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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:

Richard O. Johnson II

Respondent.

Order Number S-13-1258-14-CO01

CONSENT ORDER

On July 23, 2014, the Securities Administrator of the State of Washington issued Statement of Charges and Notice of Intent to Enter Order to Cease and Desist, to Impose a Fine, and to Charge Costs (“Statement of Charges”) S-13-1258-14-SC01, against Richard O. Johnson II. Pursuant to the Securities Act of Washington, RCW 21.20, the Securities Division of the Department of Financial Institutions (“Securities Division”) and Richard O. Johnson II, do hereby enter into this Consent Order in settlement of the above-captioned matter. The Securities Division has in Statement of Charges S-14-1258-14-SC01 made certain allegations and conclusions, set forth under the headings “Tentative Findings of Fact,” and “Conclusions of Law.” Richard O. Johnson II neither admits nor denies the Tentative Findings of Fact and Conclusions of Law, including, but not limited to the conclusion that Richard O. Johnson II has violated RCW 21.20.040, which are hereby incorporated by reference into this Consent Order

1 **CONSENT ORDER**

2 Based upon the foregoing:

3 IT IS AGREED AND ORDERED that Respondent Richard O. Johnson II and his agents and
4 employees each shall cease and desist violating RCW 21.20.040, the broker-dealer and securities
5 salesperson registration section of the Securities Act of Washington.

6 IT IS FURTHER AGREED AND ORDERED that Respondent Richard O. Johnson II shall be
7 liable for and shall pay the Securities Division the costs, fees, and other expenses incurred in the
8 administrative investigation of this matter in the amount of \$1,000 prior to the entry of this Consent Order.

9 IT IS FURTHER AGREED AND ORDERED that Respondent Richard O. Johnson II shall be
10 liable for and shall pay the Securities Division a fine in the amount of \$1,000.

11 IT IS FURTHER AGREED AND ORDERED that payment of such fine and costs shall be made as
12 follows: Respondent Richard O. Johnson II shall make an initial payment of \$200 on or before the entry of
13 this Consent Order. Respondent Richard O. Johnson II shall then make monthly payments of \$200 for nine
14 consecutive months. Each payment shall be due on the first day of the month, unless the first day of the
15 month falls on a weekend or holiday, in which case payment shall be due on the first business day
16 following the first day of the month.

17 IT IS FURTHER ORDERED that any investment adviser registration or investment adviser
18 representative registration that Respondent Richard O. Johnson II may seek in the five years following the
19 date of entry of this Consent Order shall be denied.

20 IT IS FURTHER AGREED that Respondent Richard O. Johnson II enters into this Consent Order
21 freely and voluntarily and with full understanding of its terms and significance.

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

2 IT IS FURTHER AGREED that in consideration of the foregoing Respondent Richard O. Johnson
3 II waives his right to a hearing in this matter and to judicial review of this order.

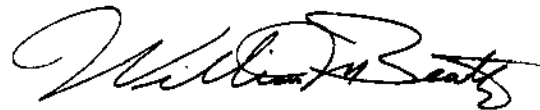
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6 **WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE**

7
8 SIGNED this 9TH day of December, 2014

9
10 Signed by:

11
12 _____
13 Richard O. Johnson II

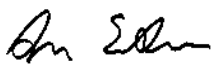
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15
16 SIGNED and ENTERED this 18th day of December, 2014

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20 _____
21 William M. Beatty
22 Securities Administrator

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Approved by:



Suzanne Sarason
Chief of Enforcement

Presented by:



Edward R. Thunen
Financial Legal Examiner

Reviewed by:



Robert Kondrat
Financial Legal Examiner Supervisor