

&ULPLQDO 2IIHQVHV 1RQFDPSXV

)RU HDFK RI WKH IROORZLQJ FULPLQDO RIIHQVHV HQWHU WKH QXPEHU UHSRUW SURSHU\

7RWDO RFFXUUHQFHV LQ RU RQ 1RQFDPSXV EXLOGHQJV RU SURSHU\

&ULPLQDO RIIHQVH

D 0XUGHU 1RQ QHJOLJHQW PDQVODXJKWHU

E 1HJOLJHQW PDQVODXJKWHU

F 6H[RIIHQVHV)RUFLEOH

G 5DSH

H)RQGOLQJ

I 6H[RIIHQVHV 1RQ)RUFLEOH

J ,QFHVV

K 6WDWXWRU\ UDSH

L 5REEHU\

M \$JJUDYDWHG DVVDXOW

N %XUJODU\

O 0RWRU YHKLFOH WKHIW 'R QRW LQFOXGH WKHIW

&DYHDW

,I \RX KDYH FKDQJHG SULRU \HDUV¶ GDWD \RX PXVW DGG D FDYHDW H[SODLQLQJ WKH FKDQJH 8VH ; ZD43.982.RX PXVW DGG D FDYHYHDW

O 0RWRU YHKLFOH WKHIW

P \$UVRQ

Q 6LPSOH DVVDXOW

R /DUFHQ\ WKHIW

S ,QWLPLGDWLRQ

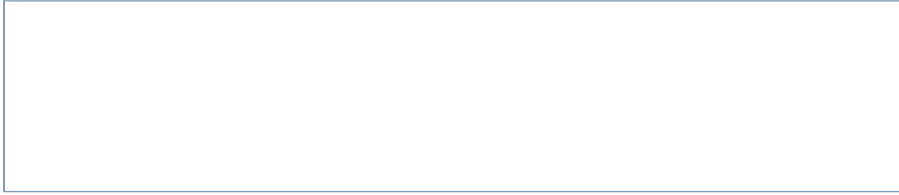
T 'HVVUXFWLRQ GDPDJH

YDQGDOLVP RI SURSHUW\

&DYHDW

,I \RX KDYH FKDQJHG SULRU \HDUV GDWD \RX PXVW DGG D FDYHDW H[SODLQLQJ WKH FKDQJH 8VH

³)RU <(\$5 /LQH ; ZDV FKDQJHG IURP \$ WR % EHFDXVH 5(\$621



+DWH & ULPHV 2Q FDPSXV 6WXGHQW +RXV

+DWH & ULPHV 2Q FDPSXV 6WXGHQW +RXV									

N %XUJODU\

O 0RWRU YHKLFOH WKHIW

P \$UVRQ

Q 6LPSOH DVVDXOW

R _____

N %XUJODU\

N %XUJODU\

9\$:\$ 2IIHQVHV 2Q &DPSXV

RU HDFK RI WKH IROORZLQJ FULPHV HQWHU WKH QXPEHU UHSRUWHG WR KDYH
7RWDO RFFXUHQHVV 2Q &DPSXV

&ULPH

D 'RPHVWLF YLROHQFH

E 'DWLQJ YLROHQFH

F 6WDONLQJ

&DYHDW

--

9\$:\$ 2IIHQVHV 2Q FDPSXV 6WXGHQW +RXVL

)RU HDFK RI WKH IROORZLQJ FULPHV HQWHU WKH QXPEHU UHSRUWHG WR KDYH
7RWDO RFFXUHQFHV LQ 2Q FDPSXV 6WXGHQW +RXVLQJ)DFLOL

&ULPH

D 'RPHVWLF YLROHQFH

E 'DWLQJ YLROHQFH

F 6WDONLQJ

&DYHDW

--

9\$:\$ 2IIHQVHV 1RQFDPSXV

RU HDFK RI WKH IROORZLQJ FULPHV HQWHU WKH QXPEHU UHSRUWHG WR KDYH

7RWDO RFFXUUHQFHV LQ RU RQ 1RQFDPSXV EXLOGHQJV RU SUR

&ULPH

D 'RPHVWLF YLROHQFH

E 'DWLQJ YLROHQFH

F 6WDONLQJ

&DYHDW

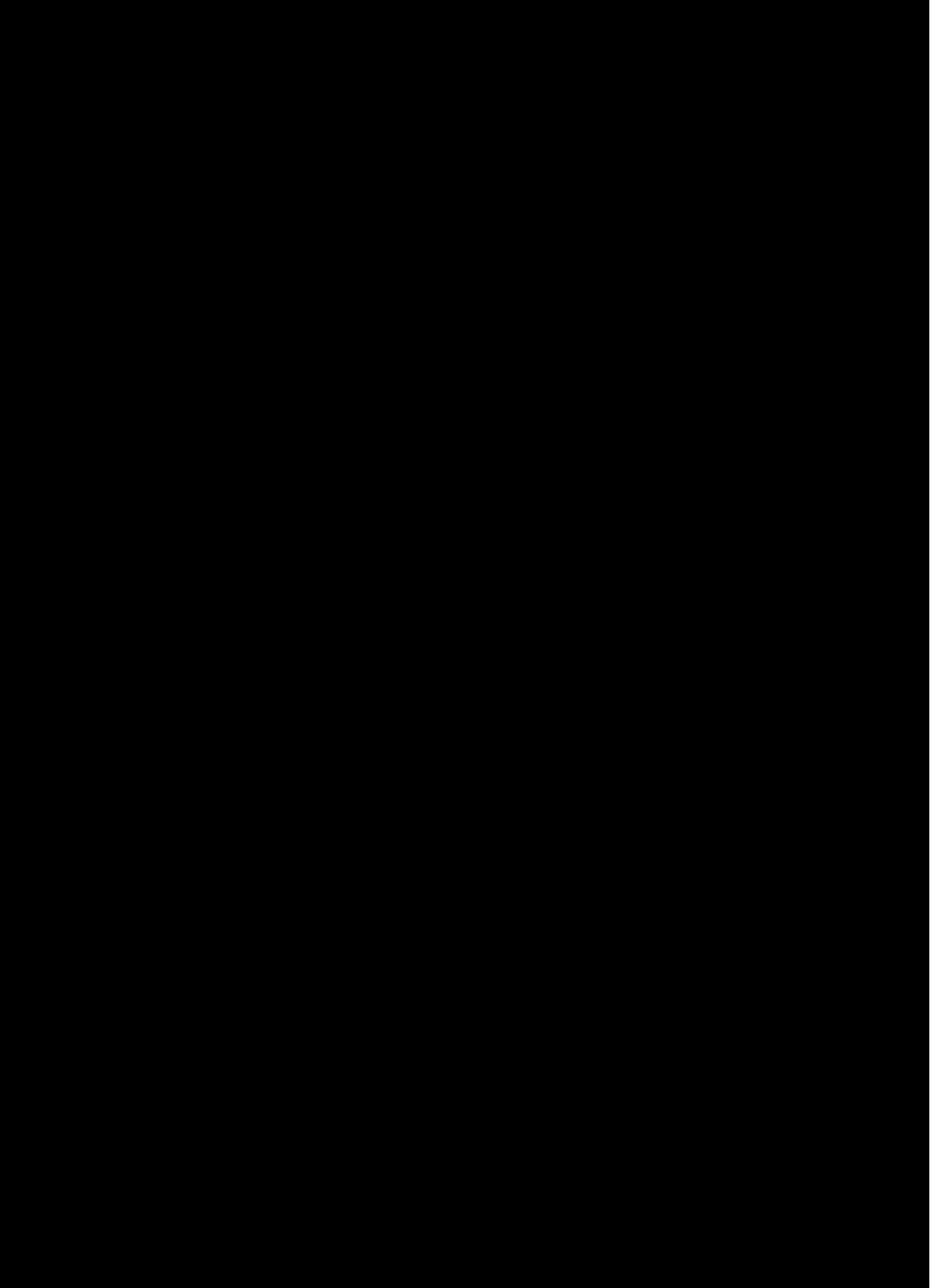
--

9\$:\$ 2IIHQVHV 3XEOLF 3URSHUW\

)RU HDFK RI WKH IROORZLQJ FULPHV HQWHU WKH QXPEHU UHSRUWHG WR KDYH

7RWDO RFFXUHGFHV RQ 3XEOLF 3URSHUW\

&ULPH



\$UUHVWV 2Q FDPSXV

(QWHU WKH QXPEHU RI \$UUHVWV IRU HDFK RI WKH IROORZLQJ FULPHV WKDW RFI
'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQH LQ /LTXRU ODZ YLRODWLRQV
IXPEHU RI \$UUHVWV

&ULPH

D :HDSRQV FDUU\LQJ SRVVHVVLQJ HWF

E 'UXJ DEXVH YLRODWLRQV

F /LTXRU ODZ YLRODWLRQV

&DYHDW

,I \RX KDYH FKDJHG SULRU \HUV GDWD \RX PXVW DGG D FDYHDW H[SODLQLQJ WKH FKDJH 8VH
; ZDV FKDJHG IURP \$ WR % EHFDXVH 5(\$21

--

\$UUHVWV 1RQFDPSXV

(QWHU WKH QXPEHU RI \$UUHVWV IRU HDFK RI WKH IROORZLQJ FULPHV WKDW RFI
'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQH LQ /LTXRU ODZ YLRODWLRQV
IXPEHU RI \$UUHVWV

&ULPH

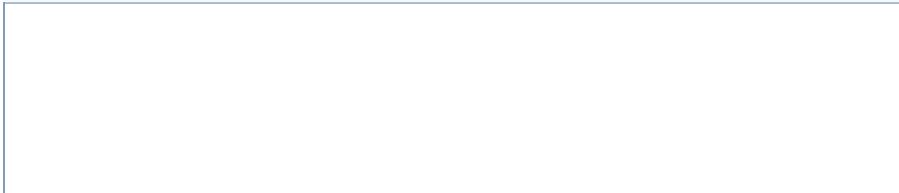
D :HDSRQV FDUU\LQJ SRVVHVVLQJ HWF

E 'UXJ DEXVH YLRODWLRQV

F /LTXRU ODZ YLRODWLRQV

&DYHDW

,I \RX KDYH FKDQJHG SULRU \HDUV¶ GDWD \RX PXVW DGG D FDYHDW H[SODLQLQJ WKH FKDQJH 8VH
; ZDV FKDQJHG IURP \$ WR % EHFDXVH 5(\$621 ')



\$UUHVWV 3XEOLF 3URSHUW\

(QWHU WKH QXPEHU RI \$UUHVWV IRU HDFK RI WKH IROORZLQJ FULPHV WKDW RFI
'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQH LQ /LTXRU ODZ YLRODWLRQV
IXPEHU RI \$UUHVWV

&ULPH			
D :HDSRQV FDUU\LQJ SRVVHVVLQJ HWF			
E 'UXJ DEXVH YLRODWLRQV			⚠
F /LTXRU ODZ YLRODWLRQV			

&DYHDW

'LVFLSOLQDU\ \$FWLRQV 2Q FDPSXV 6WXGHQ

(QWHU WKH QXPEHU RI SHUVRQV UHIHUUHG IRU GLVFLSOLQDU\ DFWLRQ IRU FUL

)DFLOLWLHV IRU HDFK RI WKH IROORZLQJ FDWHJRULHV
'R QRW LQFOXGH GLVFLSOLQDU\ DFWLRQV WKDW ZHUH VWULFWO\ IRU VFKRRO SROLF\ YLRODWLRQV
,I WKH GLVFLSOLQDU\ DFWLRQ LV WKH UHVXOW RI DQ DUUHVW SOHDVH GR QRW FRXQW LW KHUH
'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQFH LQ /LTXRU ODZ YLRODWLRQV

IXPEHU RI SHUVRQV UHIHUUHG IRU
'LVFLSOLQDU\ \$FWLRQ

&ULPH

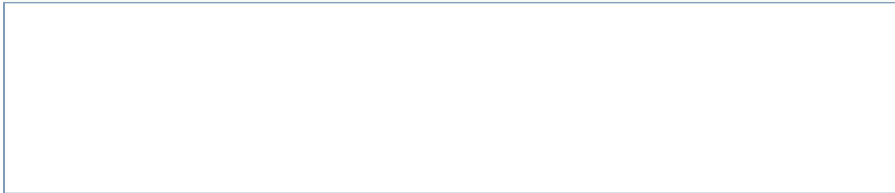
D :HDSRQV FDUU\LQJ SRVVHVVLQJ HWF

E 'UXJ DEXVH YLRODWLRQV

F /LTXRU ODZ YLRODWLRQV

&DYHDW

,I \RX KDYH FKDQJHG SULRU \HDUV¶ GDWD \RX PXVW DGG D FDYHDW H[SODLQLQJ WKH FKDQJH 8VH
; ZDV FKDQJHG IURP \$ WR % EHFDXVH 5(\$621



8QIRXQG HG &ULPHV

21 WKR VH FULPHV WKDW RFFXUUHG 2Q &DPSXV LQ 2Q FDP SXV 6WXGHQW +RXVLQ
EXLOG LQJV DQG RQ 3XEOLF 3URSHUW\ HQWHU WKH QXPEHU RI FULPHV WKDW ZH
7KH WRWDO QXPEHU RI XQIRXQG HG FULPHV VKRXOG LQFOXGH DOO FULPLQDO RIHQVHV KDWH FUL
UHIHUUDOV IRU ZHDSRQV GUXJ RU OLTXRU ODZ YLRODWLRQV DQG GRPHVWLF YLROHQFH GDWLQJ
EHHQ XQIRXQG HG

,I D UHSRUWHG FULPH LV LQYHVWLJDWHG E\ ODZ HQIRUFHPHQW DXWKRULWLHV DQG IRXQG WR EH I
XQIRXQG HG 2QO\ VZRUQ RU FRPPLVVLRQH G ODZ HQIRUFHPHQW SHUVRQQHO PD\ XQIRXQG D FULPH

&RXQW XQIRXQG HG FULPHV LQ WKH \H DU LQ ZKLFK WKH\ ZHUH RULJLQDOO\ UHSRUWHG
1XPEHU

D_7RWDO XQIRXQG HG FULPHV