

1
2
3
4
5
6

**STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION**

IN THE MATTER OF DETERMINING
whether there has been a violation of the
Securities Act of Washington by:

Blair Smith,

Respondent.

Order No.: S-10-246-12-CO01

CONSENT ORDER

7
8

INTRODUCTION

9
10
11
12
13
14
15
16

On November 7, 2011, the Securities Administrator of the State of Washington issued Statement of Charges and Notice of Intent to Issue an Order to Cease and Desist, Impose Fines, and Charge Costs (“Statement of Charges”), S-10-246-11-SC01, against the Respondent Blair Smith. The Securities Division and the Respondent Blair Smith do hereby agree to this Consent Order in settlement of the above captioned matter. The Securities Division has, in the Statement of Charges, made certain allegations and conclusions, set forth under the headings “Tentative Findings of Fact” and “Conclusions of Law.” The Respondent Blair Smith neither admits nor denies the Tentative Findings of Fact and Conclusions of Law, which are hereby incorporated by reference into this Consent Order.

17
18

CONSENT ORDER

19
20

Based upon the foregoing and finding it in the public interest:

21
22
23
24

IT IS AGREED AND ORDERED that the Respondent Blair Smith shall cease and desist from violation of RCW 21.20.040, the investment adviser registration section of the Securities Act of Washington.

1 IT IS FURTHER AGREED AND ORDERED that the Respondent Blair Smith, either as sole
2 proprietor or individually, will disclose this Consent Order on his securities related licensing disclosure
3 documents for ten years from the date of entry of this Consent Order.

4 IT IS FURTHER AGREED that the Respondent Blair Smith shall be liable for and shall pay a fine
5 in the amount of \$1,000 on or before the date of entry of this Consent Order.

6 IT IS FURTHER AGREED that the Respondent Blair Smith shall be liable for and shall pay the
7 Securities Division the costs and other expenses incurred in the investigation of this matter in the amount of
8 \$3,000 on or before the date of entry of this Consent Order.

9 IT IS FURTHER AGREED that this Consent Order alone will not constitute a bar to the approval of
10 an application of the Respondent Blair Smith for registration as an investment adviser in the state of
11 Washington.

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

13 IT IS FURTHER AGREED that the Respondent Blair Smith enters into this Consent Order freely
14 and voluntarily and with full understanding of its terms and significance.

15 IT IS FURTHER AGREED that in consideration of the foregoing, the Respondent Blair Smith
16 waives his right to a hearing and to judicial review of this matter pursuant to RCW 21.20.440 and Chapter
17 34.05 RCW.

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

19 Signed this 25 day of October 2012.

20 Approved for Entry by:

21 /s/

22 _____
23 Jeffrey T. Broihier, Attorney for Respondent
24 Washington State Bar No. 8857

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25

Signed by:

/s/

Blair Smith, sole proprietor

SIGNED and ENTERED this 19th day of November 2012.

William M. Beatty
Securities Administrator

Approved by:

Suzanne Sarason
Chief of Enforcement

Presented by:

Bridgett Fisher
Enforcement Attorney

Reviewed by:

Robert Kondrat
Financial Legal Examiner Supervisor