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**STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION**

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

Order Number S-19-2643-19-CO01

CONSENT ORDER

HENRY KRIST (CRD 3061810 and 116154),

Respondent.

8 THE STATE OF WASHINGTON TO: Henry Krist, CRD 116154 and 3061810

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INTRODUCTION

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.

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FINDINGS OF FACT

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Respondent

18 1. Henry Krist registered as a sole proprietor investment adviser in Washington State in 2000.
19 The investment adviser’s Central Registration Depository (CRD) number is 116154 and his personal CRD
20 number is 3061810.

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Nature of the Conduct

22 2. As discussed below, Henry Krist failed to keep required books and records.

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.

1 WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE.

2 Signed by:

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4 /s/
Henry Krist, CRD 116154

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6 DATED and ENTERED this 14th day of August, 2019.

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WILLIAM M. BEATTY
Securities Administrator

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12 Approved by:

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Suzanne Sarason
Chief of Enforcement

16 Presented by:

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19 _____
Kristen Standifer
Financial Legal Examiner