Lesson 7: Chatting with the SEC Knowledge Graph

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Note: This notebook takes about 30 seconds to be ready to use. Please wait until the "Kernel starting, please wait..." message clears from the top of the notebook before running any cells. You may start the video while you wait.

Import packages and set up Neo4j

```
from dotenv import load_dotenv
In [37]:
             import os
             import textwrap
             # Langchain
             from langchain_community.graphs import Neo4jGraph
             from langchain_community.vectorstores import Neo4jVector
             from langchain_openai import OpenAIEmbeddings
             from langchain.chains import RetrievalQAWithSourcesChain
             from langchain.prompts.prompt import PromptTemplate
             from langchain.chains import GraphCypherQAChain
             from langchain_openai import ChatOpenAI
             # Warning control
             import warnings
             warnings.filterwarnings("ignore")
In [38]:
            # Load from environment
             load dotenv('.env', override=True)
             NEO4J_URI = os.getenv('NEO4J_URI')
             NEO4J USERNAME = os.getenv('NEO4J USERNAME')
             NEO4J_PASSWORD = os.getenv('NEO4J_PASSWORD')
             NEO4J DATABASE = os.getenv('NEO4J DATABASE') or 'neo4j'
             OPENAI API KEY = os.getenv('OPENAI API KEY')
             # Note the code below is unique to this course environment, and not \epsilon
             # standard part of Neo4j's integration with OpenAI. Remove if running
             # in your own environment.
             OPENAI ENDPOINT = os.getenv('OPENAI BASE URL') + '/embeddings'
             # Global constants
             VECTOR INDEX NAME = 'form 10k chunks'
             VECTOR_NODE_LABEL = 'Chunk'
             VECTOR SOURCE PROPERTY = 'text'
             VECTOR EMBEDDING PROPERTY = 'textEmbedding'
In [39]:
          ▶ kg = Neo4jGraph(
                 url=NEO4J_URI, username=NEO4J_USERNAME, password=NEO4J_PASSWORD,
             )
```

Explore the updated SEC documents graph

In this lesson, you'll be working with an updated graph that also includes the address information discussed in the video

- Some outputs below may differ slightly from the video
- · Start by checking the schema of the graph

```
In [40]:
          ⋈ kg.refresh_schema()
             print(textwrap.fill(kg.schema, 60))
Node properties are the following: Chunk {textEmbedding:
LIST, f10kItem: STRING, chunkSeqId: INTEGER, text: STRING,
cik: STRING, cusip6: STRING, names: LIST, formId: STRING,
source: STRING, chunkId: STRING}, Form {cusip6: STRING,
names: LIST, formId: STRING, source: STRING}, Company
{location: POINT, cusip: STRING, names: LIST,
companyAddress: STRING, companyName: STRING, cusip6:
STRING}, Manager {location: POINT, managerName: STRING,
managerCik: STRING, managerAddress: STRING},Address
{location: POINT, country: STRING, city: STRING, state:
STRING Relationship properties are the following: SECTION
{f10kItem: STRING},OWNS_STOCK_IN {shares: INTEGER,
reportCalendarOrQuarter: STRING, value: FLOAT} The
relationships are the following: (:Chunk)-[:NEXT]-
>(:Chunk),(:Chunk)-[:PART_OF]->(:Form),(:Form)-[:SECTION]-
>(:Chunk),(:Company)-[:FILED]->(:Form),(:Company)-
[:LOCATED_AT]->(:Address),(:Manager)-[:LOCATED_AT]-
>(:Address),(:Manager)-[:OWNS_STOCK_IN]->(:Company)
```

- · Check the address of a random Manager
- Note: the company returned by the following query may differ from the one in the video

Full text search for a manager named Royal Bank

Find location of Royal Bank

Determine which state has the most investment firms

· Determine which state has the most companies

· What are the cities in California with the most investment firms?

· Which city in California has the most companies listed?

· What are top investment firms in San Francisco?

```
kg.query("""
In [48]:
               MATCH p=(mgr:Manager)-[:LOCATED_AT]->(address:Address),
                      (mgr)-[owns:OWNS_STOCK_IN]->(:Company)
                      WHERE address.city = "San Francisco"
               RETURN mgr.managerName, sum(owns.value) as totalInvestmentValue
                 ORDER BY totalInvestmentValue DESC
                 LIMIT 10
             """)
[{'mgr.managerName': 'Dodge & Cox', 'totalInvestmentValue': 388923609200
0.0,
 {'mgr.managerName': 'WELLS FARGO & COMPANY/MN',
  'totalInvestmentValue': 2177580039000.0},
 {'mgr.managerName': 'CHARLES SCHWAB INVESTMENT MANAGEMENT INC',
  'totalInvestmentValue': 1944847519000.0},
 {'mgr.managerName': 'Parallax Volatility Advisers, L.P.',
  'totalInvestmentValue': 694023723000.0},
 {'mgr.managerName': 'PARNASSUS INVESTMENTS, LLC',
  'totalInvestmentValue': 211068925000.0},
 {'mgr.managerName': 'Spyglass Capital Management LLC',
  'totalInvestmentValue': 98135259000.0},
 {'mgr.managerName': 'Valiant Capital Management, L.P.',
  'totalInvestmentValue': 52124040000.0},
 {'mgr.managerName': 'Ensemble Capital Management, LLC',
  'totalInvestmentValue': 42355370000.0},
 {'mgr.managerName': 'Woodline Partners LP',
  'totalInvestmentValue': 41497384000.0},
 {'mgr.managerName': 'Alta Park Capital, LP',
  'totalInvestmentValue': 38959909000.0}]
```

What companies are located in Santa Clara?

· What companies are near Santa Clara?

```
kg.query("""
In [50]:
               MATCH (sc:Address)
                 WHERE sc.city = "Santa Clara"
               MATCH (com:Company)-[:LOCATED_AT]->(comAddr:Address)
                 WHERE point.distance(sc.location, comAddr.location) < 10000
               RETURN com.companyName, com.companyAddress
[{'com.companyName': 'PALO ALTO NETWORKS INC',
  'com.companyAddress': '3000 Tannery Way, Santa Clara, CA 95054, USA'},
 {'com.companyName': 'GSI TECHNOLOGY INC',
   com.companyAddress': '1213 Elko Dr, Sunnyvale, CA 94089, USA'},
 {'com.companyName': 'SEAGATE TECHNOLOGY',
  'com.companyAddress': '2445 Augustine Dr, Santa Clara, CA 95054, USA'},
 {'com.companyName': 'ATLASSIAN CORP PLC',
  'com.companyAddress': '431 El Camino Real, Santa Clara, CA 95050, US
 {'com.companyName': 'APPLE INC', 'com.companyAddress': 'Cupertino, CA, U
SA'}]
```

- What investment firms are near Santa Clara?
- Try updating the distance in the guery to expand the search radius

- Which investment firms are near Palo Alto Networks?
- · Note that full-text search is able to handle typos!

```
In [52]:
             # Which investment firms are near Palo Aalto Networks?
             kg.query("""
               CALL db.index.fulltext.queryNodes(
                      "fullTextCompanyNames",
                      "Palo Aalto Networks"
                      ) YIELD node, score
               WITH node as com
               MATCH (com)-[:LOCATED_AT]->(comAddress:Address),
                 (mgr:Manager)-[:LOCATED_AT]->(mgrAddress:Address)
                 WHERE point.distance(comAddress.location,
                     mgrAddress.location) < 10000
               RETURN mgr,
                 toInteger(point.distance(comAddress.location,
                     mgrAddress.location) / 1000) as distanceKm
                 ORDER BY distanceKm ASC
                 LIMIT 10
             """)
[{'mgr': {'managerCik': '1802994',
   'managerAddress': '901 CAMPISI WAY, SUITE 140, CAMPBELL, CA, 95008',
   'location': POINT(-121.9342655 37.2909459),
   'managerName': 'Mine & Arao Wealth Creation & Management, LLC.'},
  'distanceKm': 6}]
```

- · Try pausing the video and modifying queries above to further explore the graph
- You can learn more about Cypher at the neo4j website: https://neo4j.com/product/cypher-graph-query-language/)

Writing Cypher with an LLM

In this section, you'll use few-shot learning to teach an LLM to write Cypher

- You'll use the OpenAl's GPT 3.5 model
- You'll also use a new Neo4j integration within LangChain called GraphCypherQAChain

```
► CYPHER_GENERATION_TEMPLATE = """Task:Generate Cypher statement to
In [53]:
             query a graph database.
             Instructions:
             Use only the provided relationship types and properties in the
             schema. Do not use any other relationship types or properties that
             are not provided.
             Schema:
             {schema}
             Note: Do not include any explanations or apologies in your responses.
             Do not respond to any questions that might ask anything else than
             for you to construct a Cypher statement.
             Do not include any text except the generated Cypher statement.
             Examples: Here are a few examples of generated Cypher
             statements for particular questions:
             # What investment firms are in San Francisco?
             MATCH (mgr:Manager)-[:LOCATED_AT]->(mgrAddress:Address)
                 WHERE mgrAddress.city = 'San Francisco'
             RETURN mgr.managerName
             The question is:
             {question}"""
In [54]:
          ► CYPHER_GENERATION_PROMPT = PromptTemplate(
                 input_variables=["schema", "question"],
                 template=CYPHER_GENERATION_TEMPLATE
             )
          cypherChain = GraphCypherQAChain.from_llm(
In [55]:
                 ChatOpenAI(temperature=0),
                 graph=kg,
                 verbose=True,
                 cypher_prompt=CYPHER_GENERATION_PROMPT,
             )
In [56]:
          ▶ | def prettyCypherChain(question: str) -> str:
                 response = cypherChain.run(question)
                 print(textwrap.fill(response, 60))
```

prettyCypherChain("What investment firms are in San Francisco?") In [57]:

```
> Entering new GraphCypherQAChain chain...
Generated Cypher:
MATCH (mgr:Manager)-[:LOCATED_AT]->(mgrAddress:Address {city: 'San Franci
MATCH (mgr)-[:OWNS STOCK IN]->(company:Company)
RETURN DISTINCT company.companyName
Full Context:
[{'company.companyName': 'WESTERN DIGITAL CORP.'}, {'company.companyNam
e': 'FEDEX CORP'}, {'company.companyName': 'NETAPP INC'}, {'company.compa
nyName': 'NIKE INC'}, {'company.companyName': 'PALO ALTO NETWORKS INC'},
{'company.companyName': 'NEWS CORP NEW'}, {'company.companyName': 'GSI TE
CHNOLOGY INC'}]
```

> Finished chain.

Some of the companies in San Francisco include Western Digital Corp, FedEx Corp, NetApp Inc, Nike Inc, Palo Alto Networks Inc, News Corp New, and GSI Technology Inc.

```
In [58]:
          ▶ prettyCypherChain("What investment firms are in Menlo Park?")
```

```
> Entering new GraphCypherQAChain chain...
```

```
Generated Cypher:
MATCH (mgr:Manager)-[:LOCATED_AT]->(mgrAddress:Address)
    WHERE mgrAddress.city = 'Menlo Park'
RETURN mgr.managerName
Full Context:
[{'mgr.managerName': 'Bordeaux Wealth Advisors LLC'}, {'mgr.managerName':
'Opes Wealth Management LLC'}, {'mgr.managerName': 'Solstein Capital, LL
C'}, {'mgr.managerName': 'Stamos Capital Partners, L.P.'}, {'mgr.managerN
ame': 'TIEMANN INVESTMENT ADVISORS, LLC'}, {'mgr.managerName': 'SCGE MANA
GEMENT, L.P.'}, {'mgr.managerName': 'Nelson Capital Management, LLC'},
{'mgr.managerName': 'Jasper Ridge Partners, L.P.'}, {'mgr.managerName':
'CROSSLINK CAPITAL INC'}]
```

> Finished chain.

Jasper Ridge Partners, L.P. and CROSSLINK CAPITAL INC are investment firms located in Menlo Park.

> Entering new GraphCypherQAChain chain... Generated Cypher: MATCH (mgr:Manager)-[:LOCATED_AT]->(mgrAddress:Address) WHERE mgrAddress.city = 'Santa Clara' RETURN mgr.managerName Full Context: [] > Finished chain. I don't know the answer.

Expand the prompt to teach the LLM new Cypher patterns

```
CYPHER_GENERATION_TEMPLATE = """Task:Generate Cypher statement to que
In [61]:
             Instructions:
             Use only the provided relationship types and properties in the schema
             Do not use any other relationship types or properties that are not pr
             Schema:
             {schema}
             Note: Do not include any explanations or apologies in your responses.
             Do not respond to any questions that might ask anything else than for
             Do not include any text except the generated Cypher statement.
             Examples: Here are a few examples of generated Cypher statements for
             # What investment firms are in San Francisco?
             MATCH (mgr:Manager)-[:LOCATED_AT]->(mgrAddress:Address)
                 WHERE mgrAddress.city = 'San Francisco'
             RETURN mgr.managerName
             # What investment firms are near Santa Clara?
               MATCH (address:Address)
                 WHERE address.city = "Santa Clara"
               MATCH (mgr:Manager)-[:LOCATED_AT]->(managerAddress:Address)
                 WHERE point.distance(address.location,
                     managerAddress.location) < 10000
               RETURN mgr.managerName, mgr.managerAddress
             The question is:
             {question}"""
```

- Update Cypher generation prompt with new template, and re-initialize the Cypher chain to use the new prompt
- Rerun this code anytime you make a change to the Cypher generation template!

```
In [63]: ▶ prettyCypherChain("What investment firms are near Santa Clara?")
```

```
> Entering new GraphCypherQAChain chain...
Generated Cypher:
MATCH (address:Address)
    WHERE address.city = "Santa Clara"
MATCH (mgr:Manager)-[:LOCATED_AT]->(managerAddress:Address)
    WHERE point.distance(address.location, managerAddress.location) < 100
00
RETURN mgr.managerName, mgr.managerAddress
Full Context:
[{'mgr.managerName': 'Mine & Arao Wealth Creation & Management, LLC.', 'm gr.managerAddress': '901 CAMPISI WAY, SUITE 140, CAMPBELL, CA, 95008'}]
> Finished chain.
Mine & Arao Wealth Creation & Management, LLC. is an investment firm near Santa Clara, located at 901 CAMPISI WAY, SUITE 140, CAMPBELL, CA, 95008.
```

Expand the query to retrieve information from the Form 10K chunks

```
CYPHER_GENERATION_TEMPLATE = """Task:Generate Cypher statement to que
In [64]:
             Instructions:
             Use only the provided relationship types and properties in the schema
             Do not use any other relationship types or properties that are not pr
             Schema:
             {schema}
             Note: Do not include any explanations or apologies in your responses.
             Do not respond to any questions that might ask anything else than for
             Do not include any text except the generated Cypher statement.
             Examples: Here are a few examples of generated Cypher statements for
             # What investment firms are in San Francisco?
             MATCH (mgr:Manager)-[:LOCATED AT]->(mgrAddress:Address)
                 WHERE mgrAddress.city = 'San Francisco'
             RETURN mgr.managerName
             # What investment firms are near Santa Clara?
               MATCH (address:Address)
                 WHERE address.city = "Santa Clara"
               MATCH (mgr:Manager)-[:LOCATED_AT]->(managerAddress:Address)
                 WHERE point.distance(address.location,
                     managerAddress.location) < 10000
               RETURN mgr.managerName, mgr.managerAddress
             # What does Palo Alto Networks do?
               CALL db.index.fulltext.queryNodes(
                      "fullTextCompanyNames",
                      "Palo Alto Networks"
                      ) YIELD node, score
               WITH node as com
               MATCH (com)-[:FILED]->(f:Form),
                 (f)-[s:SECTION]->(c:Chunk)
               WHERE s.f10kItem = "item1"
             RETURN c.text
             The question is:
             {question}"""
In [65]:
         ► CYPHER_GENERATION_PROMPT = PromptTemplate(
                 input variables=["schema", "question"],
                 template=CYPHER GENERATION TEMPLATE
             cypherChain = GraphCypherQAChain.from_llm(
                 ChatOpenAI(temperature=0),
                 graph=kg,
                 verbose=True,
                 cypher_prompt=CYPHER_GENERATION_PROMPT,
             )
```

```
In [66]: ▶ prettyCypherChain("What does Palo Alto Networks do?")
```

> Entering new GraphCypherQAChain chain...

```
Generated Cypher:
CALL db.index.fulltext.queryNodes(
     "fullTextCompanyNames",
     "Palo Alto Networks"
     ) YIELD node, score
WITH node as com
MATCH (com)-[:FILED]->(f:Form),
  (f)-[s:SECTION]->(c:Chunk)
WHERE s.f10kItem = "item1"
RETURN c.text
Full Context:
[{'c.text': '>Item 1. Business\nGeneral\nPalo Alto Networks, Inc. is a gl
obal cybersecurity provider with a vision of a world where each day is sa
fer and more secure than the one before. We were incorporated in 2005 and
are headquartered in Santa Clara, California.\nWe empower enterprises, or
ganizations, service providers, and government entities to protect themse
lves against today's most sophisticated cyber threats. Our cybersecurity
platforms and services help secure enterprise users, networks, clouds, an
d endpoints by delivering comprehensive cybersecurity backed by industry-
leading artificial intelligence and automation. We are a leading provider
of zero trust solutions, starting with next-generation zero trust network
access to secure today's remote hybrid workforces and extending to securi
ng all users, applications, and infrastructure with zero trust principle
s. Our security solutions are designed to reduce customers' total cost of
ownership by improving operational efficiency and eliminating the need fo
r siloed point products. Our company focuses on delivering value in four
fundamental areas:\nNetwork Security:\n•\nOur network security platform,
designed to deliver complete zero trust solutions to our customers, inclu
des our hardware and software ML-Powered Next-Generation Firewalls, as we
ll as a cloud-delivered Secure Access Service Edge ("SASE"). Prisma\n®\n
Access, our Security Services Edge ("SSE") solution, when combined with P
risma SD-WAN, provides a comprehensive single-vendor SASE offering that i
s used to secure remote workforces and enable the cloud-delivered branch.
We have been recognized as a leader in network firewalls, SSE, and SD-WA
N. Our network security platform also includes our cloud-delivered securi
ty services, such as Advanced Threat Prevention, Advanced WildFire\n®\n,
Advanced URL Filtering, DNS Security, IoT/OT Security, GlobalProtect\n
®'}]
```

> Finished chain.

Palo Alto Networks, Inc. is a global cybersecurity provider that empowers enterprises, organizations, service providers, and government entities to protect themselves against sophisticated cyber threats. They offer cybersecurity platforms and services to secure users, networks, clouds, and endpoints with industry-leading artificial intelligence and automation. Their focus is on delivering value in network security, including zero trust solutions for remote workforces and cloud-delivered branches.

Try for yourself!

- Update the Cypher generation prompt below to ask different questions of the graph
- You can run the "check schema" cell to be reminded of the graph structure

- · Use any of the examples in this notebook, or in previous lessons, to get started
- Remember to update the prompt template and restart the GraphCypherQAChain each time you make updates!

```
In [67]: # Check the graph schema
kg.refresh_schema()
print(textwrap.fill(kg.schema, 60))
```

Node properties are the following: Chunk {textEmbedding: LIST, f10kItem: STRING, chunkSeqId: INTEGER, text: STRING, cik: STRING, cusip6: STRING, names: LIST, formId: STRING, source: STRING, chunkId: STRING},Form {cusip6: STRING, names: LIST, formId: STRING, source: STRING}, Company {location: POINT, cusip: STRING, names: LIST, companyAddress: STRING, companyName: STRING, cusip6: STRING}, Manager {location: POINT, managerName: STRING, managerCik: STRING, managerAddress: STRING},Address {location: POINT, country: STRING, city: STRING, state: STRING Relationship properties are the following: SECTION {f10kItem: STRING},OWNS_STOCK_IN {shares: INTEGER, reportCalendarOrQuarter: STRING, value: FLOAT} The relationships are the following: (:Chunk)-[:NEXT]->(:Chunk),(:Chunk)-[:PART_OF]->(:Form),(:Form)-[:SECTION]->(:Chunk),(:Company)-[:FILED]->(:Form),(:Company)-[:LOCATED_AT]->(:Address),(:Manager)-[:LOCATED_AT]->(:Address),(:Manager)-[:OWNS_STOCK_IN]->(:Company)

```
► CYPHER_GENERATION_TEMPLATE = """Task:Generate Cypher statement to que
In [68]:
             Instructions:
             Use only the provided relationship types and properties in the schema
             Do not use any other relationship types or properties that are not pr
             Schema:
             {schema}
             Note: Do not include any explanations or apologies in your responses.
             Do not respond to any questions that might ask anything else than for
             Do not include any text except the generated Cypher statement.
             Examples: Here are a few examples of generated Cypher statements for
             # What investment firms are in San Francisco?
             MATCH (mgr:Manager)-[:LOCATED_AT]->(mgrAddress:Address)
                 WHERE mgrAddress.city = 'San Francisco'
             RETURN mgr.managerName
             # What investment firms are near Santa Clara?
               MATCH (address:Address)
                 WHERE address.city = "Santa Clara"
               MATCH (mgr:Manager)-[:LOCATED_AT]->(managerAddress:Address)
                 WHERE point.distance(address.location,
                     managerAddress.location) < 10000
               RETURN mgr.managerName, mgr.managerAddress
             # What does Palo Alto Networks do?
               CALL db.index.fulltext.queryNodes(
                      "fullTextCompanyNames",
                      "Palo Alto Networks"
                      ) YIELD node, score
               WITH node as com
               MATCH (com)-[:FILED]->(f:Form),
                 (f)-[s:SECTION]->(c:Chunk)
               WHERE s.f10kItem = "item1"
             RETURN c.text
             The question is:
             {question}"""
             # Update the prompt and reset the QA chain
In [69]:
             CYPHER GENERATION PROMPT = PromptTemplate(
                 input_variables=["schema", "question"],
```

```
In [70]: ▶ prettyCypherChain("<<REPLACE WITH YOUR QUESTION>>")
```

> Entering new GraphCypherQAChain chain...

```
Generated Cypher:
MATCH (company:Company)-[:FILED]->(form:Form)
WHERE company.companyName = 'Palo Alto Networks'
RETURN form.formId, form.source
Full Context:
[]
```

> Finished chain.

I'm sorry, but I don't have the information to provide an answer to that question.