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**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:

Ronald Curtiss Peck II, CRD 140128 and CRD  
5307375

Respondent.

Order Number S-18-2503-18-CO01

CONSENT ORDER

9 THE STATE OF WASHINGTON TO: RONALD CURTISS PECK II, CRD 140128

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**INTRODUCTION**

12 Pursuant to the Securities Act of Washington, Chapter 21.20 RCW, the Securities Administrator of  
13 the Department of Financial Institutions Securities Division (“Securities Division”) and the Respondent,  
14 Ronald Curtiss Peck II, do hereby enter into this CONSENT ORDER in settlement of the matters alleged  
15 herein. The Securities Division believes that entry of an agreed Consent Order is in the public interest and  
16 is appropriate for the protection of investors. The Securities Division and Respondents jointly set forth the  
17 following Findings of Fact and Conclusions of Law.

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**FINDINGS OF FACT**

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**Respondent**

20 1. Ronald Curtiss Peck was licensed as a sole proprietor investment adviser in California in  
21 July 2007. He has never been licensed to conduct business as an investment adviser in Washington state;  
22 however, he filed a pending licensing application in March 2018. His investment adviser Central  
23 Registration Depository (“CRD”) number is 140128, his personal CRD number is 5307375.

1 **Nature of the Conduct**

2 2. In about July 2017, Peck opened an investment advisory place of business in Washington  
3 but did not apply for licensing until March 2018. The Securities Division discovered Peck had a place of  
4 business in Washington when he applied for licensing.

5 3. Between July 2017 and March 2018, Peck provided investment advice for compensation  
6 from an office in Washington without being licensed in Washington and without qualifying for an  
7 exemption from licensing.

8 Based upon the above Findings of Fact, the following Conclusions of Law are made:

9 **CONCLUSIONS OF LAW**

10 1. Peck acted as an investment adviser by providing investment advice for compensation.

11 2. Between July 2017 and March 2018 Peck violated RCW 21.20.040(3) by transacting  
12 business in Washington State as an investment adviser for compensation while not being licensed as an  
13 investment adviser in Washington State.

14 **CONSENT ORDER**

15 IT IS AGREED and ORDERED that Respondent Peck shall cease and desist from acting as an  
16 unregistered investment adviser in violation of RCW 21.20.040(3).

17 IT IS FURTHER AGREED that Respondent Peck shall pay a fine of \$10,000 prior to the entry of  
18 this consent order. The Securities Division considers as a mitigating factor in determining the fine amount  
19 that Peck applied for licensure prior to discovery of its unlicensed activity.

20 IT IS FURTHER AGREED this Consent Order alone will not constitute a bar to the approval of  
21 Peck's application to be licensed as an investment adviser or investment adviser representative in the state  
22 of Washington.

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

1 IT IS FURTHER AGREED that Respondent enters into this Consent Order freely and voluntarily  
2 and with full understanding of its terms and significance.

3 IT IS FURTHER AGREED that in consideration of the foregoing, Respondent waives the right to a  
4 hearing and judicial review of this matter pursuant to RCW 21.20.440 and Chapter 34.05 RCW.

5 **AUTHORITY AND PROCEDURE**

6 This Order is entered pursuant to the provisions of chapter 21.20 RCW and is subject to the  
7 provisions of RCW 21.20.120 and Chapter 34.05 RCW. Respondent was notified of the right to an  
8 administrative hearing and waived it.

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10 SIGNED this 20th day of November, 2018.

11 By:

12 /S/  
13 Ronald Curtiss Peck II (CRD 140128 and CRD 5307375)  
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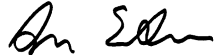
15  
16 DATED AND ENTERED this 27<sup>th</sup> day of November, 2018.

17 By:

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20 William M. Beatty  
21 Securities Administrator

22 Approved by:

23 

24 Suzanne E. Sarason  
25 Chief of Enforcement

Presented by:

26 

27 Kristen Standifer  
28 Compliance Legal Examiner