROUGHT BY ANY FEDERAL AGENCY, OR BY AGREEMENT OF SETTLEMENT TO WHICH ANY FEDERAL AGENCY IS A PARTY, TO HAVE VIOLATED ANY PROVISION OF THE SECURITIES EXCHANGE ACT OF 1934 OR THE INVESTMENT ADVISERS ACT OF 1940 BY COMMITTING FRAUD. PREVIOUSLY, IN A RELATED CIVIL ACTION ON MAY 17, 2022, THE SECURITIES AND EXCHANGE COMMISSION (THE "SEC") SIMULTANEOUSLY FILED AND SETTLED FRAUD CHARGES AGAINST AGI US WITH THE ISSUANCE OF AN ORDER INSTITUTING CEASE AND DESIST PROCEEDINGS (THE "SEC ORDER"). THE SEC ORDER FOUND THAT AGI US WILLFULLY VIOLATED MULTIPLE PROVISIONS OF THE SECURITIES EXCHANGE ACT OF 1934 AND THE INVESTMENT ADVISERS ACT OF 1940. THE SEC'S FINDINGS, AS SET FORTH IN THE SEC ORDER, FORM A BASIS UNDER SECTION 8A(2)(E)(I) OF THE CEA FOR RESTRICTION OR REVOCATION OF AGI US'S CTA AND CPO REGISTRATIONS.

Initiated By: COMMODITY FUTURES TRADING COMMISSION

Date Initiated: 03/21/2023

Docket/Case Number: CFTC DOCKET NO. SD 23-01

Principal Product Type: Other

Other Product Type(s): PRIVATE FUNDS

Principal Sanction(s)/Relief Sought: Revocation

Other Sanction(s)/Relief Sought: UNDERTAKING



Resolution: Settled

Resolution Date: 03/21/2023

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered: UNDERTAKING

Sanction Details: PURSUANT TO THE ORDER, AGI US'S REGISTRATIONS AS A CTA AND CPO ARE (1) RESTRICTED, EFFECTIVE AS OF THE DATE OF THE ORDER, AND AGI US MAY NOT ENGAGE IN ACTIVITIES REQUIRING REGISTRATION AS A CTA OR CPO EXCEPT WITH RESPECT TO THE INVESTMENT FUND LISTED IN APPENDIX A TO AGI US'S OFFER OF SETTLEMENT AND (2) FULLY REVOKED EFFECTIVE (I) MARCH 30, 2023; (II) SUCH EARLIER DATE AS AGI US MAY REQUEST; OR (III) SUCH LATER DATE AS AGI US MAY REQUEST, WHICH LATER DATE SHALL NOT BE LATER THAN MAY 15, 2023, PROVIDED, THAT ANY SUCH EXTENSION OF THE REVOCATION DATE PAST MARCH 30, 2023 SHALL BE CONTINGENT ON AGI US'S TIMELY COMPLIANCE WITH THE UNDERTAKINGS SET FORTH IN THE ORDER. SEE SECTION 13 BELOW FOR A DESCRIPTION OF THESE UNDERTAKINGS.

Firm Statement

THE PROVISIONS OF THE ORDER, DESCRIBED IN SECTION 12.C ABOVE, BECAME EFFECTIVE AS OF ITS DATE (MARCH 21, 2023). IN ADDITION TO THE RESTRICTION AND REVOCATION OF AGI US'S CTA AND CPO REGISTRATIONS, THE ORDER REQUIRES AGI US TO COMPLY WITH THE FOLLOWING UNDERTAKINGS: (1) NEITHER AGI US NOR ANY OF ITS AGENTS OR EMPLOYEES UNDER ITS AUTHORITY OR CONTROL SHALL TAKE ANY ACTION OR MAKE ANY PUBLIC STATEMENT DENYING, DIRECTLY OR INDIRECTLY, ANY ALLEGATION IN THE NOTICE OR FINDINGS OR CONCLUSIONS IN THE ORDER, OR CREATING, OR TENDING TO CREATE, THE IMPRESSION THAT THE NOTICE OR THE ORDER IS WITHOUT A FACTUAL BASIS; (2) IF AGI SEEKS TO EXTEND THE DATE UPON WHICH IT MUST CEASE ENGAGING IN ANY ACTIVITY REQUIRING REGISTRATION OR EXEMPTION FROM REGISTRATION AS A CTA OR CPO (EXCEPT AS PROVIDED FOR IN REGULATION 4.14(A)(9), 17 C.F.R. § 4.14(A)(9)), AGI US MUST SERVE NOTICE UPON THE CFTC OF SUCH REQUEST; AND (3) EXCEPT AS PROVIDED IN THE ORDER, AGI US WILL NEVER (I) APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH THE CFTC IN ANY CAPACITY, AND ENGAGE IN ANY ACTIVITY REQUIRING SUCH REGISTRATION OR EXEMPTION FROM REGISTRATION WITH THE CFTC, EXCEPT AS PROVIDED FOR IN REGULATION 4.14(A)(9), AND/OR (II) ACT AS A PRINCIPAL, AGENT OR ANY OTHER OFFICER OR EMPLOYEE OF ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED WITH THE CFTC.

Disclosure 4 of 54

Reporting Source: Firm



Affiliate: ALLIANZ GLOBAL INVESTORS GMBH

Current Status: Final

Allegations: ALLIANZ GLOBAL INVESTORS GMBH ("ALLIANZGI GMBH") ACQUIRED SECURITIES OF CERTAIN GERMAN ISSUERS, RESULTING IN ALLIANZGI GMBH CONTROLLING SHARES IN EXCESS OF OWNERSHIP AND CONTROL REPORTING THRESHOLDS UNDER THE SECURITIES TRADING ACT OF THE FEDERAL REPUBLIC OF GERMANY (THE "SECURITIES TRADING ACT"). ALLIANZGI GMBH DID NOT NOTIFY THE ISSUERS AND THE GERMAN FEDERAL FINANCIAL SUPERVISORY AUTHORITY ("BAFIN") THAT IT HAD SURPASSED THE OWNERSHIP REPORTING THRESHOLDS WITHIN FOUR DAYS FOLLOWING THE ACQUISITION, AS PERSCRIBED BY THE SECURITIES TRADING ACT. PURSUANT TO A SETTLEMENT OF CLAIMS, BAFIN SUBSEQUENTLY FINED ALLIANZGI GMBH ON AUGUST 4, 2017 FOR FILING NOTIFICATIONS AFTER THE STATUTORY DEADLINE AND FOR HAVING INADEQUATE SUPERVISORY PROCESSES IN PLACE TO COMPLY WITH ONE OF THE NOTIFICATION REQUIREMENTS.

Initiated By: GERMAN FEDERAL FINANCIAL SUPERVISORY AUTHORITY

Date Initiated: 08/04/2017

Docket/Case Number:

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 08/04/2017

Sanctions Ordered: Monetary/Fine \$259,006.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ALLANZGI GMBH CONSENTED TO A PAYMENT TO THE FEDERAL REPUBLIC OF GERMANY IN THE AMOUNT OF USD259,006 PLUS FEES AND EXPENSES. WHILE THE ACTUAL PAYMENT WAS MADE IN EUROS, THE AMOUNT REFLECTED ABOVE IN ITEM 12.A. WAS CALCULATED USING THE PUBLISHED FEDERAL RESERVE FOREIGN EXCHANGE RATE OF [1.1773] AS OF 4 AUG 2017.

Firm Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ALLIANZGI GMBH



CONSENTED TO A PAYMENT TO THE FEDERAL REPUBLIC OF GERMANY IN THE AMOUNT OF USD,267,839.9.

Disclosure 5 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	AFFILIATE AGREED TO PAY A TOTAL MONETARY PENALTY OF \$300,000 WITH \$150,000 SUSPENDED AND TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALE OF ITS ANNUITIES TO WASHINGTON RESIDENTS.
Initiated By:	INSURANCE COMMISSIONER OF THE STATE OF WASHINGTON
Date Initiated:	12/12/2012
Docket/Case Number:	13-0178
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	VARIABLE ANNUITIES
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	AFFILIATE AGREED TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALE OF ITS ANNUITIES TO WASHINGTON RESIDENTS
Resolution:	Order
Resolution Date:	06/12/2013
Sanctions Ordered:	Monetary/Fine \$300,000.00
Other Sanctions Ordered:	AFFILIATE AGREED TO PAY A TOTAL MONETARY PENALTY OF \$300,000 WITH \$150,000 SUSPENDED AND TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALE OF ITS ANNUITIES TO WASHINGTON RESIDENTS.
Sanction Details:	AS A RESULT OF A REGULATORY REVIEW CONDUCTED BY THE INSURANCE COMMISSIONER OF THE STATE OF WASHINGTON, AFFILIATE AGREED TO PAY A TOTAL MONETARY PENALTY OF \$300,000 WITH \$150,000 SUSPENDED AND TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALE OF ITS ANNUITIES TO RESIDENTS OF WASHINGTON.
Firm Statement	AFFILIATE AGREED TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALE OF ITS ANNUITIES TO WASHINGTON RESIDENTS.



Disclosure 6 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ GLOBAL INVESTORS EUROPE GMBH F/K/A ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELL SCHAFT MBH ("AGIE GMBH")
Current Status:	Final
Allegations:	1) ON THURSDAY MARCH 1, 2012, AGIE GMBH REDUCED ITS HOLDING IN A SWEDISH LIMITED COMPANY SUCH THAT THE HOLDING WAS LESS THAN 5% OF ALL SHARES AND LESS THAN 5% OF THE NUMBER OF VOTES FOR ALL SHARES IN THE ISSUER; 2) AGIE GMBH WAS REQUIRED TO NOTIFY THE SFSA OF THIS CHANGE IN HOLDING NO LATER THAN FRIDAY MARCH 2, 2012; 3) THE SFSA DID NOT RECEIVE NOTIFICATION OF THIS CHANGE IN HOLDING UNTIL MONDAY MARCH 5, 2012.
Initiated By:	SWEDISH FINANCIAL SUPERVISORY AUTHORITY ("SFSA")
Date Initiated:	09/18/2012
Docket/Case Number:	N/A
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	N/A
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Decision
Resolution Date:	09/18/2012
Sanctions Ordered:	Monetary/Fine \$7,599.94
Other Sanctions Ordered:	N/A
Sanction Details:	THE SFSA IMPOSED A SPECIAL CHARGE OF 50,000 SWEDISH KRONA ON AGIE GMBH (APPROX. \$7599.94 AS OF 9/18/12). AGIE GMBH WILL PAY THE CHARGE UPON RECEIPT OF AN INVOICE FROM THE SFSA.
Firm Statement	ON THURSDAY MARCH 1, 2012 AGIE GMBH REDUCED ITS HOLDING IN A SWEDISH LIMITED COMPANY SUCH THAT THE HOLDING WAS LESS THAN 5% OF ALL SHARES AND LESS THAN 5% OF THE NUMBER OF VOTES FOR ALL SHARES IN THE ISSUER. AGIE GMBH WAS REQUIRED TO NOTIFY THE SFSA OF THIS CHANGE IN HOLDING NO LATER THAN FRIDAY MARCH 2, 2012. THE SFSA DID NOT RECEIVE NOTIFICATION OF THIS CHANGE IN

HOLDING UNTIL MONDAY MARCH 5, 2012. AS A RESULT OF THE FOREGOING, ON SEPTEMBER 18, 2012, THE SFSA ISSUED A DECISION THAT IMPOSED A SPECIAL CHARGE OF 50,000 SWEDISH KRONA ON AGIE GMBH. AGIE GMBH WILL PAY THE CHARGE UPON RECEIPT OF AN INVOICE FROM THE SFSA.

Disclosure 7 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	VIOLATIONS OF THE MARYLAND INSURANCE CODE RELATED TO THE AFFILIATE'S SALE OF LONG TERM CARE INSURANCE IN MARYLAND. SPECIFIC ALLEGATIONS INCLUDED IMPROPERLY LABELED BILLING STATEMENTS AND AN IMPROPER UNDERWRITING STANDARD.
Initiated By:	MARYLAND INSURANCE ADMINISTRATION
Date Initiated:	04/22/2010
Docket/Case Number:	MIA-2010
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	04/22/2010
Sanctions Ordered:	Monetary/Fine \$30,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE MARYLAND DEPARTMENT ON APRIL 22,2010 AND MAILED THE ADMINISTRATIVE PENALTY OF \$30,000 TO THE MARYLAND DEPARTMENT ON APRIL 29,2010.
Firm Statement	AS STATED ABOVE, THE AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE MARYLAND DEPARTMENT ON APRIL 22,2010. THE ORDER DIRECTS THE AFFILIATE TO REMEDIATE WITH THE VIOLATIONS OF THE MARYLAND INSURANCE CODE AT ISSUE WITHIN 90 DAYS.



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Reporting Source:	Firm
Affiliate:	ALLIANZ SE
Current Status:	Final
Allegations:	1) BETWEEN 2001 AND 2008, MANAGERS OF AN INDONESIAN JOINT VENTURE MAJORITY-OWNED BY ALLIANZ SE MADE IMPROPER PAYMENTS TO EMPLOYEES OF STATE-OWNED ENTITIES IN INDONESIA; 2) THESE PAYMENTS WERE NOT ACCURATELY REFLECTED IN ALLIANZ SE'S BOOKS AND RECORDS; 3) ALLIANZ SE FAILED TO MAINTAIN A SYSTEM OF INTERNAL CONTROLS REASONABLY DESIGNED TO DETECT AND PREVENT THESE PAYMENTS; 4) AS A RESULT OF THE FOREGOING, ALLIANZ SE VIOLATED SECTIONS 13(B)(2)(A) AND 13(B)(2)(B) OF THE SECURITIES EXCHANGE ACT OF 1934.
Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	12/17/2012
Docket/Case Number:	SEC ADMINISTRATIVE PROCEEDING FILE NO. 3-15132; EXCHANGE ACT RELEASE NO. 68448.
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	DISGORGEMENT; CIVIL MONEY PENALTY.
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	12/17/2012
Sanctions Ordered:	Monetary/Fine \$5,315,649.00 Disgorgement/Restitution Cease and Desist/Injunction
Other Sanctions Ordered:	1) ALLIANZ SE CONSENTED TO THE ENTRY OF A CEASE AND DESIST ORDER WHICH PROHIBITS FUTURE VIOLATIONS OF SECTIONS 13(B)(2)(A) AND 13(B)(2)(B) OF THE SECURITIES EXCHANGE ACT OF 1934; 2) ALLIANZ SE CONSENTED TO PAY DISGORGEMENT OF \$5,315,649 PLUS PREJUDGMENT INTEREST OF \$1,765,125 (TOTAL \$7,080,774); 3) AS REFERENCED IN SECTION 12.A. OF THIS DRP, ALLIANZ SE CONSENTED TO A CIVIL MONEY PENALTY OF \$5,315,649.



Sanction Details: ALLIANZ SE CONSENTED TO PAY DISGORGEMENT OF \$5,315,649, PREJUDGMENT INTEREST OF \$1,765,125, AND A CIVIL MONEY PENALTY OF \$5,315,649 (TOTAL PAYMENT OF \$12,396,423). THE PAYMENT WAS WIRED TO THE SEC ON DECEMBER 20, 2012.

Firm Statement ON DECEMBER 17, 2012, THE SEC ANNOUNCED THAT IT HAD REACHED A SETTLEMENT WITH ALLIANZ SE TO RESOLVE THE SEC'S INVESTIGATION OF ALLEGED MISCONDUCT AT AN INDONESIAN JOINT VENTURE MAJORITY-OWNED BY ALLIANZ SE. WITHOUT ADMITTING OR DENYING THE SEC'S ALLEGATIONS, ALLIANZ SE CONSENTED TO CEASE AND DESIST FROM FURTHER VIOLATIONS OF SECTIONS 13(B)(2)(A) AND 13(B)(2)(B) OF THE SECURITIES EXCHANGE ACT OF 1934, AND TO PAY APPROXIMATELY \$12.4 MILLION IN DISGORGEMENT, PREJUDGMENT INTEREST, AND CIVIL PENALTY. ALLIANZ SE COOPERATED WITH THE SEC DURING THE COURSE OF ITS INVESTIGATION. FURTHERMORE, FOLLOWING AN INDEPENDENT INTERNAL INVESTIGATION CONDUCTED BY ALLIANZ SE WITH THE ASSISTANCE OF EXTERNAL LEGAL COUNSEL, ALLIANZ SE MODIFIED ITS POLICIES AND PROCEDURES TO MITIGATE FCPA RISKS. FOR EXAMPLE, ALLIANZ SE RECENTLY IMPLEMENTED A GROUP-WIDE ANTI-CORRUPTION PROGRAM.

Disclosure 9 of 54

Reporting Source: Firm

Affiliate: ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status: Final

Allegations: AFFILIATE AGREED TO PAY A TOTAL MONETARY PENALTY OF \$10,000,000, TO BE DIVIDED AMONG THE 45 JURISDICTIONS, AND TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALE OF ITS FIXED ANNUITIES. NO ALLEGATIONS OF WRONGDOING WERE MADE.

Initiated By: INSURANCE DEPARTMENTS OF 44 STATES AND THE DISTRICT OF COLUMBIA

Date Initiated: 11/23/2009

Docket/Case Number: N/A

Principal Product Type: Annuity(ies) - Fixed

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought: AFFILIATE AGREED TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALES OF ITS FIXED ANNUITIES.



Resolution:	Order
Resolution Date:	08/24/2012
Sanctions Ordered:	Monetary/Fine \$10,000,000.00
Other Sanctions Ordered:	AFFILIATE AGREED TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALES OF ITS FIXED ANNUITIES.
Sanction Details:	AS A RESULT OF A REGULATORY REVIEW CONDUCTED JOINTLY BY 44 STATES AND THE DISTRICT OF COLUMBIA, AFFILIATE AGREED TO PAY A TOTAL MONETARY PENALTY OF \$10,000,000, TO BE DIVIDED AMONG THE JURISDICTIONS, AND TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALE OF ITS FIXED ANNUITIES.
Firm Statement	AFFILIATE AGREED TO UNDERTAKE CERTAIN REMEDIAL ACTIONS IN REGARD TO THE SALES OF ITS FIXED ANNUITIES.

Disclosure 10 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA SOLD ANNUITIES TO RESIDENTS OF UTAH USING FORMS THAT WERE NOT FILED IN UTAH BEFORE BEING DELIVERED OR ISSUED FOR DELIVERY IN UTAH.
Initiated By:	UTAH INSURANCE DEPARTMENT
Date Initiated:	08/31/2010
Docket/Case Number:	2011-081 HL
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	05/16/2011



Sanctions Ordered:	Monetary/Fine \$50,000.00
Other Sanctions Ordered:	
Sanction Details:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA AGREED TO A CONSENT ORDER AND PAID THE STATE OF UTAH AN ADMINISTRATIVE FORFEITURE OF \$29,500 PLUS \$20,500 TO REIMBURSE THE UTAH INSURANCE DEPARTMENT FOR ADMINISTRATIVE EXPENSES.
Firm Statement	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA AGREED TO A CONSENT ORDER AND PAID THE STATE OF UTAH AN ADMINISTRATIVE FORFEITURE OF \$29,500 PLUS \$20,500 TO REIMBURSE THE UTAH INSURANCE DEPARTMENT FOR ADMINISTRATIVE EXPENSES.

Disclosure 11 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	VIOLATIONS OF THE MARYLAND INSURANCE CODE RELATED TO THE AFFILIATE'S SALE OF LONG TERM CARE INSURANCE IN MARYLAND. SPECIFIC ALLEGATIONS INCLUDED IMPROPERLY LABELED BILLING STATEMENTS AND AN IMPROPER UNDERWRITING STANDARD.
Initiated By:	MARYLAND INSURANCE ADMINISTRATION
Date Initiated:	04/22/2010
Docket/Case Number:	MIA-2010
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	04/22/2010
Sanctions Ordered:	Monetary/Fine \$30,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE AFFILIATE



ENTERED INTO A CONSENT ORDER WITH THE MARYLAND DEPARTMENT ON APRIL 22, 2010 AND MAILED THE ADMINISTRATIVE PENALTY OF \$30,000 TO THE MARYLAND DEPARTMENT ON APRIL 29, 2010.

Firm Statement

AS STATED ABOVE, THE AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE MARYLAND DEPARTMENT ON APRIL 22, 2010. THE ORDER DIRECTS THE AFFILIATE TO REMEDIATE WITH THE VIOLATIONS OF THE MARYLAND INSURANCE CODE AT ISSUE WITHIN 90 DAYS.

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Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	VIOLATIONS OF THE VERMONT INSURANCE CODE RELATED TO THE AFFILIATE'S SALE OF LIFE INSURANCE AND ANNUITIES, INCLUDING ALLEGATIONS RELATED TO REPLACEMENT FORMS, BUYER'S GUIDES, SUITABILITY, FAILURE TO FILE REQUIRED ANNUAL REPORTS, AND FAILURE TO COMPLY WITH VERMONT DEATH CLAIMS INTEREST PROVISIONS.
Initiated By:	STATE OF VERMONT DEPARTMENT OF BANKING, INSURANCE, SECURITIES, AND HEALTH CARE ADMINISTRATION
Date Initiated:	06/24/2009
Docket/Case Number:	09-066-I
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	VARIABLE ANNUITIES LIFE INSURANCE
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	04/22/2010
Sanctions Ordered:	Monetary/Fine \$94,000.00
Other Sanctions Ordered:	APPLICANT WAS REQUIRED TO UNDERTAKE CERTAIN REMEDIAL ACTIONS DESIGNED TO MITIGATE THE NOTED DEFICIENCIES.
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE VERMONT DEPARTMENT ON APRIL 22, 2010 AND MAILED THE ADMINISTRATIVE PENALTY OF \$94,000 TO



THE VERMONT DEPARTMENT ON APRIL 29, 2010.

Firm Statement

AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE VERMONT DEPARTMENT ON APRIL 22, 2010. PURSUANT TO THE CONSENT ORDER, THE COMPANY AGREED TO TAKE A NUMBER OF ACTIONS TO REMEDIATE ISSUES IDENTIFIED DURING THE EXAM. THE TIME FRAMES FOR REMEDIATION VARY BY ISSUE.

Disclosure 13 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA MARKETED AN ANNUITY THAT HAD NOT BEEN SUBMITTED TO THE UTAH STATE INSURANCE DEPARTMENT FOR APPROVAL, AND THE PROVISIONS OF SUCH ANNUITY DID NOT COMPLY WITH UTAH LAW.
Initiated By:	UTAH INSURANCE DEPARTMENT
Date Initiated:	03/18/2004
Docket/Case Number:	2004-374
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	04/02/2004
Sanctions Ordered:	Monetary/Fine \$37,800.00
Other Sanctions Ordered:	
Sanction Details:	ON APRIL 2, 2004, THE AFFILIATE ADMITTED THE FINDINGS OF FACT AND CONCLUSIONS MADE THEREFROM AND PAID A FINE OF \$37,800.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO AN ORDER WITH THE UTAH DEPARTMENT ON 04/02/2004 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.



Disclosure 14 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT AFFILIATE SOLD ANNUITIES TO UTAH RESIDENTS THAT DID NOT COMPLY WITH UTAH INSURANCE LAW.
Initiated By:	UTAH INSURANCE DEPARTMENT
Date Initiated:	07/14/2006
Docket/Case Number:	2006-068 LF
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS ORDERED TO AMEND THE ANNUITY CONTRACTS THAT DID NOT COMPLY WITH UTAH STATUTES AND TO NOTIFY AFFECTED POLICYHOLDERS OF SUCH ACTION WITHIN 30 DAYS OF THE DATE OF THE ORDER.
Resolution:	Stipulation and Consent
Resolution Date:	08/11/2006
Sanctions Ordered:	Monetary/Fine \$42,000.00
Other Sanctions Ordered:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS ORDERED TO AMEND THE ANNUITY CONTRACTS THAT DID NOT COMPLY WITH UTAH STATUTES AND TO NOTIFY AFFECTED POLICYHOLDERS OF SUCH ACTION WITHIN 30 DAYS OF THE DATE OF THE ORDER.
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA ON AUGUST 11, 2006, AGREED TO A STIPULATION AND ORDER WITH THE UTAH INSURANCE DEPARTMENT. THIS STIPULATION PERTAINED TO THE SALE OF CERTAIN ANNUITY CONTRACTS IN THE STATE OF UTAH THAT DID NOT COMPLY WITH UTAH INSURANCE LAW. ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA PAID AN ADMINISTRATIVE FINE OF \$42,000, AMENDED THE PERTINENT CONTRACTS TO COMPLY WITH UTAH LAW, AND NOTIFIED THE AFFECTED POLICYHOLDERS OF SUCH AMENDMENT WITHIN 30 DAYS OF THE ORDER.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND ORDER

WITH THE UTAH DEPARTMENT ON 08/11/2006 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 15 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA FAILED TO FILE ANNUAL RATE FILINGS WITH THE STATE OF FLORIDA FOR ITS LONG-TERM CARE INSURANCE POLICIES.
Initiated By:	FLORIDA OFFICE OF INSURANCE REGULATION
Date Initiated:	01/19/2006
Docket/Case Number:	84041-05
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	01/30/2006
Sanctions Ordered:	Monetary/Fine \$15,500.00
Other Sanctions Ordered:	
Sanction Details:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA AGREED TO A CONSENT ORDER AND, ON JANUARY 30, 2006, PAID THE STATE OF FLORIDA AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$12,500 AND ADMINISTRATIVE COSTS IN THE AMOUNT OF \$3,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE FLORIDA DEPARTMENT ON 01/30/2006 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 16 of 54

Reporting Source:	Firm
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Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA SOLD LIFE OR ANNUITY PRODUCTS IN FLORIDA WITHOUT COMPLYING WITH FLORIDA LAW WITH REGARD TO ADVERTISING, DISCRIMINATION AND POLICY CONTENT REQUIREMENTS. IN ADDITION, IT IS ALLEGED THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA ENTERED INTO AN AGREEMENT WITH A THIRD PARTY ADMINISTRATOR WHICH WAS NOT LICENSED TO DO BUSINESS IN THAT CAPACITY IN FLORIDA AND THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA DID NOT COMPLY WITH CERTAIN FORM FILING REQUIREMENTS AND ALSO IMPLEMENTED RATE INCREASES ON MEDICARE SUPPLEMENT POLICIES WITHOUT PRIOR APPROVAL OF THE DEPARTMENT.
Initiated By:	FLORIDA DEPARTMENT OF INSURANCE
Date Initiated:	08/19/1993
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	08/19/1993
Sanctions Ordered:	Monetary/Fine \$182,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON AUGUST 19, 1993 AFFILIATE AGREED TO A CONSENT ORDER WITH THE FLORIDA DEPARTMENT OF INSURANCE AND PAID A PENALTY OF \$175,000, PLUS \$7,500 IN ATTORNEY FEES AND \$7,500 IN ADMINISTRATIVE COSTS.
Firm Statement	ON AUGUST 19, 1993 AFFILIATE AGREED TO A CONSENT ORDER WITH THE FLORIDA DEPARTMENT OF INSURANCE AND PAID A PENALTY OF \$175,000, PLUS \$7,500 IN ATTORNEY FEES AND \$7,500 IN ADMINISTRATIVE COSTS.



Reporting Source: Firm

Affiliate: ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status: Final

Allegations: STATE OF CALIFORNIA ALLEGES THAT CONTROL AFFILIATE FAILED TO COMPLY WITH SECTIONS OF THE CALIFORNIA INSURANCE CODE PERTAINING TO THE SALE OF FIXED ANNUITIES.

Initiated By: CALIFORNIA DEPARTMENT OF INSURANCE

Date Initiated: 12/06/2006

Docket/Case Number: VA 1152-AP

Principal Product Type: Annuity(ies) - Fixed

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought: CONTROL AFFILIATE AGREES TO PAY STATE OF CALIFORNIA ATTORNEY'S FEES AND COSTS, MAKE CONTRIBUTIONS TO CALIFORNIA CONSUMER ORGANIZATIONS, REVISE AND CLARIFY POLICY FORMS, CREATE A PROCESS FOR ENHANCED SUITABILITY REVIEW, AND OFFER TO RESCIND THE ANNUITIES PURCHASED BY CERTAIN POLICYHOLDERS.

Resolution: Stipulation and Consent

Resolution Date: 02/13/2008

Sanctions Ordered: Monetary/Fine \$10,050,000.00

Other Sanctions Ordered: CONTROL AFFILIATE AGREES TO PAY STATE OF CALIFORNIA ATTORNEY'S FEES AND COSTS, MAKE CONTRIBUTIONS TO CALIFORNIA CONSUMER ORGANIZATIONS, REVISE AND CLARIFY POLICY FORMS, CREATE A PROCESS FOR ENHANCED SUITABILITY REVIEW, AND OFFER TO RESCIND THE ANNUITIES PURCHASED BY CERTAIN POLICYHOLDERS.

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, CONTROL AFFILIATE AGREED TO PAY \$3,000,000 TO THE CALIFORNIA DEPARTMENT OF INSURANCE (THE "DEPARTMENT") AS A MONETARY PENALTY, \$300,000 IN ATTORNEYS' FEES AND COSTS TO REIMBURSE THE DEPARTMENT, \$3,750,000 CONTRIBUTION OVER 5 YEARS TO THE LIFE AND ANNUITY CONSUMER PROTECTION FUND, AND \$3,000,000 INVESTMENT IN THE CALIFORNIA ORGANIZED INVESTMENT NETWORK. CONTROL AFFILIATE ALSO AGREED TO REVISE AND CLARIFY POLICY FORMS, CREATE A PROCESS FOR ENHANCED SUITABILITY REVIEW, AND OFFER TO RESCIND THE ANNUITIES PURCHASED BY CERTAIN POLICYHOLDERS.



WITH THE EXCEPTION OF THE CONTRIBUTION TO THE LIFE AND ANNUITY CONSUMER PROTECTION FUND, THE CONTROL AFFILIATE AGREED TO PAY THE MONETARY PENALTIES AND IMPLEMENT THE OTHER UNDERTAKINGS WITHIN 30 DAYS OF THE STIPULATION.

Firm Statement

AS STATED ABOVE, THE AFFILIATE ENTERED INTO A STIPULATION AND CONSENT ORDER ON 02/13/2008 AND AGREED TO IMPLEMENT THE NEW MONETARY TERMS OF THE SETTLEMENT (DESCRIBED ABOVE) WITHIN 30 DAYS OF THE STIPULATION.

Disclosure 18 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	CONTROL AFFILIATE FAILED TO FILE WITH THE STATE OF NEVADA DIVISION OF INSURANCE THE ANNUAL QUALITY OF HEALTH CARE REPORT, ANNUAL COMPLAINT REPORT AND ANNUAL CERTIFICATION OF ADVERTISEMENT REPORT FOR 2006.
Initiated By:	STATE OF NEVADA DIVISION OF INSURANCE
Date Initiated:	12/31/2007
Docket/Case Number:	07.1433, 07.631 AND 07.890
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	SUBMIT COMPLETED ANNUAL QUALITY OF HEALTH CARE REPORT, ANNUAL COMPLAINT REPORT AND ANNUAL CERTIFICATION OF ADVERTISEMENT REPORT FOR 2006.
Resolution:	Consent
Resolution Date:	01/10/2008
Sanctions Ordered:	Monetary/Fine \$2,500.00
Other Sanctions Ordered:	SUBMIT COMPLETED ANNUAL QUALITY OF HEALTH CARE REPORT, ANNUAL COMPLAINT REPORT AND ANNUAL CERTIFICATION OF ADVERTISEMENT REPORT FOR 2006.
Sanction Details:	CONTROL AFFILIATE PAID AN ADMINISTRATIVE FINE OF \$2,500.00 AND FILED THE ANNUAL QUALITY OF HEALTH CARE REPORT, ANNUAL

COMPLAINT REPORT AND ANNUAL CERTIFICATION OF ADVERTISEMENT REPORT FOR 2006 WITH THE STATE OF NEVADA DIVISION OF INSURANCE ON JANUARY 10, 2008.

Firm Statement

AS STATED ABOVE, AFFILIATE PAID AN ADMINISTRATIVE FINE OF \$2,500.00 AND FILED THE ANNUAL QUALITY OF HEALTH CARE REPORT, ANNUAL COMPLAINT REPORT AND ANNUAL CERTIFICATION OF ADVERTISEMENT REPORT FOR 2006 WITH THE STATE OF NEVADA DIVISION OF INSURANCE ON JANUARY 10, 2008.

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Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	THIS CONSENT JUDGMENT RESULTED FROM A LAWSUIT BROUGHT AGAINST CONTROL AFFILIATE BY THE ATTORNEY GENERAL OF THE STATE OF MINNESOTA ALLEGING THAT CONTROL AFFILIATE AND ITS AGENTS SOLD DEFERRED ANNUITIES TO MINNESOTA SENIOR CITIZENS THAT WERE NOT SUITABLE FOR THE SENIORS' PARTICULAR CIRCUMSTANCES, AND/OR MISREPRESENTED THE TERMS AND CONDITIONS OF CONTROL AFFILIATE'S DEFERRED ANNUITY PRODUCTS.
Initiated By:	STATE OF MINNESOTA
Date Initiated:	01/09/2007
Docket/Case Number:	27-CV-07-581
Principal Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CONSENT JUDGMENT
Resolution:	Order
Resolution Date:	10/08/2007
Sanctions Ordered:	
Other Sanctions Ordered:	CONTROL AFFILIATE AGREED TO REVISE ITS PROCEDURE FOR DETERMINING WHETHER A DEFERRED ANNUITY IS SUITABLE. CONTROL



AFFILIATE ALSO AGREED TO OFFER A CLAIMS REVIEW PROCESS TO MINNESOTA POLICYHOLDERS AGED 65 AND OLDER.

Sanction Details:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON OCTOBER 8, 2007, AFFILIATE AGREED TO A CONSENT ORDER WITH THE MINNESOTA ATTORNEY GENERAL.

Firm Statement

AS STATED ABOVE, AFFILIATE ENTERED INTO AN ORDER WITH THE STATE OF MINNESOTA ON 10/08/2007 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 20 of 54

Reporting Source:

Firm

Affiliate:

ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status:

Final

Allegations:

ALLEGATIONS FROM ROUTINE MARKET CONDUCT EXAM THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH COLORADO INSURANCE LAWS REGARDING ADVERTISING AND ISSUANCE OF REPLACEMENT NOTICES.

Initiated By:

STATE OF COLORADO DIVISION OF INSURANCE

Date Initiated:

10/17/2006

Docket/Case Number:

O-07-041

Principal Product Type:

Annuity(ies) - Fixed

Other Product Type(s):

VARIABLE ANNUITIES

Principal Sanction(s)/Relief Sought:

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution:

Order

Resolution Date:

12/20/2006

Sanctions Ordered:

Monetary/Fine \$34,800.00

Other Sanctions Ordered:

Sanction Details:

ON DECEMBER 20, 2006, THE CONTROL AFFILIATE AGREED TO AN ORDER WITH THE COLORADO DIVISION OF INSURANCE AND PAID A PENALTY OF \$34,800.

Firm Statement

AS STATED ABOVE, AFFILIATE ENTERED INTO A AN ORDER WITH THE

COLORADO DEPARTMENT ON 12/20/2006 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION TO PAYING THE FINE, AFFILIATE AGREED TO PROVIDE WRITTEN EVIDENCE OF COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER WITHIN 30 DAYS OF THE DATE OF THE ORDER.

Disclosure 21 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK WAS NOT IN COMPLIANCE WITH CERTAIN PROVISIONS OF THE NY CODE WITH REGARD TO RECORD-KEEPING AND FORM FILING OF FIXED AND VARIABLE ANNUITIES.
Initiated By:	STATE OF NEW YORK INSURANCE DEPARTMENT
Date Initiated:	02/12/2007
Docket/Case Number:	2006-0325-S
Principal Product Type:	Annuity(ies) - Variable
Other Product Type(s):	FIXED ANNUITIES
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	02/12/2007
Sanctions Ordered:	Monetary/Fine \$300,000.00
Other Sanctions Ordered:	AFFILIATE WAS REQUIRED TO UNDERTAKE CERTAIN REMEDIAL ACTIONS DESIGNED TO MITIGATE THE DEFICIENCIES NOTED.
Sanction Details:	ON FEBRUARY 12, 2007, AFFILIATE AGREED TO PAY CIVIL PENALTY OF \$300,000 AND TO DEVELOP A REMEDIATION PLAN ACCEPTABLE TO THE NEW YORK INSURANCE DEPARTMENT DESIGNED TO MITIGATE THE DEFICIENCIES NOTED BY THE DEPARTMENT.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND CONSENT WITH THE NEW YORK INSURANCE DEPARTMENT ON 02/12/2007 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.



Disclosure 22 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK F/K/A PREFERRED LIFE INSURANCE COMPANY OF NEW YORK
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK F/K/A PREFERRED LIFE INSURANCE COMPANY OF NEW YORK VIOLATED NY LAW BY NOT FILING CERTIFICATES OF APPOINTMENT FOR INSURANCE AGENTS, PAYING COMMISSIONS TO UNAPPOINTED AGENTS AND PAYING COMMISSIONS TO THIRD PARTY ADMINISTRATORS WHO ARE NOT LICENSED AS INDEPENDENT ADJUSTERS.
Initiated By:	NEW YORK DEPARTMENT OF INSURANCE
Date Initiated:	06/19/2000
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	STIPULATION
Resolution:	Order
Resolution Date:	06/19/2000
Sanctions Ordered:	Monetary/Fine \$20,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON JUNE 19, 2000 AFFILIATE AGREED TO A STIPULATION WITH NEW YORK DEPARTMENT OF INSURANCE AND PAID A CIVIL PENALTY OF \$20,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO AN ORDER WITH THE NEW YORK DEPARTMENT ON 06/19/2000 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 23 of 54



Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK F/K/A PREFERRED LIFE INSURANCE COMPANY OF NEW YORK
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK F/K/A PREFERRED LIFE INSURANCE COMPANY OF NEW YORK VIOLATED NY INSURANCE LAW BY ISSUING ANNUITY CONTRACTS PROVIDING FOR CASH SURRENDER VALUES OR OTHER OPTIONAL CASH WITHDRAWAL VALUES ON WHICH AGGREGATE ANNUALIZED CONSIDERATIONS EXCEEDED THE STATUTORY LIMITS.
Initiated By:	NEW YORK DEPARTMENT OF INSURANCE
Date Initiated:	02/23/1994
Docket/Case Number:	N/A
Principal Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	STIPULATION
Resolution:	Order
Resolution Date:	02/23/1994
Sanctions Ordered:	Monetary/Fine \$10,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON FEBRUARY 23, 1994 AFFILIATE AGREED TO A STIPULATION ORDER WITH THE NEW YORK DEPARTMENT OF INSURANCE AND PAID A PENALTY OF \$10,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION ORDER WITH THE NEW YORK DEPARTMENT ON 02/23/1994 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 24 of 54

Reporting Source: Firm



Affiliate: ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status: Final

Allegations: THIS ORDER PERTAINED TO A STATE INQUIRY THAT RESULTED IN ALLEGATIONS THAT CERTAIN LONGTERM CARE POLICY FORMS WERE NOT IN COMPLIANCE WITH STATE REQUIREMENTS.

Initiated By: CALIFORNIA DEPARTMENT OF INSURANCE

Date Initiated: 04/01/2003

Docket/Case Number: N/A

Principal Product Type: Insurance

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Stipulation and Consent

Resolution Date: 01/27/2005

Sanctions Ordered: Monetary/Fine \$425,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON JANUARY 27, 2005 AFFILIATE AGREED TO A STIPULATION AND CONSENT ORDER WITH THE CALIFORNIA DEPARTMENT OF INSURANCE AND PAID A FINE OF \$425,000.

Firm Statement AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND CONSENT WITH THE CALIFORNIA DEPARTMENT ON 01/27/2005 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 25 of 54

Reporting Source: Firm

Affiliate: ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status: Final

Allegations: THIS ORDER PERTAINED TO A MARKET CONDUCT EXAMINATION THAT RESULTED IN ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH THE ILLINOIS CODE IN



THE FOLLOWING AREAS: CLAIM UNDERPAYMENTS, HOW CLAIMS WERE PAID AND/OR DENIED, PAYMENT OF COMMISSIONS TO UNLICENSED PERSONS/ENTITIES, ADVISING INSURED OF AVAILABLE NON-FORFEITURE OPTIONS, RECONSTRUCTION OF CLAIM FILES, INFORMING INSURED OF THE NOTICE OF AVAILABILITY OF THE DEPARTMENT OF INSURANCE, DELAY LETTERS, COMPLAINT RESPONSE TIME, COMPLAINT LOGS AND ADVERTISING.

Initiated By: ILLINOIS DEPARTMENT OF INSURANCE

Date Initiated: 10/14/1999

Docket/Case Number: N/A

Principal Product Type: Insurance

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 05/28/2003

Sanctions Ordered: Monetary/Fine \$50,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON MAY 28, 2003 AFFILIATE PAID AN ADMINISTRATIVE PENALTY OF \$50,000.

Firm Statement AS STATED ABOVE, AFFILIATE ENTERED INTO AN ORDER WITH THE ILLINOIS DEPARTMENT ON 05/28/2003 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION TO PAYING THE FINE, THE AFFILIATE AGREED TO SUBMIT PROOF OF COMPLIANCE WITH SECTION 154.6I OF THE ILLINOIS INSURANCE CODE AND SECTIONS 919.50 AND 919.70 OF THE ILLINOIS ADMINISTRATIVE CODE WITHIN 30 DAYS OF RECEIPT OF THE ORDER.

Disclosure 26 of 54

Reporting Source: Firm

Affiliate: ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status: Final

Allegations: ALLEGED THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA



VIOLATED STATE LAW IN THE SALES OF UNIVERSAL LIFE INSURANCE POLICIES SOLD THROUGH AN EMPLOYER PAYROLL DEDUCTION PROGRAM.

Initiated By: INSURANCE DEPARTMENT OF THE STATE OF CALIFORNIA

Date Initiated: 05/20/1996

Docket/Case Number: N/A

Principal Product Type: Insurance

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 05/20/1996

Sanctions Ordered: Monetary/Fine \$1,000,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON MAY 20, 1996 AFFILIATE AGREED TO A STIPULATION ORDER WITH THE CA INSURANCE DEPT AND PAID \$750,000 IN PENALTIES & \$250,000 IN EXPENSES. AFFILIATE ALSO AGREED TO MAKE CERTAIN ECONOMIC DEVELOPMENT INVESTMENTS IN THE STATE.

Firm Statement AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION ORDER WITH THE CALIFORNIA DEPARTMENT ON 05/20/1996 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 27 of 54

Reporting Source: Firm

Affiliate: ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status: Final

Allegations: ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA IMPROPERLY PAID GROUP LIFE CLAIMS WITHOUT INTEREST.

Initiated By: NEVADA DEPARTMENT OF INSURANCE

Date Initiated: 03/28/1996



Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	03/28/1996
Sanctions Ordered:	Monetary/Fine \$10,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON MARCH 28, 1996 AFFILIATE AGREED TO A CONSENT AGREEMENT WITH THE NEVADA DEPARTMENT OF INSURANCE AND PAID A FINE OF \$10,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT AGREEMENT WITH THE NEVADA DEPARTMENT ON 03/28/1996 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 28 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	IT WAS ALLEGED THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA PAID A BONUS RATE ON A PRODUCT OFFERED BY IT IN EXCESS OF THE RATE FILED WITH THE STATE; THAT IT PERMITTED AN AFFILIATE TO ACT AS MANAGING GENERAL AGENT FOR THE COMPANY WITH THE AFFILIATE OBTAINING AN MGMT LICENSE; THAT AN ADVERTISEMENT WAS USED TO MARKET THE COMPANY'S PRODUCTS THAT HAD NOT BEEN APPROVED BY THE CO; AND THAT A RATE INCREASE WAS IMPLEMENTED BY THE COMPANY ON MEDICARE SUPPLEMENT POLICIES WHEN THE RATE HAD BEEN DISAPPROVED BY THE DEPARTMENT.
Initiated By:	NEW JERSEY DEPARTMENT OF INSURANCE
Date Initiated:	01/02/1996
Docket/Case Number:	96-17



Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	01/02/1996
Sanctions Ordered:	Monetary/Fine \$60,000.00
Other Sanctions Ordered:	
Sanction Details:	ON JANUARY 2, 1996 AFFILIATE AGREED TO THE ENTRY OF A CONSENT ORDER BY THE NJ DEPT OF INSURANCE AND PAID ADMINISTRATIVE FINE OF \$60,000. AFFILIATE ASSERTS THAT CERTAIN MATTERS SET OUT IN THE ORDER DID NOT CONSTITUTE LEGAL INFRACTIONS BUT CONSENTED TO THE ORDER AND AGREED TO WAIVE ITS RIGHTS TO A FORMAL HEARING IN ORDER TO RESOLVE THE MATTER AMICABLY.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE NEW JERSEY DEPARTMENT ON 01/02/1996 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 29 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA VIOLATED NDCC 26.1-26-04 BY SELLING VARIABLE PRODUCTS THROUGH AN UNLICENSED, UNAPPOINTED AGENT.
Initiated By:	NORTH DAKOTA DEPARTMENT OF INSURANCE
Date Initiated:	12/12/1995
Docket/Case Number:	N/A
Principal Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other

Other Sanction(s)/Relief Sought:	CONSENT ORDER
Resolution:	Order
Resolution Date:	12/12/1995
Sanctions Ordered:	Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON DECEMBER 12, 1995 AFFILIATE AGREED TO A CONSENT ORDER WITH THE NORTH DAKOTA DEPARTMENT OF INSURANCE AND PAID AN ADMINISTRATIVE PENALTY OF \$1,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE NORTH DAKOTA DEPARTMENT ON 12/12/1995 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 30 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH THE STATE'S INSURANCE CODE REGARDING PROPER PAYMENT OF CLAIMS.
Initiated By:	CALIFORNIA DEPARTMENT OF INSURANCE
Date Initiated:	09/11/1995
Docket/Case Number:	UPA 0169-A (AR)
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	STIPULATION AND WAIVER
Resolution:	Stipulation and Consent
Resolution Date:	09/11/1995



Sanctions Ordered:	Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON SEPTEMBER 11, 1995 AFFILIATE AGREED TO A STIPULATION AND WAIVER WITH THE CALIFORNIA DEPT OF INSURANCE AND PAID AN ADMINISTRATIVE PENALTY OF \$5,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND WAIVER WITH THE CALIFORNIA DEPARTMENT ON 09/11/1995 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION TO THE FINE, THE ORDER DIRECTED THE AFFILIATE TO CEASE AND DESIST FROM VIOLATING THE SECTIONS OF TITLE 10 OF THE CALIFORNIA CODE OF REGULATIONS THAT WERE AT ISSUE.

Disclosure 31 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS FROM ROUTINE MARKET CONDUCT EXAM THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH MISSOURI INSURANCE LAWS REGARDING AGENT APPOINTMENTS, ADVERTISING, CLAIMS HANDLING AND COMPLAINT HANDLING.
Initiated By:	MISSOURI DEPARTMENT OF INSURANCE
Date Initiated:	09/09/2001
Docket/Case Number:	0018-05-LAH
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	09/09/2001
Sanctions Ordered:	Monetary/Fine \$156,534.00

**Other Sanctions Ordered:****Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON SEPTEMBER 9, 2001 AFFILIATE AGREED TO A STIPULATION OF SETTLEMENT, VOLUNTARY FORFEITURE AND ORDER WITH THE MISSOURI DEPT OF INSURANCE.

Firm Statement

AS STATED ABOVE, AFFILIATE ENTERED INTO AN ORDER WITH THE MISSOURI DEPARTMENT ON 09/09/2001 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION TO PAYMENT OF THE FINE, AFFILIATE AGREED TO TAKE REMEDIAL ACTION TO BRING AFFILIATE INTO COMPLIANCE. AFFILIATE ALSO AGREED TO MAINTAIN THE CORRECTIVE ACTION AT ALL TIMES.

Disclosure 32 of 54**Reporting Source:**

Firm

Affiliate:

ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA

Current Status:

Final

Allegations:

ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA IMPROPERLY PAID COMMISSIONS TO UNLICENSED AGENTS AND WAS NOT IN COMPLIANCE WITH STATE LICENSING REQUIREMENTS IN DOING BUSINESS WITH AGENCIES INS. LICENSED IN THE STATE.

Initiated By:

NEVADA INSURANCE DEPARTMENT

Date Initiated:

05/11/1995

Docket/Case Number:

N/A

Principal Product Type:

Insurance

Other Product Type(s):**Principal Sanction(s)/Relief Sought:**

Other

Other Sanction(s)/Relief Sought:

CONSENT ORDER

Resolution:

Order

Resolution Date:

05/11/1995

Sanctions Ordered:

Monetary/Fine \$70,000.00

Other Sanctions Ordered:**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON MAY

11, 1995 AFFILIATE AGREED TO A CONSENT ORDER WITH THE NEVADA INSURANCE DEPT AND PAID AN ADMINISTRATIVE FINE OF \$70,000.

Firm Statement

AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE NEVADA DEPARTMENT ON 05/11/1995 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 33 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA FAILED TO FILE RATES AND RATING PLANS ON GROUP HEALTH POLICIES.
Initiated By:	FLORIDA DEPARTMENT OF INSURANCE
Date Initiated:	03/15/2001
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CONSENT ORDER
Resolution:	Order
Resolution Date:	03/15/2001
Sanctions Ordered:	Monetary/Fine \$22,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON MARCH 15, 2001 AFFILIATE AGREED TO A CONSENT ORDER WITH THE FLORIDA DEPT OF INSURANCE AND PAID AN ADMINISTRATIVE PENALTY OF \$20,000 PLUS \$2,000 IN INVESTIGATIVE COSTS.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE FLORIDA DEPARTMENT ON 03/15/2001 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 34 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH CERTAIN PROVISIONS OF THE AZ CODE WITH REGARD TO THE VARIABLE LIFE AND VARIABLE ANNUITY PRODUCTS FILED ON OCTOBER 17, 1999.
Initiated By:	ARIZONA DEPARTMENT OF INSURANCE
Date Initiated:	10/26/2000
Docket/Case Number:	N/A
Principal Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CONSENT ORDER
Resolution:	Order
Resolution Date:	10/26/2000
Sanctions Ordered:	Monetary/Fine \$10,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON OCTOBER 26, 2000 AFFILIATE AGREED TO A CONSENT ORDER WITH THE ARIZONA DEPT OF INSURANCE AND PAID A CIVIL PENALTY OF \$10,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE ARIZONA DEPARTMENT ON 10/26/2000 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 35 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA



Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA SOLD LIFE INS. POLICIES BY OFFERING A CREDIT CARD AND SECURING THAT CREDIT CARD WITH THE INS. POLICY AND THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA SOLD POLICIES THROUGH UNLICENSED AGENTS.
Initiated By:	NEW JERSEY DEPARTMENT OF INSURANCE
Date Initiated:	05/25/1994
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CONSENT ORDER
Resolution:	Order
Resolution Date:	05/25/1994
Sanctions Ordered:	Monetary/Fine \$50,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON MAY 25, 1994 AFFILIATE AGREED TO A CONSENT ORDER WITH THE NEW JERSEY DEPT OF INSURANCE AND PAID AN ADMINISTRATIVE FINE OF \$50,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE NEW JERSEY DEPARTMENT ON 05/25/1994 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 36 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS FROM ROUTINE MARKET CONDUCT EXAM RELATING TO COMPLAINT HANDLING, PROCESSING OF REPLACEMENTS, CLAIM HANDLING, ADVERTISING, TPA AGREEMENTS, AND UNDERWRITING



PRACTICES.

Initiated By: ARIZONA DEPARTMENT OF INSURANCE**Date Initiated:** 10/16/2000**Docket/Case Number:** 00A-160-INS**Principal Product Type:** Insurance**Other Product Type(s):****Principal Sanction(s)/Relief Sought:** Other**Other Sanction(s)/Relief Sought:** CONSENT ORDER**Resolution:** Order**Resolution Date:** 10/16/2000**Sanctions Ordered:** Monetary/Fine \$75,000.00**Other Sanctions Ordered:****Sanction Details:** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON OCTOBER 16, 2000 AFFILIATE AGREED TO A CONSENT ORDER WITH THE ARIZONA DEPT OF INSURANCE AND PAID A CIVIL PENALTY OF \$75,000.**Firm Statement** AS STATED ABOVE, AFFILIATE ENTERED INTO AN ORDER WITH THE ARIZONA DEPARTMENT ON 10/16/2000 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION TO PAYING THE FINE, AFFILIATE AGREED TO SUBMIT EVIDENCE OF COMPLIANCE WITH THE REQUIREMENTS AT ISSUE IN THE ORDER WITHIN 120 DAYS OF THE FILED DATE OF THE ORDER.**Disclosure 37 of 54****Reporting Source:** Firm**Affiliate:** ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA**Current Status:** Final**Allegations:** ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA SOLD INS. POLICIES THAT WERE UNAPPROVED AND THAT DID NOT COMPLY WITH WI INS. LAWS, AND WERE MARKETED BY UNLISTED, AND IN SOME CASES, UNLICENSED INSURANCE AGENTS WHO MADE MISREPRESENTATIONS IN THE SOLICITATIONS.**Initiated By:** WISCONSIN DEPARTMENT OF INSURANCE



Date Initiated:	03/11/1994
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	STIPULATION AND SETTLEMENT
Resolution:	Order
Resolution Date:	03/11/1994
Sanctions Ordered:	Monetary/Fine \$20,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON MARCH 11, 1994 AFFILIATE AGREED TO A STIPULATION AND SETTLEMENT ORDER WITH THE WISCONSIN DEPT OF INSURANCE AND PAID A PENALTY OF \$20,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND SETTLEMENT ORDER WITH THE WISCONSIN DEPARTMENT ON 03/11/1994 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 38 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA, VIOLATED PROVISIONS OF THE ILLINOIS INSURANCE CODE THAT THE DEPARTMENT ALLEGED WERE VIOLATED DURING THE 1997 EXAM (E.G., CLAIMS PROCESSING AND COMPLAINT HANDLING PROVISIONS).
Initiated By:	ILLINOIS DEPARTMENT OF INSURANCE
Date Initiated:	10/14/1999
Docket/Case Number:	N/A
Principal Product Type:	Insurance

**Other Product Type(s):****Principal Sanction(s)/Relief Sought:** Other**Other Sanction(s)/Relief Sought:** STIPULATION AND CONSENT ORDER**Resolution:** Order**Resolution Date:** 10/14/1999**Sanctions Ordered:** Monetary/Fine \$100,000.00**Other Sanctions Ordered:****Sanction Details:** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON OCTOBER 14, 1999 AFFILIATE AGREED TO A STIPULATION AND CONSENT ORDER WITH THE ILLINOIS DEPT OF INSURANCE AND PAID A CIVIL PENALTY OF \$100,000.**Firm Statement**

AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND CONSENT ORDER WITH THE ILLINOIS DEPARTMENT ON 10/14/1999 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION, AFFILIATE WAS DIRECTED TO SUBMIT TO AN ADDITIONAL EXAMINATION WITHIN 9 MONTHS AND FILE WITH THE DEPARTMENT PLANS TO REMEDIATE CERTAIN EXAMINATION ISSUES WITHIN 60 DAYS.

Disclosure 39 of 54**Reporting Source:** Firm**Affiliate:** ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA**Current Status:** Final**Allegations:** ALLEGATIONS RESULTING FROM ROUTINE MARKET CONDUCT EXAM REGARDING AGENT LICENSING, INSURANCE APPLICATION FORMS, CLAIMS HANDLING AND REPLACEMENTS.**Initiated By:** MARYLAND INSURANCE ADMINISTRATION**Date Initiated:** 12/08/1998**Docket/Case Number:** MIA-663-11/98**Principal Product Type:** Insurance**Other Product Type(s):****Principal Sanction(s)/Relief Sought:** Other



Other Sanction(s)/Relief Sought:	ORDER-CONSENT AGREEMENT
Resolution:	Order
Resolution Date:	12/08/1998
Sanctions Ordered:	Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON DECEMBER 8, 1998 AFFILIATE AGREED TO AN ORDER-CONSENT AGREEMENT WITH THE MARYLAND INSURANCE ADMINISTRATION AND PAID AN ADMINISTRATIVE PENALTY OF \$7,500.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT AGREEMENT WITH THE MARYLAND DEPARTMENT ON 12/08/1998 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 40 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT REPRESENTATIVES OF AMERICAN BENEFITS CORPORATION ACTING ON BEHALF OF FIDELITY UNION LIFE INSURANCE COMPANY (FIDELITY UNION LIFE INSURANCE COMPANY'S BUSINESS WAS CONSOLIDATED WITH THAT OF ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA AS OF MAY 31, 1993) MADE MISREPRESENTATIONS REGARDING THE TERMS OF INSURANCE CONTRACTS ISSUED BY FIDELITY UNION LIFE INSURANCE COMPANY AND MISLEAD CUSTOMERS INTO BELIEVING THAT THE PRODUCT WAS A LONG TERM SAVINGS PROGRAM THAT OFFERED RETIREMENT INCOME, DISABILITY AND DEATH BENEFITS, AND THE INFORMATION PROVIDED LEAD PEOPLE TO BELIEVE THAT THE PRODUCT WAS NOT AN INSURANCE POLICY.
Initiated By:	MAINE BUREAU OF INSURANCE
Date Initiated:	02/15/1994
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	



Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CONSENT ORDER
Resolution:	Order
Resolution Date:	02/15/1994
Sanctions Ordered:	Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON FEBRUARY 15, 1994 AFFILIATE AGREED TO A CONSENT ORDER WITH THE MAINE BUREAU OF INSURANCE AND PAID A PENALTY OF \$7,500.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE MAINE DEPARTMENT ON 02/15/1994 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 41 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS RESULTING FROM A ROUTINE MARKET CONDUCT EXAM THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH CT LAW IN THE FOLLOWING AREAS: PRODUCER LICENSING AND APPOINTMENT REQUIREMENTS, PAYMENT OF COMMISSIONS TO UNAPPOINTED AGENTS, AND ADVERTISEMENTS.
Initiated By:	CONNECTICUT DEPARTMENT OF INSURANCE
Date Initiated:	11/19/1998
Docket/Case Number:	MC 98-85
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	COMPLAINT, STIPULATION AND FINAL ORDER



Resolution:	Order
Resolution Date:	11/19/1998
Sanctions Ordered:	Monetary/Fine \$46,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON NOVEMBER 19, 1998 AFFILIATE AGREED TO A COMPLAINT, STIPULATION AND FINAL ORDER WITH THE CONNECTICUT DEPT OF INSURANCE AND PAID A FINE OF \$46,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND ORDER WITH THE CONNECTICUT DEPARTMENT ON 11/19/1998 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 42 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA ACCEPTED APPLICATIONS AND ISSUED CERTIFICATES TO OREGON RESIDENTS UNDER ASSOCIATION MASTER POLICY WHICH WAS NOT REGISTERED IN OREGON.
Initiated By:	OREGON DEPARTMENT OF CONSUMER AND BUSINESS SERVICES
Date Initiated:	11/23/1993
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	STIPULATION AND FINAL ORDER
Resolution:	Order
Resolution Date:	11/23/1993
Sanctions Ordered:	Monetary/Fine \$20,000.00
Other Sanctions Ordered:	



Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON NOVEMBER 23, 1993 AFFILIATE AGREED TO A STIPULATION AND FINAL ORDER WITH THE OREGON DEPT OF CONSUMER AND BUSINESS SERVICES AND PAID A CIVIL PENALTY OF \$20,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND FINAL ORDER WITH THE OREGON DEPARTMENT ON 11/23/1993 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 43 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA HIRED AN OUTSIDE VENDOR TO DO TELEPHONE SOLICITATION WITHOUT THE VENDOR HAVING THE APPROPRIATE LICENSE IN MINNESOTA.
Initiated By:	COMMERCE COMMISSIONER OF THE STATE OF MINNESOTA
Date Initiated:	09/28/1993
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	09/28/1993
Sanctions Ordered:	Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON SEPTEMBER 28, 1993 AFFILIATE AGREED TO A CEASE AND DESIST ORDER WITH THE COMMERCE COMMISSIONER OF THE STATE OF MINNESOTA AND PAID A PENALTY OF \$1,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CEASE AND DESIST

ORDER WITH THE MINNESOTA DEPARTMENT ON 09/28/1993 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 44 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH ILLINOIS LAW IN THE FOLLOWING AREAS: CLAIM PROCESSING, PAYMENT OF COMMISSIONS TO UNLICENSED PERSONS/ENTITIES, ADVISING INSUREDS OF AVAILABLE NON-FORFEITURE OPTIONS, COMPLAINT HANDLING AND ADVERTISING.
Initiated By:	ILLINOIS DEPARTMENT OF INSURANCE
Date Initiated:	06/05/1997
Docket/Case Number:	N/A
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	STIPULATION AND CONSENT ORDER
Resolution:	Order
Resolution Date:	06/05/1997
Sanctions Ordered:	Monetary/Fine \$70,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON JUNE 5, 1997 AFFILIATE AGREED TO A STIPULATION AND CONSENT ORDER WITH THE ILLINOIS DEPT OF INSURANCE AND PAID A FINE OF \$70,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND CONSENT ORDER WITH THE ILLINOIS DEPARTMENT ON 06/05/1997 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION, AFFILIATE WAS DIRECTED TO MAKE CERTAIN CLAIMS PAYMENTS AND TO SUBMIT A REMEDIATION PLAN WITHIN 30 DAYS OF EXECUTION OF THE ORDER.



Disclosure 45 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA WAS NOT IN COMPLIANCE WITH PA INSURANCE LAW IN THE FOLLOWING AREAS: USE OF UNAPPROVED POLICY FORMS, TRANSACTION OF BUSINESS BY AGENTS BEFORE THEY WERE APPOINTED BY ALLIANZ LIFE, FAILURE TO OBTAIN REQUIRED SIGNATURES ON POLICY REPLACEMENTS, FAILURE TO MAINTAIN REQUIRED RECORDS, FAILURE TO ACKNOWLEDGE CLAIMS WITHIN SPECIFIED TIME FRAMES AND FAILURE TO NOTIFY CLAIMANTS OF ANY DELAY IN INVESTIGATING CLAIMS.
Initiated By:	PENNSYLVANIA DEPARTMENT OF INSURANCE
Date Initiated:	02/28/1997
Docket/Case Number:	MC97-01-028
Principal Product Type:	Insurance
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CONSENT ORDER
Resolution:	Order
Resolution Date:	02/28/1997
Sanctions Ordered:	Monetary/Fine \$72,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON FEBRUARY 28, 1997 AFFILIATE AGREED TO A CONSENT ORDER WITH THE PENNSYLVANIA DEPT OF INSURANCE AND PAID A FINE OF \$72,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A CONSENT ORDER WITH THE PENNSYLVANIA DEPARTMENTON 2/28/1997 WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE. IN ADDITION TO PAYING THE FINE, AFFILIATE AGREED TO CEASE AND DESIST FROM THE ACTIVITIES DESCRIBED IN THE ORDER AND TO COMPLY WITH THE RECOMMENDATIONS FOUND IN THE REPORT ATTACHED TO THE ORDER.



Disclosure 46 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA
Current Status:	Final
Allegations:	ALLEGATIONS THAT ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA AUTHORIZED THE SALE OF VARIABLE ANNUITIES THROUGH AN UNLICENSED INDIVIDUAL, THEREBY VIOLATING ORS 744.054.
Initiated By:	OREGON DEPARTMENT OF INSURANCE
Date Initiated:	11/07/1996
Docket/Case Number:	N/A
Principal Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	STIPULATION AND ORDER
Resolution:	Order
Resolution Date:	11/07/1996
Sanctions Ordered:	Monetary/Fine \$2,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS THEREIN, ON NOVEMBER 7, 1996 ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA AGREED TO STIPULATION AND ORDER WITH THE OREGON DEPARTMENT OF INSURANCE AND PAID AN ADMINISTRATIVE PENALTY OF \$2,000.
Firm Statement	AS STATED ABOVE, AFFILIATE ENTERED INTO A STIPULATION AND ORDER WITH THE OREGON DEPARTMENT OF INSURANCE ON NOVEMBER 7, 1996, WHICH IMPOSED THE SANCTIONS DESCRIBED ABOVE.

Disclosure 47 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ GLOBAL INVESTORS TAIWAN LTD.
Current Status:	Final



Allegations: FAILURE TO EXERCISE ADEQUATE AND SUFFICIENT SUPERVISION AND MANAGEMENT OF EMPLOYEE OF FUND MANAGER WHO WAS A PORTFOLIO MANAGER OF A FUND AND WHO USED A THIRD PARTY'S TRADING ACCOUNT TO PURCHASE STOCK WITHOUT PRE-CLEARANCE FROM THE FIRM WHILE THE FUND ALSO HAD AN INVESTMENT IN THE SAME STOCK. THE CONCEALED TRADE OF THE EMPLOYEE (WHOSE EMPLOYMENT HAS SINCE BEEN TERMINATED) VIOLATED THE TAIWAN SECURITIES INVESTMENT TRUST AND CONSULTING ACT AND THE REGULATIONS GOVERNING RESPONSIBLE PERSONS AND ASSOCIATED PERSONS OF SECURITIES INVESTMENT TRUST ENTERPRISES.

Initiated By: TAIWAN FINANCIAL SUPERVISORY COMMISSION ("FSC")

Date Initiated: 06/28/2012

Docket/Case Number: 10100300682

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Prohibition

Other Sanction(s)/Relief Sought: WARNING

Resolution: Other

Resolution Date: 06/28/2012

Sanctions Ordered:

Other Sanctions Ordered: WARNING WHICH, PURSUANT TO TAIWAN REGULATIONS, AUTOMATICALLY RESULTS IN DENIAL OF ABILITY TO OFFER NEW OFFSHORE FUNDS FOR A PERIOD OF SIX MONTHS AND TO OFFER NEW ONSHORE FUNDS TRADING IN OVERSEAS MARKETS FOR A PERIOD OF ONE YEAR.

Sanction Details: PRE-WARNING NOTICE ISSUED 6/28/12 AND OFFICIAL WARNING LETTER RECEIVED BY THE FIRM ON 7/3/12 RESULTS IN THE FIRM NOT BEING ABLE TO APPLY FOR MASTER AGENT STATUS FOR OFFSHORE FUNDS FOR A PERIOD OF SIX MONTHS FROM RECEIPT OF THE FINAL WARNING LETTER AND NOT BEING ABLE TO LAUNCH NEW ONSHORE FUNDS TRADING IN OVERSEAS MARKETS FOR A PERIOD OF ONE YEAR FROM RECEIPT OF THE FINAL WARNING LETTER. THE FIRM MAY CONTINUE TO DISTRIBUTE ONSHORE AND OFFSHORE FUNDS APPROVED AND AUTHORIZED PRIOR TO SUCH RESTRICTION PERIODS.

Firm Statement THE OFFICIAL WARNING LETTER WAS RECEIVED BY ALLIANZ GLOBAL INVESTORS TAIWAN LTD. ON 7/03/12. ALLIANZ GLOBAL INVESTORS TAIWAN

LTD.'S RIGHT TO APPEAL EXPIRED ON 8/02/12. AS NOTED ABOVE, THE WARNING AUTOMATICALLY RESULTS IN DENIAL OF ALLIANZ GLOBAL INVESTORS TAIWAN LTD.'S ABILITY TO OFFER NEW OFFSHORE FUNDS FOR A PERIOD OF SIX MONTHS AND TO OFFER NEW ONSHORE FUNDS TRADING IN OVERSEAS MARKETS FOR A PERIOD OF ONE YEAR.

Disclosure 48 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ GLOBAL INVESTORS FRANCE S.A.
Current Status:	Final
Allegations:	AN ANALYST-FUND MANAGER EMPLOYED BY ALLIANZ GLOBAL INVESTORS FRANCE S.A. ALLEGEDLY USED NON-PUBLIC INFORMATION AFTER BEING CONTACTED BY A THIRD PARTY THAT WAS TESTING THE MARKET FOR A PROPOSED NEW BOND ISSUE BY ENTERING A SELL ORDER FOR OUTSTANDING BONDS OF THE ISSUER HELD BY A FUND FOR WHICH THE EMPLOYEE WAS THE MANAGER. THE AMF ALSO ALLEGED THAT THE ACTIONS OF ITS EMPLOYEE WERE IMPUTABLE TO ALLIANZ GLOBAL INVESTORS FRANCE S.A.
Initiated By:	AUTORITÉ DES MARCHÉS FINANCIERS (THE "AMF")
Date Initiated:	11/05/2010
Docket/Case Number:	1024
Principal Product Type:	Debt - Corporate
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	WARNING AND FINE OF EURO 150,000 (APPROX. \$189,885.00 AS OF THE DATE OF PAYMENT ON 6/15/2012)
Resolution:	Decision
Resolution Date:	03/21/2012
Sanctions Ordered:	Monetary/Fine \$189,885.00
Other Sanctions Ordered:	WARNING
Sanction Details:	A WARNING AND A FINE OF EURO 150,000 (APPROX. \$189,885.00 AS OF THE DATE OF PAYMENT ON 6/15/2012) WAS IMPOSED. THE FINE WAS PAID BY ALLIANZ GLOBAL INVESTORS FRANCE S.A. ON 6/15/2012.
Firm Statement	THE DECISION OF THE AMF (DATED 11/24/2011) WAS MADE KNOWN TO

ALLIANZ GLOBAL INVESTORS FRANCE S.A. AND PUBLISHED ON THE AMF WEBSITE ON 3/21/2012. ALLIANZ GLOBAL INVESTORS FRANCE S.A.'S RIGHT TO APPEAL THE DECISION EXPIRED ON 5/21/2012. THE FINE WAS PAID BY ALLIANZ GLOBAL INVESTORS FRANCE S.A. ON 6/15/2012.

Disclosure 49 of 54

Reporting Source:	Firm
Affiliate:	RCM (UK) LTD.
Current Status:	Final
Allegations:	FAILURE TO PERFORM CLIENT MONEY MARKET RECONCILIATIONS TO RECONCILE AND FUND UK SETTLEMENT BANK ACCOUNTS; RECORD-KEEPING VIOLATIONS
Initiated By:	INVESTMENT MANAGEMENT REGULATORY ORGANIZATION OF THE UNITED KINGDOM
Date Initiated:	07/14/2000
Docket/Case Number:	IB2784001.SS
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	07/18/2001
Sanctions Ordered:	Monetary/Fine \$128,368.00 Disgorgement/Restitution
Other Sanctions Ordered:	
Sanction Details:	RCM (UK) LTD. WAS FINED 128,368.00 USD (90,000 GBP) AND CLIENTS WERE REIMBURSED AN AGGREGATE OF 11,992.40 USD (8,408 GBP). THE FINE WAS PAID ON 07/31/2001 AND THE REIMBURSEMENT WAS MADE ON 07/31/2001.
Firm Statement	THE TOTAL FINANCIAL DISADVANTAGE REIMBURSED TO CLIENTS WAS 11,992.40 USD (8,408 GBP). THE FINE WAS ON PAID 07/31/2001 AND THE REIMBURSEMENT WAS PAID ON 07/31/2001.

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Reporting Source:	Firm
Affiliate:	ALLIANZ GLOBAL INVESTORS TAIWAN LTD.
Current Status:	Final
Allegations:	FAILURE TO MAINTAIN PROPER RECORDS REGARDING FUND TRADES.
Initiated By:	FINANCIAL SUPERVISORY COMMISSION (FSC)
Date Initiated:	02/02/2007
Docket/Case Number:	JIN GUAN ZHENG SI ZI NO. 0960003262
Principal Product Type:	Other
Other Product Type(s):	INVESTMENT FUNDS ORGANIZED UNDER NON-U.S. LAW.
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	SUBMISSION OF INTERNAL CENTRAL IMPROVEMENT PLAN AND FOLLOW-UP REPORT BY INTERNAL AUDITOR OF FSC.
Resolution:	Settled
Resolution Date:	02/02/2007
Sanctions Ordered:	Monetary/Fine \$3,635.00
Other Sanctions Ordered:	SUBMISSION OF INTERNAL CONTROL IMPROVEMENT PLAN AND FOLLOW-UP REPORT BY INTERNAL AUDIT TO FSC.
Sanction Details:	FINE OF 3,635.00 USD (120,000 NEW TAIWAN DOLLARS) PAID ON 02/10/2007. PLAN SUBMITTED BY FSC ON 12/27/2007. FOLLOW-UP REPORT SUBMITTED TO FSC ON 02/29/2008.
Firm Statement	MATTER HAS BEEN CLOSED.

Disclosure 51 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH
Current Status:	Final
Allegations:	FAILURE OF ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH TO TIMELY REPORT EXCEEDING OF 2% REPORTING THRESHOLD IN



AN ITALIAN COMPANY WITH REGARD TO TOTAL HOLDINGS OF OFFSHORE OPEN-END FUNDS AND SPECIAL FUNDS (WITHIN THE MEANING OF THE GERMAN INVESTMENT ACT, "INVESTMENTGESETZ") MANAGED BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

Initiated By: COMMISSIONE NAZIONALE PER LE SOCIETA E LA BORSA

Date Initiated: 04/29/2008

Docket/Case Number: 20090905/01; COD. DESTINATARIO: 181392 & 349483

Principal Product Type: Other

Other Product Type(s): INVESTMENT FUNDS ORGANIZED UNDER NON-U.S. LAW.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Settled

Resolution Date: 03/03/2009

Sanctions Ordered: Monetary/Fine \$66,414.50

Other Sanctions Ordered:

Sanction Details: JOINT SETTLEMENT WITH A FINE OF 66,414.50 USD (50,000 EUR) WAS PAID ON 03/30/2009 BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

Firm Statement JOINT SETTLEMENT WITH A FINE OF 66,414.50 USD (50,000 EUR) WAS PAID ON 03/30/2009 BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

NOTE, EFFECTIVE 9/03/2012, ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH CHANGED ITS NAME TO ALLIANZ GLOBAL INVESTORS EUROPE GMBH.

Reporting Source: Firm

Affiliate: PUTZ, WOLFGANG

Current Status: Final

Allegations: FAILURE OF ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH TO TIMELY REPORT EXCEEDING OF 2% REPORTING THRESHOLD IN AN ITALIAN COMPANY WITH REGARD TO TOTAL HOLDINGS OF OFFSHORE OPEN-END FUNDS AND SPECIAL FUNDS (WITHIN THE MEANING OF THE



GERMAN INVESTMENT ACT, "INVESTMENTGESETZ") MANAGED BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

Initiated By: COMMISSIONE NAZIONALE PER LE SOCIETA E LA BORSA

Date Initiated: 04/29/2008

Docket/Case Number: 20090905/01; COD. DESTINATARIO: 181392 & 349483

Principal Product Type: Other

Other Product Type(s): INVESTMENT FUNDS ORGANIZED UNDER NON-U.S. LAW.

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Settled

Resolution Date: 03/03/2009

Sanctions Ordered: Monetary/Fine \$66,414.50

Other Sanctions Ordered:

Sanction Details: JOINT SETTLEMENT WITH A FINE OF 66,414.50 USD (50,000 EUR) WAS PAID ON 03/30/2009 BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

Firm Statement JOINT SETTLEMENT WITH A FINE OF 66,414.50 USD (50,000 EUR) WAS PAID ON 03/30/2009 BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

NOTE, EFFECTIVE 9/03/2012, ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH CHANGED ITS NAME TO ALLIANZ GLOBAL INVESTORS EUROPE GMBH.

Disclosure 52 of 54

Reporting Source: Firm

Affiliate: ALLIANZ GLOBAL INVESTORS TAIWAN LTD.

Current Status: Final

Allegations: NON-COMPLIANCE WITH DISCLOSURE REQUIREMENTS REGARDING REASONABLE BASIS FOR INVESTMENT ANALYSIS CONCLUSIONS, INCONSISTENCIES AND REFERENCE TO IRRELEVANT INVESTMENT REPORTS.



Initiated By: FINANCIAL SUPERVISORY COMMISSION (FSC)
Date Initiated: 12/16/2008
Docket/Case Number: JIN GUAN ZHENG SI ZI NO. 0970068659
Principal Product Type: Other
Other Product Type(s): INVESTMENT FUNDS ORGANIZED UNDER NON-U.S. LAW.
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Settled
Resolution Date: 12/16/2008
Sanctions Ordered: Monetary/Fine \$7,564.00
Other Sanctions Ordered:
Sanction Details: FINE OF 7,564.00 USD (240,000 NEW TAIWAN DOLLARS) PAID ON 12/25/2008
Firm Statement MATTER HAS BEEN CLOSED

Disclosure 53 of 54

Reporting Source: Firm
Affiliate: ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH
Current Status: Final
Allegations: FAILURE OF ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH TO TIMELY REPORT EXCEEDING AND DOWNWARD CROSSING OF 3% REPORTING THRESHOLD WITH REGARD TO VOTING RIGHTS.
Initiated By: BUNDESANSTALT FUR FINANZDIENSTLEISTUNGSAUFSICHT
Date Initiated: 09/04/2009
Docket/Case Number: WA 13-WP 3120-2008/0095; WA 13-WP 3120-2008/0057
Principal Product Type: Other
Other Product Type(s): INVESTMENT FUNDS ORGANIZED UNDER NON-U.S. LAW
Principal Sanction(s)/Relief Sought: Other



Other Sanction(s)/Relief Sought:	NONE
Resolution:	Other
Resolution Date:	05/14/2012
Sanctions Ordered:	
Other Sanctions Ordered:	NONE
Sanction Details:	NOT APPLICABLE
Firm Statement	<p>ON MAY 14, 2012, BUNDESANSTALT FUER FINANZDIENSTLEISTUNGSAUFSICHT CEASED, BY REASON OF ADMINISTRATIVE DISCRETION, THE PROCEEDING IT HAD COMMENCED AGAINST ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH WITHOUT IMPOSING ANY SANCTION.</p> <p>NOTE, EFFECTIVE 9/03/2012, ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH CHANGED ITS NAME TO ALLIANZ GLOBAL INVESTORS EUROPE GMBH.</p>

Disclosure 54 of 54

Reporting Source:	Firm
Affiliate:	ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH
Current Status:	Final
Allegations:	FAILURE OF ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH TO TIMELY REPORT SHAREHOLDING QUOTA IN AN ITALIAN COMPANY FELL BELOW 2% REPORTING THRESHOLD.
Initiated By:	COMMISSIONE NAZIONALE PER LE SOCIETA E LA BORSA
Date Initiated:	12/28/2009
Docket/Case Number:	20097251/1; COD. DESTINATARIO: 181393
Principal Product Type:	Other
Other Product Type(s):	INVESTMENT FUNDS ORGANIZED UNDER NON-U.S. LAW.
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Settled



Resolution Date: 12/28/2009

Sanctions Ordered: Monetary/Fine \$68,388.50

Other Sanctions Ordered:

Sanction Details: A FINE OF 68,388.50 USD (50,000 EUR) WAS PAID ON 02/08/2010 BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

Firm Statement A FINE OF 68,388.50 USD (50,000 EUR) WAS PAID ON 02/08/2010 BY ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH.

NOTE, EFFECTIVE 9/03/2012, ALLIANZ GLOBAL INVESTORS KAPITALANLAGEGESELLSCHAFT MBH CHANGED ITS NAME TO ALLIANZ GLOBAL INVESTORS EUROPE GMBH.

End of Report



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