



1 IT IS FURTHER AGREED AND ORDERED that Respondent Dennis H. Daug, Jr. shall cease and  
2 desist from violating RCW 21.20.010, the anti-fraud section of the Securities Act of Washington.

3 IT IS FURTHER AGREED AND ORDERED that Respondent Dennis H. Daug, Jr.'s investment  
4 adviser representative registration is revoked.

5 IT IS FURTHER AGREED AND ORDERED that Respondent Dennis H. Daug, Jr. shall not make  
6 application for, nor be granted, an investment adviser representative or broker-dealer salesperson  
7 registration for a period of five years from July 17, 2014.

8 IT IS FURTHER AGREED AND ORDERED that Respondent Dennis H. Daug, Jr. shall be liable  
9 for and shall pay a fine in the amount of \$9,000 prior to the entry of this Consent Order.

10 IT IS FURTHER AGREED AND ORDERED that Respondent Dennis H. Daug, Jr. shall be liable  
11 for and shall pay investigative costs in the amount of \$1,800 prior to the entry of this Consent Order.

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

13 IT IS FURTHER AGREED that Respondent Dennis H. Daug, Jr. entered into this Consent Order  
14 freely and voluntarily and with a full understanding of its terms and significance.

15 IT IS FURTHER AGREED that in consideration of the foregoing, Respondent Dennis H. Daug, Jr.  
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.  
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20 WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE.  
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1 Signed this 15th day of April 2015.

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3 Signed by:

Approved as to Form by:

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/s/

/s/

6 Dennis H. Daugs, Jr., Individually

John Bender, Attorney for Respondent  
WSBA No. 19540

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SIGNED and ENTERED this 20th day of April 2015.

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William M. Beatty  
Securities Administrator

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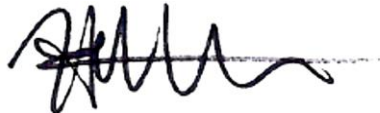
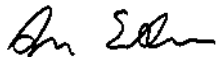
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Approved by:

Presented by:

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Suzanne Sarason  
Chief of Enforcement

Holly Mack-Kretzler  
Financial Legal Examiner

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Reviewed by:

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Robert Kondrat  
Financial Legal Examiner Supervisor

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