

Tips for Searching File 540, TFSD Ownership Database

(September 2000)

Be sure to SET H 80 before displaying records in File 540, as the tabular data is wide and will wrap if the Set command is not used.

Company searching

Company names are searched using /CO or CO=. The companies in the file are larger, publicly held companies whose stock is actively traded.

Owner names

There are 3 types of Owner names searchable in the file: 1) Insiders (/DO and DO=), 5% owners (/FO and FO=), and Institutional Holders (/HN or HN=).

Insiders. Ownership of stock by insiders is derived from CDA Spectrum 6. The Insider Name field is composed of the names of officers, directors, or 10% principal stockholders who own 1,000 shares or at least a \$25,000 principal amount. Names are taken from Forms 3 and 4, filed with the Securities and Exchange Commission (SEC). Form 3 is an initial statement of ownership to be filed within ten days after the security is first acquired. Form 4 is a statement of a change in ownership to be filed within 10 days after the end of the month in which the transaction occurred. Owners who do not file within a five-year period to confirm their holdings are deleted.

Other information provided in the Insider table includes the relationship of the insider to the company. The table below provides a list of the codes and their meanings.

<u>Code</u>	<u>Relationship</u>
AF	Affiliated Person
AI	Affiliate of Investment Advisor
B	Beneficial Owner of More than 10% of a companies equity securities
BC	Beneficial Owner as a Custodian
BT	Beneficial Owner as a Trustee
CB	Chairman of the Board
CE	Chairman Emeritus
CP	Controlling Person
D	Director
DO	Director and Beneficial Owner of more than 10% of a class of the Company's equity securities
DS	Indirect Shareholder
GP	General Partner
H	Officer, Director, and Beneficial Owner of more than 10% of the Company's equity securities
IA	Investment Advisor
LP	Limited Partner
MC	Member of Committee of Advisory Board
O	Officer

<u>Code</u>	<u>Relationship</u>
OB	Officer and Beneficial Owner of more than 10% of the Company's equity securities
OD	Officer and Director
OT	Officer and Trustee
OX	Divisional Officer
P	President
SH	Shareholder
T	Trustee
UK	Unknown Relationship
VP	Vice President
VT	Voting Trustee

Also included in the Insider table are Rank by Number of Shares, Latest Trade in Shares (DL=)(negative numbers a sell, positive numbers a buy), Total Number of Shares Held, and Filing Date of information. Use the DH= prefix to search the total number of shares held by Insiders.

5% Owner Name. Ownership names are derived from CDA Spectrum 5. Beneficial (5%) owners are defined as those individuals or institutions that exercise voting authority or investment discretion, but may not necessarily have an economic interest in the shares. 5% owners are deleted if 1) after filing a 13G report they do not file again for 27 months, or 2) after filing an amended 13D showing less than 5% ownership, they do not file again for 15 months.

Beneficial owner information is taken from the following documents:

- 13D** A filing by all reporting persons who rapidly acquire 5% or more of a company's shares
- 13G** An annual filing by reporting persons maintaining a 5% ownership at the end of the calendar year
- 14D1** A filing made in conjunction with a formal tender offer for shares by the reporting persons

Searching 5% owners. The 5% owners are searched using /FO or FO=. In the FO= index, there are 3 elements included in the index: 1) the owner name, 2) the location of the owner, and 3) the filing. Be sure to expand in the FO= index to see the exact form of entry, or search by individual word in the Basic Index using the /FO suffix. Typical entries in the FO= index:

FO=AARON, GEORGE UNITED STATES 13D
 FO=AB VOLVO SWEDEN 13G
 FO=ABBEY ARTHUR N UNITED STATES 13D

Institutional Holder Name. Institutional Holders are searched using /HN in the Basic Index or HN= in the Additional Indexes. Punctuation may or may not be included in the

names, so when searching with HN= it is best to expand on the desired name. Below is a typical portion of the HN= index:

HN=A R ASSET MANAGEMENT, INC.
 HN=A. G. EDWARDS & SONS, INC.
 HN=FW VENTURES LP

Class of Stock

The Class of Stock sold by a company is indexed in the CK= field. Over 10,000 of the 17,000 records in the file are indexed to CK=COM indicating Common Stock. This field is highly abbreviated. Some of the common abbreviations found in this field are:

Abbreviation	Meaning
ADR	American Depository Receipts
BEN	Beneficial
BND	Corporate Bond
CL	Class
COM	Common Stock (Common A, Common B, Common C, or Common)
CONV	Convertible
CTF	Certificate
CVP	Convertible Preferred
DEP	Depository
FRE	Free
GDR	Global Depository Receipt
INT	Interest
LTD	Limited
NY	New York
ORD	Ordinary, Local Share, Limited Partnership, Registered, Savings Share
PFD	Preferred
RCPT	Receipt
SH	Shares
STK	Stock
UNT	Unit
VTG	Voting
WAR	Warrant

Share Data

The following fields can be used for searching Share data:

Prefix	Type of Data	Field Name
DH=	Number of Shares	Total Shares Held by Insiders
DL=	Number of Shares	Total of Latest Trades by Insiders
FH=	Number of Shares	Total Shares Held by 5% Owners
HC=	Number of Shares	Total Latest Quarter Change in Shares
HH=	Number of Shares	Total Shares Held by Institutional Holders
MF=	Value of Shares	Market Value Held by 5% Owners
ML=	Value of Shares	Market Value Held by Inside Owners
MH=	Value of Shares	Market Value of Shares Held by Institutional Holders
MV=	Value of Shares	Market Value of all Outstanding Shares
OS=	Number of Shares	Outstanding Shares
SS=	Number of Shareholders	Estimated Number of Shareholders

Trade data. For Institutional Holdings (Latest Qtr Chg in Shs column) and for Ownership by Insiders (Latest Trade column) when more stock is sold than is purchased, the total in latest trades is a negative number, and is preceded by a minus (-) sign. If a zero (0) appears, there have been no trades since the initial filing. Positive numbers indicate purchases.