ADMINISTRATIVE PROCEEDING

BEFORE THE

SECURITIES COMMISSIONER OF SOUTH CAROLINA

IN THE MATTER OF:

Jonathan W. Brooks
and J. Brooks Financial, Inc.,

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ORDER OF REVOCATION
OF INVESTMENT ADVISER, INVESTMENT ADVISER
REPRESENTATIVE AND
BROKER-DEALER AGENT
REGISTRATIONS

File Number 12017

The Securities Division of the Office of the Attorney General of the State of South Carolina (the "Division"), pursuant to authority granted in the South Carolina Uniform Securities Act of 2005 (the "Act"), S.C. Code Ann. §§ 35-1-101 to 35-1-703 (Supp. 2012), instituted this proceeding by filing a Notice of Intent to Seek Revocation of Investment Adviser, Investment Adviser Representative and Broker-Dealer Agent Registrations ("Notice of Intent") against Jonathan W. Brooks ("Brooks") and J. Brooks Financial, Inc. ("JBF'') (collectively "Respondents").

In the Notice of Intent, the Division alleged that the Respondents (a) failed to make and maintain required records, (b) failed to respond to requests from the Division, (c) engaged in dishonest or unethical practices, (d) failed to maintain fiduciaty duty, (e) failed to follow broker-dealer rules pertaiuing to suitability and selling away, (f) sold unregistered securities, and (g) provided false or misleading information to the Division. The Notice of Intent notified Respondents of the Division's intent to seek an order, pursuai1t to S.C. Code Ann. § 35-1-412, revoking their respective registrations.
The Notice of Intent and a Summary Suspension was served upon the Respondents at their last known addresses. Specifically, on or around February 25, 2013, the Division sent via certified mail, return receipt requested, a copy of the Notice of Intent addressed to Respondent Brooks at 124 Laurens Street, NW, Aiken, SC 29801. Additionally, on or around February 25, 2013, the Division sent via

certified mail, return receipt requested, a copy of the Notice oflntent addressed to Respondent JBF at 124 Laurens Street, NW, Aiken, SC 29801.
The Division received a letter dated April 22, 2013, from Respondent Brooks entitled "Response
to the Attorney General Notice of Intent to Seek Revocation of Investment Adviser, Investment Adviser Representative and Broker-Dealer Registrations." Respondent Brooks' letter informed the Division that
Respondent Brooks "generally den[ied] the allegations but agree( d] to the ceasing of any and all securities
transactions in the state (sic) of South Carolina." Respondent Brooks further indicated in the letter that
he had filed paperwork to "eliminate" Respondent JBF as 0.009 Tc 10.85onf 0 >>i0.88dET mBDC 0.00e( (of )Tj 0.0007