

Separate Ratio Estimator Using Calibration Approach for the Population mean in Stratified Random Sampling

Abstract

In this paper we investigate the problem of estimation of finite population mean using auxiliary information. The aim of this paper is to modify a separate ratio estimator by using calibration approach for the population mean using stratified random sampling. We use the calibration approach to improve the precision of estimate of the population parameter by incorporating auxiliary information. We use the chi-square distance function to minimize the distance between the original design weight and the new design weight. We use two constraints called calibration equations to find the new calibration weights. We use the Taylor's linearization technique to find the approximate mean square (MSE) of the proposed estimator up to the first degree of approximation. We conduct a simulation study to assess the efficiency of the proposed calibration estimator based on an artificially generated data set. An empirical study has also been conducted to judge the merits of the proposed estimator, which shows that the proposed estimator performs better than the proposed estimator [9] and the usual separate ratio estimator.

Key words: Calibration estimator; stratified random sampling; separate ratio estimator; Taylor's linearization technique.

1. Introduction

In survey sampling, we use auxiliary information in a number of ways to improve our estimator. With the help of auxiliary information, we have some well-known techniques such as ratio-type estimation method and regression-type estimation method. [1] first introduced the calibration approach for the population total. The calibration approach is a method that uses auxiliary information to adjust the original design weights to improve the accuracy of the estimator of the population parameter. Calibration is used to improve the estimator by modifying the sample weights, and we choose calibration weights to minimize a given distance measure while satisfying the constraints on the auxiliary variable. Some research using the calibration approach was done by [2] in (2001). [3] introduced a pair of constraints that use first and second-order moments of the auxiliary variables to obtain calibration weights for estimating the population mean in stratified sampling. [4] in (2005), [5] in (2005), and [6] in (2006) have also given some calibration estimators. [7] proposed a calibration approach for the ratio estimators in stratified sampling design. [8] proposed estimators using the population mean calibration approach with stratified random sampling. [9] in (2017) introduced the calibration approach estimation of mean in stratified sampling. [10] have also proposed a calibration technique by using dual use of the auxiliary variable for estimation of the finite population mean in stratified sampling. In this paper, we proposed a calibration approach for separate ratio estimators that uses stratified sampling in the case of a known value of the population mean of the auxiliary character in each stratum. The properties of the proposed estimator have been obtained and a comparative study of the proposed estimator with relevant estimators have been performed using a simulation study and also for a real data set.

2. Procedures and Notations

Consider a finite population $U:\{1,2,\dots,N\}$ of size N . Let Y and X be the study variable and auxiliary variable. Let the population of size N be divided into L homogeneous groups called strata such that the h^{th} stratum contains of N_h units and a sample of size n_h is drawn using simple random sampling without replacement (SRSWOR) method such that $\sum_{h=1}^L N_h = N$ and $\sum_{h=1}^L n_h = n$, where n is the total sample size. Let y_{hi} be the value of i^{th} unit of the study variable in the h^{th} stratum, where $i=1,2,\dots,n_h$. Let X_{hi} be the value of i^{th} unit of the auxiliary variable in the h^{th} stratum. For the h^{th} stratum, $W_h = N_h / N$ be the stratum weight.

Under the stratified sampling scheme, the unbiased estimator of the population mean is given by

$$\bar{y}_{st} = \sum_{h=1}^H W_h \bar{y}_h$$

(1)

where $\bar{y}_h = \frac{1}{n_h} \sum_{i=1}^{n_h} y_{hi}$ is the sample mean of study variable Y in the h^{th} stratum.

The variance of the estimator \bar{y}_{st} is given by

$$V(\bar{y}_{st}) = \sum_{h=1}^H W_h^2 \left(\frac{1-f_h}{n_h} \right) S_{hy}^2$$

(2)

where $S_{hy}^2 = \frac{1}{N_h-1} \sum_{i=1}^{N_h} (Y_{hi} - \bar{Y}_h)^2$ is population mean square for h^{th} stratum and $f_h = n_h / N_h$ is the sampling fraction for the h^{th} stratum.

The separate ratio estimator \bar{y}_{sr} of population mean \bar{Y} is given by

$$\bar{y}_{sr} = \sum_{h=1}^H W_h \left(\frac{\bar{y}_h}{\bar{x}_h} \right) \bar{X}_h$$

(3)

where $\bar{x}_h = \frac{1}{n_h} \sum_{i=1}^{n_h} x_{hi}$ is the h^{th} sample mean of auxiliary character X in the h^{th} stratum and

$\bar{X}_h = \frac{1}{N_h} \sum_{i=1}^{N_h} X_{hi}$ is the population mean for the h^{th} stratum.

The variance of \bar{y}_{sr} to the first order of approximation is given by

$$V(\bar{y}_{sr}) \approx \sum_{h=1}^H W_h^2 \left(\frac{1-f_h}{n_h} \right) \bar{Y}_h^2 [C_{hy}^2 + C_{hx}^2 - 2\rho_{hxy} C_{hx} C_{hy}]$$

(4)

where $f_h = n_h / N_h$, $\bar{Y}_h = \frac{1}{N_h} \sum_{i=1}^{N_h} y_{hi}$, $C_{hx}^2 = S_{hx}^2 / \bar{X}_h^2$, $C_{hy}^2 = S_{hy}^2 / \bar{Y}_h^2$, and $\rho_{hxy} = S_{hxy} / S_{hx} S_{hy}$ and S_{hx}^2 ,

S_{hy}^2 , S_{hxy} , ρ_{hxy} denote the population mean square of y , x , covariance of y and x , and population correlation coefficient between y and x respectively in the h^{th} stratum.

An estimator for the variance of the \bar{y}_{sr} is given by

$$\hat{v}(\bar{y}_{sr}) \approx \sum_{h=1}^H W_h^2 \left(\frac{1-f_h}{n_h} \right) [s_{hy}^2 + r_h^2 s_{hx}^2 - 2r_h s_{hxy}]$$

(5)

where $r_h = \frac{\bar{y}_h}{\bar{x}_h}$, $s_{hy}^2 = \frac{1}{n_h-1} \sum_{i=1}^{n_h} (y_{hi} - \bar{y}_h)^2$, $s_{hx}^2 = \frac{1}{n_h-1} \sum_{i=1}^{n_h} (x_{hi} - \bar{x}_h)^2$, and

$$s_{hxy} = \frac{1}{n_h-1} \sum_{i=1}^{n_h} (x_{hi} - \bar{x}_h)(y_{hi} - \bar{y}_h)$$

and s_{hx}^2 , s_{hy}^2 , s_{hxy} , r_h denotes the sample mean square of x, y, covariance of y and x, and the ratio of two sample mean respectively in the h^{th} stratum.

The calibration estimator defined by [9], is given by

$$\bar{y}_{st}(n) = \sum_{h=1}^H \Omega_h \bar{y}_h$$

(6)

where Ω_h are calibrated weights used to minimize the chi-square distance function, given as

$$\sum_{h=1}^H \frac{(\Omega_h - W_h)^2}{W_h Q_h}$$

where Q_h are suitably chosen positive quantity which determines the type of the estimator, subject to the following constraints

$$\sum_{h=1}^H \Omega_h \bar{x}_h = \sum_{h=1}^H W_h \bar{X}_h$$

(7)

and

$$\sum_{h=1}^H \Omega_h = 1$$

(8)

The Lagrange function utilizing calibration constraints and chi-square distance function is given by

$$\Phi = \sum_{h=1}^H \frac{(\Omega_h - W_h)^2}{W_h Q_h} - 2\lambda_1 \left(\sum_{h=1}^H \Omega_h \bar{x}_h - \sum_{h=1}^H W_h \bar{X}_h \right) - 2\lambda_2 \left(\sum_{h=1}^H \Omega_h - 1 \right)$$

(9)

where λ_1 and λ_2 are Lagrange multipliers.

Now differentiate (9) with respect to Ω_h and equating to zero, we get the calibrated weight given as

$$\Omega_h = W_h + W_h Q_h \bar{x}_h \left[\frac{\sum_{h=1}^H W_h (\bar{X}_h - \bar{x}_h) \left(\sum_{h=1}^H W_h Q_h \right)}{\left(\sum_{h=1}^H W_h Q_h \bar{x}_h^2 \right) \left(\sum_{h=1}^H W_h Q_h \right) - \left(\sum_{h=1}^H W_h Q_h \bar{x}_h \right)^2} \right] ; \quad \text{for } h=1,2,\dots,L$$

$$+ W_h Q_h \left[\frac{-\sum_{h=1}^H W_h (\bar{X}_h - \bar{x}_h) \left(\sum_{h=1}^H W_h Q_h \bar{x}_h \right)}{\left(\sum_{h=1}^H W_h Q_h \bar{x}_h^2 \right) \left(\sum_{h=1}^H W_h Q_h \right) - \left(\sum_{h=1}^H W_h Q_h \bar{x}_h \right)^2} \right]$$

(10)

The calibration approach provides an estimator of variance given by

$$\hat{V}[\bar{y}_{sr}(n)] \approx \sum_{h=1}^H \Omega_h^2 \left(\frac{1-f_h}{n_h} \right) \frac{1}{(n_h-1)} \sum_{i=1}^{n_h} \hat{e}_{hi}^2 \quad (11)$$

where $\hat{e}_{hi} = (y_{hi} - \bar{y}_h) - \hat{\beta}_h (x_{hi} - \bar{x}_h)$ denotes the residual term in the h^{th} stratum and $\hat{\beta}_h = s_{hy} / s_{hx}^2$.

3. Proposed estimators

We propose separate ratio estimator using calibration approach for the population mean using stratified random sampling which is given by

$$\bar{y}_{sr}(c) = \sum_{h=1}^H W_h^* \left(\frac{\bar{y}_h}{\bar{x}_h} \right) \bar{X}_h$$

(12)

where the new weights W_h^* are chosen such that the chi-square distance function

$$\sum_{h=1}^H \frac{(W_h^* - W_h)^2}{W_h Q_h}$$

is minimum depending on the condition

$$\sum_{h=1}^H W_h^* \bar{x}_h = \sum_{h=1}^H W_h \bar{X}_h \quad \text{and} \quad \sum_{h=1}^H W_h^* = 1$$

(13)

The choice of quantity Q_h determines the form of the estimator.

Now, let us consider the Lagrange function given by

$$\Psi = \sum_{h=1}^H \frac{(W_h^* - W_h)^2}{W_h Q_h} - 2\nu_1 \left(\sum_{h=1}^H W_h^* \bar{x}_h - \sum_{h=1}^H W_h \bar{X}_h \right) - 2\nu_2 \left(\sum_{h=1}^H \Omega_h - 1 \right)$$

(14)

where ν_1 and ν_2 are Lagrange's multipliers. Now differentiating (14) with respect to W_h^* and equal to zero, we get the new calibration weight as

$$W_h^* = W_h + W_h Q_h \bar{x}_h \left[\frac{\sum_{h=1}^H W_h (\bar{X}_h - \bar{x}_h) \left(\sum_{h=1}^H W_h Q_h \right)}{\left(\sum_{h=1}^H W_h Q_h \bar{x}_h^2 \right) \left(\sum_{h=1}^H W_h Q_h \right) - \left(\sum_{h=1}^H W_h Q_h \bar{x}_h \right)^2} \right]$$

$$+ W_h Q_h \left[\frac{-\sum_{h=1}^H W_h (\bar{X}_h - \bar{x}_h) \left(\sum_{h=1}^H W_h Q_h \bar{x}_h \right)}{\left(\sum_{h=1}^H W_h Q_h \bar{x}_h^2 \right) \left(\sum_{h=1}^H W_h Q_h \right) - \left(\sum_{h=1}^H W_h Q_h \bar{x}_h \right)^2} \right]$$

(15)

Now substituting the value of W_h^* in the equation (12), we get the calibration estimator as

$$\bar{y}_{sr}(c) = \sum_{h=1}^H W_h \left(\frac{\bar{y}_h}{\bar{x}_h} \right) \bar{X}_h + \hat{\beta}_{st}^* \left(\bar{X} - \sum_{h=1}^H W_h \bar{x}_h \right)$$

(16)

Where

$$\hat{\beta}_{st}^* = \frac{\left(\sum_{h=1}^H Q_h W_h \right) \left(\sum_{h=1}^H Q_h W_h \bar{y}_h \bar{X}_h \right) - \left(\sum_{h=1}^H Q_h W_h \left(\frac{\bar{y}_h}{\bar{x}_h} \right) \bar{X}_h \right) \left(\sum_{h=1}^H Q_h W_h \bar{x}_h \right)}{\left(\sum_{h=1}^H Q_h W_h \right) \left(\sum_{h=1}^H Q_h W_h \bar{x}_h^2 \right) - \left(\sum_{h=1}^H Q_h W_h \bar{x}_h \right)^2}$$

(17)

3.1 Approximate Mean Square Error (MSE) of the proposed estimator

The variance estimate is necessary to estimate the accuracy of the survey estimates. In most scenarios, the unbiased estimates of the nonlinear parametric functions are not available. So we use the Taylor linearization method to find the approximate mean square error (MSE) of nonlinear estimators that can be used for complicated survey designs. To find the variance of estimators, we define the following notations and for simplicity we take $Q_h=1$. Let us assume

$$t_1 = \sum_{h=1}^H W_h \left(\frac{\bar{y}_h}{\bar{x}_h} \right) \bar{X}_h, \quad t_2 = \sum_{h=1}^H Q_h W_h \bar{y}_h \bar{X}_h, \quad t_3 = \sum_{h=1}^H Q_h W_h \left(\frac{\bar{y}_h}{\bar{x}_h} \right) \bar{X}_h,$$

$$t_4 = \sum_{h=1}^H Q_h W_h \bar{x}_h, \quad t_5 = \sum_{h=1}^H Q_h W_h \bar{x}_h^2, \quad \text{and} \quad t_6 = \sum_{h=1}^H W_h \bar{x}_h$$

(18)

By using the values of t_1, t_2, t_3, t_4, t_5 , and t_6 from (18), equation (16) becomes

$$\bar{y}_{sr}(c) = t_1 + \left(\frac{t_2 - t_3 t_4}{t_5 - t_4^2} \right) (\bar{X} - t_6)$$

(19)

Let,

$$\bar{y}_{sr}(c) = T = F(t_1, t_2, t_3, t_4, t_5, t_6)$$

(20)

For further calculation, we use some approximations for the h^{th} stratum. For large sample approximation, we assume

$$\bar{y}_h = \bar{Y}_h(1 + \varepsilon_{h0}) \text{ and } \bar{x}_h = \bar{X}_h(1 + \varepsilon_{h1}) \text{ such that } E(\varepsilon_{h0}) = E(\varepsilon_{h1}) = 0$$

$$\text{Then } E(\varepsilon_{h0}^2) = \left(\frac{1 - f_h}{n_h} \right) C_{hy}^2, E(\varepsilon_{h1}^2) = \left(\frac{1 - f_h}{n_h} \right) C_{hx}^2, E(\varepsilon_{h0}\varepsilon_{h1}) = \left(\frac{1 - f_h}{n_h} \right) \rho_{hxy} C_{hx} C_{hy} \text{ and } f_h = \frac{1}{n_h} - \frac{1}{N_h}$$

(21)

Now we have,

$$E(t_1) = \sum_{h=1}^H W_h \bar{Y}_h (1 + E(\varepsilon_1^2) - E(\varepsilon_0\varepsilon_1)) = \theta_1, E(t_2) = \sum_{h=1}^H W_h Q_h \bar{Y}_h \bar{X}_h = \theta_2$$

$$E(t_3) = \sum_{h=1}^H W_h Q_h \bar{Y}_h (1 + E(\varepsilon_1^2) - E(\varepsilon_0\varepsilon_1)) = \theta_3, E(t_4) = \sum_{h=1}^H W_h Q_h \bar{X}_h = \theta_4$$

$$E(t_5) = \sum_{h=1}^H W_h Q_h \bar{X}_h^2 (1 + E(\varepsilon_1^2)) = \theta_5, E(t_6) = \sum_{h=1}^H W_h \bar{X}_h = \theta_6$$

(22)

Now differentiating the function $\bar{y}_{sr}(c) = F(t_1, t_2, t_3, t_4, t_5, t_6)$ with respect to t_1, t_2, t_3, t_4, t_5 , and t_6 , putting their expected value in the function, we get

$$g_1 = \frac{\partial}{\partial t_1} F(t_1, t_2, t_3, t_4, t_5, t_6) \Big|_{\hat{\theta}=\theta} = 1, g_2 = \frac{\partial}{\partial t_2} F(t_1, t_2, t_3, t_4, t_5, t_6) \Big|_{\hat{\theta}=\theta} = 0$$

$$g_3 = \frac{\partial}{\partial t_3} F(t_1, t_2, t_3, t_4, t_5, t_6) \Big|_{\hat{\theta}=\theta} = 0, g_4 = \frac{\partial}{\partial t_4} F(t_1, t_2, t_3, t_4, t_5, t_6) \Big|_{\hat{\theta}=\theta} = 0$$

$$g_5 = \frac{\partial}{\partial t_5} F(t_1, t_2, t_3, t_4, t_5, t_6) \Big|_{\hat{\theta}=\theta} = 0, g_6 = \frac{\partial}{\partial t_6} F(t_1, t_2, t_3, t_4, t_5, t_6) \Big|_{\hat{\theta}=\theta} = (-1) \left(\frac{t_2 - t_3 t_4}{t_5 - t_4^2} \right) \Big|_{\hat{\theta}=\theta}$$

(23)

By using (23), we can write equation (19) as

$$T = \bar{Y} + g_1(t_1 - \theta_1) + g_2(t_2 - \theta_2) + g_3(t_3 - \theta_3) + g_4(t_4 - \theta_4) + g_5(t_5 - \theta_5) + g_6(t_6 - \theta_6)$$

(24)

Putting the values of calculated g_1, g_2, g_3, g_4, g_5 , and g_6 in equation (24), we get

$$T = \bar{Y} + g_1(t_1 - \theta_1) + g_6(t_6 - \theta_6)$$

Now the approximate mean square error (MSE) of T is given as

$$\begin{aligned}MSE(T) &\approx V(\bar{Y}) + V(g_1(t_1 - \theta_1)) + V(g_6(t_6 - \theta_6)), \\MSE(T) &\approx V(\bar{Y}) + g_1^2 V(t_1 - \theta_1) + g_6^2 V(t_6 - \theta_6), \\MSE(T) &\approx V(t_1) + g_6^2 V(t_6) + 2g_6 Cov(t_1, t_6)\end{aligned}$$

(25)

where $V(t_1) = \sum_{h=1}^H W_h^2 \left(\frac{1-f_h}{n_h} \right) [S_{hy}^2 + R_h^2 S_{hx}^2 - 2R_h S_{hxy}]$, $V(t_6) = \sum_{h=1}^H W_h^2 \left(\frac{1-f_h}{n_h} \right) S_{hx}^2$, and

$$Cov(t_1, t_6) = \sum_{h=1}^H W_h^2 \bar{Y}_h \bar{X}_h [E(\varepsilon_0 \varepsilon_1) - E(\varepsilon_1^2)]$$

After substituting the values of the above expressions into an equation (25), we get the approximate mean square error (MSE) of the proposed calibrated estimator. We take $Q_h=1$ throughout our study for simplicity.

4. Empirical Study

4.1 Simulation Study

In the sampling theory, researchers typically check the estimator's performance by comparing its approximate mean square error (MSE) with respect to the other estimators. The approximate mean square error (MSE) of the estimators relies entirely on the population parameters assumed to be known. But in the practical situation, parametric values are rarely available to be known. To avoid such practical difficulties, one can perform a simulation analysis based on the actual samples drawn from the population. In simulation analysis, a large number of independent samples are drawn from the population and the mean square error (MSE) is calculated to compare the efficiency of the estimators. We therefore attempted to conduct a simulation study to verify the performance of the proposed calibration estimator $\bar{y}_{sr}(c)$. We perform a simulation study by generating four artificial population from normal distribution with different assumed means and standard deviations. To get different level of correlations between study variables and auxiliary variable, we use transformation from [11]. Each population consists of four strata. We select a sample from each stratum by using simple random sampling. Here we take a population of size 2650. **Table 1** shows the distribution of generated population to perform the study. **Table 2** represents the transformations which is used to generate correlated random variables.

Table 1. Population parameters for the h^{th} stratum

Strata no.	Stratum Size (N_h)	Sample size (n_h)	Distribution of study variable (y_{hi})	Distribution of auxiliary variable (x_{hi})
I	600	120	$N(22, 2)$	$N(20, 2)$

II	700	140	$N(33,3)$	$N(25,3)$
III	550	110	$N(44,4)$	$N(30,4)$
IV	800	160	$N(55,5)$	$N(40,5)$

Table 2. Number of strata, correlation coefficient and the transformation

Strata no.	Correlation between (y_{hi}) and (x_{hi})	Transformed auxiliary variable (x_{hi})
I	$r_{yx1} = 0.85$	$y_1 = r_{yx1}x_{21} + \sqrt{1-r_{yx1}^2} y_{21}$
II	$r_{yx2} = 0.88$	$y_2 = r_{yx2}x_{22} + \sqrt{1-r_{yx2}^2} y_{22}$
III	$r_{yx3} = 0.80$	$y_3 = r_{yx3}x_{23} + \sqrt{1-r_{yx3}^2} y_{23}$
IV	$r_{yx4} = 0.75$	$y_4 = r_{yx4}x_{24} + \sqrt{1-r_{yx4}^2} y_{24}$

We finally calculate the Average MSE (AMSE) of the estimators using the following formulas

$$AMSE(\bar{y}_{st}(n)) = \frac{1}{5000} \sum_{l=1}^{5000} (\bar{y}_{st}(n) - \bar{Y})^2; l = 1, 2, \dots, 5000$$

$$AMSE(\bar{y}_{sr}) = \frac{1}{5000} \sum_{l=1}^{5000} (\bar{y}_{sr} - \bar{Y})^2; l = 1, 2, \dots, 5000$$

$$AMSE(\bar{y}_{sr}(c)) = \frac{1}{5000} \sum_{l=1}^{5000} (\bar{y}_{sr}(c) - \bar{Y})^2; l = 1, 2, \dots, 5000$$

The formula for the percent relative efficiency (PRE) is given as the ratio of the average mean square error (AMSE) of two estimators to be compared

$$PRE = \frac{AMSE(\bar{y}_{sr})}{AMSE(\bar{y}_{sr}(c))} * 100$$

Table 3. Average Mean Square Error (AMSE) and Percent Relative Efficiency (PRE) of Estimator in case of stratified sampling

Estimator	AMSE	PRE
$\bar{y}_{st}(n)$	0.03259475	100
\bar{y}_{sr}	0.02264014	203.6183
$\bar{y}_{sr}(c)$	0.01111891	287.6743

4.2. Real Data Application

To examine the performance of the proposed calibration estimator, we conduct a simulation study on real data set to support the theoretical result. The population data was obtained from the Kaggle website. <https://www.kaggle.com/datasets/darshansavaliya/gujratcropdataanalysis> is the link provided. We are attempting to determine the average production of Gujarat in 2011 as it varies over the various agricultural seasons in Gujarat. In this dataset, we take into account X as an area in (hectares) and Y as a production in (tones). Based on the harvest season, our population is split into four groups: Kharif, Rabi, Summer, and Whole Year. **Table 4** provides more information about the population's statistical parameters.

Table 4. Values of the parameter for the h^{th} stratum

Strata No.	Ni	\bar{Y}_h	\bar{X}_h	ρ_{yxh}
1	292	61016.1	27080.82	0.91
2	163	43096.93	13474.23	0.78
3	112	19500.89	8243.75	0.92
4	100	169716	5560	0.80

Table 5. Average Mean Square Error (AMSE) and Percent Relative Efficiency (PRE) of the Estimator in case of stratified sampling

Estimator	AMSE	PRE
$\bar{y}_{st}(n)$	1151285003	100
\bar{y}_{sr}	715864702	163.381
$\bar{y}_{sr}(c)$	438156732	287.6743

5. CONCLUSIONS

A new calibration estimator has been proposed to estimate the population mean in a stratified sample design using the information about auxiliary variables. In this paper, we obtained some new optimal stratum weights for which the estimator would achieve a minimum approximate mean square error (MSE).

The performance of the proposed calibration estimator has been compared with respect to $\bar{y}_{st}(n)$ and \bar{y}_{sr} . The theoretical facts are supported by the empirical study. The empirical study was carried out using both an artificially generated data set and a real data set. **Table 3** and **Table 5** shows that the proposed calibration estimator $\bar{y}_{sr}(c)$ gives better estimates as compared to the existing calibration estimator $\bar{y}_{st}(n)$ and \bar{y}_{sr} .

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COMPETING INTERESTS

Authors have declared that no competing interests exist.

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