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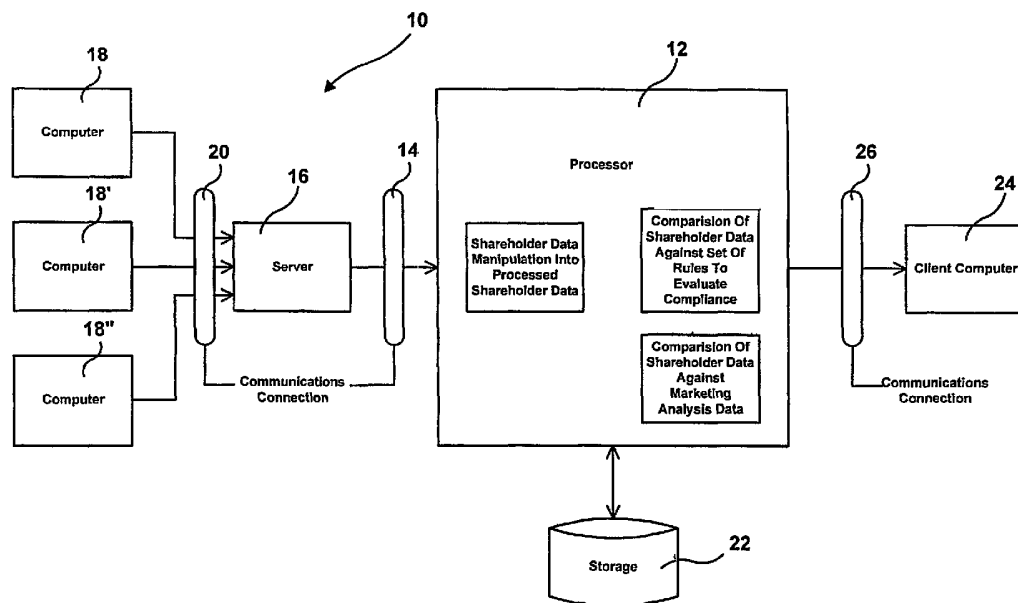
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(54) Title: METHOD AND SYSTEM FOR COLLECTION AND ANALYSIS OF SHAREHOLDER INFORMATION



(57) Abstract: A system and method is provided for the gathering of (102) and manipulation of shareholder data (104), including information on individual shareholders and related custodians of shares, and comparing the shareholder/custodian data to a set of rules (106) and/or a set of marketing analysis data to identify securities compliance issues and/or evaluate a securities marketing plan.

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# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US04/18564

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : G 06F 17/60  
 US CL : 705/36

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
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Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)  
 Please See Continuation Sheet

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 6,012,042 A (BLACK et al) 04 January 2000 (04.01.2000), column 4, lines 45-58	1-54
Y	US 6,317,728 B1 (KANE) 13 November 2001 (13.11.2001), Abstract, column 1, lines 4+	1-54

Further documents are listed in the continuation of Box C.

See patent family annex.

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"O" document referring to an oral disclosure, use, exhibition or other means	
"P" document published prior to the international filing date but later than the priority date claimed	

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