

16. NOTE: It is desired that in answering the following question Investment Companies should supply listings of portfolios as of the calendar dates indicated, with the possible exception of those companies whose fiscal year does not end on December 31. If such companies should experience undue difficulties in supplying the data as of the calendar dates referred to, their fiscal year and quarter dates may be employed in the following manner:
- (i) In lieu of listings as of December 31 annually 1952 through 1957, listings may be given as of November 30 annually 1952 through 1957 or January 31 annually 1953 through 1958, depending on which of these months marks the end of the Company's fiscal quarter.
 - (ii) In lieu of listings as of June 30, 1957, June 30, 1958 and September 30, 1958, listings as of the following fiscal quarter dates may be given:
Either May 31, 1957, May 31, 1958 and August 31, 1958
or July 31, 1957, July 31, 1958 and October 31, 1958.

In every case the actual date of portfolio listing should be clearly indicated at the head of the form used. Companies whose fiscal year does not coincide with the calendar year should nevertheless supply data as of calendar dates if they can conveniently do so.

In the classification of bond holdings into "Investment Grade" and "Other" as referred to in the question, the division to be given should be that which obtained as of the date of the relevant portfolio listing. Bonds should be classified as "Investment Grade" if they were so rated by Moody's (e. g. Baa or superior) or Standard and Poor's (e. g. B1+ or superior) or other rating services, or, in the case of unrated bonds, if the Investment Company considered them to have been of equivalent quality as of the date of listing.

- (i) ATTACH listings of portfolio at market values by the following characteristics as of:
 - (a) December 31 annually, 1952 through 1957, and
 - (b) June 30, 1957, June 30, 1958 and September 30, 1958.

(See Table next page)

Date of Listing _____

A. SECURITIES	Market Value \$	% of Net Assets	No. of Separate Issues Held
1. Cash			
2. Near Cash Items, including Short-Term Corporate Notes plus Receivables			
<u>Total of Items 1 and 2</u>			
3. U. S. Government Securities			
(a) maturing in less than 1 year			
(b) maturing in 1 to 5 years			
(c) maturing after 5 years			
<u>Total U. S. Government Securities</u>			
<u>Total of Items 1 through 3</u>			
4. State and Municipal Bonds (in- cluding revenue bonds)			
5. Foreign Securities			
(a) government bonds (including international organizations)			
(b) other bonds			
(c) stocks (of corporations incorporated outside the U.S.A.)			
<u>Total Foreign Securities</u>			
6. Corporate Bonds			
(a) Investment Grade			
(b) Other			
<u>Total Corporate Bonds</u>			
7. Preferred Stocks			
8. Common Stocks			
<u>Total of Items 4 through 8</u>			
<u>Total of Items 1 through 8</u>			
Plus Other Assets, if any			

A. SECURITIES (Cont'd)	Market Value	% of	No. of Separate
	\$	Net Assets	Issues Held
Total Assets			
Less Liabilities			
Total Net Assets			

B. CORPORATE BONDS

<u>Title of Issue</u>	<u>Market Value of Holding</u>	
	Investment	
	Grade	Other
.		
.		
.		
<u>Total Corporate Bonds</u>		

C. PREFERRED STOCKS

<u>Title of Issue</u>	<u>No. of Shares</u>	<u>Market Value of Holding</u>
.		
.		
.		
<u>Total Preferred Stocks</u>		

D. COMMON STOCKS

<u>Title of Issue</u>	<u>No. of Shares</u>	<u>Market Value of Holding</u>
.		
.		
.		
<u>Total Common Stocks</u>		

NOTE: Treasury Bills should be included in Item 3(a) above and not included as part of Item 1 or 2.

- (ii) With respect to the portfolios for December 31, 1952 and September 30, 1958, indicate the total dollar holdings of each type of security (U. S. Government securities, investment grade corporate bonds, other corporate bonds, preferred stocks, common stocks and other securities), by place of listing as of portfolio date:
 - (a) New York Stock Exchange
 - (b) Other exchanges (including securities having unlisted trading privileges, but excluding those listed on New York Stock Exchange
 - (c) Over-the-counter

SECURITIES AND EXCHANGE COMMISSION

Investment Company Size Study Questionnaire
For Open-End CompaniesPART II

17. Name of Investment Company
18. ATTACH statements containing the following information in respect of portfolio transactions in each of the 30 named common stocks for each of the following calendar months:
- (a) January through December 1953
 - (b) July 1955 through September 1958
- (i) Total purchases of each of the stocks, indicating in each case
- (a) the number of shares purchased
 - (b) gross dollar cost
 - (c) if the purchase represented the addition of a new stock to the portfolio
- (ii) Total sales of each of the abovementioned stocks, indicating in each case
- (a) number of shares sold
 - (b) total net dollar proceeds
 - (c) if the sale represented the complete liquidation of the Company's holding of that stock

(See List of Stocks next page)

SELECTED STOCKS

1. Aluminium Limited
2. Amerada Petroleum Corporation
3. American Telephone and Telegraph Company
4. Armco Steel Corporation
5. Atchison, Topeka & Santa Fe Railway Company
6. Bethlehem Steel Corporation
7. Central and South West Corporation
8. Continental Oil Company
9. DuPont (E. I.) de Nemours and Company
10. Firestone Tire and Rubber Company
11. General Electric Company
12. General Motors Corporation
13. General Public Utilities Corporation
14. Goodrich (B. F.) Company
15. Goodyear Tire and Rubber Company
16. Gulf Oil Corporation
17. International Business Machines Corporation
18. International Paper Company
19. Kennecott Copper Corporation
20. National Lead Company
21. Phillips Petroleum Company
22. Shell Oil Company
23. Socony Mobil Oil Company
24. Standard Oil Company (California)
25. Standard Oil Company (Indiana)
26. Standard Oil Company (New Jersey)
27. The Texas Company
28. Union Carbide Corporation
29. United States Steel Corporation
30. Westinghouse Electric Corporation

19. ATTACH statements containing the following information regarding the purchases and sales of each of the 30 common stocks referred to in Question 18 for each of the months April through June 1953 and April through June 1958:

(i)

- (a) the number of shares and gross dollar cost of purchases of each stock in the following markets
 - (1) New York Stock Exchange
 - (2) Other exchanges
 - (3) Over-the-counter
 - i. Secondary offering
 - ii. Other (Specify those cases in which stock was acquired by
 - a. rights issues
 - b. purchases of new security offerings through investment dealers
 - c. direct placement (in which no investment dealer facilities were used)
- (b) the number of purchase transactions in each stock in each market

(ii)

- (a) the number of shares and the net dollar proceeds of sales of each stock in the following markets
 - (1) New York Stock Exchange
 - (2) Other exchanges
 - (3) Over-the-counter
 - i. Secondary offering
 - ii. Other (Specify those cases in which stock was disposed of via direct placement [in which no investment dealer facilities were used])
 - (b) the number of sale transactions in each stock in each market
-

20. ATTACH statements containing the following information for each of the months
- (a) January through December 1953
 - (b) July 1955 through September 1958:
- (i) Total purchases by gross dollar cost of all portfolio securities combined and total purchases of each of the following classes of security: (a) U. S. government securities, (b) corporate bonds, indicating (1) investment grade and (2) other corporate bonds, (c) preferred stocks, (d) common stocks, and (e) other securities.
 - (ii) Total sales, by net dollar proceeds, of each of these classes of securities. Include redemptions of securities on maturity or call.
 - (iii) number of separate common stocks
 - (a) purchased only
 - (b) sold only
 - (c) purchased and sold
21. ATTACH statements containing the following information for each of the semi-annual periods ended June 30, 1954, December 31, 1954 and June 30, 1955:
- (i) Total purchases by gross dollar cost of all portfolio securities combined and total purchases of each of the following classes of security: (a) U. S. government securities, (b) corporate bonds, indicating (1) investment grade and (2) other corporate bonds, (c) preferred stocks, (d) common stocks, and (e) other securities.
 - (ii) Total sales, by net dollar proceeds, of each of these classes of securities. Include redemptions of securities on maturity or call.

22. ATTACH statements indicating in respect to each of the months April through June 1953 and April through June 1958
- (i) total gross dollar cost of purchases of ALL common stocks combined via each of the following channels
 - (a) New York Stock Exchange
 - (b) Other exchanges
 - (c) Over-the-counter
 - (1) Secondary offering
 - (2) Other (Specify those cases in which stock was acquired by
 - i. rights issues
 - ii. purchases of new security offerings through investment dealers
 - iii. direct placement (in which no investment dealer facilities were used)
 - (ii) total net proceeds of sales of ALL common stocks combined via each of the following channels
 - (a) New York Stock Exchange
 - (b) Other exchanges
 - (c) Over-the-counter
 - (1) Secondary offering
 - (2) Other (Specify those cases in which stock was disposed of via direct placement [in which no investment dealer facilities were used])
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23. (i) List the name of each portfolio company, 1 per cent or more of whose outstanding voting common stock was owned by the Company as of December 31, 1952 and, in a separate list, as of September 30, 1958.
- (ii) Indicate the percentage of outstanding voting common stock owned by the Company in each of these portfolio companies, for December 31, 1952, and September 30, 1958.
- (iii) Attach a statement indicating, for each of the months January through December 1953 and July 1955 through September 1958
- (a) the total purchases, by number of shares and gross dollar cost, of each of the securities listed in Question 23 (i).
 - (b) the total sales, by number of shares and total net dollar proceeds, of each of the same securities.

SECURITIES AND EXCHANGE COMMISSION

Investment Company Size Study Questionnaire
For Open-End CompaniesPART III

24. Name of Investment Company
25. ATTACH statements containing the following information in respect of each of the weeks indicated:
- (i) Total purchases of each of the 30 named common stocks, indicating
 - (a) number of shares purchased
 - (b) total gross dollar cost
 - (c) if the purchase represented the addition of a new stock to the portfolio
 - (ii) Total sales of each of the abovementioned 30 common stocks, indicating in each case
 - (a) number of shares sold
 - (b) total net dollar proceeds
 - (c) if sale represented a complete liquidation of the Company's holding of that stock

DATES OF WEEKS TO BE USED IN QUESTION 25

Weeks commencing Monday

1956 July 23	1957 July 1
July 30	July 8
August 6	July 15
August 13	July 22
1957 February 4	1957 October 7
February 11	October 14
February 18	October 21
February 25	October 28

SELECTED STOCKS

1. Aluminium Limited
2. Amerada Petroleum Corporation
3. American Telephone and Telegraph Company
4. Armco Steel Corporation
5. Atchison, Topeka & Santa Fe Railway Company
6. Bethlehem Steel Corporation
7. Central and South West Corporation
8. Continental Oil Company
9. DuPont (E. I.) de Nemours and Company
10. Firestone Tire and Rubber Company
11. General Electric Company
12. General Motors Corporation
13. General Public Utilities Corporation
14. Goodrich (B. F.) Company
15. Goodyear Tire and Rubber Company
16. Gulf Oil Corporation
17. International Business Machines Corporation
18. International Paper Company
19. Kennecott Copper Corporation
20. National Lead Company
21. Phillips Petroleum Company
22. Shell Oil Company
23. Socony Mobil Oil Company
24. Standard Oil Company (California)
25. Standard Oil Company (Indiana)
26. Standard Oil Company (New Jersey)
27. The Texas Company
28. Union Carbide Corporation
29. United States Steel Corporation
30. Westinghouse Electric Corporation