

**Principal Lobbyist**  
**MORGAN STANLEY & CO.**  
**LLC**

1585 BROADWAY  
NEW YORK, NY 10036

**p.** +1 212-761-4000

**e.** michael.kennedy@morganstanley.com

**Contractual Client**  
**MORGAN STANLEY & CO.**  
**LLC**

1585 BROADWAY  
NEW YORK, NY 10036

**p.** +1 212-761-4000

**e.** michael.kennedy@morganstanley.com

**Lobbyist Registration**

**Biennial Period: 2021 - 2022**

**Confirmation #: LRO2110194** ▼ [View Associated Filings](#)  
**(Submitted)**

Co/Sub Lobbyist(s) Information (if applicable)

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**Co-Lobbyists**

Co-Lobbyists Added

No Co-Lobbyists

**Sub-Lobbyists**

Sub-Lobbyists Added

No Sub-Lobbyists

Beneficial Client(s)

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**MORGAN STANLEY & CO. LLC**

1585 BROADWAY  
NEW YORK, NY 10036  
United States

**p.** +1 212-761-4000

**e.** michael.kennedy@morganstanley.com

Agreement Information

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**Type/Level of Government**

Type of Lobbying Relationship: *Employed*

Level of Government: *State/Municipal (Both)*

**Lobbying Agreement History**

Contract Name	Description	Client Signatory	Duration	Compensation
LRO2110194-01/03/2021-12.31.34	Will Exceed	Kennedy, Michael Vice President	01/01/2021 - 12/31/2022	Estimated \$240,000 for the two-year period. /Range

Individual Lobbyists

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## Active

Name	Phone	Email	Designated
Atapattu, Kaumudi	+1 212-761-3630	kaumudi.atapattu@morganstanley.com	<input type="checkbox"/>
Balanoff, Glen	+1 212-761-4000	glen.balanoff@morganstanley.com	<input type="checkbox"/>
Borys, Gregory	+1 212-761-4000	gregory.borys@morganstanley.com	<input type="checkbox"/>
Cackowsky, Keith, Edward	+1 212-761-4000	keith.cackowsky@morganstanley.com	<input type="checkbox"/>
Chionuma, Grace	+1 212-761-4000	grace.chionuma@morganstanley.com	<input type="checkbox"/>
Davis, Darryl	+1 212-761-4000	darryl.davis@morganstanley.com	<input type="checkbox"/>
Farrell, Dennis, Michael	+1 212-761-9039	dennis.farrell@morganstanley.com	<input type="checkbox"/>
Fraunfelder, Grant	+1 212-761-4000	grant.fraunfelder@morganstanley.com	<input type="checkbox"/>
Goldstein, Michelle	+1 212-761-4000	michelle.goldstein@morganstanley.com	<input type="checkbox"/>
Kelly, Daniel	+1 212-761-4000	daniel.kelly@morganstanley.com	<input type="checkbox"/>
Louis-Charles, Ayanna, M.	+1 212-761-4000	ayanna.louis-charles@morganstanley.com	<input type="checkbox"/>
Marron, Joan	+1 212-761-4000	joan.marron@morganstanley.com	<input type="checkbox"/>
Pattison, Robert	+1 212-761-4000	robert.pattison@morganstanley.com	<input type="checkbox"/>
Proulx, Geoff	+1 212-761-4000	geoff.proulx@morganstanley.com	<input type="checkbox"/>
Schwartz, Kevin	+1 212-761-4000	kevin.schwartz@morganstanley.com	<input type="checkbox"/>
Scudder, Barbara	+1 212-761-4000	barbara.scudder@morganstanley.com	<input type="checkbox"/>
Smelkinson, Ira	+1 212-761-4000	ira.smelkinson@morganstanley.com	<input type="checkbox"/>
Solomon, Zachary	+1 212-761-4000	zachary.solomon@morganstanley.com	<input type="checkbox"/>
Splawinski, Stephen	+1 212-761-4000	stephen.splawinski@morganstanley.com	<input type="checkbox"/>
Tally, Joan	+1 212-761-4000	joan.tally@morganstanley.com	<input type="checkbox"/>
Vlarnis, Steven, Alexander	+1 212-761-3965	alex.vlarnis@morganstanley.com	<input type="checkbox"/>
Weaver, Seymour, Marcus IV	+1 212-761-4000	marcus.weaver@morganstanley.com	<input type="checkbox"/>
Weiss, Richard	+1 212-761-4000	richard.weiss@morganstanley.com	<input type="checkbox"/>
Wild, Eric	+1 212-761-4000	eric.wild@morganstanley.com	<input type="checkbox"/>

Name	Phone	Email	Designated
Wynne, Brian	+1 212-761-4000	brian.wynne@morganstanley.com	<input type="checkbox"/>
Zlomislic, Oliver	+1 212-761-4000	oliver.zlomislic@morganstanley.com	<input type="checkbox"/>

## Business Relationships

Do you have a Reportable Business Relationship?:

No

## Lobbying Subjects

### Subjects Lobbied

### Selected Subjects

Subjects
Finance, Insurance & Financial Services – general
Finance, Insurance & Financial Services – Securities & Investment

## Lobbying Activities

### State & Municipal Focuses and Parties

Type(s) of Lobbying Communication(s) you are or you anticipate engaging in

Direct Lobbying

## Lobbying Focuses

### My Focuses

Identifying No. or Description (if No. does not exist)	Check if Monitoring Only
OFFERING MUNICIPAL BOND UNDERWRITING SERVICES (LOCAL)	<input type="checkbox"/>
OFFERING MUNICIPAL BOND UNDERWRITING SERVICES	<input type="checkbox"/>

Do you have Parties Lobbied or Expected to be Lobbied to report? : Yes

## Parties Lobbied or Expected to be Lobbied

### My Parties Lobbied

Government Body	Name
State Agency	Division of the Budget
State Agency	NYS Metropolitan Transportation Authority (MTA)

**Attestation**

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**Filer Name:**  
Kennedy, Michael

**CAO Name:** Kennedy, Michael

**Date of Submission:** 01/05/2021

**Payment History**

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ID	Type	Amount	Status	CheckNum	Approval Code	Filing	Check Received Date	Processed On
17554	MasterCard	\$200.00	Approved		092831	LRO211C194		01/05/2021

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# Morgan Stanley

December 11, 2020

New York State Joint Commission on Public Ethics  
540 Broadway  
Albany, New York 12207

ATTN: Lobbying Compliance

RE: Written Authorization for Employed Lobbyists

Morgan Stanley & Co. LLC will be lobbying on its own behalf. All individuals listed on the Statement of Registration are authorized to lobby on Morgan Stanley & Co. LLC's behalf.

The start date, which is the first date lobbying activities were authorized to commence, is January 1, 2021. The termination date, which is the last date lobbying activities have been authorized, is December 31, 2022.

The estimated anticipated compensation to be paid for lobbying services to the individuals listed on the Statement of Registration during the 2021-2022 registration period is \$240,000.

Other services, in addition to lobbying, will be provided by the individuals authorized to lobby.

Sincerely,



Michael Kennedy, Vice President  
Responsible Party for Morgan Stanley & Co. LLC  
12/11/20

## **Exhibit A**



COUNTY OF NASSAU

POLITICAL CAMPAIGN CONTRIBUTION DISCLOSURE FORM

1. Has the vendor or any corporate officers of the vendor provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

~~The vendor and the corporate officers of the vendor have not provided campaign contributions pursuant to the New York State Election Law in the period beginning January 1, 2019 and ending on the date of this disclosure, to the campaign committees of any of the Nassau County elected officials or to the campaign committees of any candidates listed above.~~

2. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees identified above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Dated: 1/12/2021

Vendor: Morgan Stanley & Co. LLC

Signed: Michael A. Kennedy

Print Name: Michael J. Kennedy

Title: Vice President