

1 **STATE OF WASHINGTON**
2 **DEPARTMENT OF FINANCIAL INSTITUTIONS**
3 **SECURITIES DIVISION**

4 IN THE MATTER OF DETERMINING
Whether there has been a violation of the
Securities Act of Washington by:

5 Douglas Charles Anderson;
Jonathan Davis;

6
7 Respondents

Order No.: S-18-2410-20-CO01

CONSENT ORDER
AS TO DOUGLAS CHARLES ANDERSON

8
9 **INTRODUCTION**

10 On July 23, 2020, the Securities Administrator of the Securities Division of the Department of
11 Financial Institutions (“Securities Division”) issued a Statement of Charges and Notice of Intent to Enter
12 Order to Cease and Desist, to Impose Fines, and to Charge Costs (“Statement of Charges”), Order Number S-
13 S-18-2410-20-SC01, against Respondents Douglas Charles Anderson and Jonathan Davis. Pursuant to the
14 Securities Act of Washington, RCW 21.20, the Securities Division and Respondent Douglas Charles
15 Anderson hereby enter into this Consent Order in settlement of the matters set forth in the Statement of
16 Charges. Respondent Douglas Charles Anderson neither admits nor denies the Findings of Fact and
17 Conclusions of Law as set forth in the Statement of Charges, which are hereby incorporated by reference into
18 this Consent Order.

19 Based upon the foregoing and finding it in the public interest:

20 **CONSENT ORDER**

21 IT IS AGREED AND ORDERED that Respondent Douglas Charles Anderson, and his agents
22 and employees, each shall cease and desist from violating RCW 21.20.140, the securities registration section
23 of the Securities Act of Washington.

CONSENT ORDER

DEPARTMENT OF FINANCIAL INSTITUTIONS
Securities Division
PO Box 9033
Olympia, WA 98507-9033
360-902-8760

1 IT IS FURTHER AGREED AND ORDERED that Respondent Douglas Charles Anderson, and his
2 agents and employees, each shall cease and desist from violating RCW 21.20.040, the securities salesperson
3 and broker-dealer registration section of the Securities Act of Washington.

4 IT IS FURTHER AGREED AND ORDERED that Respondent Douglas Charles Anderson, and his
5 agents and employees, each shall cease and desist from violating RCW 21.20.010, the anti-fraud section of
6 the Securities Act of Washington.

7 IT IS FURTHER AGREED AND ORDERED that Respondent Douglas Charles Anderson shall be
8 liable for and shall pay a fine of \$4,000 as follows: \$1,000 payable on the first business day of each month
9 from April 2021 to July 2021.

10 IT IS FURTHER AGREED AND ORDERED that Respondent Douglas Charles Anderson shall be
11 liable for and shall pay investigative costs of \$1,000 on or before entry of this Consent Order.

12 IT IS FURTHER AGREED AND ORDERED that if Respondent Douglas Charles Anderson fails to
13 make any monthly payment as described above, the remainder of the fine imposed in this Consent Order shall
14 become immediately due and payable, and the Securities Division may seek enforcement of the Consent Order
15 pursuant to RCW 21.20.395.

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

17 IT IS FURTHER AGREED that Respondent Douglas Charles Anderson enters into this Consent Order
18 freely and voluntarily and with a full understanding of its terms and significance.

19 IT IS FURTHER AGREED that in consideration of the foregoing, Respondent Douglas Charles
20 Anderson waives his right to a hearing and to judicial review of this matter pursuant to RCW 21.20.440 and
21 Chapter 34.05 RCW.

22 **WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE.**

23

1 Signed this 12th day of February, 2021.

2
3 Signed by:

4 /s
5 Douglas Charles Anderson

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7 SIGNED and ENTERED this 3rd day of March, 2021.

8 

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11 William M. Beatty
Securities Administrator

12 Approved by:

Presented by:

13 

14 

15 Suzanne Sarason
16 Chief of Enforcement

17 Adam N. Yeaton
18 Financial Legal Examiner

19 Reviewed by:

20 

21 Jack McClellan
22 Financial Legal Examiner Supervisor