

STATE OF INDIANA)
)
COUNTY OF MARION) CAUSE NO. _____

IN RE: MORGAN STANLEY)
SMITH BARNEY LLC)
)

JOINT PETITION TO APPROVE
ASSURANCE OF VOLUNTARY COMPLIANCE

The State of Indiana, by Attorney General Todd Rokita, by Deputy Attorney General Joseph D. Yeoman, and Respondent, Morgan Stanley Smith Barney LLC., by counsel, jointly petition the Court to approve an Assurance of Voluntary Compliance between the parties pursuant to Indiana Code § 24-5-0.5-7. The parties agree to enter into the attached Assurance without any adjudication of fact or law.

WHEREFORE, the parties request the Court approve the Assurance of Voluntary Compliance between the parties and for all other just and proper relief.

Respectfully submitted,

FOR THE STATE OF INDIANA

THEODORE E. ROKITA
Attorney General for the State of Indiana

Indiana Bar No. 18857-49

By: /s/ Joseph D. Yeoman Date: November 16, 2023
Joseph D. Yeoman
Deputy Attorney General
Atty. No. 35668-29
Indiana Government Center South – 5th Fl.
302 W. Washington Street
Indianapolis, IN 46204-2770
Phone: (317) 234-1912
Fax: (317) 232-7979
Email: Joseph.Yeoman@atg.in.gov

FOR MORGAN STANLEY SMITH BARNEY LLC

By: /s/ Trevor W. Wells

Date: November 16, 2023

Trevor W. Wells

REMINER CO., L.P.A.

Atty. No. 31156-64

707 E. 80th Place, Suite 103

Merrillville, IN 46410

Tel: (219) 663-3011

Fax: (219) 663-1049

Email: twells@reminger.com

CERTIFICATE OF SERVICE

I hereby certify that on November 16, 2023, I electronically filed the foregoing with the Clerk of the Court using the IEFS system. Notice of this filing will be sent to all registered parties by operation of the Court's electronic filing system. I hereby certify that on November 16, 2023, I sent the foregoing via email to:

Trevor W. Wells
REMINER CO., L.P.A.
Atty. No. 31156-64
707 E. 80th Place, Suite 103
Merrillville, IN 46410
Tel: (219) 663-3011
Fax: (219) 663-1049
Email: twells@reminger.com

/s/ Joseph D. Yeoman
Joseph D. Yeoman
Deputy Attorney General
OFFICE OF THE INDIANA ATTORNEY GENERAL
Deputy Attorney General
Atty. No. 35668-29
Indiana Government Center South – 5th Fl.
302 W. Washington Street
Indianapolis, IN 46204-2770
Phone: (317) 234-1912
Fax: (317) 232-7979
Email: Joseph.Yeoman@atg.in.gov