

## TFSD Ownership Database

### FILE DESCRIPTION

The **TFSD Ownership Database** contains public corporate ownership information which is generated from three publications containing data produced by CDA/Spectrum: Spectrum 3 (institutional holdings), Spectrum 5 (5% ownership holdings), and Spectrum 6 (ownership by insiders). This database details the common stock holdings of major institutions, corporate insiders, and 5% beneficial owners for over 10,000 companies. This information is derived from filings made with the U.S. Securities and Exchange Commission (SEC) on a quarterly or as-required basis as ownership of stock changes. The data indicate specific institutions and individuals, their relationship to the company, their holdings, and their most recent trades.

When more than one record exists for a company, the main record lists holders of common stock, while other records list holders of other kinds of stock. These typically list a single holder of a special issue stock.

### SUBJECT COVERAGE

- General stock and company information including SIC (Standard Industrial Classification) Codes, CUSIP (Committee on Uniform Security Identification Procedures) Number, Class of Stock, Market Value, Outstanding Shares, and more
- Details of Institutional Holdings
- Details of 5% Ownership Holdings
- Details of Insiders Ownership
- Ownership Summary

### SOURCES

TFSD Ownership Database is drawn from three publications:

- SPECTRUM 3 - Institutional Stock Holdings Survey
- SPECTRUM 5 - 5% Beneficial Ownership
- SPECTRUM 6 - Insider Ownership

Data is collected from the following reports, filed with the Securities and Exchange Commission (SEC). These reports, along with the SPECTRUM publications in which they are found, are as follows:

- SPECTRUM 3 - 13F

SPECTRUM 5 - 13D, 13G, and 14D-1

- SPECTRUM 6 - FORM 3 and FORM 4.

### TIPS

#### USE FILE 540

to get ownership information on over 10,000 U.S. public companies.

#### SET H 80

to accommodate wide tabular records.

#### USE CO=

to locate a company's record.

EXPAND CO=MACDERMID and  
SELECT the appropriate entry.

### DIALOG FILE DATA

Inclusive Dates: Current data

Update Frequency: Monthly Reload

File Size: 23,183 records as of January 2010

### CONTACT

TFSD Ownership Database is produced by Thomson Financial Securities Data. Questions concerning file content should be directed to:

Thomson Financial Securities Data  
Database Services

2 Gateway Center

Newark, NJ 07102

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SAMPLE RECORD

DIALOG(R)File 540:TFSD Ownership Database  
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00117377  
**/CO,CO=** YORK GROUP INC  
**EX=,TS=** Exchange: NASDAQ National Market System Ticker Symbol: YRKG  
**CU=** CUSIP No: 98663210  
**SC=** SIC Codes: 3995  
**PC=** Primary SIC Code: 3995  
**SS=** Estimated Number of Shareholders: 43  
**CK=** Class of Stock: COM  
**OS=** Outstanding Shares: 8,941,000  
**CP=** Closing Price: 4.00  
**MV=** Market Value(\$MIL): 35  
**MD=,PD=** as of: 06/30/2000

INSTITUTIONAL HOLDINGS (SPECTRUM 3)

	INSTITUTIONAL HOLDER	RANK	LATEST QTR CHG IN SHS	SHARES HELD	FILING DATE
<b>/HN,HN=</b>	AXA FINANCIAL, INC.	16	11,400	11,400	03/31/2000
	BARCLAYS BANK PLC	13	600	23,810	03/31/2000
	BRANDYWINE ASSET MGMT, INC.	8	0	198,900	12/31/1999
	BRINSON PARTNERS, INC.	6	-4,500	405,063	03/31/2000
	C H DEAN & ASSOC INC	10	-2,600	64,700	06/30/2000
	CARDINAL CAPITAL MGMT LLC	18	-11,500	0	03/31/2000
	DALTON GREINER HARTMAN MAHER	1	63,100	651,400	03/31/2000
	DIMENSIONAL FD ADVISORS, INC	2	83,400	589,450	03/31/2000
	FIRST MANHATTAN CO (CAP MGMT	11	-11,700	62,600	03/31/2000
	FIRST UNION CORPORATION	18	-339,800	0	03/31/2000
	FLEET BOSTON CORPORATION	4	0	451,500	03/31/2000
	KENNEDY CAPITAL MGMT, INC.	9	-7,500	133,700	03/31/2000
	LEGG MASON FUND ADVISORS, IN	7	900	201,100	03/31/2000
	MERRILL LYNCH CAPITAL MARKET	17	0	75	03/31/2000
	NATIONAL CITY BK OF CLEVELAN	15	0	12,000	03/31/2000
	PIONEER INVESTMENT MGMT INC.	5	0	444,200	06/30/2000
	SPEAR, LEEDS & KELLOGG	14	13,580	13,580	03/31/2000
	SUNTRUST BANKS INC	3	-10,000	501,300	03/31/2000
	VIRGINIA INVT COUNSELORS, IN	12	-1,150	47,000	03/31/2000
<b>HX=,HC=,HH=</b>	TOTAL OF 17 OWNERS		-215,770	3,811,778	
<b>MH=</b>	MARKET VALUE (MILLIONS)			15	06/30/2000

OWNERSHIP BY 5% OWNERS (SPECTRUM 5)

	NAME OF OWNER	LOCATION	SHARES HELD	DATE	FORM
<b>/FO,FO=</b>	DALTON GREINER HARTMAN MAHER&C	UNITED STATES	588,300	12/31/1999	13G
	DIMENSIONAL FD ADVISORS, INC.	UNITED STATES	506,050	12/31/1999	13G
	ELDER GROUP INC	UNITED STATES	699,600	09/10/1997	13G
	ELDER, ALAN H	UNITED STATES	859,659	12/31/1999	13G
	FIRST MANHATTAN CO (CAP MGMT)	UNITED STATES	540,400	12/31/1998	13G
	FIRST MANHATTAN COMPANY	UNITED STATES	74,300	12/31/1999	13G
	FIRST UNION CORPORATION	UNITED STATES	339,800	12/31/1999	13G
	FLEET BOSTON CORPORATION	UNITED STATES	451,500	12/31/1999	13G
	KENNEDY CAPITAL MGMT, INC.	UNITED STATES	141,200	12/31/1999	13G
	PIONEER INVESTMENT MGMT INC.	UNITED STATES	444,200	11/30/1999	13G
	SUNTRUST BANKS INC	UNITED STATES	511,300	12/31/1999	13G
<b>FX=,FH=</b>	TOTAL OF 11 OWNERS		5,156,309		
<b>MF=</b>	MARKET VALUE (MILLIONS)			20	11/30/1999

OWNERSHIP BY INSIDERS (SPECTRUM 6)

	NAME OF INSIDER	RELATION	SHIP	RANK	LATEST TRADE	SHARES HELD	FILING DATE
<b>/DO,DO=</b>	BABCOCK DICK		VP	15	1,025	1,025	12/1999
	BECK DAVID F		VP	9	-8,000	32,000	08/1997
	ELDER ALAN H		D	6	0	132,867	10/1999
	ELDER GROUP INC		D	1	15,000	614,600	09/1998
	FOLEY GEORGE L JR		VP	12	0	10,000	05/1999
	JOHNSON KENNETH L		VP	11	-72,200	27,040	08/1998
	NICHOLS GERARD K		VP	8	-5,000	37,540	08/1999
	NUSS ELDON P		D	10	-57,500	30,000	09/1997
	PENDLETON KIRK P		D	14	2,000	2,000	02/1998
	RAKICH ROBERT T		D	13	1,000	6,000	09/1998

# TFSD Ownership Database

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## SAMPLE RECORD (cont'd)

<b>DX=,DL=,DH= ML=</b>	RUNNELS GERALD	OX	3	-5,000	239,952	08/1998	
	RUNNELS GERALD D	VP	4	-10,000	229,952	08/1999	
	SEVEDGE ROGER W	D	5	0	164,552	02/1998	
	TRULOVE HOWARD JOE	VP	2	0	284,262	10/1999	
	WILCOCK BILL W	P	7	-5,000	106,300	11/1999	
	TOTAL OF	15 OWNERS		-143,675	1,918,090		
		MARKET VALUE (MILLIONS)			7	12/31/1999	
	OWNERSHIP SUMMARY						
		NO. OF OWNERS	SHARES HELD		MARKET VALUE (\$MILLIONS)	FILING DATE	
		INSTITUTIONS (SPEC 3)	17	3,811,778	15	06/30/2000	
	5% OWNERS (SPEC 5)	11	5,156,309	20	11/30/1999		
	CORPORATE INSIDERS (SPEC 6)	15	1,918,090	7	12/31/1999		

## SEARCH OPTIONS

### BASIC INDEX

SEARCH SUFFIX	DISPLAY CODE	FIELD NAME	INDEXING	SELECT EXAMPLES
—	—	All Basic Index Fields	Word	S YORK
/CO	CO	Company Name <sup>1</sup>	Word	S YORK(W)GROUP/CO
/DO	DO	Insider Name <sup>1</sup>	Word	S DICK(1N)BABCOCK/DO
/FO	FO	5% Owner Name <sup>1</sup>	Word	S SUNTRUST(1N)BANKS/FO
/HN	HN	Institutional Holder Name <sup>1</sup>	Word	S LEGG(W)MASON/HN

<sup>1</sup> Searchable in the Basic Index and in the Additional Indexes.

## TFSD Ownership Database

## ADDITIONAL INDEXES

SEARCH PREFIX	DISPLAY CODE	FIELD NAME	INDEXING	SELECT EXAMPLES
—	AZ	DIALOG Accession Number		
CK=	CK	Class of Stock	Phrase	S CK=COM
CO=	CO	Company Name <sup>1</sup>	Phrase	S CO=YORK GROUP?
CP=	CP	Closing Price	Numeric	S CP=4.00:8.00
CU=	CU	CUSIP Number	Phrase	S CU=98663210
DH=	—	Total Shares Held by Insiders	Numeric	S DH=1.5M:2M
DL=	—	Total of Latest Trades by Insiders	Numeric	S DL=-150K:-130K
DO=	DO	Insider Name <sup>1</sup>	Phrase	S DO=BECK DAVID?
DX=	—	Total Insiders	Numeric	S DX=15:20
EX=	EX	Exchange	Phrase	S EX=NASDAQ?
FH=	FH	Total Shares Held by 5% Owners	Numeric	S FH=5M:6M
FO=	FO	5% Owner Name <sup>1</sup>	Phrase	S FO=DALTON GREINER?
FX=	—	Total 5% Owners <sup>1</sup>	Numeric	S FX=10:15
HC=	—	Total Latest Quarter Change in Shares	Numeric	S HC=-300K:-200K
HH=	—	Total Shares Held by Institutional Holders	Numeric	S HH=3M:5M
HN=	HN	Institutional Holder Name <sup>1</sup>	Phrase	S HN=BARCLAYS BANK?
HX=	HX	Total Institutional Holders	Numeric	S HX=15:25
MD=	MD	Market Value Date	Phrase	S MD="06/30/2000"
MF=	SH	5% Owner Market Value	Numeric	S MF=18M:20M
MH=	SH	Market Value of Shares Held by Instit Holders	Numeric	S MH=12M:16M
ML=	SH	Inside Owners Market Value	Numeric	S ML=5M:10M
MV=	MV	Market Value of all Outstanding Shares	Numeric	S MV=32M:38M
NU=	CN	DISCLOSURE Company Number	Phrase	S NU=M200888000
OS=	OS	Outstanding Shares	Numeric	S OS=8M:10M
PC=	PC	Primary SIC Code	Phrase	S PC=3995
PD=	—	Publication Date	Phrase	S PD=20030930
SC=	SC	Standard Industrial Classification (SIC) Code	Phrase	S SC=3995
SS=	SS	Estimated Number of Shareholders	Numeric	S SS=40:50
TS=	TS	Ticker Symbol	Phrase	S TS=YRKG

## SPECIAL FEATURES

For command descriptions, enter HELP SORT, HELP RANK online.

<b>SORT</b>	CK, CO, CP, CU, DH, DL, DX, EX, FH, FX, HC, HH, HX, MD, MH, MV, NU, OS, PC, SS, TS	SORT S3/ALL/TS PRINT S5/5/1-20/PC
<b>RANK</b>	All phrase- and numeric-indexed fields in the Additional Indexes can be ranked.	RANK HN S3

## PREDEFINED FORMAT OPTIONS

NO.	DIALOGWEB FORMAT	RECORD CONTENT
1	--	DIALOG Accession Number
2	Medium	Basic Company Information
3	--	Company Name, Class of Stock, and Ownership Summary
4	--	Company Name, Class of Stock, and Ownership by 5% Owners SPECTRUM 5
5	--	Full Record
6	Short	Company Name and Class of Stock
7	Long	Company Name, Class of Stock, and Institutional Holdings SPECTRUM 3
9	Full	Full Record
17	--	Company Name, Class of Stock, and Ownership by Insiders SPECTRUM 6
K	--	KWIC (Key Word In Context) displays a window of text; may be used alone or with other formats

## OTHER OUTPUT OPTIONS

For an explanation, enter HELP TYPE, HELP UDF, HELP TAG online.

<b>USER DEFINED FORMATS</b>	User-defined formats may be specified using the display codes indicated in the Search Options tables.	TYPE S3/CO,MH,MD/1-3
<b>TAG</b>	TAG may be used for tagged fields.	TYPE S3/3/1-5 TAG
<b>DIRECT RECORD ACCESS</b>	DIALOG Accession Number	TYPE 0003435/8 DISPLAY 0003536/3 PRINT 0003571/5

## FOR ONLINE HELP:

See HELP FIELDS 540 for searchable fields; HELP FORMAT 540 for output formats; HELP LIMIT 540 for limits; HELP RATES 540 for cost information; HELP SORT 540 for sorts.