

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

SECRETARY OF THE SENATE

03 FEB 24 PM 3: 37

**LOBBYING REPORT**

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

1. Registrant Name Morgan Stanley			
2. Address <input type="checkbox"/> Check if different than previously reported 401 9th St. NW, Suite 650			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) District of Columbia 20004			
4. Contact Name Samuel Baptista	Telephone (202) 654-2000	E-mail (optional)	5. Senate ID # 2584
7. Client Name <input checked="" type="checkbox"/> Self Self			6. House ID # 3181

**TYPE OF REPORT** 8. Year 2002 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**

<p align="center"><b>12. Lobbying Firms</b></p> <p><b>INCOME</b> relating to lobbying activities for this reporting period was:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> ⇒ \$ _____ Income (nearest \$20,000)</p> <p>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).</p>	<p align="center"><b>13. Organizations</b></p> <p><b>EXPENSES</b> relating to lobbying activities for this reporting period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>800,000.00</u> Expenses (nearest \$20,000)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for description of</p> <p><input checked="" type="checkbox"/> <b>Method A.</b> Reporting amounts using LDA definition</p> <p><input type="checkbox"/> <b>Method B.</b> Reporting amounts under section 6011 Internal Revenue Code</p> <p><input type="checkbox"/> <b>Method C.</b> Reporting amounts under section 162 Internal Revenue Code</p>
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Signature \_\_\_\_\_

Printed Name and Title Samuel J. Baptista, Managing Director

LD-2 (REV. 6/98)

Registrant Name Morgan Stanley 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 attach additional page(s) as needed.

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

16. Specific lobbying issues

Credit Card Issues (HR3175)  
Financial Information Privacy (S30; HR347; S848; S2201)  
Money Laundering  
Deposit Insurance Reform (HR3717; S1945)  
Unsolicited E-Mail (HR788; HR5633)  
Interest on Checking/NOW Accounts (HR974)  
Identity Theft (S1742)

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

☐ Check if None

U.S. House of Representatives  
U.S. Senate

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

Name	Covered Official Position (if applicable)
Raymond Messina	
Samuel Baptista	

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

☒ Check if None

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



Registrant Name Morgan Stanley Client Name Self

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant 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 BNK (one per page)

16. Specific lobbying issues

Bankruptcy Reform (HR 333; S 420)  
Regulatory Relief (HR 3951)  
Internet Gambling (HR 556)

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

U.S. House of Representatives  
U.S. Senate

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

Name	Covered Official Position (if applicable)
Raymond Messina	
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

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Registrant Name Morgan Stanley Client Name Self

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code and 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	Issues related to Public Offerings
Hedge Fund Regulation	ERISA Reform (HR 2269)
Issues related to Research Analysts	Investor Protection Legislation (HR 3763)
Energy Legislation (HR 1468; SAFE Bill)	Issues related to special purpose entities
Patent Reform (HR 1866; HR 1303; HR 1333)	Issues related to Investment Companies
Issues related to Wholesale Power	Issues related to Broker Dealers
Issues related to Market Data	Issues related Equity Market Structure

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

☐ Check if None

U.S. House of Representatives  
U.S. Senate  
Securities and 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

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Registrant Name Morgan Stanley Client Name Self

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant 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 FIN (one per page)

16. Specific lobbying issues

Electronic Commerce Issues (HR 718; S 630)  
Financial Information Privacy (S 30; HR 347)  
Equity Market Restructuring  
Online Privacy (HR 4678; S 2201)  
Sarbanes-Oxley Act of 2002 (PL 107-204)

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

☐ Check if None

U.S. House of Representatives  
U.S. Senate  
U.S. 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 Messina	
Michael Stein	
Samuel 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 \_\_\_\_\_

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Registrant Name Morgan Stanley 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** information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

Education Tax Breaks (HR 1; S 1)	Investment Advice Act (HR 2269)
Mutual Fund Capital Gain Relief (HR 168)	Amtrack Bond Issues (HR 2329)
Pension Reform/Executive Compensation	Internet Tax Moratorium
International Simplification & Reform (HR 5095)	Tax Shelters
Foreign Sales Corporation Act	Corporate Inversions
Energy Bill (HR 4)	Charitable Giving Incentives
	Taxpayer Bill of Rights

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

☐ Check if None

U.S. House of Representatives  
U.S. Senate  
U.S. Department of Labor  
U.S. Department of the Treasury  
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

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Registrant Name Morgan Stanley Client Name SELF

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant 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	Russia WTO Accession
2002 WTO Services Negotiations	State Department Funding
Financial Architecture Reform	Foreign Trading Screens
Transparency	
U.S. Singapore Free Trade Agreement	
EU Financial Conglomerates Directive	
Sarbanes-Oxley Act	
U.S. Chile Free Trade Agreement	

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

☐ Check if None

U.S. House of Representatives
U.S. Senate
U. S. Department of Commerce
U.S. Department of the Treasury
U.S. Department of State
U.S. Trade Representative
Securities and Exchange Commission

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

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Registrant Name Morgan Stanley Client Name Self

**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

George C. Tagg (deceased)

**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 Business (city and state or country)

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 registrant or affiliated organization

Signature



Date

2/11/03

Printed Name and Title Samuel J. Baptista, Managing Director

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