



STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS

IN THE MATTER OF DETERMINING) DFI No.: S-16-2106-18-FO01
Whether there has been a violation of the) OAH No.: 05-2018-DFI-00055
Securities Act of Washington by:)
) FINAL DECISION & ORDER
Advisory Services Group, Inc.)
Julia Williams,)
Respondent(s).)

THIS MATTER has come before the Director ("Director") of the Washington State Department of Financial Institutions ("Department") for entry of the Director's Final Decision & Order pursuant to RCW 34.05.464.

1.0 PROCEDURAL HISTORY

On March 14, 2018, the Director, through the Securities Administrator's designee, Deputy Director, Charles E. Clark, entered a Statement of Charges and Notice of Intent to Issue Order to Cease and Desist, to Impose a Fine, and to Charge Costs, S-16-2106-17-SC01, ("Statement of Charges") against Respondents Advisory Services Group, Inc. d/b/a ASG Accounting and Tax and Julia A. Williams ("Respondents"). The Statement of Charges, together with a Notice of Opportunity to Defend and Opportunity for Hearing, and an Application for Adjudicative Hearing, were served on the Respondents by commercial parcel delivery company on March 16, 2018. On April 26, 2018, the Respondents submitted an Application for Adjudicative Hearing. On May 24, 2018 the Department made a request to the Office of Administrative Hearings ("OAH") to assign an Administrative Law Judge ("ALJ") to schedule and conduct a hearing on the Statement of Charges.

On June 11, 2018, OAH issued a Notice of Prehearing Conference from ALJ Debra Pierce. The Notice of Prehearing Conference contained the following language: "You must call in to the conference. If you fail to call in, the administrative law judge may hold you in default and dismiss your appeal. RCW 34.05.440(2)" An Amended Declaration of Service was sent on June 12, 2018 to another address for the Respondents.

1 On July 5, 2018, the Department's representative, Assistant Attorney General Jong Lee, attended the
2 prehearing conference by telephone, but Respondents Advisory Services Group, Inc. and Julia Williams failed to
3 appear or otherwise contact OAH. On July 9, 2018, ALJ Debra Pierce issued an Order Dismissing Appeal and
4 dismissed the appeal.

5 Pursuant to RCW 34.05.464 and WAC 10-08-211, the Respondents had twenty (20) days from the date of
6 service of the Order of Default to file a Petition for Review. The Respondents did not file a Petition for Review
7 during the statutory period.

8 **2.0 RECORD ON REVIEW**

9 The record presented to the Director for her review and for entry of a Final Decision & Order included the
10 following:

- 11 2.1 Statement of Charges, dated March 14, 2018, with documentation of service;
- 12 2.2 Application for Adjudicative Hearing; dated April 26, 2018;
- 13 2.3 Request to OAH for Assignment of Administrative Law Judge, dated May 24, 2018;
- 14 2.4 Notice of Prehearing Conference, dated June 11, 2018, with certificate of service; and Amended
15 Declaration of Service dated June 12, 2018; and
- 16 2.5 Order Dismissing Appeal, dated July 9, 2018, with certificate of service.

17 **3.0 FINDINGS OF FACT AND CONCLUSIONS OF LAW**

18 Pursuant to RCW 34.05.461, the Director hereby adopts the Statement of Charges, which is attached hereto.

19 **4.0 FINAL DECISION & ORDER**

20 Based upon the foregoing, and the Director having considered the record and being otherwise fully advised,
21 NOW, THEREFORE, IT IS HEREBY ORDERED:

22 4.1 Respondents Advisory Services Group, Inc. and Julia Williams, shall cease and desist from any
23 further violations of RCW 21.20.010.

24 4.2 Respondent Julia Williams, shall be liable for and shall pay a fine of \$20,000.

1 4.3 Respondent Julia Williams, shall be liable for and shall pay costs of \$2,500 for the investigation of
2 their violations of the Securities Act of Washington, chapter 21.20. RCW.

3 5.0 RECONSIDERATION

4 Pursuant to RCW 34.05.470, the Respondents have the right to file a Petition for Reconsideration stating the
5 specific grounds upon which relief is requested. The Petition must be filed in the Office of the Director of the
6 Department of Financial Institutions by courier at 150 Israel Road SW, Tumwater, Washington 98501, or by U.S.
7 Mail at P.O. Box 41200, Olympia, Washington 98504-1200, within ten (10) days of service of the Final Order upon
8 Respondents. The Petition for Reconsideration shall not stay the effectiveness of this order nor is a Petition for
9 Reconsideration a prerequisite for seeking judicial review in this matter.

10 A timely Petition for Reconsideration is deemed denied if, within twenty (20) days from the date the petition
11 is filed, the agency does not (a) dispose of the petition or (b) serve the parties with a written notice specifying the date
12 by which it will act on a petition.

13 6.0 STAY OF ORDER

14 The Director has determined not to consider a Petition to Stay the effectiveness of this order. Any such
15 requests should be made in connection with a Petition for Judicial Review made under chapter 34.05 RCW and RCW
16 34.05.550.

17 7.0 JUDICIAL REVIEW

18 Respondents have the right to petition the superior court for judicial review of this agency action under the
19 provisions of chapter 34.05 RCW. For the requirements for filing a Petition for Judicial Review, see RCW 34.050.510
20 and sections following.

21 8.0 NON-COMPLIANCE WITH ORDER

22 If Respondents do not comply with the terms of this order, the Department may seek its enforcement by the
23 Office of Attorney General to include the collection of fines and fees imposed herein. Failure to comply with this
24 Final Decision & Order may also prompt additional actions against Respondents by the Department as permitted by
25 the Securities Act of Washington, Chapter 21.20 RCW, for failure to comply with a lawful order of the Department.

CERTIFICATE OF SERVICE

I, SARA RIETCHECK, certify that I personally delivered or mailed a copy of the Final Decision and Order to parties named below at their respective addresses, postage pre-paid, on August 8, 2018.

/s/ Sara Rietcheck

Mailed to the following:

Julia Williams
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