

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
26
27

**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:

THOMAS CRAIG HARMAN,
Respondent

Order Number S-02-343-05-CO03

CONSENT ORDER

INTRODUCTION

On October 29, 2004, the Securities Division of the State of Washington Department of Financial Institutions (“Securities Division”) issued a Statement of Charges, Order No. S-02-343-03-SC01, against Thomas Craig Harman, Respondent, and others. Pursuant to the Securities Act of Washington, ch. 21.20 RCW, the Securities Division and Thomas Craig Harman do hereby enter into this Consent Order in settlement of the matters alleged therein.

In the Statement of Charges, the Securities Division made certain allegations and conclusions, set forth under the headings “Tentative Findings of Fact” and “Conclusions of Law.” Respondent, Thomas Craig Harman, neither admits nor denies those Tentative Findings of Fact and Conclusions of Law, which are incorporated by reference into this Consent Order.

CONSENT ORDER

Based upon the foregoing, finding it in the public interest, and in consideration of resolving this matter:

IT IS AGREED AND ORDERED that Respondent, Thomas Craig Harman, shall cease and desist from any violation of RCW 21.20.010, the anti-fraud section of the Securities Act of Washington.

1 IT IS FURTHER AGREED AND ORDERED that Respondent, Thomas Craig Harman, shall pay
2 the Securities Division \$1,500 for investigative costs prior to the entry of this Consent Order.

3 IT IS FURTHER AGREED that Respondent, Thomas Craig Harman, shall cooperate with the
4 Securities Division and shall, upon request, provide documents or testimony in connection with
5 Summary Order #S-04-233-05-TO01 against Capstone Investments and Anthony Capozza.

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

8 IT IS FURTHER AGREED that Respondent, Thomas Craig Harman, waives his right to a hearing
9 on this matter and to judicial review of this matter pursuant to RCW 21.20.440 and Chapter 34.05 RCW.

10 SIGNED this ___18th___ day of _____April_____, 2007

11 Approved for entry by:

12
13 /s/ David Bukey _____
14 David Bukey, WSBA # 8091
15 Attorney for Thomas Craig Harman

16 Signed by:

17 /s/ Thomas Craig Harman _____
18 Thomas Craig Harman

19 -----
20 SIGNED and ENTERED this 27th day of April, 2007

21
22 

23 _____
24 MICHAEL E. STEVENSON
25 Securities Administrator

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
26
27

Approved by:



Martin Cordell
Chief of Enforcement

Presented by:



Janet So
Financial Legal Examiner