

Porat Ruth

Form 3

January 08, 2010

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF
SECURITIES**Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting
Person *

Â Porat Ruth

(Last) (First) (Middle)

1585 BROADWAY

(Street)

NEW YORK,Â NYÂ 10036

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/01/2010

3. Issuer Name and Ticker or Trading Symbol

MORGAN STANLEY [MS]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Chief Financial Officer

5. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

504,883.75 ⁽¹⁾

D Â

Reminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

**Persons who respond to the collection of
information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)Date Expiration
Exercisable Date3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)Title Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Employee Stock Option (Right to Buy)	Â (2)	01/02/2010	Common Stock	24,615	\$ 51.1836	D	Â
Restoration Option (Right to Buy)	Â (2)	01/02/2010	Common Stock	27,189	\$ 61.7641	D	Â
Restoration Option (Right to Buy)	Â (2)	01/02/2010	Common Stock	14,227	\$ 76.0029	D	Â
Employee Stock Option (Right to Buy)	Â (2)	12/02/2010	Common Stock	29,400	\$ 55.6085	D	Â
Employee Stock Option (Right to Buy)	Â (2)	01/02/2012	Common Stock	13,466	\$ 48.5345	D	Â
Employee Stock Option (Right to Buy)	Â (2)	01/02/2013	Common Stock	11,699	\$ 36.2209	D	Â
Employee Stock Option (Right to Buy)	Â (2)	01/02/2014	Common Stock	19,746	\$ 47.1909	D	Â
Employee Stock Option (Right to Buy)	Â (3)	12/12/2016	Common Stock	23,737	\$ 66.726	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Porat Ruth 1585 BROADWAY NEW YORK, NY 10036	Â	Â	Â Chief Financial Officer	Â

Signatures

/s/ Charlene R. Herzer, Agent and
Attorney-in-Fact

01/08/2010

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) Includes shares acquired through the Morgan Stanley Employee Stock Purchase Plan.

(2) Options become exercisable upon vesting. The award is fully exercisable.

(3) Options become exercisable upon vesting. 50% of the award vested on January 2, 2009 and 50% will vest on January 2, 2010.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.