Marion Superior Court 2

 STATE OF INDIANA
)
 IN THE MARION SUPERIOR COURT

)
)
 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: <u>/s/ Joseph D. Yeoman</u> 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

Date: <u>November 16, 2023</u>

By: <u>/s/ Trevor W. Wells</u> Trevor W. Wells REMINGER 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: <u>twells@reminger.com</u>

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 REMINGER 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: <u>twells@reminger.com</u>

> <u>/s/ Joseph D. Yeoman</u> 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