

# Thomson Financial Insider Trading Monitor™

## FILE DESCRIPTION

The Thomson Financial Insider Trading Monitor collection is the world's most expansive collection of insider trading data, and covers equity and convertible trades by individuals and institutions who are classified by the US Securities and Exchange Commission (SEC) as "insiders." An insider is an officer, director, a person with a "policy-making" role, or a beneficial owner (holder of 10% or more) of a company's stock. Insiders are both individuals and corporations, and are required by the SEC to report their direct and indirect holdings of the company's stock. Thomson Financial acquires documents directly from the SEC daily. Data is compiled by a team of highly experienced analysts from each filing within hours of receipt at the SEC. The SEC requirements pertain to US companies, but the filers may be from outside the U.S.

## SUBJECT COVERAGE

- Insider name and position
- Issuer details
- Ownership Type
- Security Type
- SEC Form number
- Transaction Type and Purpose

## SOURCES

Sources for File 549 include U.S. Securities and Exchange Commission (SEC) Forms 3, 4, 5, and 144. To search by form number while online, expand SF= to view the form numbers:

Form 3: Initial Statement of Ownership

Form 4: Statement of Changes in Beneficial Ownership

Form 5: Annual Statement of Changes in Beneficial Ownership

Form 144: Intention To Sell Restricted Securities.

## TIPS

### USE /NM OR NM=

to search for an insider's name.

### USE PI=

to search for an insider by Personal ID number.

### USE /CO OR CO=

to search for companies of interest.

### Expand SF=

to easily locate records by SEC form type.

## DIALOG FILE DATA

Inclusive Dates: 1986 to the present

Update Frequency: Daily

File Size: 18,364,771 records as of March 2006

## CONTACT

The THOMSON FINANCIAL INSIDER TRADING MONITOR database is produced by Thomson Financial. Questions concerning file content should be directed to:

Dialog

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## SAMPLE RECORD

DIALOG(R)File 549:Thomson Financial Insider Trading Monitor  
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10004536

**AA=** Supplier Number : 0031753911001  
**/CO, CO=** Issuer Name (Company): WESTERN GAS RESOURCES INC  
**/NM, NM=** Insider Name : WALTER JOHN C

**CY=, ST=, ZP=** Insider Address:  
12200 N PECOS ST  
DENVER CO 80234

**TS=** Ticker Symbol : WGR  
**CU=** CUSIP No. : 958259103  
**/IN, IN=** Industry : Gas

**PI=** Person ID : 12104547  
Insider Position : Officer (O)  
Executive Vice President (EVP)

**SF=** SEC Form number : 4  
**PD=, PY=** SEC receipt date : October 25, 2002  
Signature date : October 24, 2002  
Verification level : Data verified  
Amendment : No

**OT=** Ownership Type : Direct  
**PT=, PU=** Transaction purpose : A (Grant or Award (Rule 16b-3(c)))  
**TD=** Transaction date : October 23, 2002  
Acquisition/Disposition : Acquisition

As Reported:  
**PT=, PU=** Transaction Purpose : A (Grant or Award (Rule 16b-3(c)))  
**TD=** Transaction date : October 23, 2002  
Acquisition/Disposition : Acquisition

**DR=** Derivative type : OPTNS (Options)  
Exercise date : October 23, 2003  
Expiration date : October 23, 2008  
Number of derivatives : 6000.0000

**TC=, TY=** Underlying security title : COM (Common Stock)  
Underlying shares : 6000.0000  
Underlying market price : 32.95  
Resulting derivatives held : 6000.0000

SEARCH OPTIONS

BASIC INDEX

SEARCH SUFFIX	DISPLAY CODE	REPORT (FIELD LENGTH)	FIELD NAME	INDEXING	SELECT EXAMPLES
— /CO /NM	— CO NM	— CO (32) —	All Basic Index Fields Company Name <sup>1</sup> Insider Name <sup>1</sup>	Word Word Word	S JP(W)MORGAN S WESTERN(W)GAS(W)RESOURCES?/CO S WALTER(J)JOHN(C)/NM

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

ADDITIONAL INDEXES

SEARCH PREFIX	DISPLAY CODE	REPORT (FIELD LENGTH)	FIELD NAME	INDEXING	SELECT EXAMPLES
—	A1	A1 (32)	Street Address		
AA=	AA	—	SUPPLIER Accession Number	Phrase	S AA=0000654249001
—	AM	—	Amendment Indicator		
—	AZ	—	DIALOG Accession Number		
—	BN	—	Broker Name		
—	CL	—	Cleansing Indicator		
CO=	CO	CO (32)	Issuer Name <sup>1</sup>	Phrase	S CO=WESTERN GAS RESOURCES?
CU=	CU	CU (14)	CUSIP Number	Phrase	S CU=958259103
CY=	CY	CY (16)	City	Phrase	S CY=DENVER?
—	DL	DL (17)	Number of Shares		
DR=	DR	—	Derivative Type <sup>5</sup>	Phrase	S DR=OPTIONS
—	ED	—	Exercise Date		
—	EP	—	Conv/Exercise Price		
IN=	IN	—	Industry <sup>4</sup>	Word & Phrase	S IN=GAS S IN=EAFE CHEMICALS
—	MP	—	Underlying Market Price		
—	ND	—	Number of Derivatives		
NM=	NM	—	Insider Name <sup>1</sup>	Phrase	S NM=WALTER JOHN C
OT=	OT	—	Ownership Type <sup>3</sup>	Phrase	S OT=DIRECT S OT=INDIRECT
PD =	PD	PD (10)	Filing Date	Phrase	S PD=20021025
PI=	PI	—	Person ID	Phrase	S PI=12104547
—	PR	PR (10)	Transaction Price		
PT=	PT	PT (10)	Transaction Purpose <sup>3</sup>	Phrase	S PT=A
PU=	PU	PU (32)	Transaction Purpose <sup>3</sup>	Phrase	S PU=ACQUISITION? S PU=HOLDINGS?
PY=	PY	PY (8)	Filing Year	Phrase	S PY=2002
—	RE	—	Resulting Derivatives Held		
—	SD	—	Signature Date		
SF=	SF	—	Form Type	Phrase	S SF=4
ST=	ST	ST (7)	State	Phrase	S ST=CO
TC=	TC	TC (10)	Security Type <sup>3</sup>	Phrase	S TC=COM
TD=	TD	TD (13)	Transaction Date	Phrase	S TD=20021023
—	TE	TE (14)	Telephone (US Only)		
TR=	TR	TR (13)	Transaction Type <sup>3</sup>	Phrase	S TR=DISPOSITION
TS=	TS	TS (8)	Ticker Symbol	Phrase	S TS=WGR
TY=	TY	TY (17)	Security Type <sup>3</sup>	Phrase	S TY=COMMON STOCK
UD=	—	—	Update	Phrase	S UD=9999
—	US	—	Underlying Shares		
—	XD	—	Expiration Date		
ZP=	ZP	ZP (12)	Postal Code	Phrase	S ZP=80234

<sup>2</sup> Final transaction of the month only.

<sup>3</sup> EXPAND for a complete list of possible entries, e.g., EXPAND IN=.

<sup>4</sup> EAFE - Europe, Australia, Far East

<sup>5</sup> Only available in Form 144

**SPECIAL FEATURES**

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

<b>LIMIT</b>	/YYYY -- Filing Year	S S1/YYYY
<b>SORT</b>	AA, CO, CU, CY, DR, IN, NM, OT, PD, PI, PT, PU, PY, SF, ST, TD, TR, TS, ZP	SORT S13/ALL/CO,ZP PRINT S5/5/1-24/ZP
<b>RANK</b>	All phrase- and numeric-indexed fields in the Additional Indexes can be ranked.	RANK CO

**PREDEFINED FORMAT OPTIONS**

NO.	DIALOGWEB FORMAT	RECORD CONTENT
1	--	DIALOG Accession Number
2	--	Full Record
3	Medium	Accnum, Issuer Name (Company), Insider Name, Insider Address, CUSIP, Ticker Symbol, Industry, Person ID, Insider Position and SEC Form Number
4	--	Accnum, Issuer Name (Company), Insider Name, Insider Address, CUSIP, Ticker Symbol, Industry, Person ID, Insider Position, SEC Form Number and all Transaction Fields
5	Long	Full Record
6	--	Accnum, Issuer Name (Company), Insider Name, and Insider Address
7	--	Full Record
8	Short	Accnum, Issuer Name (Company), Insider Name, and Insider Address
9	Full	Full Record

**OTHER OUTPUT OPTIONS**

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

<b>REPORT</b>	Output can be displayed in table format. REPORT codes with field lengths in parentheses are listed in the Search Options tables. Default table width is 72 characters; use SET H 132 to set maximum table width.	REPORT S2/CO,TD,PR/ALL
<b>USER DEFINED FORMATS</b>	Output may be specified using the display codes indicated in the Search Options tables.	TYPE S3/CO,TE/1-5
<b>TAG</b>	TAG may be used for tagged fields.	TYPE S8/8/1-5 TAG
<b>DIRECT RECORD ACCESS</b>	DIALOG Accession Number	TYPE 0000980/5 DISPLAY 0074483/CO,NM PRINT 0301964/5

**FOR ONLINE HELP:**

See HELP FIELDS 549 for searchable fields; HELP FORMAT 549 for output formats; HELP LIMIT 549 for limits; HELP RATES 549 for cost information; HELP SORT 549 for sorts.