1 2	STATE OF WASHINGTON DEPARTMENT OF FINANCIAL INSTITUTIONS SECURITIES DIVISION		
3	registration under the Securities Act of	Order Number S-19-2643-19-CO01	
4		CONSENT ORDER	
5	HENRY KRIST (CRD 3061810 and 116154),		
6 7	Respondent.		
8	THE STATE OF WASHINGTON TO: Henry	Krist, CRD 116154 and 3061810	
9	INTRODUCTION		
10			
11	Pursuant to the Securities Act of Washington, Chapter 21.20 RCW, the Securities Administrator		
12	of the Department of Financial Institutions, Securities Division ("Securities Division") and the		
13	Respondent, Henry Krist, do hereby enter into this Consent Order in settlement of the matters alleged		
14	herein. The Securities Division believes that entry of a Consent Order is in the public interest and is		
15	appropriate for the protection of investors.		
	FINDINGS OF FACT		
16	Respondent		
17	1. Henry Krist registered as a sole proprietor investment adviser in Washington State in 2000.		
18	The investment adviser's Central Registration Depository (CRD) number is 116154 and his personal CRD		
19	number is 3061810.		
20			
21	Nature of the Conduct 2. As discussed below, Henry Krist failed to keep required books and records.		
22			
23	CONSENT ORDER 1	DEPARTMENT OF FINANCIAL INSTITUTIONS	
24		Securities Division PO Box 9033 Olympia, WA 98507-9033	
25		360-902-8760	

3. On or about August 17, 2015, the Securities Division conducted a routine examination of 1 Krist's office. The Securities Division examiner found that Krist was not maintaining books and records 2 required by WAC 460-24A-200(1). For instance, Krist was not maintaining financial records necessary to 3 calculate his net worth, an order memorandum, or client suitability information. The Securities Division 4 examiner outlined his findings in a letter to Mr. Krist. Mr. Krist responded to the Securities Division's 5 6 letter affirming that he understood the books and records requirements. 4. On or about March 8, 2019, the Securities Division conducted a routine examination of Mr. 7 Krist's office and again found that Krist was still not maintaining the books and records required by WAC 8 9 460-24A-200(1) that were referenced in the prior examination. Specifically, Krist was still not maintaining financial records necessary to calculate his net worth, an order memorandum, or client suitability 10 information. 11 Based upon the above Tentative Findings of Fact, the following Conclusions of Law are made: 12 **CONCLUSIONS OF LAW** 13 1. 14 Henry Krist failed to maintain financial records necessary to calculate his net worth as required by WAC 460-24A-200(1). Pursuant to RCW 21.20.110(1)(b), such a violation is a basis to enter an 15 order to deny future registrations. 16 17 2. Henry Krist failed to maintain an order memorandum required by WAC 460-24A-200(1)(c). Pursuant to RCW 21.20.110(1)(b), such a violation is a basis to enter an order to deny future registrations. 18 3. 19 Henry Krist failed to maintain client suitability information required by WAC 460-24A-20 200(1)(r). Pursuant to RCW 21.20.110(1)(b), such a violation is a basis to enter an order to deny future registrations. 21 22 23 CONSENT ORDER 2 DEPARTMENT OF FINANCIAL INSTITUTIONS Securities Division PO Box 9033 24 Olympia, WA 98507-9033 360-902-8760 25

1	CONSENT ORDER		
2	Based on the foregoing and finding it in the public interest:		
3	IT IS AGREED that Respondent withdraws his investment adviser and investment adviser		
4	representative registrations.		
5	IT IS AGREED AND ORDERED that Respondent may not act as a principal, officer, or owner of		
6	an investment adviser or broker-dealer for a period of ten years from the date of the entry of this consent		
7	order.		
8	IT IS FURTHER AGREED AND ORDERED that any future broker-dealer or investment adviser		
9	registration requests by Respondent shall be denied.		
10	IT IS FURTHER AGREED that this consent order alone will not constitute a bar to the approval of		
11	an application for registration as a securities salesperson or investment adviser representative in the state		
12	of Washington.		
13	IT IS FURTHER AGREED that the Securities Division has jurisdiction to enter this Consent		
14	Order.		
15	IT IS FURTHER AGREED that Respondent enter into this Consent Order freely and voluntarily		
16	with full understanding of its terms and significance.		
17	IT IS FURTHER AGREED that in consideration of the foregoing, Respondent waives his right to a		
18	hearing and to judicial review of this matter pursuant to RCW 21.20.440 and Chapter 34.05 RCW.		
19	AUTHORITY AND PROCEDURE		
20	This Consent Order is entered pursuant to the provisions of chapter 21.20 RCW and is subject to		
21	the provisions of RCW 21.20.120 and Chapter 34.05 RCW. The Respondents have been notified of their		
22	right to an administrative hearing and have waived that right.		
23	CONSENT ORDER 3 DEPARTMENT OF FINANCIAL INSTITUTIONS Securities Division		
24	PO Box 903 Olympia, WA 98507-9033 360-902-8760		
25			

1	WILLFUL VIOLATION OF THIS ORDER	R IS A CRIMINAL OFFENSE.
2	Signed by:	
3		
4	<u>/s/</u> Henry Krist, CRD 116154	
5	Themy Kilst, CKD 110154	
6	DATED and ENTERED this <u>14th</u>	day of August, 2019.
7		
8		Million Seats
9		WILLIAM M. BEATTY
10		Securities Administrator
11		
12	Approved by:	Presented by:
13 14	An Elm	the state of Clima difference
14		Krisken-Standifor
16	Suzanne Sarason Chief of Enforcement	Kristen Standifer Financial Legal Examiner
17		
18		
19		
20		
21		
22		
23	CONSENT ORDER	4 DEPARTMENT OF FINANCIAL INSTITUTIONS Securities Division
24		PO Box 9033 Olympia, WA 98507-9033 360-902-8760
25		