

SAMPLE SUBPOENA LANGUAGE

A. FINANCIAL INSTITUTIONS

... and to bring with you and produce:

The following documents for all accounts bearing the signatory authority of (*names*) and/or in the names(s) of (*names*), and/or bearing the account number(s) (*account numbers*), for the period to, including but not limited to:

1. All documents pertaining to all open or closed checking, savings, NOW, Time, or other deposit or checking accounts in the name of or under signature authority of any of the named parties or entities, including but not limited to:
 - a. Signature cards
 - b. Corporate board authorization minutes or partnership resolutions
 - c. Bank statements
 - d. Canceled checks
 - e. Deposit tickets
 - f. Items deposited
 - g. Credit and debit memos
 - h. Form 1099, 1089, or back-up withholding documents

2. All documents pertaining to open or closed bank loans or mortgage documents, reflecting loans made to or co-signed by any of the named parties or entities, including but not limited to:
 - a. Loan applications
 - b. Corporate board authorization minutes or partnership resolutions
 - c. Loan ledger sheets
 - d. Documents (checks, debit memos, cash in tickets, wires in, etc.) reflecting the means by which loan repayments were made
 - e. Documents (bank checks, credit memos, cash out tickets, wires out, etc.) reflecting disbursement of the loan proceeds
 - f. Loan correspondence files, including but not limited to:
 - i Letters to the bank
 - ii Letters from the bank
 - iii Notes, memoranda, etc. to the file
 - g. Collateral agreements and documents
 - h. Credit reports
 - i. Financial statements
 - j. Notes or other instruments reflecting the obligation to pay
 - k. Real estate mortgages, chattel mortgages or other security instruments for loans
 - l. Forms 1099, 1089 or back-up withholding documents
 - m. Loan amortization statements

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3. All documents pertaining to Certificates of Deposit purchased or redeemed by any of the named parties or entities, including but not limited to:
 - a. Copies of the certificates
 - b. Corporate board authorization minutes or partnership resolutions
 - c. Documents (checks, debit memos, cash in tickets, wires in, etc.,) reflecting the means by which CDS were purchased
 - d. Documents (bank checks, credit memos, cash out tickets, wires out, etc.,) reflecting disbursement of the proceeds of any negotiated CDS
 - e. Records reflecting interest earned, withdrawn or reinvested
 - f. Records reflecting roll-overs
 - g. Forms 1099, 1089 or back-up withholding documents
4. All documents pertaining to open or closed investment or security custodian accounts, IRA, Keogh or other retirement plans in the name of or for the benefit of any of the named parties or entities, including but not limited to:
 - a. Documents (checks, debit memos, cash in tickets, wires in, etc.,) reflecting the means by which the securities were purchased
 - b. Documents (bank checks, credit memos, cash out tickets, wires out, etc.,) reflecting disbursement of the proceeds of any negotiated securities
 - c. Confirmation slips
 - d. Monthly statements
 - e. Payment receipts
 - f. Safekeeping records and logs
 - g. Receipts for receipt or delivery of securities
 - h. Forms 1099, 1089 or back-up withholding documents
5. Customer correspondence files for each of the named parties and entities.
6. All documents pertaining to all Cashier's, Manager's, or Bank Checks, Traveler's Checks, and Money Orders purchased or negotiated by any of the named parties or entities, including but not limited to:
 - a. Documents (checks, debit memos, cash in tickets, wires in, etc.,) reflecting the means by which the checks or money orders were purchased
 - b. Documents (bank checks, credit memos, cash out tickets, wires out, etc.,) reflecting disbursements of the proceeds of any negotiated checks or money orders
 - c. Applications for purchase of checks or money orders
 - d. Retained copies of negotiated checks or money orders
7. All documents pertaining to wire transfers sent or received by any of the names parties or entities, including but not limited to:
 - a. Fed Wire, CHIPS, SWIFT, or other money transfer of message documents
 - b. Documents (checks, debit memos, cash in tickets, wires in, etc.,) reflecting the source of the funds wired out

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- c. Documents (bank checks, credit memos, cash out tickets, wires out, etc.) reflecting the ultimate disposition within the bank of the funds wired in
 - d. Notes, memoranda or other writings pertaining to the sending or receipt of wire transfers
8. All documents pertaining to current or expired safe deposit box rentals by or under the signatory authority of any of the names parties or entities, including but not limited to:
- a. Contracts
 - b. Entry records
9. All documents pertaining to open or closed bank credit cards in the name of or under the signatory authority of any of the named parties or entities, including but not limited to:
- a. Applications for credit
 - b. Corporate board authorization minutes or partnership resolutions
 - c. Credit reports
 - d. Monthly statements
 - e. Financial statements
 - f. Documents (checks, debit memos, cash in tickets, wires in, etc.) reflecting payments on the account
 - g. Correspondence files
10. Teller tapes reflecting all transactions between the bank and any of the parties or entities named.
11. All **CTRs** (Forms 4789) and **CMIRs** (Form 4790) filed with the Department of Treasury, Internal Revenue Service or the United States Customs Service by the *(bank name)* between *(dates)* concerning currency transactions conducted by or on behalf of the *(names)* parties or entities.

B. CORPORATIONS

...and to bring with you and produce:

The following documents for the period to, including but not limited to:

1. Retained copies of all documents relating to *(corporate name)* banking transactions, including but not limited to:
 - a. All documents pertaining to all open or closed checking, savings, NOW, Time, or other deposit or checking accounts held in the name of, for the benefit of, or under the control of *(corporate name)*, including but not limited to:
 - b. Retained copies of signature cards
 - c. Corporate board authorization minutes or partnership resolutions
 - d. Bank statements
 - e. Canceled checks
 - f. Deposit tickets

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- g. Retained copies of items deposited
 - h. Retained copies of credit and debit memos
 - i. Forms 1099, 1089, or back-up withholding documents
2. All documents pertaining to open or closed bank loans or mortgage documents, reflecting loans made to, co-signed by, or made for the benefit of (*corporate name*) including but not limited to:
- a. Loan applications
 - b. Corporate board authorization minutes or partnership resolutions
 - c. Loan statements
 - d. Documents (checks, debit memos, cash receipts, wire transfer documents, etc.) reflecting the means by which loan repayments were made
 - e. Retained copies of documents (bank checks, credit memos, wire transfer documents, etc.) reflecting disbursements of the loan proceeds
 - f. Copies of loan correspondence, including but not limited to:
 - i. Letters to the bank
 - ii. Letters from the bank
 - iii. Notes, memoranda, etc., to the file
 - g. Collateral agreements and documents
 - h. Credit reports
 - i. Financial statements
 - j. Notes or other instruments reflecting the obligation to pay
 - k. Real estate mortgages, chattel mortgages or other security instruments for loans
 - l. Forms 1099, 1089 or back-up withholding documents
 - m. Loan amortization statements
3. All documents pertaining to Certificates of Deposit purchased or redeemed by or for the benefit of (*corporate name*), including but not limited to:
- a. Copies of the certificates
 - b. Corporate board authorization minutes or partnership resolutions
 - c. Documents (checks, debit memos, cash receipts, wire transfers documents, etc.) reflecting the means by which the CD was purchased
 - d. Retained copies of documents (bank checks, credit memos, wire transfer documents, etc.) reflecting disbursements of the proceeds of any negotiated CD
 - e. Records reflecting interest earned, withdrawn or reinvested
 - f. Records reflecting roll-overs
 - g. Forms 1099, 1089 or back-up withholding documents
4. All documents pertaining to open or close investment or security custodian accounts, IRA, Keogh or other retirement plans in the name of, for the benefit of, or under the control of (*corporate name*) including but not limited to:
- a. Documents (check, debit memos, cash receipts, wire transfer documents, etc.) reflecting the means by which the securities were purchased

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- b. Retained copies of documents (bank checks, credit memos, wire transfer documents, etc.) reflecting disbursement of the proceeds of any negotiated securities
 - c. Confirmation slips
 - d. Monthly statements
 - e. Payment receipts
 - f. Safekeeping records and logs
 - g. Receipts for receipt or delivery of securities
 - h. Forms 1099, 1089 or back-up withholding documents
5. Bank correspondence files
6. All documents pertaining to all Cashier's, Manager's, or Money Orders purchased or negotiated by or on behalf of (*corporate name*), including but not limited to:
- a. Documents (checks, debit memos, cash receipts, wire transfer documents, etc.) reflecting the means by which the checks or money orders were purchased
 - b. Retained copies of documents (bank checks, credit memos, wire transfer documents, etc.) reflecting disbursement of the proceeds of any negotiated checks or money orders
 - c. Applications for purchase of checks or money orders
 - d. Retained copies of checks or money orders
7. All documents pertaining to wire transfers sent or received by or on behalf of (*corporate name*), including but not limited to:
- a. Retained copies of Fed Wire, Swift or other money transfer or message document
 - b. Documents (checks, debit memos, cash receipts, wire transfer documents, etc.) reflecting the source of the funds wired out.
 - c. Documents (bank checks, credit memos, wire transfer documents, etc.) reflecting the ultimate disposition of the funds wired in.
 - d. Notes, memoranda or other writings pertaining to the sending or receipt of wire transfers
8. All documents pertaining to current or expired safe deposit box rentals in the name of, for the benefit of, or under the control of (*corporate name*)
9. All documents pertaining to open or closed bank credit cards in the name of, for the benefit of, or under the control of (*corporate name*), including but not limited to:
- a. Applications for credit
 - b. Corporate board authorization minutes or partnership resolutions
 - c. Retained copies of credit reports
 - d. Monthly statements
 - e. Financial statements
 - f. Charge tickets
 - g. Documents (check, debit memos, cash receipts, wire transfer documents, etc.) reflecting payments on the account

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10. All documents relating to (*corporate name's*) formation, including but not limited to:
 - a. Articles of incorporation
 - b. By laws
 - c. Minute books
 - d. Stock books
 - e. Stock transfer records
 - f. Annual reports filed with the state of incorporation

11. All documents (*including computer tapes or discs*) summarizing annual, quarterly, monthly, weekly or daily financial performance, including but not limited to:
 - a. Annual auditor's report
 - b. Annual financial statements, including but not limited to:
 - i Balance sheets
 - ii Statements of Operations (Profit & Loss Statements)
 - iii Annual filings with the SEC or other federal or state agencies or regulatory bodies
 - c. Trial balances
 - d. Federal and state income tax returns and quarterly estimated tax returns
 - e. Sales tax returns
 - f. Periodic reports required to be filed by the SEC, FTC or other regulatory body.

12. With respect to transactions between (*corporate name*) and (*names*), provide the following documents (*including computer tapes or discs*) for the period (*dates*):
 - a. Employment records, including but not limited to:
 - i Payroll journals
 - ii Annual recap of wages paid (files with the IRS)
 - iii All W-2s issued
 - iv All forms 940 and 941 filed
 - v All state employment and unemployment returns filed
 - b. All checks, or other payment documents issued as salary, commission or other earned income payments to (*names*).
 - c. All contracts or other agreements made or entered into between (*corporate name*) and (*names*).
 - d. Any and all correspondence, letters, files or other documents reflecting telephone conversations, meetings, contracts, agreements, or transactions between (*corporate name*) and (*names*).

13. Copies of all documents in (*corporate name's*) books of original entry (including computer tapes or discs) containing entries reflecting any and all transactions between (*corporate name*) and (*names*), including but not limited to:
 - a. General ledgers
 - b. General journals

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- c. Summary journals, including but not limited to:
 - i Sales journals
 - ii Purchase journals
 - iii Cash receipts journals
 - iv Cash disbursements journals
- d. Invoices
- e. Sales receipts
- f. Purchase orders
- g. Receiving reports
- h. Inventory records

C. CREDIT CARD COMPANIES

... and to bring with you and produce:

The following documents for all open or closed credit card accounts bearing the signatory authority of and/or in the name of (*names*), and credit card number(s) (*numbers*), for the period to , including but not limited to:

1. Applications for credit
2. Corporate board authorization minutes or partnership resolutions
3. Financial statements
4. Monthly statements
5. Charge tickets
6. Documents (bank checks, personal checks, money orders, wire transfers in, etc.,) reflecting payments on the account
7. Correspondence files

D. TELEPHONE COMPANIES

.. and to bring with you and produce:

1. All telephone subscriber information for telephone numbers (*numbers*) or in the name(s) of (*names*), for the period to , including but not limited to:
2. Applications for telephone service
3. Monthly billings
4. Documentation listing all toll calls and/or long distance calls

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E. SECURITIES FIRMS

... and to bring with you and produce:

Retained copies of all documents relating to any and all securities transactions in the name(s) of (*account names*) and or under the account number(s) of (*account names*), for the period to , including but not limited to:

1. Account statements for all accounts including but not limited to:
 - a. Cash accounts
 - b. Margin accounts
 - c. Mutual fund accounts
 - d. Limited partnership accounts
 - e. IRA accounts
 - f. KEOGH accounts
 - g. Cash management accounts
2. Applications to open accounts
3. Cash received and delivered blotters
4. Confirmation slips
5. Corporate board/partnership resolutions
6. CTR's and CMIR's
7. Customer correspondence files
8. Payment receipts (currency/check/wire/securities)
9. Securities position records
10. Stock certificate or bonds
11. Stock delivery receipts