

**FORM ADV**

OMB: 3235-0049

**UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION**Primary Business Name: **MORGAN STANLEY SMITH BARNEY  
LLC**IARD/CRD Number:  
**149777**

Rev. 11/2010

**Form ADV, Schedule D****Section 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

MORGAN STANLEY PRIVATE WEALTH MANAGEMENT	AL, AK, AZ, AR, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, UT, VT, VA, WA, WV, WI, GU, VI
CONSULTING GROUP	AL, AK, AZ, AR, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, UT, VT, VA, WA, WV, WI, GU, VI
SMITH BARNEY	AL, AK, AZ, AR, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, UT, VT, VA, WA, WV, WI, GU, VI
PRIVATE PORTFOLIOS GROUP	AL, AK, AZ, AR, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, VT, VA, WA, WV, WI, GU, VI
MORGAN STANLEY	AL, AK, AZ, AR, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, UT, VT, VA, WA, WV, WI, GU, VI
GRAYSTONE CONSULTING	AL, AK, AZ, AR, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VT, VA, WA, WV, WI, VI

**Section 1.F. Other Offices**Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only

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**UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION****Primary Business Name: MORGAN STANLEY SMITH BARNEY****IARD/CRD Number: 111397****Rev. 11/2010****Form ADV, Schedule D****Section 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

MORGAN STANLEY SMITH BARNEY

AL, AK, AZ, AR, CA, CO, CT, DE, DC,  
FL, GA, HI, ID, IL, IN, IA, KS, KY, LA,  
ME, MD, MA, MI, MN, MS, MO, MT, NE,  
NV, NH, NJ, NM, NY, NC, ND, OH, OK,  
OR, PA, PR, RI, SC, SD, TN, TX, UT,  
VT, VA, WA, WV, WI, GU**Section 1.F. Other Offices**Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only with the SEC, list only the largest five (in terms of numbers of *employees*).

No Information Filed

**Section 1.I. World Wide Web Site Addresses**

List your World Wide Web site addresses. You must complete a separate Schedule D for each World Wide Web site address.

No Information Filed

**Section 1.K. Locations of Books and Records**Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D Page 1 for each location.

Name of entity where books and records are kept:

CITIGROUP

Number and Street 1:

388 GREENWICH STREET

Number and Street 2:

City:

NEW YORK

State:

NY

Country:

UNITED STATES

ZIP+4/Postal Code:

10013

If this address is a private residence, check this box: ☐

Telephone Number:

212-816-2000

Facsimile number:

212-816-8621

This is (check one):

☒ one of your branch offices or affiliates.☐ a third-party unaffiliated recordkeeper.☐ other.

Briefly describe the books and records kept at this location.

BOOKS AND RECORDS AS REQUIRED UNDER SECTION 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept:

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**UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION**

Primary Business Name: MORGAN STANLEY SMITH BARNEY

IARD/CRD Number: 111386

Rev. 11/2010

**Form ADV, Schedule D****Section 1.B. Other Business Names**

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D for each business name.

MORGAN STANLEY SMITH BARNEY

AL, AK, AZ, AR, CA, CO, CT, DE, DC,  
FL, GA, HI, ID, IL, IN, IA, KS, KY, LA,  
ME, MD, MA, MI, MN, MS, MO, MT, NE,  
NV, NH, NJ, NM, NY, NC, ND, OH, OK,  
OR, PA, PR, RI, SC, SD, TN, TX, UT,  
VT, VA, WA, WV, WI, GU

**Section 1.F. Other Offices**

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Page 1 for each location. If you are applying for registration, or are registered, only with the SEC, list only the largest five (in terms of numbers of *employees*).

No Information Filed

**Section 1.I. World Wide Web Site Addresses**

List your World Wide Web site addresses. You must complete a separate Schedule D for each World Wide Web site address.

No Information Filed

**Section 1.K. Locations of Books and Records**

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D Page 1 for each location.

Name of entity where books and records are kept:

BANK OF NEW YORK MELLON

Number and Street 1:

400 BELLEVUE PARKWAY

Number and Street 2:

City:

WILMINGTON

State:

DE

Country:

UNITED STATES

ZIP+4/Postal Code:

19809

If this address is a private residence, check this box: ☐

Telephone Number:

302-791-2000

Facsimile number:

This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.

VARIOUS BOOKS AND RECORDS AS REQUIRED UNDER SECTION 204 OF THE ADVISERS ACT.

Name of entity where books and records are kept: