

&DPSXV 6DIHW\ DQG 6HFXULW\ 6XUYH\

,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

6FUHHQLQJ 4XHVVLRQV

3OHDVH DQVZHU WKHVH TXHVWLRQV FDUHIXOO\ 7KH DQVZHUV \RX SURYLGH ZLOO GHWHUPLQH
FRPSOHWH IRU WKLV GDWD FROOHFWLRQ

'RHV \RXU LQVWLWXWLRQ SURYLGH 2Q &DPSXV 6WXGHQW +RXVLQJ)DFLOLW\

○ 1R
○ <HV ,I <HV LV VHOHFWHG \RX PXVW HQWHU WKH QXPEHU RI VWXGHQW KRXVLQJ IDF
HDFK IDFLOLW\

/DVW <HDU
1XPEHU RI 2Q FDPSXV 6WXGHQW +RXVLQJ)DFLOLWLV

'RHV \RXU LQVWLWXWLRQ KDYH DQ\ QRQFDPSXV EXLOGLQJV RU SURSHUW\

○ <HV ○ 1R

[Redacted section]

○ 1R :H DUH QRW FRPELQLQJ WKH VWDWLVWLFV EHFDXVH ZH FDQQRW GHWHUPLQH ZKH

[Redacted section]

,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

&ULPLQDO 2IIHQVHV 2Q FDPSXV

RU HDFK RI WKH IROORZLQJ FULPLQDO RIIHQVHV HQWHU WKH QXPEHU UHSR
7RWDO RFFXUUHQFHV 2Q FDPSXV

&ULPLQDO RIIHQVH

D 0XUGHU 1RQ QHJOLJHQW PDQVODXJKWHU

E 0DQVODXJKWHU E\ 1HJOLJHQFH

F 5DSH

G)RQGOLQJ

H ,QFHVV

I 6WDWXWRU\ UDSH

J 5REEHU\

K \$JJUDYDWHG DVVDXOW

L %XUJODU\

M 0RWRU YHKLFOH WKHIW 'R QRW LQFOXGH WKHIW

,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

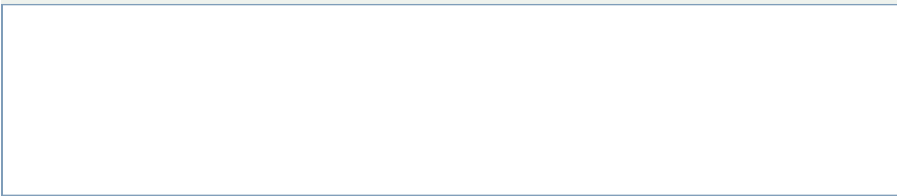
&ULPLQDO 2IIHQVHV 3XEOLF 3URSH

RU HDFK RI WKH IROORZLQJ FULPLQDO RIIHQVHV HQWHU WKH QXPEHU UHS
7RWDO RFFXUUHQFHV RQ 3XEOLF 3URSHUW

| &ULPLQDO RIIHQVH | | | |
|--|--|-----------------|--|
| D 0XUGHU 1RQ QHJOLJHQW PDQVODXJKWHU | | | |
| E 0DQVODXJKWHU E\ 1HJOLJHQFH | | | |
| F 5DSH | | | |
| G)RQGOLQJ | | | |
| H ,QFHVV | | | |
| I 6WDWXWRU\ UDSH | | | |
| J 5REEHU\ | | | |
| K \$JJUDYDWHG DVVDXOW | | | |
| L %XUJODU\ | | | |
| M 0RWRU YHKLFOH WKHIW 'R QRW LQFOXGH WKHIW | | D PRWRU YHKLFOH | |
| N \$UVRQ | | | |

&DYHDW

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



+ DWH & ULPHV 2Q FDP SXV , Q7 0.991



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L_%XUJODU\

M_0RWRU_YHKLFOH WKHIW

N_\$UVRQ

O_6LPSOH DVVDXOW

P_/DUFHQ\ WKHIW

Q_,QWLPLGDWLRQ

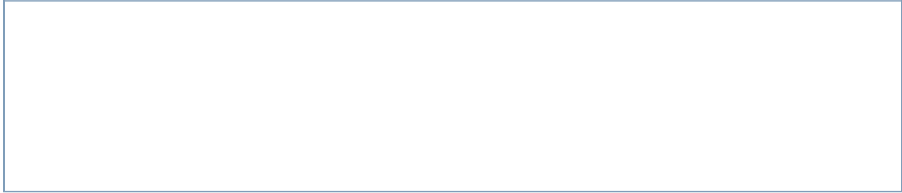
R_'HVVUXFWLRQ GDPDJH

YDQGDOLVP_RI SURSHUW\

&DYHDW

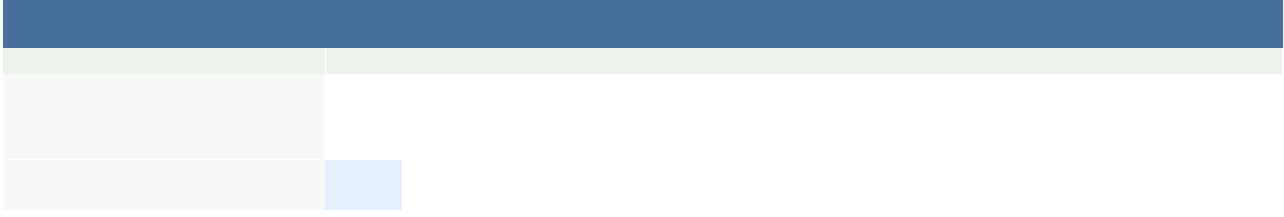
,I \RX KDYH FKDQJHG SULRU \HDUV GDWD \RX PXVW DGG D FDYHDW H[SODLQLQJ WKH FKDQJH

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



,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

+DWH &ULPHV 2Q FDPSXV 6WXGHQW +RX



K \$JJUDYDWHG DVVDXOW

L %XUJODU\

M 0RWRU YHKLFOH WKHIW

N \$UVRQ

O 6LPSOH DVVDXOW

P /DUFHQ\ WKHIW

Q ,QWLPLGDWLRQ

R 'HVVUXFWLRQ GDPDJH

YDQGDOLVP RI SURSHUW\

&DYHDW

,QVWLWXWLRQ ODLQ &DPSXV
8VHU , ' &

+DWH &ULPHV 3XEOLF 3URSHUW\

)RU WKH FULPLQDO RIIHQVHV OLVWHG EHORZ ILUVW HQWHU WKH WRWDO QX
3XEOLF 3URSHUW\ 7KHQ EUHDN GRZQ HDFK WRWDO E\ FDWHJRU\ RI ELDV H

2FFXUUHQFHV RI +DWH FULPHV

&ULPLQDO RIIH

7RW

&DWHJRU\ RI %LDV IRU FULPHV UHSRUWHG LQ

5DFH5HOLJL60[XDO*HGGH1HQGHULVDELQVWQLFVWLRQDO RULJLQ
RULHQWDWLRQQGHQ'WLW\

D 0XUGHU 1RQ QHJOLJHQW
PDQVODXJKWHU

F 5DSH

G)RQGOLQJ

H ,QFHVW

I 6WDWXWRU\ UDSH

J 5REEHU\

K \$JJUDYDWHG DVVDXOW

L %XUJODU\

M 0RWRU YHKLFOH WKHIW

'R QRW LQFOXGH WKHIW D

PRWRU YHKLFOH

N \$UVRQ

O 6LP5OH DVVDXOW

P /DUFHQ\ WKHIW

Q ,QWLPLGDWLRQ

R 'HVVUXFWLRQ GDDPJH

YDQGDOLVP RI SURSHUW\

2FFXUUHQFHV RI +DWH FULPHV

&ULPLQDO RIIH

7RW

&DWHJRU\ RI %LDV IRU FULPHV UHSRUWHG LQ 532.35 ref 1 1q 2

K \$JJUDYDWHG DVVDXOW

L %XUJODU\

M 0RWRU YHKLFOH WKHIW

N \$UVRQ

O 6LPSOH DVVDXOW

P /DUFHQ\ WKHIW

,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

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

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

7RWDO RFFXUHGHV LQ 2Q FDPSXV 6WXGHQW +RXVLQJ)DF

&ULPH

D 'RPHVWLF YLROHQFH

E 'DWLQJ YLROHQFH

9m11 673.01 | 400.61 67

,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

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

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

7RWDO RFFXUHQFHV RQ 3XEOLF 3URSHUW\

&ULPH

D 'RPHVWLF YLROHQFH

E 'DWLQJ YLROHQFH

F 6WDONLQJ

&DYHDW

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

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,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

\$UUHVWV 2Q FDPSXV 6WXGHQW +RXVL

21 WKRVH \$UUHVWV IRU FULPHV WKDW RFFXUUHG 2Q &DPSXV HQWHU WKH Q
+RXVLQJ)DFLOLWLHV IRU HDFK RI WKH IROORZLQJ FDWHJRULHV

'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQFH LQ /LTXRU ODZ YLRODWLR
1XPEHU RI \$UUHVWV

&ULPH

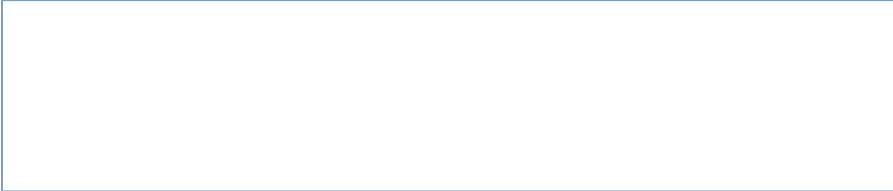
D :HDSRQV FDUU\LQJ SRVVHVVLQJ HWF

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
; ZDV FKDQJHG IURP \$ WR % EHFDXVH 5(\$621



,QVWLWXWLRQ ODLQ &DPSXV
8VHU , ' &

\$UUHVWV 3XEOLF 3URSHUW\

(QWHU WKH QXPEHU RI \$UUHVWV IRU HDFK RI WKH IROORZLQJ FULPHV WKDW

'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQFH LQ /LTXRU ODZ YLRODWLR

1XPEHU 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

; ZDV FKDQJHG IURP \$ WR % EHFDXVH 5(\$621

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,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

'LVFLSOLQDU\ \$FWLRQV 2Q FDPSXV 6WXGI

(QWHU WKH QXPEHU RI SHUVRQV UHIHUHG IRU GLVFLSOLQDU\ DFWLRQ IRU F
)DFLOLWLHV IRU HDFK RI WKH IROORZLQJ FDWHJRULHV

'R QRW LQFOXGH GLVFLSOLQDU\ DFWLRQV WKDW ZHUH VWULFWO\ IRU VFKRRO SROLF\ YLRODW
,I WKH GLVFLSOLQDU\ DFWLRQ LV WKH UHVXOW RI DQ DUUHVW SOHDVH GR QRW FRXQW LW KH
'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQFH LQ /LTXRU ODZ YLRODWLR

1XPEHU RI SHUVRQV UHIHUHG IRU
'LVFLSOLQDU\ \$FWLRQ

&ULPH

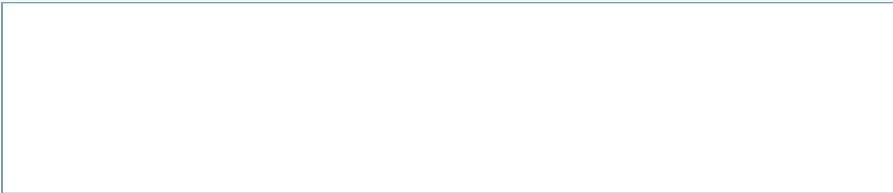
D :HDSRQV FDUU\LQJ SRVVHVVLQJ HWF

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
; ZDV FKDQJHG IURP \$ WR % EHFDXVH 5(\$621



,QVWLWXWLRQ ODLQ &DPSXV
8VHU , ' &

'LVFLSOLQDU\ \$FWLRQV 3XEOLF 3U

(QWHU WKH QXPEHU RI SHUVRQV UHIHUHG IRU GLVFLSOLQDU\ DFWLRQ IRU F
IROORZLQJ FDWHJRULHV

'R QRW LQFOXGH GLVFLSOLQDU\ DFWLRQV WKDW ZHUH VWULFWO\ IRU VFKRRO SROLF\ YLRODW
,I WKH GLVFLSOLQDU\ DFWLRQ LV WKH UHVXOW RI DQ DUUHVW SOHDVH GR QRW FRXQW LW KH
'R 127 LQFOXGH GUXQNHQQHV RU GULYLQJ XQGHU WKH LQIOXHQFH LQ /LTXRU ODZ YLRODWLR

1XPEHU RI SHUVRQV UHIHUHG IRU
'LVFLSOLQDU\ \$FWLRQ

&ULPH

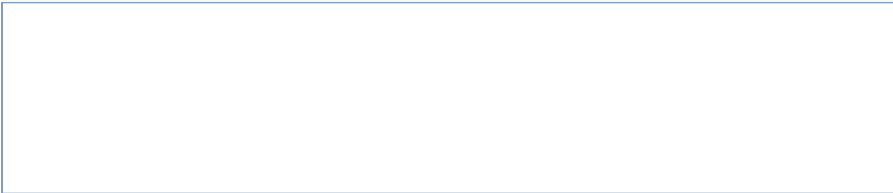
D :HDSRQV FDUU\LQJ SRVVHVVLQJ HWF

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
; ZDV FKDQJHG IURP \$ WR % EHFDXVH 5(\$621



,QVWLWXWLRQ 0DLQ &DPSXV
8VHU , ' &

8QIRXQG HG &ULPHV

2I WKRVH FULPHV WKDW RFFXUUHG 2Q &DPSXV LQ 2Q FDPSXV 6WXGHQW +RX
EXLOGLQJV DQG RQ 3XEOLF 3URSHU\ HQWHU WKH QXPEHU RI FULPHV WKD
7KH WRWDO QXPEHU RI XQIRXQG HG FULPHV VKRXOG LQFOXGH DOO FULPLQDO RIIHQVHV KDW
YLROHQFH RU VWDONLQJ LQFLGHQWV WKDW KDYH EHHQ XQIRXQG HG \$UHVWV DQG GLVFLSOL
,I D UHSRUWHG FULPH LV LQYHVWLJDWHG E\ ODZ HQIRUFHPHQW DXWKRULWLHV DQG IRXQG WR
XQIRXQG HG 2Q\ VZRUQ RU FRPLVVLRQH ODZ HQIRUFHPHQW SHUVRQQHO PD\ XQIRXQG D P

&RXQW XQIRXQG HG FULPHV LQ WKH \HDU LQ ZKLFK WKH\ ZHUH RULJLQDOO\ UHSRUWHG

1XPEHU