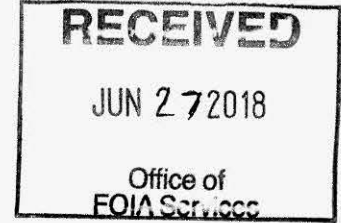


18-02311-FOIA

foiapa

From: Request@ip-10-170-25-67.ec2.internal
Sent: Tuesday, June 26, 2018 11:11 PM
To: foiapa
Subject: Request for Document from Devorah, Carrie



Carrie Devorah
[Redacted]
[Redacted]
United States

[Redacted]
[Redacted]
THE CENTER FOR COPYRIGHT INTEGRITY

Request:
COMP_NAME: Morgan Stanley
DOC_DATE: 1968-1972
TYPE: Other (fully describe)
COMMENTS: I want the original Investment Advisory application.

Fee Waiver Requested

Expedited Treatment Requested

I WANT ALL THE SCHEDULES THAT I DID NOT RECEIVE WHEN I RECEIVED THE PRIOR TOP SHEETS 6-26-2018(please)

If there is no original investment Advisory application, state so

I want the CRDS for the following persons including pre the year 1971 for:

- Samuel Burton Payne
- Chester Harding Lasell
- Charles Francis Morgan
- John Maurice Young
- Waler William Wilson
- Dudley Nevison Schoales
- Frank Alfred Petito
- Hudson Bardon Lemkau
- Alexander Cooper Tomlinson

Robert Hayes Baldwin

John Sheppard Poor

Herbert Lawrence Parker

Roger Thomas_ilmartin (illegible)

William Harris_word (illegible)

McAllister Donald Hoit

Charles Cooper Townsend Jr

Raymond Bedros Gary

William Heath Black

Edward Easton Matthews

Mark Albert Paul

Frederick Brewster Whittemore

John Clarence Evans

Peter Maurice Saint Germain

Sidney Blaxill

Seymour Parker Gilbert III

Daniel Burak Strickler Jr

John Hill T Wilson

Edwin Fithian Pollock

Frank Joseph Bohan Jr

FEE_AUTHORIZED: Other Amount \$: \$0

FEE_WAIVER_REQUESTED: NO

FEE_WAIVER_COMMENT: records sought will likely contribute significantly to public understanding of the operation or activities of the Government.

EXPEDITED_SERVICE_REQUESTED: Yes

EXPEDITE_COMMENT: failure to obtain the records quickly "could reasonably be expected to pose an imminent threat to the life or physical safety of an individual"; or, if you are a "person primarily engaged in disseminating information," by demonstrating that an "urgency to inform the public concerning actual or alleged Federal Government activity" exists.



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

July 10, 2018

Ms. Carrie Devorah



Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-02311-FOIA

Dear Ms. Devorah:

This letter is in response to your request, dated June 26, 2018 and received in this office on June 27, 2018, for access to the original Investment Advisory application concerning Morgan Stanley from 1968 to 1972, including all schedules that you did not receive when you received the prior top sheets. You also requested the CRDS for several persons pre 1971.

Based on the information you provided in your letter, we conducted a thorough search of the SEC's various systems of records, but did not locate or identify the original Investment Adviser application responsive to your request.

If you still have reason to believe that the SEC maintains the type of information you seek, please provide us with additional information, which could prompt another search. Otherwise, we conclude that no responsive information exists and we consider this request to be closed.

You have the right to appeal the adequacy of our search or finding of no responsive information to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(d)(5)(iv). The appeal must be received within ninety (90) calendar days of the date of this adverse decision. Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. The appeal may include facts and authorities you consider appropriate.

You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver it to Room 1120

Ms. Carrie Devorah
July 10, 2018
Page 2

18-02311-FOIA

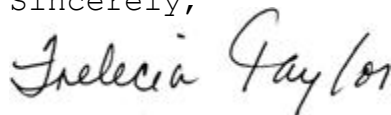
at that address. Also, send a copy to the SEC Office of the General Counsel, Mail Stop 9612, or deliver it to Room 1120 at the Station Place address.

Further, we are not certain what you are referring to when you stated you are seeking all schedules that you did not receive when you received the prior top sheets. If you are still interested in obtaining such records, please submit another FOIA requests and clarify the types of records of interest to you. Also, if you are referring to a prior FOIA request, please include the FOIA number in your new request.

Finally, regarding the portion of your request for access to the CRDs for the 28 individuals referenced in your request, we assume you are seeking the CRD numbers pertaining to these individuals. As such, access is granted to the information on the attached document titled *Attachment A*.

If you have any questions, please contact me at taylorf@sec.gov or (202) 551-8349. You may also contact me at foiapa@sec.gov or (202) 551-7900. You also have the right to seek assistance from Dave Henshall at (202) 551-7900 as a FOIA Public Liaison for this office, or contact the Office of Government Information Services (OGIS) for dispute resolution services. OGIS can be reached at 1-877-684-6448 or Archives.gov or via e-mail at ogis@nara.gov.

Sincerely,



Felecia Taylor
FOIA Lead Research Specialist

Enclosure

FOIA Request 18-02311-FOIA
Attachment A

Name	CRD Number
Samuel Burton Payne	358617
Chester Harding Lasell	303086
Charles Francis Morgan	339846
John Maurice Young	475027
Walter William Wilson	469546
Dudley Nevison Schoales	414604
Frank Alfred Petito	361673
Hudson Bardon Lemkau	306394
Alexander Cooper Tomlinson	447944
Robert Hayes Baldwin	11209
John Sheppard Poor	365684
Herbert Lawrence Parker	356600
Roger Thomas Gilmartin	221999
William Harris Sword, Sr.	441469
Donald Hoit McAllister	324429
Charles Cooper Townsend, Jr.	448544
Raymond Bedros Gary	218497
William Heath Black	22568
Edward Easton Matthews	1608873
Mark Albert Paul	358200
Frederick Brewster Whittemore	465958
John Clarence Evans	202986
Peter Maurice SaintGermain	432901
Sidney Blaxill	23411
Seymour Parker Gilbert, III	220455
Daniel Bursk Strickler, Jr.	438440
John Hill T. Wilson	469211
Edwin Fithian Pollock	365314