ADMINISTRATIVE PROCEEDING

BEFORE THE

SECURITIES COMMISSIONER OF SOUTH CAROLINA

Respondents.)	File Number 12017
)	
)	REGISTRATIONS
)	BROKER-DEALER AGENT
)	REPRESENTATIVE AND
and J. Brooks Financial, Inc.,)	INVESTMENT ADVISER
Jonathan W. Brooks)	OF INVESTMENT ADVISER,
)	ORDER OF REVOCATION
IN THE MATTER OF:)	

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 fiduciary duty, (e) failed to follow broker-dealer rules pertaining 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, pursuant 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 of Intent 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 an investment adviser. Finally, Respondent

Brooks stated that he did not wish to seek a hearing on the Division's Notice of Intent.

Respondents chose not to set forth specific facts, laws, and/or affirmative defenses to support

their "general denial" of the Division's allegations. Furthermore, Respondents specifically chose to forgo

a hearing on the Division's Notice of Intent, and instead indicated that they agreed with the relief sought

therein related to revocation of their respective licenses. Consequently, it is appropriate to enter an order

in this proceeding.

The Securities Commissioner finds that it is appropriate and in the public interest to revoke

Respondents' respective registrations pursuant to S.C. Code Ann. § 35-1-412(d).

IT IS THEREFORE ORDERED, that Respondents' respective registrations are hereby revoked

retroactive to February 25, 2013.

Executed and entered, this the 31 day of July, 2013.

Securities Commissioner State of South Carolina

Post Office Box 11549

Columbia, SC 29211

(803) 734-4731

2