

Clerk of the House of Representatives  
Legislative Resource Center  
B-106 Cannon Building  
Washington, DC 20515

Secretary of the Senate  
Office of Public Records  
232 Hart Building  
Washington, DC 20510

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## LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required To Complete This Page

1. Registrant Name			
Morgan Stanley Dean Witter & Co.			
2. Address <input type="checkbox"/> Check if different than previously reported			
401 9th Street, NW, Suite 650, Washington, DC 20004			
3. Principal Place of Business (if different from line 2)			
City:		State/Zip (or Country)	
4. Contact Name	Telephone	E-mail (optional)	5. Senate ID #
Samuel J. Baptista	202-654-2000		25842-1
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID #
			3181300

**TYPE OF REPORT** 8. Year 2001 Midyear (January 1-June 30) ☒ OR Year End (July 1-Dec)

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ ⇒ Termination Date \_\_\_\_\_

11. No Lobbying

### INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

<b>12. Lobbying Firms</b>
<b>INCOME</b> relating to lobbying activities for this reporting period was:
Less than \$10,000 <input type="checkbox"/>
\$10,000 or more <input type="checkbox"/> ⇒ \$ _____
Income (nearest \$20,000)
Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).

<b>13. Organizations</b>
<b>EXPENSES</b> relating to lobbying activities for this reporting period were:
Less than \$10,000 <input type="checkbox"/>
\$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>920,000.00</u>
Expenses (nearest \$20,000)
<b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for description of
<input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definition
<input type="checkbox"/> Method B. Reporting amounts under section 603 Internal Revenue Code
<input type="checkbox"/> Method C. Reporting amounts under section 162 Internal Revenue Code

Signature \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director



Registrant Name Morgan Stanley Dean Witter Client Name SELF

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code BAN (one per page)

16. Specific lobbying issues

Credit Card Issues  
Financial Information Privacy (S30; HR 347)  
Money Laundering  
Fair Credit Reporting Act (HR 1593)  
Internet Gambling (HR 2579; HR 556; S 718)  
Deposit Insurance Reform (HR 1293)  
Unsolicited E-Mail (HR 788; HR 5633)  
Interest on Checking/NOW Accounts (HR 974)

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

US House of Representatives  
US Senate

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
<u>Raymond A. Messina</u>	
<u>Samuel J. Baptista</u>	

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director



Registrant Name Morgan Stanley Dean Witter Client Name SELF

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code and provide information as requested. Attach additional page(s) as needed.

15. General issue area code BNK (one per page)

16. Specific lobbying issues

Bankruptcy Reform (HR 333; S 420)

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

US House of Representatives

US Senate

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Raymond A. Messina	
Michael J. Stein	
Samuel J. Baptista	

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director



Registrant Name Morgan Stanley Dean Witter Client Name SELF

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant is engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code and provide information as requested. Attach additional page(s) as needed.

15. General issue area code FIN (one per page)

16. Specific lobbying issues

FASB Accounting Proposals

Hedge Fund Regulation

Issues related to Research Analysts

Energy Legislation (HR 1468; SAFE Bill)

Patent Reform (HR 1866; HR 1886; HR 1303; HR 1333)

Issues related to Wholesale Power

Issues related to Market Data

Issues related to Initial Public Offerings

Issues related to Implementation  
of 2000

ERISA Reform (HR 2269)

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

US House of Representatives

US Senate

Securities & Exchange Commission

Commodity Futures Trading Commission

Federal Energy Regulatory Commission

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Michael J. Stein	
Samuel J. Baptista	

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director



Registrant Name Morgan Stanley Dean Witter Client Name SELF

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code FTN (one per page)

16. Specific lobbying issues

Regulations Implementing Gramm-Leach-Bliley Act  
Electronic Commerce Issues (HR 718; S 630)  
Section 31 Transaction Fees (S143; HR 1088)  
Financial Information Privacy (S 1092; S 4280)  
Equity Market Restructuring  
Fair Credit Reporting Act Amendments (HR 1543)  
Anti-Money Laundering (HR 3886)

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

US House of Representatives  
US Senate  
US Department of the Treasury  
Securities and Exchange Commission  
Commodity Futures Trading Commission

18. Name of each individual who acted as a lobbyist in this issue area.

Name	Covered Official Position (if applicable)
Raymond A. Messina	
Michael J. Stein	
Samuel J. Baptista	

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director

[REDACTED]

Registrant Name Morgan Stanley Dean Witter Client Name SELF

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each cod information as requested. Attach additional page(s) as needed.

15. General issue area code TAX (one per page)

16. Specific lobbying issues

International Simplification and Reform	Internet Tax Moratorium
President Bush's FY2002 Budget	Education Tax Breaks
Marriage Penalty Relief	Sudan Peace Act (HR 2052; S 18
Social Security Reform	
Retirement Savings Legislation (HR 10; S 742)	
Foreign Sales Corporation Act	
Subpart F	
Energy Bill (HR 4)	

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

US House of Representatives  
US Senate  
Department of Labor  
US Treasury Department  
Internal Revenue Service

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
David F. Pearce, Jr.	
Samuel J. Baptista	

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director



Registrant Name Morgan Stanley Dean Witter Client Name SELF

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code TRD (one per page)

16. Specific lobbying issues

EU Privacy Directive/Safe Harbor  
2001 WTO Services Negotiations  
Financial Architecture Reform  
E-Commerce  
Transparency  
Global Collateral  
US Singapore Free Trade Agreement  
Free Trade Area of the Americas

EU Financial Conglomerates Directive  
China Sanctions  
Sudan Peace Act  
US Chile Free Trade Agreement  
Hague Convention of Collateral

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

US House of Representatives  
US Senate  
US Department of Commerce  
US Department of the Treasury  
US Department of State  
US Trade Representative

Securities and Exchange Commi.  
Department of Justice

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Emily Altman	
Samuel J. Baptista	

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director



Registrant Name \_\_\_\_\_ Client Name \_\_\_\_\_

**Information Update Page - Complete ONLY where registration information has changed.**

20. Client new address

21. Client new principal place of business (if different from line 20)

City

State/Zip (or Country)

22. New general description of client's business or activities

**LOBBYIST UPDATE**

23. Name of each previously reported individual who is **no longer** expected to act as a lobbyist for the client

**ISSUE UPDATE**

24. General lobbying issues previously reported that **no longer** pertain

**AFFILIATED ORGANIZATIONS**

25. Add the following affiliated organization(s)

Name	Address	Principal Place of Bus (city and state or cou

26. Name of each previously reported organization that is **no longer** affiliated with the registrant or client

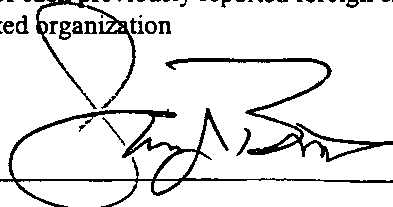
**FOREIGN ENTITIES**

27. Add the following foreign entities

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities

28. Name of each previously reported foreign entity that **no longer** owns, **or** controls, **or** is affiliated with the registrar affiliated organization

Signature



Date

8/15/01

Printed Name and Title

