

At **FILED**
2:58 P M

JUL - 7 2015

ANDREA STROM THOMPSON
Clerk District Court Collin County, Texas
By [Signature]

NO. 416-81913-2015

THE STATE OF TEXAS

V.

WARREN KENNETH PAXTON, JR.

IN THE 416TH JUDICIAL DISTRICT COURT
OF COLLIN COUNTY, TEXAS

BOND: _____

OFFENSE: Acting as an investment adviser representative without being registered by the Texas Securities Board in violation of Texas Securities Act, Section 29(I).

INDICTMENT

IN THE NAME AND BY AUTHORITY OF THE STATE OF TEXAS:

THE GRAND JURY for the County of Collin, State of Texas, duly selected, impaneled, sworn, charged and organized as such by the 416th District Court for the said County at the July Term, A.D. 2015 of the said Court, upon their oaths present in and to said Court that **WARREN KENNETH PAXTON, JR.**, hereinafter styled Defendant, on or about the 18th day of July, 2012 and before the presentment of this indictment, in the County and State aforesaid, did then and there knowingly and intentionally render services as an investment advisor representative to



James and Freddie Henry and the aforesaid **WARREN KENNETH PAXTON, JR.**, was then and there not duly registered as an investment adviser representative by and with the Securities Commissioner of the State of Texas,

AGAINST THE PEACE AND DIGNITY OF THE STATE.

Ray S. Mull

FOREMAN OF THE GRAND JURY

7/7/15

DATE



NO. 416-81914-2015

FILED
At 4:15 PM

JUL 28 2015

ANDREA STROH THOMPSON
Clerk District Court Collin County, Texas
By D. [Signature]

THE STATE OF TEXAS

V.

WARREN KENNETH PAXTON, JR.

IN THE 416TH JUDICIAL DISTRICT COURT
OF COLLIN COUNTY, TEXAS

BOND: _____

OFFENSE: In connection with the sale, offering for sale or delivery of, the purchase, offer to purchase, invitation of offers to purchase, invitations of offers to sell, or dealing in any other manner in any security or securities, engaging in fraud or fraudulent practice in violation of Texas Securities Act, Section 29(C)(Byron Cook).

INDICTMENT

IN THE NAME AND BY AUTHORITY OF THE STATE OF TEXAS:

THE GRAND JURY for the County of Collin, State of Texas, duly selected, impaneled, sworn, charged and organized as such by the 416th District Court for the said County at the July Term, A.D. 2015 of the said Court, upon their oaths present in and to said Court that **WARREN KENNETH PAXTON, JR.**, hereinafter styled Defendant, on or about the 26th day of July, 2011, and before the presentment of this indictment, in the County and State aforesaid, did then and there engage in fraud in



connection with the offer for sale and sale of common stock of SERVERGY, INC., being a security to wit: stock, to JOEL HOCHBERG, hereinafter styled the complainant, in an amount involving \$100,000 or more, by intentionally failing to disclose to the complainant, to wit: that **WARREN KENNETH PAXTON, JR.** had not, in fact, personally invested in SERVERGY, INC., and that **WARREN KENNETH PAXTON, JR.** would be compensated, and had, in fact, received compensation from SERVERGY, INC., in the form of 100,000 shares of SERVERGY, INC. stock, the said information being material fact,
AGAINST THE PEACE AND DIGNITY OF THE STATE.

Ray S. Mull
FOREMAN OF THE GRAND JURY

7/28/15
DATE



NO. 416-81915-2015

FILED
At 4:15 PM
JUL 28 2015
ANDREA STROH THOMPSON
Clerk District Court, Collin County, Texas
By [Signature]

THE STATE OF TEXAS

V.

WARREN KENNETH PAXTON, JR.

IN THE 416TH JUDICIAL DISTRICT COURT
OF COLLIN COUNTY, TEXAS

BOND: _____

OFFENSE: In connection with the sale, offering for sale or delivery of, the purchase, offer to purchase, invitation of offers to purchase, invitations of offers to sell, or dealing in any other manner in any security or securities, engaging in fraud or fraudulent practice in violation of Texas Securities Act, Section 29(C)(Joel Hochberg).

INDICTMENT

IN THE NAME AND BY AUTHORITY OF THE STATE OF TEXAS:

THE GRAND JURY for the County of Collin, State of Texas, duly selected, impaneled, sworn, charged and organized as such by the 416th District Court for the said County at the July Term, A.D. 2015 of the said Court, upon their oaths present in and to said Court that **WARREN KENNETH PAXTON, JR.**, hereinafter styled Defendant, on or about the 26th day of July, 2011, and before the presentment of this indictment, in the County and State aforesaid, did then and there engage in fraud in



connection with the offer for sale and sale of common stock of SERVERGY, INC., being a security to wit: stock, to BYRON COOK, hereinafter styled the complainant, in an amount involving \$100,000 or more, by intentionally failing to disclose to the complainant, to wit: that **WARREN KENNETH PAXTON, JR.** had not, in fact, personally invested in SERVERGY, INC., and that **WARREN KENNETH PAXTON, JR.** would be compensated, and had, in fact, received compensation from SERVERGY, INC., in the form of 100,000 shares of SERVERGY, INC. stock, the said information being material fact,
AGAINST THE PEACE AND DIGNITY OF THE STATE.



FOREMAN OF THE GRAND JURY



DATE

