

**WITNESSES**

Lansing Pete Logan, Chief Investigator

DOCKET NO. 2013-GS-02-1176

**The State of South Carolina  
County of Aiken**

After being fully advised as to my legal rights, I hereby waive presentment to the Grand Jury.

Defendant

**COURT OF GENERAL SESSIONS**

**NOVEMBER TERM 2013**

I hereby appear in my own proper person and plead guilty to the within indictment or to

Defendant

Witness:

C.C.C. PLS. AND G.S.

**ARREST WARRANT NUMBER**

Direct Presentment

FILED Oct 31 2013

*Liz Godard*  
C.C.P. & G.S.  
*Sherry Thompson* ss  
Deputy Clerk

**THE STATE  
vs.**

**JONATHAN WARREN BROOKS**

**ACTION OF GRAND JURY**

*TRUE BILL*  
*Ronnie M. Hall*

Foreperson of Grand Jury  
Date: October 31, 2013

**VERDICT**

Foreperson of Petit Jury  
Date:

**Indictment for**

**Forgery / Forgery, value \$10,000 or more**

SC Code: § 16-13-0010(A)

CDR Code: 3437

Class FEL/E

STATE OF SOUTH CAROLINA  
COUNTY OF AIKEN  
I, Liz Godard, Clerk of Court of Common Pleas and General Sessions for Aiken County, South Carolina do hereby certify that the foregoing constitutes a true and correct copy of the original documents which have been filed in my office this

DEC 03 2013

*Liz Godard*  
C.C.C.P. & G.A., Aiken County, S.C.  
*Sherry Thompson*  
Deputy Clerk



**WITNESSES**

Lansing Pete Logan, Chief Investigator

DOCKET NO. 2013-GS-02-01318

**The State of South Carolina  
County of Aiken**

After being fully advised as to my legal rights, I hereby waive presentment to the Grand Jury.

Defendant

**COURT OF GENERAL SESSIONS**

**NOVEMBER TERM 2013**

I hereby appear in my own proper person and plead guilty to the within indictment or to

Defendant

Witness:

C.C.C. PLS. AND G.S.

**ARREST WARRANT NUMBER**

Direct Presentment

FILED Oct 31 2013

*Liz Godard*  
C.C.C. & G.S.  
*Sherry A. Langley*  
Deputy Clerk

**THE STATE  
vs.**

**ACTION OF GRAND JURY**

**JONATHAN WARREN BROOKS**

*TRUE BILL*

*Ronnie M. Hall*

Foreperson of Grand Jury

Date: October 31, 2013

**Indictment for**

**VIOLATIONS OF UNIFORM  
SECURITIES ACT RESULTING IN LOSS  
OF \$20,000 OR MORE**

SC Code: § 35-1-505 and § 35-1-508(a)(1)

CDR Code: 2615

Class FEL/E

STATE OF SOUTH CAROLINA  
COUNTY OF AIKEN

I, Liz Godard, Clerk of Court of Common Pleas and General Sessions for Aiken County, South Carolina do hereby certify that the foregoing constitutes a true and correct copy of the original documents which have been filed in my office this

**DEC 03 2013**

Foreperson of Petit Jury

Date:

*Liz Godard*  
C.C.C.P. & G.A., Aiken County, S.C.  
*Sherry A. Langley*  
Deputy Clerk

STATE OF SOUTH CAROLINA )  
 )  
COUNTY OF AIKEN )

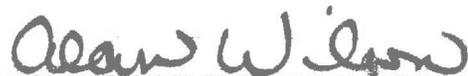
INDICTMENT

At a Court of General Sessions, convened November 4, 2013, the Grand Jurors of Aiken County present upon their oath:

**VIOLATIONS OF UNIFORM SECURITIES ACT**  
**RESULTING IN LOSS OF \$20,000 OR MORE -**  
**MISLEADING FILINGS TO THE COMMISSIONER**

That JONATHAN W. BROOKS did in Aiken County, between November 2012 and March 2013, in connection with a record that was created as part of an investigation conducted by the South Carolina Securities Commissioner pursuant to S.C. Code § 35-1-602(a)(2) regarding investments greater than \$20,000, make or cause to be made, in a record that is used in an action or proceeding or filed in connection with the Securities Act, a statement that, at the time and in the light of the circumstances under which it is made, is false or misleading in a material respect, or, in connection with the statement, to omit to state a material fact necessary to make the statement made, in the light of the circumstances under which it was made, not false or misleading, to wit: making false representations to the South Carolina Securities Commissioner about the number of clients invested in Brooks Real Estate Holdings and Compass Academy; the circumstances of one or more investments; representations made in connection with one or more of the investments; and the security underlying one or more of the investors' investments, in violation of S.C. Code § 35-1-505 and § 35-1-505.

Against the peace and dignity of the State, and contrary to the statute in such case made and provided.



ALAN WILSON (BTP)  
ATTORNEY GENERAL

**WITNESSES**

Lansing Pete Logan, Chief Investigator

DOCKET NO. 2013-GS-02-1803

**The State of South Carolina  
County of Aiken**

After being fully advised as to my legal rights, I hereby waive presentment to the Grand Jury.

Defendant

**COURT OF GENERAL SESSIONS**

**NOVEMBER TERM 2013**

I hereby appear in my own proper person and plead guilty to the within indictment or to

Defendant

Witness:

C.C.C. PLS. AND G.S.

**ARREST WARRANT NUMBER**

Direct Presentment

FILED Oct 31 20 13  
Liz Godard  
C.C.C.P. & G.S.  
Sharon Thompson 28  
Deputy Clerk

**THE STATE  
vs.**

**ACTION OF GRAND JURY**

**TRUE BILL**

*Ronnie M. Hall*

**JONATHAN WARREN BROOKS**

Foreperson of Grand Jury  
Date: October 31, 2013

**Indictment for**

**VIOLATIONS OF UNIFORM  
SECURITIES ACT RESULTING IN LOSS  
OF \$20,000 OR MORE**

SC Code: § 35-1-501 and § 35-1-508(a)(1)

CDR Code: 2615

Class FEL/E

**VERDICT**

Foreperson of Petit Jury  
Date:

STATE OF SOUTH CAROLINA  
COUNTY OF AIKEN  
I, Liz Godard, Clerk of Court of Common Pleas and General Sessions for Aiken County, South Carolina do hereby certify that the foregoing constitutes a true and correct copy of the original documents which have been filed in my office this

**DEC 3 2013**

Liz Godard  
C.C.C.P. & G.A., Aiken County, S.C.  
Sharon Thompson  
Deputy Clerk



**WITNESSES**

Lansing Pete Logan, Chief Investigator

DOCKET NO. 2013-GS-02-1175

**The State of South Carolina  
County of Aiken**

After being fully advised as to my legal rights, I hereby waive presentment to the Grand Jury.

Defendant

**COURT OF GENERAL SESSIONS**

**NOVEMBER TERM 2013**

I hereby appear in my own proper person and plead guilty to the within indictment or to

Defendant

Witness:

C.C.C. PLS. AND G.S.

**ARREST WARRANT NUMBER**

FILED Oct 31 20 13  
Direct Presentment

**THE STATE  
vs.**

**JONATHAN WARREN BROOKS**

**ACTION OF GRAND JURY**

*TRUE BILL*  
*Ronnie M. Hall*

Foreperson of Grand Jury  
Date: October 31, 2013

**VERDICT**

**Indictment for  
VIOLATIONS OF UNIFORM  
SECURITIES ACT RESULTING IN LOSS  
OF \$20,000 OR MORE  
SC Code: § 35-1-501 and § 35-1-508(a)(1)  
CDR Code: 2615  
Class FEL/E**

Foreperson of Petit Jury  
Date:

STATE OF SOUTH CAROLINA  
COUNTY OF AIKEN  
I, Liz Godard, Clerk of Court of Common Pleas and General Sessions for Aiken County, South Carolina do hereby certify that the foregoing constitutes a true and correct copy of the original documents which have been filed in my office this

**DEC 03 2013**

*Liz Godard*  
C.C.C.P. & G.A., Aiken County, S.C.  
*Shannon Thompson*  
Deputy Clerk

STATE OF SOUTH CAROLINA )  
 )  
COUNTY OF AIKEN )

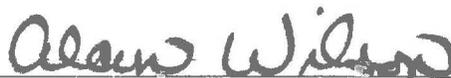
INDICTMENT

At a Court of General Sessions, convened on November 4, 2013, the Grand Jurors of Aiken County present upon their oath:

**VIOLATIONS OF UNIFORM SECURITIES ACT**  
**RESULTING IN LOSS OF \$20,000 OR MORE –**  
**COMPASS ACADEMY**

That JONATHAN W. BROOKS, in Aiken County, between on or about August 1, 2012 until on or about March 31, 2013, did willfully make an untrue statement of a material fact or omit stating a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; to wit: he solicited and obtained investments promising a guaranteed rate of return, and improperly and without permission or disclosure diverted said funds for the benefit of Compass, which resulted in a loss to investors of \$20,000 or more, in violation of S.C. Code § 35-1-501 and § 35-1-508(a)(1).

Against the peace and dignity of the State, and contrary to the statute in such case made and provided.



ALAN WILSON (scw)  
ATTORNEY GENERAL