

**AUGST-JOHNSON, ET AL. v. MORGAN STANLEY & CO.
INCORPORATED CLAIM FORM**

**You must postmark this Claim Form
by no later than September 24, 2007
in order for it to be considered.**

[fname] [lname] [mailid]
[address1] [address2]
[city], [state] [zip]

IF YOU ARE A WOMAN AND WERE EMPLOYED AS A FINANCIAL ADVISOR OR REGISTERED FINANCIAL ADVISOR TRAINEE IN THE GLOBAL WEALTH MANAGEMENT GROUP OF MORGAN STANLEY & CO. INCORPORATED OR ITS PREDECESSOR(S) AT ANY TIME FROM AUGUST 5, 2003 THROUGH JUNE 30, 2007, YOU MAY BE ELIGIBLE FOR A MONETARY AWARD OUT OF THE SETTLEMENT CREATED IN THIS CASE.

NOTE: Claims based on facts occurring before August 5, 2003 or after June 30, 2007 are not eligible for any award under the Settlement Fund.

If your address is different than printed on the label above or if you did not receive this Claim Form in the mail, please complete your accurate and complete address information below.

Full Name: _____
First/Middle Initial/Last Name

Address: _____
Street Address, including any apartment or box number

City State Zip Code

CLAIM FORM INSTRUCTIONS

All information contained in this Claim Form will be kept strictly confidential. You will not be subject to any retaliation for your completion of these questions. Your answers to Sections A and G are required for you to participate in the claims process. Answer Sections B through F to the extent that they apply to you. Fill in only what applies to you. The monetary award that you receive will be determined based on a combination of your answers to these questions and your work history at Morgan Stanley.

Make sure to *sign and date* your Claim Form. You may use additional sheets of paper to answer any question on the Claim Form. If you do so, please be sure to put your name, social security number, and the question number on each additional sheet of paper you include with your Claim Form.

IMPORTANT: In order to be eligible to receive a settlement award, you must return this Claim Form **postmarked on or before September 24, 2007,** to:

**CLAIMS ADMINISTRATOR
MORGAN STANLEY FINANCIAL ADVISOR
SEX DISCRIMINATION LITIGATION
POST OFFICE BOX 10646
TALLAHASSEE, FL 32302-2646**

SECTION A

REQUIRED BACKGROUND AND JOB HISTORY INFORMATION

REQUIRED BACKGROUND INFORMATION

You ***must*** complete Questions Nos. 1 through 19 in order for your Claim Form to be processed.

1. _____
Home Telephone
2. _____
Work/Day-time Telephone
3. _____
Cell Phone (if any)
4. E-mail Address: _____
(if any)
5. _____
Social Security Number
6. Date of Birth: _____
Month /Day / Year
7. Please list any previous names you have used, including any used while you were employed by Morgan Stanley:
8. Please list any Central Registration Depository (“CRD”) Number(s) you have or ever had:
9. Please list the date you were first registered (“registration date”) with the NASD as a Series 7 broker/financial advisor:
10. Please list all Financial Advisor Number(s) (“FA Nos.”) you have ever had while employed by Morgan Stanley, including any Joint Production FA Nos., Partnership FA Nos., etc.:
11. Are you female? Yes No

SECTION A (CONTINUED)

REQUIRED JOB HISTORY

12. Please list the approximate date you began working at Morgan Stanley as a Financial Advisor or Registered Financial Advisor Trainee:
13. Please list the approximate date you began production at Morgan Stanley:
14. Are you currently a Registered Financial Advisor Trainee with Morgan Stanley? Yes No
15. If you were, but are no longer, a Registered Financial Advisor Trainee with Morgan Stanley, please indicate the reason and the approximate date you ceased being a Registered Financial Advisor Trainee at Morgan Stanley:
- Date:
- Reason:
Terminated Left industry Went to competition Took another position at Morgan Stanley
- Other (explain):
16. Are you currently a Financial Advisor with Morgan Stanley? Yes No
17. If you were but are no longer a Financial Advisor with Morgan Stanley, please indicate the reason and approximate date you ceased being a Financial Advisor with Morgan Stanley.
- Date:
- Reason:
Terminated Left industry Went to competition Took another position at Morgan Stanley
- Other (explain):
18. Have you passed your Series 7 exam? Yes No
Date Passed:
19. List all Morgan Stanley branch offices where you worked during your tenure with Morgan Stanley, including the branch identification numbers, if known, and the dates you worked in each branch office:

SECTION B

COMPENSATION

**WOMEN FINANCIAL ADVISOR CLASS MEMBERS WHO BELIEVE
THEY EXPERIENCED DISCRIMINATION IN COMPENSATION
AT MORGAN STANLEY ON THE BASIS OF THEIR SEX
PLEASE ANSWER QUESTIONS 20 - 25**

20. Please list all accounts which you believe you didn't receive because of your sex from August 5, 2003 through June 30, 2007. These accounts may have been available as the result of:

- Call-ins
- Walk-ins
- Financial Advisor leaving for another company
- Financial Advisor being terminated
- Retiring Financial Advisor
- Deceased Financial Advisor
- Partnership dissolution
- Other

21. For each account please include the following information: Name of Account, Approximate Date, Approximate Asset Value, Source, Receiving Financial Advisor (name/sex).

22. Has any Morgan Stanley manager ever asked you if you wanted to receive assigned accounts?
Yes No

23. Did you sign or enter into an Account Distribution Acknowledgement?
Yes No

a. If "Yes," approximately when did you sign or enter into an Account Distribution Acknowledgement?

b. If "Yes," did you receive any accounts after signing that Account Distribution Acknowledgement?
Yes No

c. If "No," did you ever ask any Morgan Stanley manager to receive assigned accounts?
Yes No

(i) If "Yes," did you receive any accounts after asking that manager for assigned accounts?
Yes No

o If "Yes," please state the number and asset value of any account(s) you received.

o If "No," please describe the manager's response to your request for assigned accounts.

24. Did a Branch Manager ever refuse to approve a Joint Production Agreement/Arrangement or a partnership that you proposed?
- a. If "Yes," please describe, including the approximate date(s), the name and sex of the Branch Manager, the names of the other Financial Advisors involved and any reason(s) the Branch Manager gave for his or her actions or decisions.
25. Did you ever ask to be part of a Joint Production Agreement/Arrangement or a partnership and were told by a Branch Manager that you could not?
- a. If "Yes," please describe, including the approximate date(s), the name and sex of the Branch Manager, the names of the other Financial Advisors involved and any reason(s) the Branch Manager gave for his or her actions or decisions.

**WOMEN REGISTERED FINANCIAL ADVISOR TRAINEE CLASS MEMBERS WHO
BELIEVE THEY EXPERIENCED DISCRIMINATION IN COMPENSATION
AT MORGAN STANLEY ON THE BASIS OF THEIR SEX
PLEASE ANSWER QUESTIONS 26 - 30**

26. How long have you been or were you a Series 7 licensed Trainee employed with Morgan Stanley?
0-6 months 6-12 months 12-18 months 18-24 months over 24 months
27. Are you aware of any male Registered Financial Advisor Trainees who were permitted to complete the training period and become full-fledged Financial Advisors in less time than you? Yes No
- a. If "Yes," when were those male Registered Financial Advisor Trainees permitted to complete the training period and become full-fledged Financial Advisors in less time than you?
- b. If "Yes," please describe, including the name of the male Registered Financial Advisor Trainee(s), the branch identification number (if known), and the name(s) and sex(es) of any managers you believe were involved.

28. Are you aware of any male Registered Financial Advisor Trainees who were permitted to join teams, partnerships or joint production agreements while still trainees? Yes No
- a. If "Yes," approximately when were those male Registered Financial Advisor Trainees permitted to join teams, partnerships or joint production agreements while still trainees?
 - b. If "Yes," please describe, including the name of the male Registered Financial Advisor Trainee(s), the branch identification number (if known), and the name(s) and sex(es) of any managers you believe were involved.
 - c. If "Yes," did you ever seek to join teams, partnerships or joint production agreements while still a trainee and were told by a manager that you could not?
 - If "Yes," please describe, including the approximate date(s), the name and sex of the manager, and any reason(s) the manager gave for his or her actions or decisions.
29. Do you believe you were unfairly paid less than any male Registered Financial Advisor Trainee because you are female? Yes No
- a. If "Yes," identify the male Registered Financial Advisor Trainee(s), the training class he/they were in, his branch identification number, if known, and amount of base salary.
30. Did you request a higher base salary at the time you were hired? Yes No
- a. If "Yes," to whom did you make the request, what was the response, and what reason were you given for the response?

SECTION C

PROMOTIONS/BRANCH MANAGEMENT OPPORTUNITIES

**WOMEN FINANCIAL ADVISOR CLASS MEMBERS
WHO BELIEVE THEY EXPERIENCED DISCRIMINATION IN OPPORTUNITIES TO MOVE
INTO BRANCH MANAGEMENT ON THE BASIS OF THEIR SEX
PLEASE ANSWER QUESTIONS 31 – 35.**

31. Please list any branch management positions that you applied for from August 5, 2003 through June 30, 2007 and did not receive. Please include the position title, approximate date, whether or not you were interviewed, and the name and sex of the person who received the position, if known.

TITLE	DATE APPLIED	INTERVIEWED	SEX	NAME
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- a. How did you apply for the positions identified in response to Question 31?

32. During your tenure at Morgan Stanley, and from August 5, 2003 through June 30, 2007, please list any management positions (Branch Manager, Assistant Branch Manager, Sales Manager, etc.) that you would have been interested in but you did not know were available until they were filled, the approximate date each was filled, and the name and sex of the person placed in that position.

DATE	POSITION	NAME	SEX
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33. Did you ever indicate interest in a management position to any management individuals? Yes
No

- a. If "Yes," please list who you communicated with, when you communicated with him or her, and what response you received.

34. Were there any other branch management positions that you were interested in and knew about, but did not apply for? Yes No

- a. If so, please list the position, approximate date it was available, who got the position, the gender of that person, and the reason you did not apply.

35. If you believe opportunities to move into management were unfair in any manner not already addressed above, please explain.

**WOMEN REGISTERED FINANCIAL ADVISOR TRAINEE CLASS MEMBERS WHO BELIEVE THEY EXPERIENCED DISCRIMINATION IN OPPORTUNITIES TO ADVANCE INTO A FINANCIAL ADVISOR POSITION ON THE BASIS OF THEIR SEX
PLEASE ANSWER QUESTIONS 36 - 37.**

36. From August 5, 2003 through June 30, 2007, did you move from Registered Financial Advisor Trainee to Financial Advisor at Morgan Stanley? Yes No

If "No," why not? (check all that apply)

Left Morgan Stanley before training completed. Reason: _____

Did not make production goals during training

Met production goals, but branch manager did not change my title or status.

Please provide any reason any manager gave for not changing your title or status.

Other (describe)

37. If you believe opportunities to move into management were unfair in any manner not already addressed above, please explain the basis of that belief.

SECTION D

TERMINATIONS

**WOMEN FINANCIAL ADVISOR CLASS MEMBERS OR REGISTERED FINANCIAL
ADVISOR TRAINEE CLASS MEMBERS WHO BELIEVE THEY WERE TERMINATED ON
THE BASIS OF THEIR SEX.**

PLEASE ANSWER QUESTIONS 38 - 43.

If you were *not* terminated by Morgan Stanley, please skip this section.

38. Were you terminated as part of the Morgan Stanley Reduction-in-Force ("RIF") of Financial Advisors in August 2005? Yes No

- a. If "Yes," did you know any male Financial Advisors who were in a similar situation to you in terms of productivity but were not terminated, but who you believe should have been? Please list names and reasons.

39. Were you terminated as part of the Morgan Stanley Reduction-in-Force ("RIF") of Registered Financial Advisor Trainees in May 2006? Yes No

- a. If "Yes," did you know any male Registered Financial Advisor Trainees who were in a similar situation to you in terms of productivity but were not terminated, but who you believe should have been? Please list names and reasons.

40. If you were not terminated as part of a RIF, when were you terminated? Date _____

What was the stated reason for your termination:

41. Do you believe that you were unfairly terminated because of your sex? Yes No

If "Yes," please explain:

42. After you were terminated from Morgan Stanley, approximately how long were you out of work:
_____ years _____ months _____ weeks

43. Did you seek alternative employment? Yes No

SECTION E

TERMS AND CONDITIONS OF EMPLOYMENT

WOMEN FINANCIAL ADVISOR CLASS MEMBERS OR REGISTERED FINANCIAL ADVISOR TRAINEE CLASS MEMBERS WHO BELIEVE THEY WERE DISCRIMINATED AGAINST IN THE TERMS AND CONDITIONS OF THEIR EMPLOYMENT ON THE BASIS OF THEIR SEX.

PLEASE ANSWER QUESTIONS 44 - 47.

44. Did any male Financial Advisors or Registered Financial Advisor Trainees receive *training or mentoring opportunities* at Morgan Stanley that you did not receive? Yes No

- a. If "Yes," please explain, including approximate date(s) of each occurrence, the manager(s) involved, and any specifics about the situation.

45. Did any male Financial Advisors or Registered Financial Advisor Trainees receive *marketing opportunities* at Morgan Stanley that you did not receive? Yes No

- a. If "Yes," please explain, including approximate date(s) of each occurrence, the manager(s) involved, and any specifics about the situation.

46. Did any male Financial Advisors or Registered Financial Advisor Trainees receive *administrative support or other sales assistance* at Morgan Stanley that you did not receive? Yes No

- a. If "Yes," please explain, including approximate date(s) of each occurrence, the manager(s) involved, and any specifics about the situation.

47. Do you believe that, because of your sex, you unfairly received an *office assignment* that was not commensurate with your production ranking in your office? Yes No

- a. If "Yes," were other Financial Advisors or Registered Financial Advisor Trainees unfairly assigned a better or more desirable office that should have been assigned to you? Yes No

If "Yes," identify the Financial Advisor(s) or Registered Financial Advisor Trainee(s), their sex(es), the approximate date of each occurrence, the manager(s) involved, and the reasons why you believe the better or more desirable office assigned to the other advisor(s) should have been assigned to you.

SECTION F

MEDICAL AND/OR PSYCHOLOGICAL EFFECTS OF DISCRIMINATION (COMPENSATORY DAMAGES)

**WOMEN FINANCIAL ADVISOR CLASS MEMBERS OR REGISTERED FINANCIAL
ADVISOR TRAINEE CLASS MEMBERS WHO BELIEVE THEY EXPERIENCED MEDICAL
AND/OR PSYCHOLOGICAL EFFECTS OF DISCRIMINATION ON THE BASIS
OF THEIR SEX**

PLEASE ANSWER QUESTIONS 48 – 51.

48. Do you contend that any of the sex discrimination you allege in this Claim Form resulted in emotional or physical effects or damages to you? Yes No

If you answered “No” to question 48, please skip the remainder of this section.

49. At any time from August 5, 2003 through June 30, 2007, did you see a medical doctor, medical practitioner, psychiatrist, psychologist or any other mental health professional because of any physical, emotional or psychological effects you believe were caused by any conduct you allege in this Claim Form as sex discrimination? Yes No

a. If “Yes,” please provide the name(s) and address(es) of each medical or mental health professional you have seen as well as the number of times you sought treatment, and the duration (time period) of any treatment.

50. Have you been prescribed any medication or other treatment for symptoms or conditions related to the physical, emotional or psychological effects of any conduct you allege in this Claim Form as sex discrimination. Yes No

a. If "Yes," please describe, including the number of times you sought treatment, the duration (time period) of any treatment, any prescription medications you were prescribed, and any diagnosis.

51. Have you incurred any costs for any medical or psychological treatments or prescriptions you sought as a result of the physical, emotional or psychological effects of any conduct you allege in this Claim Form as sex discrimination. Yes No

a. If "Yes," please describe, including the amount of cost(s) and what any cost(s) was/were incurred for.

SECTION G

SWORN AFFIRMATION AND SIGNATURE

I DECLARE UNDER PENALTY OF PERJURY THAT THE PRECEDING IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE.

I understand that I must keep the Claims Administrator informed of my current address and of any change in my home address. If I do not do so, I understand that I may not receive any award that I might otherwise be entitled to receive.

Executed this ____ day of _____, 2007

Signature of Claimant

Typed or Printed Name of Claimant

Social Security Number of Claimant

**WHEN YOU HAVE COMPLETED THIS CLAIM FORM,
PUT IT IN THE ENVELOPE PROVIDED, PUT POSTAGE ON IT, AND MAIL IT
BY NO LATER THAN SEPTEMBER 24, 2007 TO:**

**CLAIMS ADMINISTRATOR
MORGAN STANLEY FINANCIAL ADVISOR SEX DISCRIMINATION LITIGATION
POST OFFICE BOX 10646
TALLAHASSEE, FL 32302-2646**