

IN THE DISTRICT COURT OF OKLAHOMA COUNTY
STATE OF OKLAHOMA

FEB - 2 2024

RICK WARREN
COURT CLERK
106

Oklahoma Department of Securities,)
)
Plaintiff,)
)
v.)
)
Bank of America, N.A.,)
)
Defendant.)

Case No. CV-2023-2560
Judge Timmons

JOURNAL ENTRY

The captioned matter came before this Court on February 2, 2024, on Plaintiff’s *Application for Order Enforcing Administrative Subpoena and Authority in Support* (“Application to Enforce”). Plaintiff appears by counsel Bradley Davenport and Shaun Mullins. Defendant appears by counsel Evan Moeller. An agreement has been reached between the parties as follows:

1. On June 28, 2023, Plaintiff issued a subpoena (the “Subpoena”) to Defendant pursuant to Section 1-602 of the Oklahoma Uniform Securities Act of 2002 (“Act”), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2023).

2. Defendant has produced numerous records in response to the Subpoena. Defendant further agrees to supplement its production as provided below.

3. Production of all documents responsive to item numbers 9 and 10 of the Subpoena will be completed by March 15, 2024.

4. Production of all documents responsive to item number 11 of the Subpoena will be completed by February 23, 2024.

5. Collection of all documents responsive to item number 12 of the Subpoena will be completed by March 22, 2024. The parties shall agree to applicable refining search terms by April 5, 2024. Document production will be completed by April 22, 2024.

6. Production of all documents responsive to item numbers 15, 16 and 17 of the Subpoena (Account Policies, Bank Secrecy Act/Anti-Money Laundering Policies and Procedures and Related BSA/AML Training Materials) will begin the week of February 5, 2024 and be completed by February 23, 2024.

7. Defendant will produce all documents responsive to item number 18 of the Subpoena for its Derby, Kansas and Cherry Creek-Wichita, Kansas branches.

8. This Journal Entry shall not constitute a court order subject to contempt.

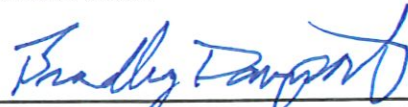
This matter will remain open and subject to further supervision by the Court. The Court will review the status of compliance with the Subpoena on the 11th day of July, 2024 at 2:00 p.m.

Entered this 2nd day of February, 2024.

ALETIA HAYNES TIMMONS

DISTRICT COURT JUDGE

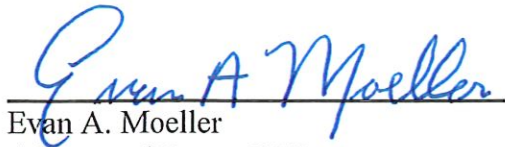
APPROVED:


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AS FILED OF RECORD
IN DISTRICT COURT

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RICK WARREN COURT CLERK
Oklahoma County

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