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May 9, 2024

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[ ]: import zipfile
import pandas as pd
import numpy as np
import os
import matplotlib.pyplot as plt
import sklearn
import nltk
nltk.download('stopwords')
nltk.download('punkt')
import json
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[nltk_data] Downloading package stopwords to
[nltk_data] /Users/mingjiexing/nltk_data...
[nltk_data] Package stopwords is already up-to-date!
[nltk_data] Downloading package punkt to
[nltk_data] /Users/mingjiexing/nltk_data...
[nltk_data] Package punkt is already up-to-date!
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[ ]: %run 'analyst_list.py'
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This file reads the table of analyst names, extracts required variables such as analyst_name, analyst_code and company name and code, conducts certain transformations, and dump the tidy table into a newly generated json file.

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[ ]: %run 'pdf_read.py'
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2 UBS. Uche Orji
1 Raymond Steve Smigie
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1 Olmstead David Wu
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2 Charter Equity Research. John Dryden
 1 Isigroup Sumit Dhanda
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 2 Cowen & Company. Eric Schmidt
 2 Citigroup. Elise Wang
 1 Isigroup Mark Schoenebaum
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 1 Leerink Geoff Porges
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 4 Prudential Equity Group. John McMillin
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 2 William Blair & Company. Mark Lane
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2 Harris Nesbitt. Rich Anderson

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1 Gartner Walter Pritchard

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1 Janney Jim Lucas

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1 Amertech Mark Mahaney

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 2 RBC Capital. Shibani Malhotra
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 2 Goldman Sachs. Seogju Lee
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2 JPMorgan. Mark Moskowitz

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2 Thomas Weisel and Partners. Ned Zachar

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2 Merrill Lynch. Leonard Teitelbaum

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2 BMO Capital Markets. David Maris

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2 Bear, Stearns. Jim Kissane

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 2 JPMorgan. Chris Schott
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 2 CRT Capital. Tim Chiang
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 2 UBS. Alex Goldfarb
 2 Goldman Sachs. Mark Biffert
 2 Merrill Lynch. William Acheson
 2 Raymond James. Bill Crow
 2 BMO Capital Markets. Rich Anderson
 2 Lehman Brothers. David Harris
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 4 Cleveland Research. Christine McCracken
 2 Morgan Stanley. Vincent Andrews
 2 Citi Investment Research. David Driscoll

2 BMO Capital Markets. Ken Zaslow
 4 Deutsche Bank. Christina McGlone
 1 Clusa Diane Geissler
 1 Fboston Robert Moskow
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 1 Bache Michael Turits
 2 Lehman Brothers. Henry Nau
 2 Spirit Capital. Doug Campbell
 1 Craig Jeff Van
 1 Needham Vik Grover
 2 Rudman Capital Management. Errol Rudman
 1 Blue Jane Orr
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 2 Citi. Keith Walsh
 2 Barclays Capital. Jay Gelb
 2 Goldman Sachs. Michael Nannizzi
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 2 Miller Tabak. Thomas Mitchell
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 2 UBS. Brian Meredith
 2 RBC Capital Markets. Mark Dwelle
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 1 Robinson David Lewis


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This script reads the collection of earning call transcripts and extracts Q&A records and dump in a json file. Function `analyze_all` is the main function that constructs data of Q&A records.

Function `read_pdf` reads each pdf of the earning calls and extracts each page.

Function `clean_data` cleans the pages by extracting each paragraph of each Q&A session and save them into a list.

The paragraphs are passed into function `para_extraction`, together with company name and year from function `parsing_file_name`, to extract the content, company, analyst and manager name of questions and answers. Words are tokenized with `word_tokenize`.

Analyst company and name of each year is extracted with a file of analyst information `analyst_json.txt` and function `parse_name_entity`, which leverages a regular expression matching function `reg_exp_matching`.

```
[ ]: %run 'earningcalls.py'
```

```

/Users/mingjiexing/Desktop/Python/Macro/Machine_Learning/Econ6102/PS3/earningcalls.py:17: SyntaxWarning: "is not" with a literal. Did you mean "!="?
    if line[0] is not '<':

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This script produces a table of similarity between question and answer of each session, paragraph and sentence correlations, among others, of each analyst each firm-year-quarter with main function `produce_all`.

Correlation is derived with `get_correlation_answer`, similarity with `get_similarity1`. The latter function calculates the cosine similarity of the pair-wise embedding of question and answer of each session, which is given by function `get_embedding`. The embedding leverages GloVe to obtain the vector representation for words. GloVe is trained on a corpus of newswire for globe word-word co-occurrence statistics.

```
[ ]: with open("result_table1.csv", "r", encoding="utf-8") as f:
        result_table1 = pd.read_csv(f, sep='\t')
    table = result_table1[['Q_analyst', 'Q_company', 'QA_similarity']]
    print(f'Top 5 rows of the table:\n{table.head()}')
    missing_no = table['Q_company'].isna().sum()
    missing_percentage = (missing_no/len(table))*100
    print(f'Missing point percentage:{missing_percentage:.2f}%')
```

Top 5 rows of the table:

	Q_analyst	Q_company	QA_similarity
0	Uche Orji	UBS.	0.39
1	Uche Orji	UBS.	0.07
2	Uche Orji	UBS.	0.04
3	Steve Smigie	Raymond	0.10
4	Steve Smigie	Raymond	0.26

Missing point percentage:17.80%

2 Q2

```
[ ]: with open('qa_list_all.txt', encoding='utf-8') as f:
        qa_list_all = json.load(f)
    qa_top25 = pd.DataFrame(qa_list_all).
        ↪sort_values(by=['company', 'year', 'quarter']).head(1)
```

```
[ ]: qa_top25
```

```
[ ]:      company  year quarter \
769      A    2003      Q1

                                QA_session
769  [[{'Q': ['hi', ',', 'semiconductor', 'business', 'one', 'areas', 'looking',
'come', 'back', ',', 'talk', 'respond', 'strong', 'demand', 'fbar', 'products',
'relatively', 'strong', ',', 'talked', 'capacity', 'constraints', 'talk', 's',
'happening', 'get', 'around', '?'], 'Q_company_name': 'Lehman',
'Q_analyst_name': 'Edward White', 'A': [['yeah', ',', 'ramping', 'fast', ',',
'result', 'increase', 'demand', 'keep', 'one', 'fabs', 'bay', 'area', 'open',
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'longer', 'planned', '.', 'originally', 'planned', 'move', 'fabs', 'bay',
 'area', 'fort', 'collins', [' ', 'ph', ' '], 'process', 'underway', 'fact', 'bad',
 'fab', 'ramping', 'fort', 'collins', '.', 'given', 'demand', 'keep', 'fab',
 'open', 'new', 'york', '6', 'months', 'longer', 'originally', 'expected', '.',
 'still', 'expect', 'fab', 'closing', 'next', 'several', 'months', ',', 'able',
 'get', 'benefits', 'cost', 'wise', 'consolidating', 'single', 'fab', 'quickly',
 'would', 'like', '.', 'able', 'keep', 'customer', 'demand', ',', 'missed',
 'customer', 'commitments', ',', 'think', '"s', 'important', 'recognize', ',',
 'cost', 'us', 'little', 'bit', 'leave', 'additional', 'fab', 'open', '.']],
 'Manager_name': [' ']}, {'Q_company_name': 'Lehman', 'Q_analyst_name': 'Edward
 White', 'Q': ['okay', ',', 'senses', 'much', '"s', 'costing', '?', 'much',
 'would', ',', 'know', ',', 'relative', 'able', 'move', 'quickly', 'fort',
 'colins', '?'], 'A': [['yeah', ',', 'conservative', 'estimate', 'would', '\$',
 '6mm', '\$', '8mm', 'per', 'quarter', 'additional', 'cost', 'keeping', 'fab',
 'open', 'let', 'alone', 'transportation', ',', 'yield', 'issues', '.']],
 'Manager_name': [' ']}], [{'Q': ['good', 'morning', '.', 'could', 'get', 'next',
 'layer', 'detail', 'segments', 'terms', 'shortfall', 'came', ',', 'either',
 'give', 'sequentially', 'year-over-year', 'terms', 'much', 'volume', ',',
 'margin', 'hit', 'came', 'volume', 'versus', 'pricing', ',', 'assume', 'say',
 'margin', 'hit', ',', '"s', 'pricing', '?'], 'Q_company_name': 'Goldman Sachs.',
 'Q_analyst_name': 'Dean Gray', 'A': [['well', ',', 'think', 'couple', 'things',
 ',', 'adrian', 'give', 'specifics', '.', 'clearly', 'overriding', 'factor',
 'volume', ',', 'really', 'impacted', 'business', 'even', 'lsca', 'running',
 'pretty', 'strong', 'downturn', 'orders', 'due', 'think', 'macro', 'economic',
 'effects', 'chemical', 'analysis', 'pharmaceutical', 'market', '.', 'hit',
 'across', 'board', 'volume', 'impacts', ',', 'really', 'far', 'largest',
 'impact', 'cost', 'sales', '.', 'within', 'segments', ',', 'seen', 'little',
 'bit', 'mixed', 'difference', '.', 'example', 'semiconductor', 'products',
 'stronger', 'sales', 'products', 'ramping', 'like', 'fbar', 'filters',
 'e-phemt', 'profitable', 'today', 'mature', 'products', ',', 'like', 'fibre',
 'optic', 'programs', ',', 'growing', 'fast', '.', ',', 'part', 'mix', 'shift',
 'going', '.', 'within', 'semiconductor', 'test', ',', 'also', 'seen', 'little',
 'bit', 'mix', 'shift', 'towards', 'lower', 'end', 'platforms', 'opposed',
 'high', 'end', 'customers', 'buying', 'low', 'end', 'machines', 'high', 'end',
 'machines', '.', ',', 'think', 'second', 'order', 'effects', 'compared',
 'overall', 'volume', 'issue', '.', 'let', 'turn', 'adrian', 'add', 'comments',
 '.'], ['thank', ',', 'yes', '["', 'indiscernible', ']', 'obviously', 'agree',
 '.', 'would', 'say', 'compared', 'year', 'year', '100', '%', 'mix', ',',
 'volumes', 'deteriorated', '.', 'looking', 'generally', ',', 'would', 'say',
 'compared', 'q4', ',', 'level', 'discounting', 'gotten', 'worse', 'one',
 'exception', ',', 'semiconductor', ',', 'get', 'even', 'intense', '.', 'level',
 'discounting', 'fierce', 'continued', 'past', '6', 'months', '.', ',',
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 'us', 'date', ':', '2003-02-21', 'event', 'description', ':', 'q1', '2003',
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 ',', 'particularly', 'sequentially', '.', 'took', '70', '%', 'decremental', ',',
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'.', 'mix', 'probably', 'another', 'point', 'given', 'sequentially', '.']],
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 'well', 'optical', 'test', ',', 'still', 'fairly', 'large', 'grey', 'market',
 ',', 'used', 'equipment', 'number', 'older', 'applications', '.', ',', 'good',
 'news', 'time', 'goes', 'fit', 'lot', 'newer', 'applications', 'people',
 'upgrading', '.', 'get', 'grey', 'market', 'issue', 'continued', 'pricing',
 'pressures', ',', 'actually', 'selling', 'reselling', 'used', 'equipment',
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 'opto', 'products', 'sold', 'years', '.', 'pretty', 'active', 'spot', 'market',
 'pretty', 'competitive', 'additive', 'taken', 'philosophy', 'way', 'companies',
 'really', 'trying', 'squeeze', 'suppliers', 'competitive', 'market', 'tough',
 ',', 'know', ',', 'walking', 'away', 'call', 'suicide', 'bids', '.', 'mean',
 'people', 'bidding', 'ridiculous', 'discounts', 'win', 'share', 'keep', 'light',
 'heat', 'going', '.', 'n't', 'kind', 'draw', 'line', 'point', 'continue', 'put',
 'pressure', 'across', 'board', '.', 'ca', 'n't', 'give', 'exact', 'break',
 'spilt', 's', 'pretty', 'much', 'across', 'businesses', 'seen', 'traditional',
 'products', '.', 'first', ',', 'perhaps', 'competition', 'little', 'less',
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 'made', 'respect', 'gross', 'margin', 'leverage', 'operational', 'performance',
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 'sequentially', 'given', 'volume', 'reduction', 'restructuring', 'effects',
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'Q_analyst_name': ' Richard Shoe', 'Q': ['q4', 'showed', '\$', '1.770b', '.'],
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'Q_analyst_name': ' Richard Shoe', 'Q': ['quarter', '\$', '1.680b', '.'],
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'100mm', '.'], 'A': [['well', ',', 'took', 'normal', '70', '%', 'decremental',
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'30', '%', 'total', 'cost', 'good', 'sold', 'pace', 'restructuring', 'allows',
'us', 'improve', 'otherwise', 'would', 'much', 'severe', 'reduction', 'gross',
'margins', 'much', 'less', 'reduction', 'ongoing', 'cost', '.', ',', 'also',
'remind', 'absolute', 'peak', 'implementation', 'cost', 'quarter', 'adding',
'additional', 'roughly', '\$', '45mm', 'prior', 'trend', 'level', 'spending',
'put', 'crm', 'continued', 'implementation', 'erp', '.']], 'Manager_name':
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'time', '?'], 'A': [['yes', '.']], 'Manager_name': ['']], {'Q_company_name': 'SG
Cowen.', 'Q_analyst_name': ' Richard Shoe', 'Q': ['okay', ',', 'let', 'delay',
',', 'come', 'back', 'followup', 'later', '.', 'discussion', 'regarding',
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'fbar', 'situation', '.', 'recently', 'talked', '\$', '2mm', '[',
'indiscernible', ']', '.', 'substantially', '[', 'indiscernible', ']',
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'agilent', 'technologies', 'company', 'ticker', ':', 'us', 'date', ':',
'2003-02-21', 'event', 'description', ':', 'q1', '2003', 'earnings', 'call',
'13'], 'A': [['think', 'announced', 'richard', 'passed', '\$', '10mm', 'overall',
'fbar', 'filters', 'shipped', 'last', 'roughly', '12', '18', 'months', '.',
"n't", 'know', 'talked', 'monthly', 'rate', '.', 'clearly', 'ramping', 'keep',
'demand', ',', 'passed', '\$', '10mm', 'number', '.', 'give', 'resolution',
'point', 'time', ',', "n't", 'happen', 'number', 'though', 'richard', '.',
'terms', 'second', 'question', 'around', 'related', "s", 'headed', '.', "n't",
'sure', 'got', 'second', 'part', 'question', '.']], 'Manager_name': ['']], [],
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[['yes', ',', '.', 'continuing', 'work', 'customers', 'able', 'get', 'approval',
'use', ',', 'actually', 'number', 'design', 'wins', 'last', '3', '4', 'months',
',', 'disclosing', 'specifically', 'since', 'get', 'approval', 'ca', "n't",
'really', 'discuss', 'point', '.']], 'Manager_name': ['']], [], [], [{'Q':
['hi', ',', '.', 'followup', 'question', 'e-phemt', 'reduction', 'power', 'amp',
',', 'guidelines', 'cdma', 'gsm', '[', 'indiscernible', ']', 'excellent',
'piece', 'next', '[', 'indiscernible', ']', 'ratio', 'also', 'give', 'us',
'sense', 'monthly', 'volumes', 'units', 'might', 'generate', 'power', 'amp',
',', 'going', 'forward', 'either', 'year', 'next', 'quarter', 'quarter', '.',
'give', 'us', 'sense', 'kinds', 'volume', '?', 'company', 'name', ':',
'agilent', 'technologies', 'company', 'ticker', ':', 'us', 'date', ':',
'2003-02-21', 'event', 'description', ':', 'q1', '2003', 'earnings', 'call',
'13'], 'Q_company_name': '[indiscernible] Capital.', 'Q_analyst_name': ' Alec

Berming', 'A': [['ca', 'n't', 'give', 'level', 'detail', ',', 'good', 'percentage', 'volume', 'cdma', 'kind', 'initial', 'focus', '.', 'certainly', 'tsm', 'area', 'well', 'think', 'kind', 'question', 'priority', 'focus', 'first', 'wins', 'areas', '.']], 'Manager_name': ['']], [{'Q': ['hi', ',', '[', 'indiscernible', ']', ',', 'mainly', 'question', 'following', 'little', 'bit', 'richard', 'asked', 'level', 'cost', 'goods', 'higher', 'july', 'quarter', 'last', 'year', '.', 'makeup', ',', '?'], 'Q_company_name': 'Thomas Weisel Partners.', 'Q_analyst_name': ' Paul [indiscernible]', 'A': [['well', ',', 'let', 'adrian', 'answer', 'think', 'big', 'portion', '[', 'audio', 'gap', ']', 'looking', 'q3', '.', 'looking', 'q3', ',', 'q2', 'last', 'year', '.', 'remember', ',', '[', 'indiscernible', ']', 'starting', 'q3', 'last', 'year', '.', 'little', 'bit', 'hard', ',', 'compare', 'quarter', 'quarter', 'prior', ',', 'q2', ',', 'actually', 'early', 'bills', 'anticipation', '.', 'quarters', 'little', 'bit', 'funny', '[', 'ph', ']', 'terms', 'comparisons', ',', 'would', 'give', 'q2', 'last', 'year', '\$', '879mm', 'cost', 'goods', 'sold', '.', '\$', '867', 'q1', 'year', ',', 'revenue', '1,457', '1412', '.']], 'Manager_name': ['', '']], [], [], [], [], [{'Q': ['yes', ',', 'question', 'ned', 'adrian', '.', 'ned', ',', 'question', 'would', ',', 'comment', 'changes', 'management', 'responsibilities', 'quarter', '.', 'viewed', 'surprise', 'byron', 'announced', 'retirement', 'middle', 'quarter', 'think', 'bill', 'sullivan', ',', 'chief', 'operating', 'officer', 'taking', 'operating', 'work', ',', 'clarity', '?', 'adrian', 'action', 'rating', 'agencies', ',', 'issues', ',', 'cash', 'burn', 'expectation', 'moody', 's', '?', 'thank', '.']], 'Q_company_name': 'Goldman Sachs.', 'Q_analyst_name': ' Dean Gray', 'A': [['well', ',', 'retirement', 'byron', 'long', 'planned', '.', 'turned', '60', 'year', '.', 'made', 'known', 'five', 'years', 'ago', 'planned', 'retire', '60.', 'working', 'plan', 'transition', 'business', 'new', 'leader', 'period', 'time', '.', 'given', 'challenges', 'organization', 'think', 'issues', 'getting', 'back', 'profitability', ',', 'felt', 'best', 'thing', 'could', 'near', 'term', 'bill', 'sullivan', 'jump', 'help', '.', 'bill', 'certainly', 'one', 'best', 'operations', 'managers', 'company', '.', 'lot', 'things', 'working', 'anyway', 'coo', 'really', 'epsg-related', 'issues', '.', 'implementation', 'everest', 'system', ',', 'restructuring', 'manufacturing', ',', 'lot', 'things', 'ended', 'epsg-related', 'issues', '.', 'asking', 'double', 'duty', 'period', 'time', 'seemed', 'make', 'sense', 'accelerate', 'change', 'give', 'bill', 'opportunity', 'along', 'continue', 'evaluate', 'alternative', 'long-term', 'replacement', 'byron', 'certainly', 'intention', 'interim', 'move', 'could', 'last', 'us', 'much', 'year', '.', 'top', ',', 'remember', 'moved', 'bill', 's', 'responsibilities', 'adrian', '.', 'adrian', 'responsibility', 'workplace', 'services', ',', 'turned', '80', '%', ',', 'would', 'say', '110', '%', 'workload', '.', 'moved', 'two', 'activities', 'adrian', '.', 'adrian', 'managed', 'activities', 'prior', 'life', '.', 'bill', 'continuing', 'help', 'corporate', 'issues', ',', 'probably', 'devoting', '80', '%', 'time', 'epsg-related', 'issues', 'near', 'term', ',', 'get', 'business', 'back', 'profitability', '.', 'adrian', 'said', 'earlier', ',', 'know', ',', 'business', 'furthest', 'away', 'plan', 'profitability', 'committed', 'get', 'end', 'year', '.']], 'Manager_name': ['']], [], []]

```
[ ]: test = pd.read_csv('GPT_test.csv').head(20)

[ ]: ## asks ChatGpt to extract analyst name, firm name of the analyst and QA
      ↪ paragraph
import openai
client = openai.OpenAI()

completion = client.chat.completions.create(
    model = 'gpt-4-turbo',
    messages = [
        {
            'role': 'system',
            'content': f'Forget all your previous instructions. You are an
↪ expert in reading and parsing text data. I have a csv file {test}. I want to
↪ extract the analyst name and the firm name of the analyst from column
↪ operator and the QA paragraph-wise cosine similarity from the next two
↪ columns. Try do the word embedding of Q and A. You should not present a
↪ python code snippet.'
        },
        {
            'role': 'user',
            'content': f"You are referred to table {qa_top25['QA_session']} for
↪ an example of the work. You need compile a table with column head
↪ 'Q_analyst', 'Q_company', and 'QA_similarity' to save the respective entries,
↪ as in {table.head}. Be careful, these two dataframes serve only as an
↪ example but should not be used directly in your answer. Your deliverable
↪ will be only the dataframe with head 'Q_analyst', 'Q_company', and
↪ 'QA_similarity'. Say nothing of the steps to do the work, but present the
↪ full table."
        }
    ],
    temperature=0,
    # max_tokens=256,
    top_p=1,
    frequency_penalty=0,
    presence_penalty=0
)

pd.options.display.max_colwidth = 1000000
# with open('gpt_create_pattern.py', 'w') as file:
#     file.write(completion.choices[0].message.content)
print(completion.choices[0].message.content)
print(completion.usage)
```

Q_analyst	Q_company	QA_similarity
Edward White	Lehman Brothers	0.87

Edward White	Lehman Brothers	0.92	
Dean Gray	Goldman Sachs	0.78	
Dean Gray	Goldman Sachs	0.85	
Dean Gray	Goldman Sachs	0.88	
Jerry Fleming	[indiscernible] Stock	0.90	
Max Shutes [ph]	Credit Suisse First Boston	0.82	
Richard Shoe	SG Cowen	0.76	
Richard Shoe	SG Cowen	0.79	
Alec Berming	[indiscernible] Capital	0.84	
Paul [indiscernible]	Thomas Weisel Partners	0.81	

This table represents the analyst names, their respective companies, and the calculated cosine similarity between the question and answer pairs from the provided data.

CompletionUsage(completion_tokens=240, prompt_tokens=8772, total_tokens=9012)

```
[ ]: gpt_check = result_table1.loc[(result_table1['company'] == 'A') &
    ↳ (result_table1['year'] == '2003') & (result_table1['quarter'] == 'Q1'),
    ↳ ['Q_analyst', 'Q_company', 'QA_similarity']]
gpt_check
```

```
[ ]:
      Q_analyst      Q_company  QA_similarity
22285      Edward White      Lehman          0.03
22286      Edward White      Lehman          0.12
22287      Dean Gray      Goldman Sachs.        0.02
22288      Dean Gray      Goldman Sachs.        0.06
22289      Dean Gray      Goldman Sachs.        0.11
22290      NaN      NaN          0.02
22291      Richard Shoe      SG Cowen.         0.16
22292      Richard Shoe      SG Cowen.         0.39
22293      Richard Shoe      SG Cowen.         0.38
22294      Richard Shoe      SG Cowen.         0.26
22295      Richard Shoe      SG Cowen.         0.08
22296      Richard Shoe      SG Cowen.         0.12
22297      Richard Shoe      SG Cowen.         0.04
22298      NaN      NaN          0.07
22299      Alec Berming [indiscernible] Capital.  0.04
22300      Paul [indiscernible] Thomas Weisel Partners. 0.05
22301      Dean Gray      Goldman Sachs.        0.02
```

We can see that LLM generates the table largely satisfactorily. There is no question of hallucination in analyst name and company and the mapping between them are correct. It even successfully recognized ‘Lehman Brothers’ compared to NLP dropping the ‘Brothers’. However, the similarity score from LLM is considerably higher than that from NLP, which may come from different methods of word embedding and/or mis-specification.