

STATE OF INDIANA ) IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO. \_\_\_\_  
 )SS 2004 TERM  
COUNTY OF \_\_\_\_\_ ) CAUSE NO. \_\_\_\_-\_\_\_\_-FC-\_\_\_\_

STATE OF INDIANA	)	INFORMATION FOR:
	)	OFFER OR SALE OF AN
vs.	)	UNREGISTERED SECURITY,
	)	IC 23-2-1-3, CLASS C
DEFENDANT'S NAME	)	FELONY

Said offer or sale took place in \_\_\_\_\_ County, State of Indiana, contrary to the form of the statutes in such cases made and provided by IC 23-2-1-3 and IC 23-2-1-18.1.

(AFFIANT'S NAME)

PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
\_\_\_\_ Judicial Circuit of Indiana  
ADDRESS

(OTHER SECURITY)

STATE OF INDIANA ) IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO. \_\_\_\_  
 )SS 2004 TERM  
COUNTY OF \_\_\_\_\_ ) CAUSE NO. \_\_\_\_\_-\_\_\_\_-FC-\_\_\_\_\_

STATE OF INDIANA	)	INFORMATION FOR:
	)	OFFER OR SALE OF AN
vs.	)	UNREGISTERED SECURITY,
	)	IC 23-2-1-3, CLASS C
DEFENDANT'S NAME	)	FELONY

(Name of Affiant), being duly sworn says that he/she is a(n) \_\_\_\_\_ employed by the Indiana Secretary of State, Securities Division. Upon information and belief, on or about (date), in \_\_\_\_\_ COUNTY, STATE OF INDIANA, DEFENDANT'S NAME did knowingly offer or sell a security that was not registered, was not exempt under section 2 (IC 23-2-1-2) of the Indiana Securities Act, or was not a federal covered security, as defined in IC 23-2-1-1(s). To-wit, DEFENDANT'S NAME offered or sold a(n) DESCRIPTION OF SECURITY, that was not registered with the Indiana Secretary of State, Securities Division, as required by law. Said DESCRIPTION OF SECURITY was offered or sold by DEFENDANT'S NAME (describe nature of the TRANSACTION) for the sum of \_\_\_\_\_ Dollars (\$\_\_\_\_\_.), to (VICTIM'S NAME).

Said offer or sale took place in \_\_\_\_\_ County, State of Indiana, contrary to the form of the statutes in such cases made and provided by IC 23-2-1-3 and IC 23-2-1-18.1.

I swear or affirm under penalties for perjury, as specified in IC 35-34-1-2.4, that the foregoing representations are true to the best of my knowledge and belief, this (Date).

(AFFIANT'S NAME)

PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
\_\_\_\_ Judicial Circuit of Indiana  
ADDRESS

(NOTE)

STATE OF INDIANA ) IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO. \_\_\_\_  
 )SS 2004 TERM  
COUNTY OF \_\_\_\_\_ ) CAUSE NO. \_\_\_\_\_-\_\_\_\_-FC-\_\_\_\_\_

STATE OF INDIANA	)	INFORMATION FOR:
	)	OFFER OR SALE OF AN
vs.	)	UNREGISTERED SECURITY,
	)	IC 23-2-1-3, CLASS C
DEFENDANT'S NAME	)	FELONY

(Name of Affiant), being duly sworn says that he/she is a(n) \_\_\_\_\_ employed by the Indiana Secretary of State, Securities Division. Upon information and belief, on or about (date), in \_\_\_\_\_ COUNTY, STATE OF INDIANA, DEFENDANT'S NAME did knowingly offer or sell a security that was not registered, was not exempt under section 2 (IC 23-2-1-2) of the Indiana Securities Act, or was not a federal covered security, as defined in IC 23-2-1-1(s). To-wit, DEFENDANT'S NAME offered or sold a promissory note, that was not registered with the Indiana Secretary of State, Securities Division, as required by law. Said promissory note was offered by DEFENDANT'S NAME through (NAME OF ENTITY) (if applicable) for (OTHER ENTITY) (if applicable), had a face value of (AMOUNT)DOLLARS(\$0.00), and/or was sold to (VICTIM) for the principal amount of (AMOUNT) DOLLARS (\$0.00).

Said offer or sale took place in \_\_\_\_\_ COUNTY, STATE OF INDIANA, contrary to the form of the statutes in such cases made and provided by IC 23-2-1-3 and IC 23-2-1-18.1.

I swear or affirm under penalties for perjury, as specified in IC 35-34-1-2.4, that the foregoing representations are true to the best of my knowledge and belief, this (DATE).

(AFFIANT'S NAME)

PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
\_\_\_\_ Judicial Circuit of Indiana  
ADDRESS

STATE OF INDIANA ) IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO. \_\_\_\_  
 )SS 2004 TERM  
COUNTY OF \_\_\_\_\_ ) CAUSE NO. \_\_\_\_\_-\_\_\_\_\_-FC-\_\_\_\_\_

STATE OF INDIANA	)	INFORMATION FOR:
	)	TRANSACTIONING BUSINESS
vs.	)	BY AN UNREGISTERED, BROKER-
	)	DEALER OR AGENT, IC 23-2-1-
DEFENDANT'S NAME	)	8, CLASS C FELONY

Said offer or sale taking place in \_\_\_\_\_ County, State of Indiana, contrary to the form of the statutes in such cases made and provided by Ind. Code 23-2-1-8 and Ind. Code 23-2-1-18.1.

(AFFIANT'S NAME)

PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
\_\_\_\_ Judicial Circuit of Indiana  
ADDRESS

(UNREGISTERED INVESTMENT ADVISOR  
OR INVESTMENT ADVISOR REPRESENTATIVE)

STATE OF INDIANA            )     IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO \_\_\_\_  
                                      )SS   2004 TERM  
COUNTY OF \_\_\_\_\_     )     CAUSE NO. \_\_\_\_\_-\_\_\_\_-FC-\_\_\_\_\_

STATE OF INDIANA	)	INFORMATION FOR:
	)	TRANSACTIONING BUSINESS BY AN
	)	UNREGISTERED INVESTMENT
vs.	)	ADVISOR OR INVESTMENT
	)	ADVISOR REPRESENTATIVE,
	)	IC 23-2-1-8, CLASS C
DEFENDANT'S NAME	)	FELONY

(Name of Affiant), being duly sworn says that he/she is a(n) \_\_\_\_\_ employed by the Indiana Secretary of State, Securities Division. Upon information and belief, on or about (date), in \_\_\_\_\_ COUNTY, STATE OF INDIANA, DEFENDANT'S NAME did knowingly transact business as an investment advisor or investment advisor representative as defined in IC 23-2-1-1(n) without being registered with the Indiana Securities Division as required by law. To-wit, DEFENDANT'S NAME did transact business as an investment advisor or investment advisor representative in Indiana (describe with particularity how the person held himself out as investment advisor or representative as defined in IC 23-2-1-1(n)) naming the VICTIM(S), if any, without being registered with the Indiana Securities Division.

The transaction of the business of investment advising having taken place in \_\_\_\_\_ County, State of Indiana, contrary to the form of the statutes in such cases made and provided by Ind. Code 23-2-1-8 and Ind. Code 23-2-1-18.1.

I swear or affirm under penalties for perjury, as specified in IC 35-34-1-2.4, that the foregoing representations are true to the best of my knowledge and belief, this (Date).

\_\_\_\_\_  
(AFFIANT'S NAME)

\_\_\_\_\_  
PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
\_\_\_\_ Judicial Circuit of Indiana  
ADDRESS

(FRAUD)

STATE OF INDIANA ) IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO. \_\_\_\_  
 )SS 2004 TERM  
COUNTY OF \_\_\_\_\_ ) CAUSE NO. \_\_\_\_\_-\_\_\_\_\_-FC-\_\_\_\_\_

STATE OF INDIANA	)	INFORMATION FOR:
	)	FRAUDLENT OR DECEITFUL ACTS
vs.	)	WITH THE OFFER, SALE OR
	)	PURCHASE OF A SECURITY,
	)	IC 23-2-1-12, A CLASS C
DEFENDANT'S NAME	)	FELONY

(Name of Affiant), being duly sworn says that he/she is a(n) \_\_\_\_\_ employed by the Indiana Secretary of State, Securities Division. Upon information and belief, on or about (date), in \_\_\_\_\_ COUNTY, STATE OF INDIANA, DEFENDANT'S NAME, directly or indirectly, employed a scheme to defraud, made untrue statements of a material fact, omitted to state material facts necessary to make the statements made not misleading, or engaged in an act, practice or course of business that operated as a fraud or deceit. To-wit, DEFENDANT'S NAME offered and/or sold a security, a promissory note, to VICTIM, for the principal amount of \_\_\_\_\_ DOLLARS (\$0.00). Said security was offered or sold (describe with particularity how the security was sold and who it was sold through, if applicable). During the offer or sale, DEFENDANT'S NAME omitted to inform VICTIM that this (describe security) was a security and that it was not registered with the Indiana Secretary of State, Securities Division as required by law. DEFENDANT'S NAME failed to advise VICTIM that he was not registered as a broker-dealer, agent, or issuer agent with the Indiana Secretary of State, Securities Division as required by law. (Describe any further fraudulent activities that your investigation revealed such as the Defendant failing to inform Victim that he had been convicted of crimes previously, stating with particularity the place and crimes convicted of, and all other fraudulent claims made or omitted by the Defendant to induce the sale.)

Said activities having taken place in \_\_\_\_\_ County, State of Indiana, contrary to the form of the statutes in such cases made and provided by IC 23-2-1-12 and 23-2-1-18.1.

I swear or affirm under penalties for perjury, as specified in IC 35-34-1-2.4, that the foregoing representations are true to the best of my knowledge and belief, this (Date).

(AFFIANT'S NAME)

PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
Judicial Circuit of Indiana

STATE OF INDIANA ) IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO. \_\_\_\_  
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PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
\_\_\_\_ Judicial Circuit of Indiana  
ADDRESS

(LOAN BROKER FRAUD)

STATE OF INDIANA ) IN THE \_\_\_\_\_ CIRCUIT/SUPERIOR COURT NO. \_\_\_\_  
 )SS 2004 TERM  
COUNTY OF \_\_\_\_\_ ) CAUSE NO. \_\_\_\_\_-\_\_\_\_\_-FD-\_\_\_\_\_

STATE OF INDIANA	)	INFORMATION FOR:
	)	FRAUDLENT OR DECEITFUL ACTS
vs.	)	IN CONNECTION WITH A CONTRACT
	)	FOR THE SERVICES OF A LOAN
	)	BROKER, IC 23-2-5-20, CLASS D
DEFENDANT'S NAME	)	FELONY

(Name of Affiant), being duly sworn says that he/she is a(n) \_\_\_\_\_ employed by the Indiana Secretary of State, Securities Division. Upon information and belief, on or about (date), in \_\_\_\_\_ COUNTY, STATE OF INDIANA, DEFENDANT'S NAME, directly or indirectly, employed a scheme to defraud, made untrue statements of a material fact, omitted to state material facts necessary to make the statements made not misleading, engaged in an act, practice or course of business that operated as a fraud or deceit, or collected or solicited consideration that was not a bona fide third party fee, in connection with a loan until the loan had been closed. To-wit, DEFENDANT attempted to procure a loan for (BORROWERS NAME) to (purpose of loan) DEFENDANT advised BORROWER that he had a funding source (Name of proposed funding source, if applicable). Further, (any additional evidence that investigation revealed regarding the details of the proposed loan). DEFENDANT engaged in fraud and deceit during the transaction by (describe fraud and receipt revealed by investigation) Further, DEFENDANT omitted to inform BORROWER of the following material facts: (describe material facts omitted such as defendant's criminal history).

Said activities having taken place in \_\_\_\_\_ County, State of Indiana, contrary to the form of the statutes in such cases made and provided by IC 23-2-5-20 and 23-2-5-16.



I swear or affirm under penalties for perjury, as specified in IC 35-34-1-2.4, that the foregoing representations are true to the best of my knowledge and belief, this (Date).

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(AFFIANT'S NAME)

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PROSECUTOR'S NAME, ATTY NO:  
Attorney for the State of Indiana  
\_\_\_\_ Judicial Circuit of Indiana  
ADDRESS