

***The Investment Professional***  
**Contributor's Manual**

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## MISSION

The *Investment Professional*, published quarterly by the New York Society of Security Analysts, Inc. (NYSSA), educates readers in the finance and banking sectors on the forces that shape their business. The journal provides unbiased coverage of industry developments, detailed analyses of current data and trends, engaging profiles of preeminent players, and keen insights into career management. Through factual reporting and theoretical investigations from a variety of investment schools, the *Investment Professional* establishes itself at the forefront of the investment arena, and serves as a channel for discussion and analysis among the leading voices in the financial community.

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## SCOPE AND CONTENT

Articles must be of use to practicing investment professionals and must support one or more of the journal's purposes:

- Educate investment professionals on theory and practice in securities analysis.
- Offer a forum for the latest in thought leadership in the investment industry.
- Promote discussion among various groups in the industry: professionals, regulators, private investors, company boards of directors and CEOs, students, etc.
- Supplement the programs and professional-development curriculum offered by NYSSA.
- Serve as a career-development resource for readers.

Content should be accessible to the general NYSSA membership, which includes portfolio managers, analysts, CEOs, CIOs, traders, investment bankers, accountants, and business students. Major criteria for acceptance are accuracy, originality, clarity, relevance, and conciseness.

The *Investment Professional* publishes peer-reviewed articles in areas of interest to investment professionals, including:

- Trends and developments in the investment industry
- Evolution of US and global markets and sectors
- Regulatory and governance issues
- Management and leadership
- Technology

To ensure both quality of articles and unbiased reviewing, the *Investment Professional* uses a double-blind peer-review system, in which the names and affiliations of authors are not revealed to reviewers, and names and affiliations of reviewers are not revealed to authors.

The *Investment Professional* also publishes non-peer-reviewed articles on these and other topics. These articles are subject to a general review by the editorial board.

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## MANUSCRIPT SUBMISSION AND COPYRIGHT

All manuscripts are considered to be the property of NYSSA from the time of submission. Should NYSSA elect not to publish the article, NYSSA releases its rights to the article at the time that you receive notification of nonpublication.

By submitting a manuscript, you certify that the content has not been published previously and will not be submitted for publication elsewhere while the manuscript is under review.

NYSSA holds the copyright of all material published in the journal. If your article is accepted, you will be asked to sign a form assigning copyright to NYSSA.

If you use material that has been published elsewhere, you must obtain the permission of the earlier publisher.

You must disclose to NYSSA any potential conflicts of interest that might bias your work, including all financial support received in connection with the work. If the editors view these disclosures as material to the readers, the disclosures will be published in a note to the article.

Email is the preferred method of submission (submissions@theinvestmentprofessional.com). Manuscripts should be attached and should be in .doc or .rtf format. Hard copies submitted via mail must be accompanied by a self-addressed, stamped envelope in order to receive a reply. If you wish NYSSA to return your manuscript, you must note that fact in your cover letter and include sufficient postage on your SASE.

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## ARTICLE LENGTH AND EDITING

NYSSA reserves the right to abridge your article if it exceeds the word count established by the editors. As a rule of thumb, if your text is set in 12-point Times New Roman, double-spaced, with 1-inch margins, one page will contain approximately 300 words.

NYSSA reserves the right to make stylistic changes to your article to ensure compatibility with the general tone of the magazine.

After the article is copyedited, NYSSA will send you the revised article for review and approval.

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CONTACT INFORMATION

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## GENERAL STYLE RULES

The default style for the journal is Chicago style, as outlined in *The Chicago Manual of Style, 15<sup>th</sup> Edition*. The exception to this is our formatting of references, with regard to which we follow house style (see below).

The level and tone of articles should be appropriate to an audience of financial practitioners—sophisticated, but not overly academic or technical. Parenthetical asides are preferred over endnotes for the provision of information related but not central to your discussion. You may use mathematical expressions and Greek or other symbols, within moderation. It is preferable to express ideas in plain English rather than relying on technical jargon or symbols.

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## CHARTS, TABLES, FIGURES, GRAPHS

Illustrative material should be included in the Word or rich-text document that includes the text of your article, and should be placed in the text at the appropriate points, rather than grouped in an appendix. However, if your article contains charts, graphs, and so on, you should also submit the raw data in either an Excel spreadsheet or a table in a separate Word or rich-text document.

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## CITATION OF REFERENCES

Standard rules of attribution apply. When you include a direct quotation, a paraphrased statement, or an idea from another published work, you must give credit to the original author, following the citation style below.

**Citations in Text.** Cite sources in parentheses in the text, by author's last name and publication date.

(Burton 2007)

(Steinberg and Danker 1987)

(Greenwald et al. 2001)

If the text references more than one author with the same last name, the parenthetical citation should include the author's full name.

(Carl Morris 2008)

(Viola Morris 2007)

Regardless of how specific the date information in the full reference citation is, only the year is used in the parenthetical citation in the text. The exception to this is a case in which more than one reference exists for the same author and for the same year. In that instance, cite the full date in the parenthetical reference, with a comma following the author's name.

(Qiao, April 18, 2001)

(Qiao, May 19, 2001)

If the author's name is mentioned in the text, include only the date:

As Burton (2007) observes, hedge funds . . .

Include page numbers if reference is made to a specific passage or if text is quoted; include only page number(s) pertaining to those passages or quoted text.

Graham and Dodd (1951, 43) wrote that "a sound analyst's investment can be made under most conditions by buying a diversified list of standard comment stocks."

**Reference Lists.** Reference lists appear at the end of articles. Include full details for every work cited in your article. Note that our formatting of reference lists departs significantly from the conventions of *Chicago Manual*.

*Alphabetization.* References are alphabetized by author's last name and are not divided into sections.

*Capitalization.* Use headline-style capitalization for all English-language titles (book, journal, magazine, article, chapter, etc.). In other words, you should always capitalize the first and last word in the title, as well as any nouns, pronouns, verbs, adverbs, or adjectives. Articles (a, an, the) are never capitalized unless they constitute the first word in a title. Prepositions are never capitalized, regardless, of length, unless they are the first or last word in the title, are particularly stressed, or constitute part of an idiomatic phrase.

*Font formatting.* Enclose names of chapters and articles in quotation marks. Titles of books should be set in italics. Periodical titles (newspapers, magazines, journals) should be set in italics as long as the periodical in question is published as a print periodical. This rule applies even if the citation is for material available as online-only content at the Web arm of the periodical. No other type of titles should be italicized.

Each element in a reference is separated from the other elements by a period. Elements appear in the order listed below. If one of the elements listed below does not apply to a given publication, skip that element and continue on to the next.

1. **Author(s).**
2. **Date.**
3. **“Title of article, report, blog post, etc.”**
4. ***Title of publication* (book, periodical, report, website, blog, news service, database, etc.).**
5. **Place of publication.**
6. **Publisher (or other responsible organization).**
7. **Page numbers.**
8. **URL.**

*Author.* The first author is listed *last name, comma, first name*.

For example:  
Major, Kent.

Give as much information as is provided in the publication you are citing. If only a first initial is provided, then you can include only a first initial. If a middle name, or such information as *Jr.*, *Sr.*, *III*, and so on is provided, then you should include that information as well.

For example:  
Tanner, S.  
Smythe Jr., Robin.  
Farrow, Marie Joanne.

If there are additional authors, a comma follows the name of the first author, and subsequent authors are listed in the traditional *first name / last name* format.

For example:  
Hardwick, Oliver, Henrietta Weiss, and Abigail Preisner.  
Cantor III, Michael, Simon W. Fisch, and M. H. Yun.

In the case of a text without an author (a report issued by an organization), the issuing organization is given as the author. (In such an instance, the organization would not be repeated as the publisher; instead, the publisher field would be omitted from the citation.)

For example:  
Inside Mortgage Finance. 2007. "Mortgage Market Statistical Annual 2008."

*Date.* Provide as much date information as can be gleaned from the publication. Formatting may be:

|                    |                |                         |
|--------------------|----------------|-------------------------|
| 1998               | Spring 1998    | April 1998              |
| April 31, 1998     | 1998–1999      | Spring 1998–Winter 1999 |
| Spring–Summer 1998 | April–May 1998 | April 15–22, 1998       |

*"Title" (of article) and Title (of publication).* In the case of items that are self-contained (i.e., a report that is not part of a larger publication but is issued as a monograph) use "Title" (in quotes) only, not *Title* (roman or italics, depending on the type of publication [see above]).

For example:  
Morgan, D., B. Iverson, and M. Botsch. 2008. "Subprime Foreclosures and Bankruptcy Reform" [unpublished working paper]. Federal Reserve Bank of New York.

*Title and Publisher.* In the case of items for which the publication title and the publisher are the same, omit the publication title. This will frequently be the case for online texts; i.e., a paper published on/by the Social Science Research Network. In such a case, you should still provide the “Title” of the contribution.

For example:

Ben-David, Itzhak. February 2008. “Manipulation of Collateral Values by Borrowers and Intermediaries.” Social Science Research Network.

[http://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=991387](http://papers.ssrn.com/sol3/papers.cfm?abstract_id=991387).

*City, State.* This element should only appear in references for book publications, not for print periodicals, online material, or miscellanea such as annual company reports. Postal abbreviations should be used for US states. For non-US publications, only the city and country should be given, and no abbreviations should be used. A city should never be listed alone. If only the state or country of publication is known, then list that information by itself.

For example:

New York, NY

London, England

Ghana

*Publisher.* This element will predominantly be used for books. A publisher need never be supplied in the case of a newspaper. Online material usually will not have a publisher, but may in cases in which the author, the title of the online publication, and the name of the issuing organization are all different (for example, an article by John Smith in the Design Foundation’s online newsletter *DMAX*.)

When no author is identified for a given article, it may be appropriate to list the publisher (issuing organization) or the title of the publication as a whole in the space for the author element. In such a case, you should not repeat that information elsewhere in the citation.

For example,

Merrill Lynch & Company. 2008. “Letter to Shareholders.” 2008 Annual Report.  
(author and publisher are the same; publisher element is omitted)

*Economist.* May 20, 2008. “Divvying the Dividends.”

(author and publication title are the same; title element is omitted)

*Page numbers.* Page numbers should be included to indicate the span of a chapter in a book or a scholarly paper in an academic journal. They may be omitted from magazine and newspaper citations, as well as from citations of miscellaneous material such as annual reports or white papers.

If the citation is for a book as a whole (rather than for a discrete chapter within a book), page numbers may be omitted. In the case of any kind of print publication, if the reference is to a very specific passage in the text rather than to the text as a whole, page numbers may be given.

*URL.* A complete URL must be provided for any material currently available online. If the material was accessed online but is no longer available, a date of access must be provided in place of the URL. Do not break a URL over two lines: if the URL is so long that your word processor automatically hyphenates, be sure to include a note to the editors to indicate at which point the hyphen has been inserted.

### **Examples.**

Adelson, Mark H., and David P. Jacob. January 8, 2008. "The Subprime Problem: Causes and Lessons." Adelson & Jacob Consulting, LLC.  
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*Economist*. May 31, 2007. "Measuring the Measurers."

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Ernst, Keith, Debbie Bocian, and Wei Li. April 8, 2008. "Steered Wrong: Brokers, Borrowers, and Subprime Loans." Center for Responsible Lending.  
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[no hyphen inserted; hyphen after "subprime" is part of URL]

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Tanta. February 20, 2007. "Mortgage Servicing for Übernerds." Calculated Risk [blog]. <http://calculatedrisk.blogspot.com/2007/02/tanta-mortgage-servicing-for-ubernders.html>.

Consult *Chicago Manual* or contact the editors for reference/documentation questions not covered above.