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Investment: Depth Classification Version of CC.
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A NEELAMEGHAN, *Documentation Research and Training Centre, Bangalore 3.*

[A depth classification version of Colon Classification for compound subjects going with the Basic Subject "X65 Investment" is given. The methodology of design is based on that for freely faceted classification. Economy in schedule building has been achieved by the use of different devices—such as, Subject Device—wherever helpful, and also by using the schedules already available for the classification of compound subjects going with the Basic Subject "X62 Banking". An index to the schedule, and thirty examples classified according to the depth version, are given].

ABBREVIATIONS USED :

(BS) = Basic Subject (M) = Matter Isolate
CC = Colon Classification (P) = Personality Isolate
(CN) = Class Number (SD) = Subject Device
(E) = Energy isolate

1 Scope of the Paper

This paper demonstrates the design of a depth classification version of CC for compound subjects going with the (BS) "X65 Investment". The methodology for designing a freely faceted scheme for classification, based on postulates, canons, and principles, has been used (3-5).

2 Isolates

21 SPECIATORS IN (IP1)

The speciators, helpful in forming compound isolates in (IP1), are given in Table 1. The sequence among the speciators,

determined using the Wall-Picture Principle, is deemed to be helpful to a majority of the specialists in the subject (2).

211 Table 1. List of Speciators in (IPI)

SN	Sector (S-)	Speciator
1	V	By Holder/Owner of issue
2	QZ	By Variety of issue
3	M	By Financial market
4	3 to J	By Medium of investment (Collective treatment)
	0Z	By Instrument of investment
5-20	2	By Share
5	20Z	By Variety
6	24z	By Contractual limitation
7	23A	By Security
8	23c	By Ratio at which convertible
9	23b	By Period of validity of conversion privilege
10	2z	By Issuing body
11	2i	By Voting and vetoing
12	2rZ	By Guarantee
13-18	2eZ	By Dividend
13	2r	By Form
14	2p	By Continuity
15	2kZ	By Nature of cumulated dividend
16	2k	By Proportion
17	2h	By Percentage
18	2f	By Frequency of payment
19	2d	By Market value
20	2aZ	By Par value
21-40	1	By Bond
21	1AZ	By Variety
22	18	By Issuing body
23	17	By Grade
24	16	By Trading
25	15	By Tax status
26	1vz	By Security
27	1mZ	By Interest
27	1tZ	By Form of payment
28	1jz	By Priority claim
29	1p	By Mode of payment
30	1n	By Rate
31-32	1jZ	By Marketability
31	1m	By Degree of marketability
32	1k	By Market value
33-38	1eZ	By Redeemability
33	1gZ	By Stock option
34	1gK	By Choice
35	1gH	By Price
36	1gF	By Extent of notice
37	1gD	By Time of notice

SN	Sector (S-)	Specifier
38	agB	By Date of redemption
39	ldZ	By Callability
40	ld	By Retirement mode
41-42	laZ	By Maturity
41	lc	By Mode
42	lb	By Period

ISOLATES -N (M)

221 *Kinds*

Isolates in (M) are of three kinds:

1 Matter (Material); 2 Matter (Property); and Matter (Method). In the present schedule, only Matter (Property) and Matter (Method) isolates have been recognised.

222 *Property Isolate*

A schedule of Property Isolates is given. Some of them have been subdivided using appropriate characteristics.

3 *Divide-like Device*

31 SCHEDULE OF COMMON DIVISIONS

A depth version of CC for subjects going with the (BS) "X62 Banking" has been worked out (1). In that schedule, two common schedules — one for "Negotiable instruments (CS-1)" and another for "Party (CS-2)" are given for use in "Divide-like" Device in forming special isolates. It has been found helpful to use these Common Schedules in a similar way to form special isolates in the present schedule for the classification of subjects going with the (BS) "X65 Investment". Here are some examples:

- 1 Bond
- 15 *By Tax status*
 *** ***
- 17 *By Grade*
- 18 *By Issuing body*
 Note.— Division as in (CS-2)
 for "X62 Banking"
- 181 Government
- 183 Public utility
- 185 Company
- 2 Share

2d By Market value

*** **

2z By Issuing body

Note.— Division as in (CS-2)
for "X62 Banking"

2z1 Government

2z5 Company

This method, used along with the different devices of CC, has helped the design of the scheme for classification to conform to the Law of Parsimony, and to the Canons of Helpful Sequence, Consistent Sequence, and Mnemonics.

4 Basic Subject

In CC, Ed 7, "Investment" is enumerated as a canonical (BS) going with the Main Subject "X Economics". It occurs as a division of the Canonical (BS) "X6 Private Finance" as follows:

X6 Private finance
X61 Money
X62 Banking
X65 Investment

5 Notation

In CC, Ed 7, in the schedules for macro subjects going with the (BS) "X65 Investment" about fifty isolates have been enumerated. The depth version consists of about seven hundred enumerated isolates. But the notation used in the schedules of CC, Ed 7, for macro subjects has been retained. This has been possible because of the long base of CC's notational system and the use of Sector Device.

The Numerical Device (ND) can be used wherever found helpful in constructing the (CN), even though specific instructions might not be given for this purpose in the schedules.

6 Index to Schedule

Note.— 1 The terms enumerated in the schedules in Sec 7 are listed in this index. However, terms denoting ideas the numbers for which are indicated to be derived by using such devices as (AD), (ND), (SD) and "Division by" are not included.

2 The number from the schedule given against each index entry is preceded by an abbreviation for the name of the appropriate Fundamental Category—for example, (IP), (M), and (IE).

Accident insurance	bond (IP1), 1pB
Investment in (IP1), 84	of fractional share (IM), 9m
Accrued interest <i>for</i> Yield (IM), 7n	Advance-decline line (IM), 0r
Accumulation (IM), 9F	Advertisement (2M1), 53
of wealth (IM), 0C3	After-
Adjustment I	acquired clause (IP1), 11e

- tax
 earning power (2M1), 1h1
 income (1M), 0Q5
 Age (1M), 0B1
 All or none basis (2M1), 8Z1
 Amortisation (1M), 9H
 Amount of
 earning (1M), 7vi
 market price (1M), 2Zk
 And interest
 basis (1M), 2Ze
 short sale (2M1), 9P3
 Annual
 average yield (1M), 77
 earning power (2M1), 1h
 fluctuation basis (1M), 0RH
 payment of dividend (1P1), 2f1
 Annuity insurance,
 Investment in (1P1), 86
 Anti-dilution provision *irt*
 Premium (1M), 9g4
 Appreciation (1M), 9B
 Arbitrage (2M1), 9T
 Arranged in series *irt*
 Maturity of stock (1P1), 1cd
 Article of incorporation
 (2M1), 3w
 Ask-bid spread (2M1), 6d
 Asked price (1M), 2Zp
 Assignment (1E), 6 (2M1), n
 At a premium short sale (2M1), 9P5
 Auction market
 irt Listing (2M1), 1c
 Average net earnings
 irt Delisting (2M1), 2k
 Award (2M1), 8

 Balance sheet (2M1), 3p
 of company (1M), 0x3
 value of share (1P1), 2c1
 Balloon maturity (1P1), 1cb
 Bank deposit (1P1), 6
 Bankers' acceptance,
 Demand for (1M), 3M12
 Barron's confidence index (1M), 0s
 Basis for investment (1M), 0AY
 Bearer bond (1P1), 14m
 Bearish pattern (1M), 0f
 Before-tax earning power
 irt Listing (2M1), 1h2
 Bid price (1M), 2Zm
 irt Cost (1M), 9c1
 Bond (1P1), 1
 indenture (1M), 0T2
 price (2M1), 6h
 Borrowed short sale (2M1), 9P2
 Box (1M), 0d8
 Break-away gap (1M), 0c51

 Bridge bond (1P1), 1y3
 Broadcast (2M1), 543
 Building, Investment in (1P1), 941
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 Investment timing (1M), 0XH
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 irt Yield (M), 7k.
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 and hold (1M), 0RM
 share *irt* Cover short sale (2M1), 9R1

 Calculation (1E), b1
 Call (2M1), 9S2
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 free *irt* Yield (1M), 7t
 risk (1M), 9r1
 Callability *irt*
 Bond (1P1), 1dZ
 Yield (1M), 7s
 Callable
 bond (1P1), 1e
 during life of bond (1P1), 1el
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 market (1P1), M2
 Capitalisation statement
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 Cash (1E), 2 (2M1), b
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 (1P1), 2r1
 Redemption in (1P1), 1gk1
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 cash for fractional share (1M), 9m2
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- Conditional sale equipment trust security (1P1), 13d
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- Continuous dividend (1P1), 2p1
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- Conversion parity (1M), 9f
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- Cost of capital (1M), 0M31
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- Coupon bond (1P1), 1v3
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- Covenant of equal coverage (1P1), 14c
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and supply (1M), 9X
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 1b *By Period*
 1bc Short dated

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1bd	Medium dated	1m2	Spread between bid and asked price
1be	Long dated	1m3	Volume available
1bf	Indefinitely dated (Perpetual)	1m5	Popularity
1c	<i>By Mode of maturity</i>	1m7	Listing
1cb	Serial	1m8	Distribution
1cd	Arranged in series	1mD	Eligibility for purchase
1cf	Term	1mF	Seasoning
1ch	Serial and balloon	1mH	Tax exemption
1d	<i>By Retirement mode</i>	1mN	Poor marketability.
1db	Prior to maturity		Non-marketability
1dc	Through sinking fund	1mZ	<i>By Interest payment</i>
1dZ	<i>By Callability</i>	1n	<i>By Rate of interest (%)</i>
1c	Callable		<i>Note.— Division by (ND).</i>
1e1	During life of bond	1nB	Nominal interest
1e3	3-year after issue	1p	<i>By Mode of payment</i>
1e5	5-year after issue	1p1	Yearly
1e7	7-year after issue	1p2	Half-yearly
1eB	On date of payment of interest	1p4	Quarterly
1cD	On notice	1p7	Monthly
1f	Non-callable	1pB	Income bond (Adjustment bond)
1eZ	<i>By Redeemability</i>	1pZ	<i>By Priority claim</i>
1f	Nearly irredeemable	1r	Junior
1g	Redeemable	1r1	General
1g1	At par	1r2	Unified
1g2	At fixed ratio	1r3	Consolidated
1g3	Sliding scale	1r5	First refunding
1gB	<i>By Date of redemption</i>	1r7	First leasehold
1gB1	Fixed date	1s	Senior
1gB3	In a series of lotteries	1t	Prior lien
1gB5	Debtor's option	1tZ	<i>By Form</i>
1gD	<i>By Time of notice</i>	1u	Temporary
1gF	<i>By Extent of notice</i>	1v	Definitive
1gH	<i>By Price at which redeemable</i>	1v1	Registered
1gK	<i>By Choice in redemption</i>	1v11	Principal only
1gK1	Cash	1v13	Principal and interest
1gK2	New preferred stock	1v3	Coupon
1gZ	<i>By Stock option</i>	1v37	Fully registered
1h	Convertible bond	1vZ	<i>By Security</i>
1j	Warrant bond	1w	General
1j2	Detachable warrant	1x	Limited
1j3	Non-detachable warrant	1y	Secured
1j6	Associated stock	1y1	Guaranteed
1jZ	<i>By Marketability</i>	1y3	Bridge bond
1k	<i>By Market value</i>	1y5	Terminal bond
1k1	Fixed income (Equity)	1t	Mortgage
1k3	Potential income	11a	Lien on all property
1m	<i>By Degree of marketability</i>	11c	Lien on part of property
1m1	Ease of quotation	11e	With "after-acquired" clause
		11k	First lien

11m	Second lien	16B	Listed
11p	General	16C	Non-listed
		16E	Unlisted trading privilege
111	Closed end	16G	Transfer facility
116	Open end	17	<i>By Grade</i>
118	Limited open end	172	Low
		173	Intermediate
12	Collateral trust	174	High
12a	Withdrawal provision		
12b	By substitution	18	<i>By Issuing body</i>
12c	By part retirement		<i>Note.— Division by</i>
12e	Few securities in large block		(CS-2) for 'X62 Banking" (1).
12g	Variety of securities in small blocks		(<i>Illustrative</i>)
12h	Notes and accounts recoverable	181	Government
		183	Public utility
13	Equipment trust		
13a	Lease plan	1A Z	<i>By Variety of bond</i>
13b	Certificate	1B	Special assessment bond
13d	Conditional sale	1C	Revenue bond
13f	Notes	1E	National savings Certificate
		1E1	Defence bond
13Z	Unsecured	1E3	National development bond
14	Debenture stock	1E5	Premium savings bond
14b	Naked	1E7	Tax reserve certificate
14c	Covenant of equal coverage	1G	Treasury bill
14f	Mortgage		
	<i>T (A4) into (A3) begins</i>	2	Share
14j	Stock exchange security	2a Z	<i>By Par value</i>
14k	Negotiable	2b	With par value
14m	Bearer bond	2c	Without par value
14p	Scrip to bearer	2c1	Balance sheet value
14r	Share or stock warrant to bearer	2d	<i>By Market value</i>
14t	Debenture payable to bearer	2e Z	<i>By Dividend</i>
		2f	<i>By Frequency of payment</i>
14v	Non-negotiable	2f1	Annual
14w	Inscribed stock	2f2	Semiannual
14x	Registered stock and share	2f4	Quarterly
	<i>T (A4) nto (A3) ends</i>	2f8	Monthly
15	<i>By Tax status</i>	2h	<i>By Percentage</i>
151	High income group benefit		<i>Note.— Division by (ND)</i>
153	Capital gains	2k	<i>By Proportion</i>
155	Current taxable income	2k1	Full
15B	Fully taxed	2k2	Part
		2k4	Deferred
		2k5	No payment
		2k8	Dividend in arrears
16	<i>By Trading</i>		
161	Through stock exchange	2k Z	<i>By Nature of cumulated dividend</i>
162	Over the counter		
164	Inactive	2m	Liquid

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2n	Investment in fixed property	23c	By Ratio at which convertible
2p	By Dividend continuity		By Kind of security
2p1	Continuous		Note.— Division as for 1.
2p6	Discontinuous	23C	(Illustrative)
		23E	Revenue bond
		23G	National saving
			Treasury bill
2r	By Form of dividend	24	Ordinary
2r1	Cash	24z	By Contractual limitation
2r2	Stock	242	Preferred stock provision
2r3	Scrip		
2r5	Property	2Z	By Medium of investment
2r51	Security of other company		(For collective treatment)
2r8	Combination		
2rZ	By Guarantee	3	Corporate body. Party
2s	Guaranteed		Note.— Division by
2sB	Nature of guarantee		(CS. 2) for "X62 Banking" (1)
2sC	Value of property		(Illustrative)
2sE	Financial responsibility	3P	Trust
2t	By Voting and vetoing privilege	31	Government
2t1	Voting	311	Central government
2t2	Non-voting	33	Public utility
2t5	Vetoing	35A	Investing company
		38M	Cooperative body
2Z	By Issuing body	6	Bank deposit
	Note.— Division as in (CS. 2), for "X62 Banking" (1).		Note.— Division as for
	(Illustrative)		the (1M) isolate "2 Deposits" for "X62 Banking" (1).
2z1	Government		(Illustrative)
2z5	Company	61	Fixed deposit
20Z	By Variety of share	65	Savings
21	Class	67	Current
211	First preferred	7	Valuable
212	Second preference	71	Jewellery
213	Prior preference		
21A	Class A	8	Insurance policy
21B	Class B	81	Life
21K	Senior	82	Property
21M	Junior	83	Fidelity
22	Preferred	84	Accident
221	As to dividend	86	Annuity
222	Cumulative	861	Immediate
223	Non-cumulative	864	Deferred
225	Participating	865	Life
2251	Simple	866	Perpetual
2252	Immediate		
2253	Special	871	Child
2254	Limited	88	Social insurance
226	Subscription	884	Disability
23	Convertible	885	Unemployment
23b	By Period of validity of conversion privilege	91	Lottery

92	Money lending	0c53	Exhaustion gap
93	Pawn broking	0c55	Pennant and flag
931	Landed property	0d	Uncertainty pattern
932	Movable property	0d3	Triangle
		0d4	Wedge
94	Property	0d6	Rectangle
941	Land and building.	0d8	Box
	Real estate		
943	For occupancy	0f	Bearish pattern
944	For income	0f2	Double top
946	Mortgage	0f3	Single day island reversal
948	Real estate investment trust share	0f5	Triple top
		0f6	Inverted saucer
		0f7	Rounded top
		0f8	Down trend
B	Pension fund		
B1	Federal retirement		
B2	State and local retirement	0h	Movement
B3	Union	0mZ	Market level indicator
B5	Corporate	0n1	Stock average
B6	Private	0n2	Dow Jones averages
B61	Funded	0n3	Standard and Poor average
B65	Unfunded	0n8	Other
	Investment company	0p	Short sale indicator
H1	Open end	0q	Odd lot index
H3	Closed end	0r	Advance-decline line
		0s	Barron's confidence index
J	Other media	0x	Random walk
M	<i>By Financial market</i>	0AY	<i>By Basis for investment policy / programme</i>
M1	Short term money market	0AZ	Investment objective
M2	Capital market	0B	Financial position
M5	Resale market	0B1	Age
		0B2	Number of dependents
QZ	<i>By Variety of issue</i>	0B3	Life insurance
R	Primary issue, New issue	0B5	Cash reserve
S	Outstanding issue	0B6	Current and prospective non-investment income
V	<i>By Holder/Owner</i>	0BZ	Estate planning
	<i>Note.— Division as in (CS-2) for "X62 Banking" (1).</i>	0C	Financial need
	Isolates in (1M)	0C1	Unexpected emergency
		0C14	Disability
		0C17	Death
		0C2	Protection to family etc
		0C3	Accumulation of wealth
		0C5	Income during retirement
0aZ	<i>By Market study</i>	0C6	Security of investment income
0b	Trend	0C7	Disposal of estate after death
0bZ	Trend chart	0C72	Will
0c	Bullish pattern	0E	Debt management
0c1	Inverted head		
0c2	Inverted shoulder	0FZ	Selection of security
0c3	Saucer formation	0G	Safety
0c5	Uptrend and gap	0G1	Recoverability of principal/income
0c51	Break-away gap		
0c52	Measuring gap		

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OG11	Through maturity	OT	Security
OG12	Through resale	OT1	Nature and strength of claim against earnings and assets
OG13	Through financial institution	OT2	Bond indenture
OH	Regularity of income	OT3	Stock provision
OJ	Price trend	OT3	Financial position
OJ1	Strength	OT6	Dividend record
OJ4	Weakness		
OM	Rate of return (Yield). Short-term commercial rate	OUZ	Issuer
OM1	Demand	OV	Industry
OM11	Commercial paper	OV1	Status
OM12	Banker's acceptance	OV3	Economic condition
OM13	Collateral loan	OX	Company
OM15	Government security	OX1	Growth prospects
OM17	Federal funds	OX2	Management
OM3	Long-term investment rate	OX3	Balance sheet.
OM31	Cost of capital	OX5	Debt structure
OM32	Premium for risk	OX6	Earnings.
OM35	Yield curve	OX6	Dividend record
OM6	Transaction cost	OXB	Social institution favourable to investment
ON	Preservation of purchasing function	OXD	Stable government
OP	Marketability	OXE	Legal safeguards
OP1	Ease of securing quotation	OXF	Reasonably stable currency
OP2	Spread between bid and asked price	OXG	Financial institution and savings
OP3	Volume available	OXH	Business corporation and capital accumulation
OQ	Tax status	OXH1	Limited liability
OQ1	Tax exemption	OXH2	Perpetual life
OQ3	Rate of taxation	OXH3	Ready divisibility of debt and stock
OQ5	After tax income	OZB	Freedom from care
OR	Investment timing	OZC	Supervision
OR1	Purchase	OZC2	Diversification
OR2	Sale	OZC3	Continuous review
OR4	Purchase price	OZC5	Proper safeguarding
OR5	Sale price	OZF	Legality
ORB	Market quotation	I	Dividend
ORB1	Fundamental condition		<i>By Degree of regularity</i>
ORB2	Technical position	1b	Regular
ORB3	Psychology	1c	Extra
ORB5	Dow theory.	1d	Interim
	Investing in Dow-Jones		<i>By Source</i>
ORD	Formula timing plan.	1g	Earnings
	Formula investment plan	1h	Liquidating dividend
	Variable ratio plan		<i>By Form of payment</i>
ORE	Dollar cost averaging	1k	Cash
ORC	Monthly investment plan	1k6	Deferred
ORH	Annual fluctuation basis	1m	Stock
ORM	Buy and hold strategy	1n	Property
ORP	Fixed proportion strategy	1p	Scrap
OS	Denomination or size of investment unit	1r	Long-term bond/notes

2	Interest	8E	Yield-dividend
21	Simple	8G	Yield-to-maturity
22	Compound	9b	Commission
25	Leverage	9b1	Odd lot
		9b2	Round lot
2Z	Market price	9c	Cost of security
2Zb	At a discount		<i>Determined by</i>
2Zd	At a premium	9c1	Bid price
2Ze	"And interest" basis	9c2	Coupon rate
2Zf	Flat	9c3	Maturity
2Zg	Delayed delivery (S7F)	9c6	Rate of income/Cost of investment
2Zh	Equity	9d	Net proceeds income
2Zk	Amount/share	9e	Capital gain
2Zm	Bid	9e1	Short term
2Zp	Asked	9e3	Long term
2Zr	Ex-dividend	9f	Conversion parity
3	Purchase value	9g	Premium
	<i>Note.— Divide as 2Z.</i>		<i>Determined by</i>
5	Sale value	9g1	Transaction cost difference
	<i>Note.— Divide as 2Z.</i>	9g2	(Current) income (stream) difference
6	Redemption value	9g3	Financing cost difference
7	Yield	9g4	Antidilution provision
	<i>By Basis of yield</i>	9g5	Price floor
7a	Accrued interest	9g6	Duration of option
7b	Sale price	9g8	Price volatility
7d	Interest rate	9j	Parity price
7g	Term structure	9m	Adjustment of fractional share
7b	Change in rate of interest	9m1	Certificate for full share(s) and warrant for fractional share (1/3)
7k	Business risk	9m2	Certificate for full share(s) and cash for fractional share (1/3)
7m	Tax status	9m3	Certificate for 9 full shares
7p	Geographical variation	9mZ	Right
7q	Marketability	9a	Preemptive right feature
7r	Legality	9n1	Record data
7s	Callability	9n2	Basis of subscription
7t	Call free	9n3	Subscription price
7u	Convertibility	9n5	Expiration date
7v	Earning power	9n6	Value right
7v1	Amount	9r	Risk (Variation)
7v3	Quality	9r1	Call
7v6	Prospects	9r2	Credit risk (Business)
7w	Dividend	9r3	Interest rate risk
7w1	Present	9r4	Market risk
7w6	Prospective	9r5	Market value risk
7x	Price/Earning ratio	9r6	Purchasing power
		9r8	Political environment
72	Nominal	9t.	Loss
73	Current		
75	Net		
76	Negative		
77	Annual average		
78	Relation of current investment to return		
8C	Yield-earning		

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9B	Appreciation	1eB	Number of shares whh public
9F	Accumulation	1f	Number of stockholders
9H	Amorisation	1fB	Number of owners with minimum number of shares
9J	Diversification	1g	Market value of publicly held share
9K	Call deferment discount <i>Note.— Division by the number of years deferred (Illustrative)</i>	1h	Annual earning power
9K3	3 year deferment discount	1h1	After tax
9K5	5 year deferment discount	1h2	Before tax
9R	Split	2	Deisting
9S	Reverse split		
9T	Flow of savings		
9X	Demand and supply		
	Isolates in (1E)	2b	Number of stockholders
b1	Calculation	2c	Number of round lot holders
b6	Measurement	2c	Number of shares outstanding
g	Evaluation	2g	Total value of outstanding stock
u	Survey	2h	Market value of shares
0Z	Security market operations	2k	Average net earnings
1	Planning		
1Z	Security marketing	3	Registration
2	Purchase		
3	Sale	3aZ	Features of registration
4	Distribution	3b	Purpose of issue
5	Delivery	3c	Offered price
6	Transfer	3c1	Public
		3c5	Special group
B	Repurchase	3d	Purchase option
C	Resale	3f	Promotion fee
D	Stop order	3g	Underwriting project
D1	Protect profit	3h	Net proceeds to company
D5	Limit loss	3k	Remuneration of officers
	Isolates in (2M1)	3m	Capitalisation statement
		3p	Balance sheet
	For the (1E) isolates	3r	Earning statement
	"b1 to g"	3s	Name and address of officers etc
z1	Chart	3t	Name and address of stock holders
z11	Vertical bar chart	3u	Underwriting agreement
z13	Point and figure chart	3r	Legal opinion
z8	Survey <i>Note.— Division by (AD) (Illustrative)</i>	3w	Article of incorporation
z8M	Moody's	3x	Indentures affecting new issue
z8V	Value Line Investment Survey	4	Examination
	For the (1E) isolate	41	Deficiency statements
	"1Z Security marketing"	42	Stop order
1	Listing	43	No action
		Z	Open account
	<i>By Basis</i>	5	Prospectus delivery
1b	Widely distributed security	51	Notice
1c	Adequate auction market	52	Circular
1e	Minimum number of shares	53	Advertisement

54	Letter	9E4	Limited
541	Written	9F	Day order
543	Broadcast	9G	Open order
6	Competitive bid	9G1	Good for a week
6b	Pricing by underwriters	9G3	Good for a month
6c	Resale price	9G7	Good till cancelled
6c	Profit margin (Ask-bid spread)	9J	Long
		9K	Short
		9M	Odd lot
	<i>By Condition</i>	9M1	Unit of 100 shares
6d1	Nature of issue	9M3	Special (unit of 10 shares)
6d2	Issuer	9N	Round lot
6d3	Popularity	9P	Short sale
6d5	Size of issue	9P1	Restricted
6d6	Condition of security market	9P2	Borrowed/Loan of stock
6f	Premium bid	9P3	And interest
6g	Discount bid	9P4	Flat
6h	Bond price (% principal amount)	9P5	At a premium
6k	Stock price	9R	Cover short sale
		9R1	Buy share in market
7	Information	9RZ	Option
71	Inside	9S	Put and call
75	Outside	9S1	Put
		9S2	Call
8	Award	9S5	Straddle and spread
82	Split	9S6	Straddle
		9S7	Spread
9B	Private negotiation	9SB	Strap
9C	Underwriting agreement	9SC	Strip
		9T	Arbitrage
9CaZ	Features of underwriting agreement	9T2	Quasi
		9X	Private placement
9Cb	Identification of security	B	Large block marketing
9Cc	Method of payment	B1	Specialist block purchase
9Cd	Time of payment	B2	Special offer
9Ce	Method of delivery of security	B21	All or none basis
9Cf	Time of delivery of security	B22	Oversubscription
9Cg	Registration statement	B3	Secondary distribution
9Ch	Public offering date	B31	Participation
9Ck	Disposition of proceeds of issue	C	Large block purchase
9Cm	Future financing	C1	Specialist block sale
9Cn	Report to underwriter	C3	Exchange acquisition
9Cp	Indemnification agreement	C5	Special bid
9Cr	Safety clause	D1	Take down
9Cs	Escape clause	D3	Give up
9Ci	Spread for underwriting (Profit margin)	G	Time rate of transaction
9C2	Selection of participant	H	Security market
		Ha	Primary market.
9E	Order		Stock exchange
9E1	Market order	<i>By Scope</i>	
		Hb	Local

Hc	National	M	Investment bank
Hd	International	Mb	Whole sale
		Mc	Retail
	<i>By Quality of security traded</i>	M1	Partnership
		M3	Corporation
Hg	Low		
Hh	Medium	R	Pre-emptive rights issue
Hj	High	R1	Stand by underwriting agreement
	<i>By Volume of transaction</i>		
Hm	Small		For the (IE) isolate
Ha	Medium		"2 Purchase"
Hp	Large	b	Cash
	<i>By Regulation</i>	c	Margin
Hs	State		
Ht	Federal		For the (IE) isolate
	<i>By Specialisation</i>		"5 Delivery"
Hu	Government security	d	On cash
Hv	Municipal bond	e	Regular
Hw	Corporate bond	g	Delayed
Hx	Listed security	g2	Option
Hy	Unlisted security		
			For the (IE) isolate
J	Registered exchange		"6 Transfer"
	<i>Note.— Divide as H</i>	m	Power of attorney
K	Over-the-counter market	n	Assignment
	<i>Note.— Divide as H</i>	p	Negotiation

8 Examples

81 NOTE

1. Some of the subjects of the documents cited as examples in the classified part in Sec 83 were found to be multifocal. As the examples given in Sec 82 are meant mainly to demonstrate the method of constructing (CN)₁ with the depth schedule, each and every subject dealt with in a document is not included in the list of examples. Only one or two subjects have been selected from a document.

2. Some of the (IN) may be constructed using the Numerical Device (= ND). Unlike in the case of the other devices — such as, (AD) and (SD) — instruction is not given in the schedule, in all cases, to use (ND). However the (ND) may be used wherever the (IN) is to represent a quantitative measure.

82 ALPHABETICAL INDEX TO SUBJECTS

Given below is an alphabetical index to the subjects of the documents listed in Sec 83 Classified Entries. The Serial Number of the entry in Sec 83 is given as the Index Number against each entry in this section. The alphabetical subject index has been prepared according to Chain Indexing.

Africa, Random walk, Market price, Equity, Gold mining industry, Share 28
 Ask-bid spread, Stock exchange, Security marketing 3
 Associated stock compared with Warrant bond 16
 Australia, Private pension fund, Investment influencing Demand and supply,
 Ordinary share, New issue 29

Bearer bond, Investment 18
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Investment	7-25
Buy-hold strategy, Small denomination units, Selection, High capital gain tax, Security	13
Call	
deferment discount	
Callable bond Public utility issue	22
Non-callable, Interest 3 per cent, Public utility issue	23
Option, Security marketing	1-2
<i>risk influencing Yield, Public utility bond</i>	21
Callable bond, Public utility issue	22
Capital gains tax, Security	13
Central bank <i>influencing Yield, Treasury bill</i>	24
Convertible bond, Investment	15
Correlation and regression analysis	
<i>Listing influencing Market price, Security</i>	7
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Low grade <i>compared will Coupon bond, High grade</i>	19
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<i>influencing Market risk, Security</i>	11
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Dynamic programming, Market price, Associated stock <i>compared with Warrant bond</i>	16
Electricity supply issue, Preference share	27
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Gold mining industry, Share	28
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Evaluation	
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Low grade bond <i>compared with</i> Coupon bond, High grade	19
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Associated stock <i>compared with</i> Warrant bond	16
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Gold mining industry, Share	28
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Market risk, Security,	11
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Rate of return, Selection, Security	6
Money market control, Federal Reserve Bank of USA <i>influencing</i> Yield,	
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Nominal interest, Fully taxed, Government issue	20
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Open market operation, Money market control, Federal Reserve Bank of USA <i>influencing</i> Yield, Treasury bill	24
Operations research, Investigation, Market price, Associated stock <i>compared</i> <i>with</i> Warrant bond	
Option, Security marketing	1-2
Ordinary share, New issue	29
Parity, Put and call option, Security marketing	1-2
Pension fund, Investment <i>influencing</i> Demand and supply, Ordinary share, New issue	29
Preference share, Investment	27
Premium	
Convertible bond	14
Long term security	14
Price trend, Listed security	30
Private pension fund, Investment <i>influencing</i> Demand and supply, Ordinary share, New issue	29
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- Put and call option, Security 1-2
- Random walk
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 - Security 9
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 - Redemption, Bearer bond 18
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 - Listing, Market price, Security 7
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 - South Africa, Random walk, Market price, Equity, Gold mining industry, Share 28
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 - Movement, Market price, Security 8
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 - Movement, Market price, Security 8
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 - Stock exchange, Security, Marketing 3
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 - exemption influencing* Yield, Treasury bill 25
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 - Time rate of transaction *influencing* Ask-bid spread, Stock exchange, Security marketing 3
 - Treasury bill, Investment 24-25
- Warrant bond, Investment 16

Yield

Coupon bond, Low grade compared with Coupon bond, High grade 19
 Curve, Serial maturity, Nominal interest, Fully taxed, Government issue 20
 earning influencing Market price, Equity, Investment 17
 Evaluation, Limit, Diversification, Security 12
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83 Classified Entries

- X65 Investment
 X65.0Z:1Z:9S:a08&aX65:0x
 INVESTMENT, SECURITY MARKETING, PUT AND CALL OPTION,
 PARITY in relation to RANDOM WALK
- 1 N69 STOLL (H R). Relationship between put and call option prices.
 (J finance. 24:1969:801-23).
- X65.0Z:1Z:9S:a08:f:(BT8)
 INVESTMENT, SECURITY MARKETING, PUT AND CALL OPTION,
 PARITY, INVESTIGATION, CORRELATION AND REGRESSION ANALYSIS
- 2 N69 STOLL (H R). Relationship between put and call option prices.
 (J finance. 24:1969:801-23).
- X65.0Z:1Z:Ha-6d&gX65,1:1Z:G
 INVESTMENT, SECURITY MARKETING, (THROUGH) STOCK EXCHANGE,
 ASK-BID SPREAD influenced by TIME RATE OF TRANSACTION
- 3 N68 DEMSETZ (H). Cost of transacting. (Q j econ. 82:1968:33-53).
- X65.0Z:0H&m0M
 INVESTMENT, SECURITY, SELECTION BASED ON REGULARITY OF
 INCOME compared with SELECTION BASED ON RATE OF RETURN
- 4 N70 GAUMNITZ (J E). Appraising performance of investment portfolios.
 (J finance. 25:1970:555-60).
- X65.0Z:0J1:g
 INVESTMENT, SECURITY, SELECTION BASED ON STRENGTH, EVALUATION
- 5 N67 LEVY (R A). Relative strength as a criterion of investment selection.
 (J finance. 22:1967:595-610).
- X65.0Z:0M:y7(BT11)
 INVESTMENT, SECURITY, SELECTION BASED ON RATE OF RETURN,
 STOCHASTIC MODEL
- 6 N67 CURLEY (A J). Stochastic simulation of the personal investment decision.
 (Thesis, Univ of Pennsylvania. 1967). (J finance. 24:1969:723-4).
- X65,1:2Z&gX65:1Z:1:f:(BT8)
 INVESTMENT, SECURITY, MARKET PRICE influenced by LISTING,
 INVESTIGATION, CORRELATION AND REGRESSION ANALYSIS
- 7 N68 FURST (R W). Investigation into the effects of listing on the market price of common stocks. (Thesis. Univ of Washington. 1968).
 (J finance. 25:1970:169).

- X65,1:2Z:0h;y7(BT11,M)
INVESTMENT, SECURITY, MARKET PRICE, MOVEMENT, MARKOVIAN
PROCESS MODEL
- 8 N69 FIELTIZ (B D). On the behaviour of stock price relatives as a random process, with an application to New York Stock Exchange prices. (Thesis. Kent State Univ. 1969). (J finance. 25;1970;694-3).
- X65,1:2Z:0x:g
INVESTMENT, SECURITY, MARKET PRICE, RANDOM WALK,
EVALUATION
- 9 N69 TAYLOR (B). Art, science, or what? (Lloyds Bank rev. 91;1969;10-21).
- X65,1:9r&j2Z
INVESTMENT, SECURITY, RISK *influenced by* MARKET PRICE
- 10 N70 JONES (C P) and LITZENBERGER (R H). Quarterly earnings reports and intermediate stock price trends. (J finance. 25;1970;143-8)
- X65,1:9r4&r9J
INVESTMENT, SECURITY, MARKET RISK *influenced by* DIVERSIFICATION
11. N70 GAUMNITZ (J E). Appraising performance of investment portfolios. (J finance. 25;1970;555-60).
- X65,1:9J:a6:g(X65,1:7)
INVESTMENT, SECURITY, DIVERSIFICATION, LIMIT, EVALUATION,
from the angle of YIELD
- 12 N67 GAUMNITZ (J E). Investment diversification under uncertainty. An examination of the number securities in a diversified portfolio. (Thesis. Stanford Univ. 1967). (J finance. 24;1969;725-6).
- X65,1-153E:0SB-0KM
INVESTMENT, SECURITY, (WITH) HIGH CAPITAL GAINS TAX,
SELECTION BASED ON SMALL DENOMINATION UNITS, BUY-HOLD
STRATEGY
- 13 N70 EVANS (J L). Analysis of portfolio maintenance strategies. (J finance. 25;1970;561-71).
- X65,1bc:0M32:N66--N50
INVESTMENT, LONG TERM SECURITY, RISK PREMIUM, 1950-1966
- 14 N69 SOLDOPSKY (R M) and MILLER (R L). Risk premium curves for different classes of long-term securities, 1950-1966. (J finance. 24;1969;429-45).
- X65,1h;9g
INVESTMENT, CONVERTIBLE BOND, PREMIUM
- 15 N68 WEIL (JR.) (R L), SEGALL (J E) and GREEN (JR) (D). Premiums on convertible bonds. (J finance. 23;1968;445-63).
- X65,1j&m 1j6:2Z:f:(BTT3)
INVESTMENT, WARRANT BOND *compared with* ASSOCIATED
STOCK, (*in respect of*) MARKET PRICE, INVESTIGATION, DYNAMIC PROGRAMMING
- 16 N69 HOUNG-YHI CHEN (A). Dynamic programming approach to the valuation of warrants. (Thesis. Univ of California (Berkeley). 1969). (J finance. 24;1969;956).

- X65,1k1;2Z&r8C
INVESTMENT, EQUITY, MARKET PRICE *influenced by* YIELD-EARNING
- 17 N68 BEILDEMAN (C R). Study of the influence of growth on the valuation of equity. (Thesis. Univ of Pennsylvania. 1968). (J finance. 25;1970;161-2).
- X65,14m-1gB1;g(8;7)
INVESTMENT, BEARER BOND, FIXED DATE REDEMPTION, EVALUATION. (*from the angle of*) DECISION THEORY
- 18 N68 SCHILBRED (C M). Bond evaluation as a decision under certainty, risk or uncertainty. (Swedish j econ. 70;1968;43-56). (J econ lit. 6;1968;705).
- X65,174-1v3&cX65,172-1v3;7
INVESTMENT, HIGH GRADE, COUPON BOND *compared with* LOW GRADE, COUPON BOND, (*in respect of*) YIELD
- 19 N70 BUSE (A). Expectations, prices, coupons and yield. (J finance. 25;1970;809-18)
- X65,181-15B-1nB-1cb;0M35
INVESTMENT, GOVERNMENT ISSUE, FULLY TAXED, NOMINAL INTEREST, SERIAL MATURITY, YIELD CURVE
- 20 N68 NEUMANN (M J M). Yield-curve analysis: A method for empirical-determinants of the term structure of interest rates at the bond market. (Jahrb nationalökön statis. 12;1968;193-23). (J econ lit. 7; 1968;691-2).
- X65,183;7&r9f1
INVESTMENT, PUBLIC UTILITY BOND, YIELD *influenced by* CALL RISK
- 21 N67 JEN (F C) and WERT (J E). Effect of call risk on corporate bond yields. (J finance. 22;1967;637-51).
- X65,183-1e;9k5
INVESTMENT, PUBLIC UTILITY ISSUE, CALLABLE BOND, FIVE-YEAR CALL DEFERMENT DISCOUNT
- 22 N67 PYE (G). Value of call deferment on a bond: Some empirical results. (J finance. 22;1967;623-36).
- X65,183-1n3-1eF;9k5
INVESTMENT, PUBLIC UTILITY ISSUE, INTEREST AT 3 PER CENT NON-CALLABLE, FIVE-YEAR CALL DEFERMENT DISCOUNT
- 23 N67 PYE (G). Value of call deferment on a bond: Some empirical results. (J finance. 22;1967;623-36).
- X65,1G;7&gX62,1.73,d,9N;11-B'N64--N61
INVESTMENT, TREASURY BILL, YIELD *influenced by* FEDERAL RESERVE BANK OF USA, MONEY MARKET CONTROL, OPEN MARKET OPERATIONS METHOD, 1961-64.
- N66 Wood (JR) (O G). Federal reserve systems "Operation nudge" (J finance. 31;1966;566-7).
- X65,1G;7&r0Q1
INVESTMENT, TREASURY BILL, YIELD *influenced by* TAX EXEMPTION
- 25 N69 PYE (G). On the tax structure of interest rates. (Q j econ. 83; 1969;562-79).

- X65,2:3&m2
INVESTMENT, SHARE, SALE VALUE *influenced by* INTEREST
- 26 N68 NAMPE (JR)(E P). Impact of interest rates on share prices. The influence of expectations, growth and leverage. (Thesis. Univ of Illinois. 1968). (J finance. 25;1970;946)
- X65,22-2z36&cX65,1;9X
INVESTMENT, PREFERENCE SHARE, ELECTRICITY SUPPLY ISSUE *compared with* BOND, (in respect of) DEMAND AND SUPPLY
- 27 N69 NIENDORF (R M). Changes in the price relationship between investment grade bonds and preferred stocks. (Thesis. Univ of Wisconsin. 1969). (J finance. 25;1970;177-8).
- X65,2z7(HX,118)-1k1;2Z:0x639G'N67←N46
INVESTMENT, GOLD MINING INDUSTRY SHARE, EQUITY, MARKET PRICE, RANDOM WALK, SOUTH AFRICA, 1946-67
- 28 N68 SCHMUHL (P H). Behaviour of equity prices in South Africa during the period 1946 to 1967. (S Afr j econ. 36;1968;280-303). (J econ lit. 7;1969;692-3).
- X65,R-24;9X&gX65,VB6.8
INVESTMENT, NEW ISSUE MARKET, ORDINARY SHARE, DEMAND AND SUPPLY *influenced by* INVESTMENT, PRIVATE PENSION FUND, AUSTRALIA
- 29 N67 ROSE (P J). Some aspects of private pension funds and the capital market. (Econ rec. 43;1967;354-70).
- X65,R-16B;0J
INVESTMENT, NEW ISSUE, LISTED SECURITY, PRICE TREND
- 30 N70 VAN HORNE (J C). New listings and their price behaviour. (J finance. 25;1970;783-94).

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