

## RULES FOR ALPHABETIC FILING

### Rules

- I. Personal names.
  - a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.
  - b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetic sequence.
  - c. HYPHENATED surnames of individuals are filed as one complete surname.
  - d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.
  - e. MARRIED WOMEN'S names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine Adams Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens).  

Cross-reference:
  - f. ABBREVIATED first names are filed as though they were spelled in full.
  - g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname used as the first name. Nicknames with no recognizable surnames are filed as they are written.
  - h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles, Col., Major; professional title, Dr., Prof.; official titles, governor, mayor; titles of respect, Rev., Hon.; foreign titles, Lord; degrees, LL.D., Ph.D). Titles followed by one or more names not recognizable as surnames are filed in order as written.
  - i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.
2. Firms, corporations, companies, associations, institutions, governments, and geographic names.
  - a. COINED names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.
  - b. SURNAMENAMES are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.
  - c. PREFIXES on firm and geographic names, such as Co., D', d', de, des, Di, El, L', la, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.
  - d. HYPHENATED firm names are filed as one complete name.
  - e. COMPOUND names of firms that may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words, such as Inter State, Mid West, South Eastern, South Side, North East.
  - f. COMPOUND GEOGRAPHIC firm names are filed as written. Abbreviations are filed as though spelled in full.

### Examples

- Arthur B. Anglin—filed *Anglin* Arthur B.
- David de Valera—filed *de Valera* David.
- Blanche Duff-Gordon—filed *Duff-Gordon* Blanche.  
*Black* Thunder.  
*Henry* George.  
 Laurens Josephine Mary (Mrs) (Mrs. William A).
- Laurens William A (Mrs)—filed Laurens Josephine Mary.  
 Chas. Brown—filed *Brown* Charles.  
 Red Larson—filed *Larson* Red. *Boston* Jimmie.
- Dr. Charles C. Brown—filed *Brown* Charles C (Dr.).
- Father Pierre—filed *Father* Pierre.
- C. Albert Brown, Jr.—filed *Brown* C Albert (Jr).
- A A A Chemical Co.—filed *A A A* Chemical Company.  
 Aunt Jemima's Pancake Flour—filed *Aunt Jemima's Pancake* Flour.  
 Charles Brown & Company—filed *Brown* Charles (&) Company.
- De la Verne Co.—filed *De la Verne* Company.  
 Los Angeles, Calif.—filed *Los Angeles, California*.
- Air-E-Ator Ventilating Co.—filed *Air-E-Ator* Ventilating Company.  
 Inter State Warehousing Co.—filed *Inter State* Warehousing Company.
- Ft. Wayne Paper Co.—filed *Fort* Wayne Paper Company.  
 N.J. Coal & Coke Co.—filed *New Jersey* Coal (&) Coke Company.

APPENDIX 3

RULES FOR ALPHABETIC FILING (CON.)

*Rules*

**g. ABBREVIATIONS** representing names or parts of names of firms, of Government agencies, fraternal and similar organizations are filed as though spelled in full.

**A. APOSTROPHE S (s)** is not considered in filing, but s apostrophe (s') is considered in filing.

**l. ARTICLE, CONJUNCTION, OR PREPOSITION**, such as the, and, &, of, for, on, by, when it is part of a firm name is inclosed in parentheses and disregarded in filing. When "Ye" is used, it is filed as written. Foreign language articles are not translated and are filed as written.

**j. STATE, COUNTY, CITY, TOWN**, or a similar word when appearing as the first word in the name of a firm, institution, association, etc., and not referring to a government establishment, is filed as written.

**k. NUMERALS** of one or two digits that make up a name or the beginning of a name are read in units and tens and are filed as though spelled out. A name with three or four digits is read in hundreds. Consider only the lowest number in captions beginning with inclusive numbers. Captions beginning with numbers spelled in full or abbreviated are filed as though spelled in full. Numbers of two or more words are filed as one word.

**l. FIRM** names beginning with such phrases as Board of, Bureau of, Commission for, which do not refer to any government establishment or function, are filed as written.

**m. STANDARD TERMS**, such as Bros., Co., Corp., Ltd., Inc., names of states and cities, often abbreviated, affect the filing sequence. When abbreviated they are filed as though spelled in full. In foreign firm names abbreviations of company, brothers, etc., whether they appear before or after the names are filed as written. They are not translated.

**n. CHANGE** of firm name due to succession should be filed under the current firm name and a permanent cross-reference made under the former name.

Cross-reference:

**o. MULTIPLE** names. Firms doing business under two titles are filed under the more active or important name and a permanent cross-reference is made under the other name. This includes firms "doing business as," written "d/b" or "d/b/a."

Cross-reference:

**p. PARTNERSHIP AND FIRM** names that contain the full names of two or more individuals are filed by the name of the first individual mentioned.

**q. VARIOUS LOCATIONS.** The same firm name appearing at various locations is filed by name of firm and then by city. Consider the State when there is a duplication of city names.

**r. SUBSIDIARIES OR DIVISIONS.** Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.

**s. BANKS, BOARDS OF TRADE, NEWSPAPERS,** etc. Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore filed by location: city first, the state in parentheses, followed by the name of the bank, board of trade, etc.

**t. FEDERAL DEPARTMENT NAMES.** Federal Government departments and subdivisions thereof are filed by name in the alphabetic name file disregarding the parent organization.

*Examples*

Amer. Society for Civic Education—filed *American Society (for) Civic Education.*  
E. 59th St. Garage—filed *East Fifty Ninth Street Garage.*

Anglin's Beauty Shop—filed *Anglin's Beauty Shop*

Anglin's Automobile Co.—filed *Anglin's Automobile Company.*

The Calico Cat—filed *Calico Cat (The).*

Il Progresso Italo—filed *Il Progresso Italo.*

City Letter Co.—filed *City Letter Company.*

County of Wall Surveying Co.—filed *County (of) Wall Surveying Company.*

86 Madison Ave. Realty Co.—filed *Eighty-six Madison Avenue Realty Company.*

1198 Park Ave. Corp.—filed *Eleven Hundred Ninety-eight Park Avenue Corporation.*

92-96 W. 18th St. Corp.—filed *Ninety-two (96) West Eighteen Street Corporation.*

Committee for Economic Development—filed *Committee (for) Economic Development.*

Brown Bros.—filed *Brown Brothers. Cie Generale Transatlantique—filed Cie Generale Transatlantique.*

Clairo Company formerly Van Ess Products Co.—filed *Clairo Company (Formerly Van Ess Products Co.).*

Van Ess Products Company—filed *Clairo Company.*

Max Jensen doing business as Ace Van Lines—filed *Ace Van Lines.*

Jensen Max d/b/a filed *Ace Van Lines.*

Charles Brown & Henry Jones—filed *Brown Charles (& Henry Jones).*

Allied Van Lines, Denver, Colo.—filed *Allied Van Lines Denver Colorado.*

Allied Van Lines, Portland, Me.—filed *Allied Van Lines Portland Maine.*

Truscon Steel Co. Division of Republic Steel Corp.—filed *Republic Steel Corporation Truscon Steel Co. Division.*

Board of Trade Chicago, Ill.—*Chicago (Ill.) Board of Trade.*

## RULES FOR ALPHABETIC FILING (CON.)

### *Rules*

U.S. Coast Guard:  
Office of Management and Budget:  
Great Lakes Naval Training Station:  
Executive Office of the President:

3. **FRATERNAL** or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organization may be cross-referenced.

4. **INSTITUTION** names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.

5. **SUBDIVISIONS** of state, county, municipal or foreign governments, such as departments, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.

### *Examples*

Filed *Coast Guard* (U.S.).  
Filed *Management and Budget* Office (of).  
Filed *Great Lakes Naval Training Station*.  
Filed *President Executive Office* (of The).  
Veterans of Foreign Wars, Portsmouth Post.  
N.H.—filed *Portsmouth* (N.H.) Post, Veterans (of) Foreign Wars.  
Andrew Carnegie Library—filed *Carnegie Andrew Library*; University of Washington—filed *Washington* University (of).  
Water Dept. Fairfax County, Va.—filed *Fairfax County* (Va.) Water (Dept.).

SOURCE: Files Operations, dated 1981. Handbook issued by National Archives and Records Administration.