



United States Attorney's Office
Southern District of New York
Civilian Crime Reports Unit
Criminal Division

Civilian Crime Report

The U.S. Attorney's Office represents the Government in legal proceedings and works closely with investigative agencies including the FBI. The Criminal Division of the United States Attorney's Office is charged with enforcing the federal criminal laws within the Southern District of New York, which encompasses: the boroughs of Manhattan and the Bronx, as well as Dutchess, Orange, Putnam, Rockland, Sullivan, and Westchester Counties.

Person Completing This Report:

Name: Dana de Windt

Person/Entity Being Complained About:

Morgan Stanley Smith Barney

Name

1585 Broadway

Address

Address (Line 2)

New York New York 10036

City, State

Zip

County

Phone

Although the volume of information we receive from concerned members of the public prevents us from responding individually to every Report, be assured that we will carefully consider the information you have provided us to determine whether there is a matter for this Office to investigate. If we determine that your Report raises a matter within the jurisdiction of this Office to investigate and that further information from you is necessary for our investigation, you will be contacted. This Office does not resolve individual consumer complaints.

NATURE OF ALLEGED CRIMINAL VIOLATION(S):

- | | | | |
|---|---|--|---|
| ☐ Healthcare/Medicare Fraud | ☐ Tax Fraud | ☐ Terrorism/National Security | ☐ Internet Fraud |
| ☐ Public Corruption/Fraud/Waste | ☐ Organized Crime | ☐ Corporate Fraud | ☐ Drugs |
| ☐ Computer Crimes/Hacking | ☐ Environmental Crime | ☐ Human Trafficking (for sex or forced labor) | |
| ☐ Child Pornography/Exploitation | ☐ Mortgage/Bank/Credit Card/ATM Fraud & Identity Theft | | |
| ☒ Securities Fraud | ☐ Other (please explain) | | |

Does this Report Pertain to an Ongoing Case?

☒ Yes

☐ No

☐ Not Sure

If Yes, Please Provide the Following Case Information:

Kelley & Sadoff vs Morgan Stanley

Case Title and Docket Number (if known):

FINRA Case # 11-04778

Please clearly describe the violation of federal criminal laws that you would like to bring to our attention. Include as much information as possible, including the dates, places and nature of incident, and contact information for any witnesses (do not send original documents):

Morgan Stanley violated the Blue Sky laws from 1995-2005 selling unregistered securities to thousands of investors in the United States, withheld information from their brokers & clients

Are You a Victim of this Alleged Crime?

☒ Yes ☐ No ☐ Not Sure

Are You Aware of Any Other Victim(s)?

☒ Yes ☐ No ☐ Not Sure

If Yes, Please List Other Victim(s): There are thousands

Are You Represented by an Attorney in this Matter? ☐ Yes ☒ No

If Yes, Please Provide Attorney Contact Info:

Name: _____ Phone: _____

Address: _____

Have You Filed a Lawsuit Concerning this Matter? ☐ Yes ☒ No

If Yes, Please Provide the Following Case Information:

Case Title and Docket Number: _____

Name and Address of Court: _____

Status of Court Case (pending, dismissed, settled): _____

Have You Previously Filed a Report about this Matter with this Office or Any Other Federal, State or Local Agency(s)? ☒ Yes ☐ No If Yes, Date Filed: with Matthew Gaul

Contact Person: information sent 9/07 Agency: _____

Status of Previous Report: he left state attorney general office and did not follow up

I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that all of the foregoing information is true, correct and complete to the best of my knowledge, information and belief.

Signature: Danade Wundt Executed on this Date: 7/30/12

IMPORTANT NOTE REGARDING THE PRESERVATION OF YOUR LEGAL RIGHTS:

Submitting a Report to this Office has no effect on any statute of limitation that might apply to any claim you may have. By submitting a Report to this Office you have not commenced a lawsuit or other legal proceeding, and this Office has not initiated an investigation or lawsuit regarding the subject of your Report. If you believe that your rights have been violated and you seek to sue for money or other relief, you should contact a private attorney.

Mail this completed report to:

United States Attorney's Office
Southern District of New York
Attn: Civilian Crime Reports Unit (Criminal Division)
One St. Andrew's Plaza
New York, NY 10007