

STATE OF WASHINGTON  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
SECURITIES DIVISION

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

Peggy L. Maxwell and  
Lyle Hartford VanDyke, Jr.,

Respondents.

SDO 45-99

STATEMENT OF CHARGES AND NOTICE  
OF INTENTION TO ENTER ORDER TO  
CEASE AND DESIST

Case No. 98-03-68

THE STATE OF WASHINGTON TO: Peggy L. Maxwell  
Resource Economist  
PO Box 52  
Toledo, WA 98591

Lyle Hartford Van Dyke, Jr.  
C/o The Hartford Van Dyke Public Wealth Rebate Bank/Trust  
PO Box 3100  
Battle Ground, WA 98604

**STATEMENT OF CHARGES**

Please take notice that the Securities Administrator of the State of Washington has reason to believe that Respondents, Peggy L. Maxwell and Lyle Hartford Van Dyke, Jr., have violated the Securities Act of Washington and that their violations justify the entry of an order of the Securities Administrator under RCW 21.20.390 to cease and desist from such violations. The Securities Administrator finds as follows:

**TENTATIVE FINDINGS OF FACT**

1. Peggy L. Maxwell ("Maxwell") purports to engage in raising venture capital.
2. Lyle Hartford Van Dyke, Jr. ("Van Dyke") purports to be the Executive Disbursement Trustee of the Hartford Van Dyke Public Wealth Rebate Bank/Trust ("Hartford Van Dyke Bank"), whose address is PO Box 3100, Battle Ground, WA 98604.

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DESIST

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Olympia, WA 98507-9033  
360-902-8760



1  
2 The offer and/or sale of Action described above constitute the offer and/or sale of a security as defined in RCW  
3 21.20.005(10).

4 1. Respondents Maxwell and Van Dyke have violated RCW 21.20.010 by making untrue statements of  
5 material fact and/or omitting material facts necessary in order to make the statements made, in light of the circumstances  
6 under which they were made not misleading in connection with the offer, sale or purchase of securities; and by engaging  
7 in acts, practices, and/or a course of business which operated as a fraud and deceit upon investors in connection with the  
8 offer, sale or purchase of securities.

9  
10 **NOTICE OF INTENTION TO ORDER THE RESPONDENT TO CEASE AND DESIST**

11 Based upon the above Tentative Findings of Fact and Conclusions of Law, the Securities Administrator intends  
12 to order that the respondents, their agents, and employees each permanently cease and desist from violations of RCW  
13 21.20.010.

14  
15 **AUTHORITY AND PROCEDURE**

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17 This STATEMENT OF CHARGES AND NOTICE OF INTENTION TO ENTER ORDER TO CEASE AND  
18 DESIST is entered pursuant to the provisions of RCW 21.20.390, and is subject to the provisions of ch. 34.05 RCW.  
19 The Respondents, Maxwell and VanDyke, may make a written request for a hearing as set forth in the NOTICE OF  
20 OPPORTUNITY TO DEFEND AND OPPORTUNITY FOR HEARING accompanying this order. If Respondents do  
21 not make written requests for hearings in accordance with the NOTICE OF OPPORTUNITY TO DEFEND AND  
22 OPPORTUNITY FOR HEARING, the Securities Administrator will enter a final order in accordance with the  
23 FINDINGS OF FACT AND CONCLUSIONS OF LAW AND NOTICE OF INTENT TO ORDER THE  
24 RESPONDENTS TO CEASE AND DESIST.

25 STATEMENT OF CHARGES AND NOTICE OF 3  
26 INTENTION TO ENTER ORDER TO CEASE AND  
27 DESIST

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1 DATED this \_\_\_\_\_ day of \_\_\_\_\_, 1999.

2 \_\_\_\_\_  
3 DEBORAH R. BORTNER  
4 Securities Administrator

5 Presented by:

6 \_\_\_\_\_  
7 Kristina L. Kneip  
8 Securities Examiner

9 Approved by:

10 \_\_\_\_\_  
11 Michael E. Stevenson  
12 Chief of Compliance

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