

STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION

IN THE MATTER OF DETERMINING) Order Number S-08-392-12-CO01
Whether there has been a violation of the)
Securities Act of Washington by:) CONSENT ORDER
)
Thome Financial Management, LLC;)
Anthony Thome;)
)
Respondents)
)

INTRODUCTION

Pursuant to the Securities Act of Washington, chapter 21.20 RCW, the Securities Division of the Department of Financial Institutions (“Securities Division”) and Respondents, Thome Financial Management, LLC and Anthony Thome do hereby enter into this Consent Order in settlement of the matters alleged herein. Respondents Thome Financial Management LLC and Anthony Thome neither admit nor deny the Findings of Fact and Conclusions of Law as stated below.

FINDINGS OF FACT

Respondents

1. Thome Financial Management LLC (IARD# 129190) (“Thome Financial”), a Washington limited liability company, is an investment adviser located at 10210 NE 8th St., Suite 200, in Bellevue, Washington. Thome Financial has been registered as an investment adviser with the State of Washington since January 2004.

1 IT IS FURTHER AGREED AND ORDERED that Respondents Thome Financial
2 Management, LLC and Anthony Thome shall be jointly liable for and shall pay a fine of
3 \$15,000. Respondents Thome Financial Management, LLC and Anthony Thome shall make
4 an initial payment of \$1,000 within 30 days of the entry of this Consent Order, and shall make
5 consecutive monthly payments of \$1,000 per month on the 15th day of each month until the
6 fine has been paid in full.

7
8 IT IS FURTHER AGREED that the Securities Division has jurisdiction to enter this
9 Consent Order.

10 IT IS FURTHER AGREED that Respondents Thome Financial Management, LLC and
11 Anthony Thome enter into this Consent Order freely and voluntarily and with a full
12 understanding of its terms and significance.

13 IT IS FURTHER AGREED that in consideration of the foregoing, Respondents Thome
14 Financial Management, LLC and Anthony Thome waives their right to a hearing and to
15 judicial review of this matter pursuant to RCW 21.20.440 and Chapter 34.05 RCW.

16 **WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE.**

17 Signed this 16th day of October, 2012

18
19 Signed by:

20
21 /s/
22 Anthony Thome, Individually

