STATE OF WASHINGTON DEPARTMENT OF FINANCIAL INSTITUTIONS SECURITIES DIVISION

IN THE MATTER OF DETERMINING registration under the Securities Act of Washington of:

HRC WEALTH MANAGEMENT, LLC (CRD 117212),

CONSENT ORDER

Order Number S-19-2618-19-CO01

Respondent.

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THE STATE OF WASHINGTON TO: HRC Wealth Management, LLC, CRD 117212

INTRODUCTION

Pursuant to the Securities Act of Washington, Chapter 21.20 RCW, the Securities Administrator of the Department of Financial Institutions Securities Division ("Securities Division") and the Respondent; HRC Wealth Management, LLC; do hereby enter into this CONSENT ORDER in settlement of the matters alleged herein. The Securities Division believes that entry of an agreed Consent Order is in the public interest and is appropriate for the protection of investors. The Securities Division and Respondents jointly set forth the following Findings of Fact and Conclusions of Law.

FINDINGS OF FACT

Respondent

1. HRC Wealth Management, LLC (HRC) is an investment adviser registered with the Securities and Exchange Commission. The firm's Central Registration Depository (CRD) number is 117121.

Nature of the Conduct

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CONSENT ORDER

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

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1	2. HRC hired Cotton Sears (CRD 2603721) as an investment adviser representative on or
2	about August 2, 2016.
3	3. HRC requested on at least two separate occasions that its compliance firm, Advanced
4	Regulatory Compliance LLC, file the necessary form, called Form U4, to request registration for Mr. Sears
5	as an investment adviser representative. Advance Regulatory Compliance represented that it filed the
6	form. However, no such form was filed.
7	4. HRC did not confirm through the Investment Adviser Registration Depository, also known
8	as IARD, that Mr. Sears was registered as an investment adviser representative prior to allowing Mr. Sears
9	to conduct business as an investment adviser representative.
10	5. Since August 2016, Mr. Sears conducted investment advisory business on behalf of HRC in
11	Pullman, Washington. HRC compensated Mr. Sears for his investment advisory activities.
12	Based upon the above Tentative Findings of Fact, the following Conclusions of Law are made:
10	CONCLUSIONS OF LAW
13	CONCLUSIONS OF LAW
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	HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August
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14 15	1. HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August 2, 2016 to February 25, 2019 without being registered as an investment adviser representative as required in
14 15 16	1. HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August 2, 2016 to February 25, 2019 without being registered as an investment adviser representative as required in RCW 21.20.040.
14 15 16 17	 HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August 2, 2016 to February 25, 2019 without being registered as an investment adviser representative as required in RCW 21.20.040. HRC employed Mr. Sears, an unregistered investment adviser representative, in violation of
14 15 16 17 18	 HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August 2, 2016 to February 25, 2019 without being registered as an investment adviser representative as required in RCW 21.20.040. HRC employed Mr. Sears, an unregistered investment adviser representative, in violation of RCW 21.20.040(5)(b). Pursuant to RCW 21.20.110(1) (b), such a violation is a basis to enter an order to
14 15 16 17 18	 HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August 2, 2016 to February 25, 2019 without being registered as an investment adviser representative as required in RCW 21.20.040. HRC employed Mr. Sears, an unregistered investment adviser representative, in violation of RCW 21.20.040(5)(b). Pursuant to RCW 21.20.110(1) (b), such a violation is a basis to enter an order to impose a fine.
14 15 16 17 18 19 20	 HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August 2, 2016 to February 25, 2019 without being registered as an investment adviser representative as required in RCW 21.20.040. HRC employed Mr. Sears, an unregistered investment adviser representative, in violation of RCW 21.20.040(5)(b). Pursuant to RCW 21.20.110(1) (b), such a violation is a basis to enter an order to impose a fine. CONSENT ORDER
14 15 16 17 18 19 20 21	 HRC permitted Mr. Sears to act as an investment adviser representative of HRC from August 2, 2016 to February 25, 2019 without being registered as an investment adviser representative as required in RCW 21.20.040. HRC employed Mr. Sears, an unregistered investment adviser representative, in violation of RCW 21.20.040(5)(b). Pursuant to RCW 21.20.110(1) (b), such a violation is a basis to enter an order to impose a fine. CONSENT ORDER

IT IS AGREED AND ORDERED that Respondent will cease and desist from violations of the
RCW 21.20.040, the registration section of the Securities Act of Washington.
IT IS FURTHER AGREED AND ORDERED that HRC shall be liable for and pay a fine of
\$12,000 prior to the entry of this Consent Order.
IT IS FURTHER AGREED that the Securities Division has jurisdiction to enter this Consent
Order.
IT IS FURTHER AGREED that Respondent enters into this Consent Order freely and voluntarily
with full understanding of its terms and significance.
IT IS FURTHER AGREED that in consideration of the foregoing, Respondent waives his right to a
hearing and to judicial review of this matter pursuant to RCW 21.20.440 and Chapter 34.05 RCW.
AUTHORITY AND PROCEDURE
This Consent Order is entered pursuant to the provisions of chapter 21.20 RCW and is subject to
the provisions of RCW 21.20.120 and Chapter 34.05 RCW. Respondent has been notified of its right to ar
administrative hearing and has waived that right.
WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE.
SIGNED this 21st day of March, 2019.
Signed by:
HRC Wealth Management, LLC
 Brad Lewis, CRD 4483202
Chief Compliance Officer and Managing Member
CONSENT ORDER 3 DEPARTMENT OF FINANCIAL INSTITUTIONS Securities Division
PO Box 9033 Olympia, WA 98507-9033 360-902-8760

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2	DATED and ENTEDED this 25th day of March 2010
3	DATED and ENTERED this <u>25th</u> day of March, 2019.
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5	Mille Many
6	WILLIAM M. BEATTY
7	Securities Administrator
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9	Approved by: Presented by:
10	An Solling Krisken-Standifor
2	Suzanne Sarason Kristen Standifer Chief of Enforcement
13	Chief of Enforcement Financial Legal Examiner
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