

Form A  
INSTRUCTIONS

1. Securities and transactions covered by report.

Report daily totals of all stocks which are traded on the **MIDWEST STOCK EXCHANGE** and also traded on the NYSE in which you are registered as an odd-lot dealer-specialist.

Transactions to be reported are those for the account of your odd-lot dealer-specialist unit on exchanges and over the counter.

2. Method of reporting.

Column I.

Report the daily totals of all transactions which you executed on the Exchange for an account in which you have an interest; include both your round-lot and odd-lot transactions.

Column II.

Report the daily totals of all transactions which you executed on the NYSE. This includes transactions that odd-lot dealer-specialists who are not members of the NYSE executed through members of the NYSE and transactions that odd-lot dealer-specialists who are members of the NYSE executed on the NYSE.

If you have given the information required by Column II of Form A on your response to Form EX-2 previously distributed by the Special Study of Securities Markets to members of the NYSE, you need not complete Column II of Form A, but should indicate that the information has been furnished on Form EX-2. However, if only part of the transactions required by Column II of Form A were previously reported on Form EX-2 (e.g., if you reported only your portion of a joint account), all transactions should be reported on Form A.

Column III.

Report the daily totals of all transactions which you executed on all other exchanges, noting the name of the exchange.

Column IV.

Report the daily totals of all transactions which you executed over the counter.

Column V.

For each stock report the opening position for each date and the closing position on January 27, March 24, and June 16, 1961.

Designate short position by an "S".

\* \* \* \*

Subject to the requirement that you show separate totals for each day in each stock, you may list such totals in any convenient order.

Do not use ditto marks or other symbols; write out all duplicated information.

[Note: Identical questionnaires were sent to members and member organizations of the Boston, Pacific Coast, and Philadelphia-Baltimore-Washington stock exchanges.]



Complete FORM B for all of the following stocks in which you are registered as an odd-lot dealer-specialist:

[ Note: Identical questionnaires were sent to members and member organizations of the Boston, Pacific Coast, and Philadelphia-Baltimore-Washington stock exchanges.]

<u>COMPANY</u>	<u>STOCK SYMBOL</u>	<u>COMPANY</u>	<u>STOCK SYMBOL</u>
Allied Chemical Corp.	ACD	International Harvester	HR
Aluminum Co. of America	AA	International Nickel Co. of Canada	N
American Can Co.	AC	International Paper	IP
American Machine & Foundry	AMF	Johns-Manville Corp.	JM
American Motors Corp.	AMO	Korvette Inc.	KOR
American Telephone & Telegraph Co.	T	Lockheed Aircraft	LK
American Tobacco Co.	AT	Magnavox Co.	MAG
Anaconda Co.	A	Owens-Illinois Glass	OI
Avco Corp	AV	Pacific Gas & Electric	POG
Bethlehem Steel Corp.	BS	Procter and Gamble	PG
Brunswick Corp.	BC	Reynolds Tobacco Co.	RJR
Certain-teed Products	CRT	Royal Dutch Petroleum Co.	RD
Chrysler Corp.	C	San Diego Imperial	SND
Commonwealth Edison	CWE	Sears, Roebuck & Co.	S
E. I. duPont de Nemours	DD	Sperry Rand Corp.	SY
Eastman Kodak	EK	Standard Oil of California	SD
Ford Motor Co.	F	Standard Oil of Indiana	SN
Freuhauf Trailer Co.	FTR	Standard Oil of New Jersey	J
General Dynamics Corp.	GD	Studebaker-Packard	SK
General Electric Co.	GE	Swift and Co.	SWF
General Foods Corp.	GF	Texaco Inc.	TX
General Motors Corp.	GM	Texas Gulf Producing Co	TR
General Telephone & Electronics Corp.	GEN	Union Carbide Corp.	UK
General Tire & Rubber Co.	GY	United Aircraft Corp.	UA
Goodyear Tire and Rubber	GT	U. S. Steel Corp.	X
Gulf Oil	GO	Westinghouse Electric	WX
International Business Machines	IBM	F. W. Woolworth	Z
		Zenith Radio Corp.	ZE

Midwest Stock Exchange

Form C

BUDGET BUREAU  
APPROVAL NO. 71-8211

ODD-LOT DEALER-SPECIALISTS REPORT OF TRANSACTIONS IN SELECTED STOCKS

(Please read instructions on reverse side carefully before filling out form)

Name of Odd-Lot Dealer-Specialist Unit \_\_\_\_\_ Stock \_\_\_\_\_

TRADE DATE	Column I TOTALS OF YOUR TRANSACTIONS ON THE EXCHANGE			Column II TOTALS OF YOUR TRANSACTIONS ON NYSE			Column III TOTALS OF YOUR TRANSACTIONS ON ALL OTHER EXCHANGES				Column IV TOTALS OF YOUR TRANSACTIONS OVER THE COUNTER			Column V DAILY POSITIONS		Column VI TOTAL EXCHANGE VOLUME
	Total No. of Shares Bought Each Day	Total No. of Shares Sold Long Each Day	Total No. of Shares Sold Short Each Day	Total No. of Shares Bought Each Day	Total No. of Shares Sold Long Each Day	Total No. of Shares Sold Short Each Day	Exchange	Total No. of Shares Bought Each Day	Total No. of Shares Sold Long Each Day	Total No. of Shares Sold Short Each Day	Total No. of Shares Bought Each Day	Total No. of Shares Sold Long Each Day	Total No. of Shares Sold Short Each Day	Open	Close	
1962 May 28															X X X	
May 29															X X X	
May 31																

Stock	Symbol	Stock	Symbol	Stock	Symbol
Allied Chemical Corp.	ACD	General Dynamics Corp.	GD	Royal Dutch Petroleum Co.	RD
Aluminum Company of America	AA	General Electric Co.	GE	Sears, Roebuck & Co.	S
American Can Co.	AC	General Foods Corp.	GF	Sperry Rand Corp.	SY
American Machine & Foundry Co.	AMF	General Motors Corp.	GM	Standard Oil of California	SD
American Motors Corp.	AMO	General Telephone & Electronics Corp.	GEN	Standard Oil of Indiana	SN
American Tel. & Tel. Co.	T	General Tire & Rubber Co.	GY	Standard Oil of New Jersey	J
American Tobacco Co.	AT	Goodyear Tire & Rubber Co.	GT	Studebaker-Packard Corp.	SK
Anaconda Co.	A	International Business Machines	IBM	Swift & Co.	SWX
Avco Corp.	AV	International Harvester Co.	HR	Texaco Inc.	TX
Bethlehem Steel Corp.	BS	International Nickel Co.	N	Texas Gulf Producing Co.	TR
Brunswick Corp.	BC	International Paper Co.	IP	Union Carbide Corp.	UK
Certain-teed Products Corp.	CRT	Johns-Manville Corp.	JM	United Aircraft Corp.	UA
Chrysler Corp.	C	Korvette, Inc.	KOR	U. S. Steel Corp.	X
E. I. duPont deNemours & Co.	DD	Magnavox Co.	MAG	Westinghouse Electric Corp.	WX
Eastman Kodak Co.	EK	Owens-Illinois Glass Co.	OI	F. W. Woolworth Co.	Z
Ford Motor Co.	F	Proctor & Gamble Co.	PG	Zenith Radio Corp.	ZE
Fruehauf Trailer Co.	FTR	Reynolds Tobacco Co.	RJR		

Certified complete, true and correct

BY: \_\_\_\_\_  
(NAME OF MEMBER OF ODD-LOT DEALER-SPECIALIST UNIT)

DS-4328

REPORT OF SPECIAL STUDY OF SECURITIES MARKETS 1151

Form C  
INSTRUCTIONS

1. Securities and transactions covered by report.

If you are an odd-lot dealer-specialist in any of the stocks listed on the front of this form, complete a separate form for each stock.

Transactions to be reported are those for the account of your odd-lot dealer-specialist unit on exchanges and over the counter.

2. Method of Reporting.

Column I.

Report the daily totals of all transactions which you executed on the Exchange for an account in which you have an interest; include both your round-lot and odd-lot transactions.

Column II.

Report the daily totals of all transactions which you executed on the NYSE. This includes transactions that odd-lot dealer-specialists who are not members of the NYSE executed through members of the NYSE and transactions that odd-lot dealer-specialists who are members of the NYSE executed on the NYSE.

Column III.

Report the daily totals of all transactions which you executed on all other exchanges, noting the name of the exchange.

Column IV.

Report the daily totals of all transactions which you executed over the counter.

Column V.

Designate short position by an "S".

Column VI.

Report the total daily volume on the Exchange for each day. Include both round-lot and odd-lot volume.

[Note: Identical questionnaires were sent to members and member organizations of the Boston, Pacific Coast, and Philadelphia-Baltimore-Washington stock exchanges.]

## APPENDIX VIII-D

STOCKS USED IN STUDY OF REGIONAL  
STOCK EXCHANGE SPECIALISTS' BOOKS

## REGIONAL EXCHANGE STOCKS USED IN TABLE VIII-77

<u>Stock</u>	<u>Exchange</u>
Advance Ross Electronics Corp.	Midwest
Apache Corporation	Midwest
Baltimore Transit Co.	Phila.-Balt.-Wash.
Buckner Industries, Inc.	Pacific Coast
Business Capital Corp.	Midwest
Buttes Gas & Oil Co.	Pacific Coast
Castle & Cooke, Inc.	Pacific Coast
Chicago South Shore & South Bend R.R.	Midwest
Dominguez Oil Field Co.	Pacific Coast
Flour Mills of America, Inc.	Midwest
General Box Co.	Midwest
General Exploration Co. of Calif.	Pacific Coast
Good Humor Co. of Calif.	Pacific Coast
Heileman (G.) Brewing Co.	Midwest
Hein-Werner Corp.	Midwest
Howard Industries, Inc.	Midwest
Illinois Brick Co.	Midwest
Jade Oil and Gas Co.	Pacific Coast
Knapp-Monarch Co.	Midwest
Lincoln Printing Co.	Midwest
Minneapolis Brewing Co.	Midwest
Pacific Oil & Gas Devel. Corp.	Pacific Coast
Philadelphia Transportation Co.	Phila.-Balt.-Wash.
Reserve Oil & Gas Co.	Pacific Coast
St. Louis Public Service Co.	Midwest
W. A. Sheaffer Pen Co. "A"	Midwest
W. A. Sheaffer Pen Co. "B"	Midwest
United Industrial Corp.	Pacific Coast
Webcor, Inc.	Midwest
Westates Petroleum Co.	Pacific Coast
World Publishing Co.	Midwest