

& R Q V W L W X  
/ H H            & O D U N

0 X U U D \      6 W D W H      8 C  
5 H Y L V H G      6 S U L Q J

\$UWLFOH , ± 1DPH RI WKH 2UJDQLJDWLRQ  
6HFWLRQ \$ 1DPH

\$UWLFOH ,, ± 0DVFRW DQG &ROOHJH &RORUV  
6HFWLRQ \$ 0DVFRW  
6HFWLRQ % &ROOHJH &RORUV

\$UWLFOH ,,, ± 3XUSR VH  
6HFWLRQ \$ 7KH SXUSR VH RI WKH 5HVLGHQWLDO &P

\$UWLFOH ,9 ± 0HPEHUVKLS  
6HFWLRQ \$ 0HPEHUVKLS

\$UWLFOH 9 ± &RXQFLO 3RVLWLRQV ZLWK 5HVSQRVLELOL  
6HFWLRQ \$ 5HVSQRVLELOLWLHV  
6HFWLRQ % 4XDOLILFDWLRQV

\$UWLFOH 9, ± 7KH \$GYLVRUV  
6HFWLRQ \$ 7KH &ROOHJH +HDG  
6HFWLRQ % 7KH 5HVLGHQFH 'LUHFWRU

\$UWLFOH 9,, ± (OHFWLRQ 3URFHVV  
6HFWLRQ \$ &RXQFLO 3RVLWLRQ 2SHQLQJV  
6HFWLRQ % &DPSDLJQLQJ  
6HFWLRQ & %DOORWV  
6HFWLRQ ' (OHFWLRQV

\$UWLFOH 9,,, ± 5HVLJQDWLRQ ,PSHDFKPHQW DQG 5HPR  
6HFWLRQ \$ 5HVLJQDWLRQ  
6HFWLRQ % ,PSHDFKPHQW  
6HFWLRQ & 5HPRYDO

\$UWLFOH ,; ± )XQGLQJ  
6HFWLRQ \$ \$FWLYLW\ )HH  
6HFWLRQ % )XQGUDLVHUV  
6HFWLRQ & \$OORFDWLRQV

\$UWLFOH ; ± &RPPLWWHH 6WUXFWXUH  
6HFWLRQ \$ ([HFXWLYH %RDUG  
6HFWLRQ % &RPPXQLFDWLRQV &RPPLWWHH  
6HFWLRQ & 0HGLD %RDUG  
6HFWLRQ ' \$G +RF &RPPLWWHHV

\$UWLFOH ;, ± 0HHWLQJV

5HYLVHG 6SULQJ

6HFWLRQ \$ 7LPHV  
6HFWLRQ % 2UGHU RI %XVLQHVV  
6HFWLRQ & 4XRUXP

\$UWLFOH ;,, ± \$WWHQGDQFH DQG \$FFRXQWDELOLW\  
6HFWLRQ \$ \$WWHQGDQFH  
6HFWLRQ % \$FFRXQWDELOLW\  
\$UWLFOH ;,, ± 3DUOLDPHQWDU\ 3URFHGXUH

\$UWLFOH ;,9 ± &RQVWLWXWLRQ ,QWHUSUHWLWLRQ

\$UWLFOH ;9 ± \$PHQGPHQW 3URFHVV

\$UWLFOH ;9, ± 5DWLILFDWLRQ

7KH &RQVWLWXWLRQ RI  
/HH &ODUN  
5HVLGHQWLDO &ROOHJH &R  
\$UWLFOH ,!to

6HFWLRQ \$ 5HVSQRVLELOLWLHV

, 3UHVLGHQW VKDOO  
SUHVLGH RYHU DOO UHJXODU PHHWLQJV  
EH WKH S&ROOLDPHQWDULDQ  
SUHVHQW DOO QHZ & EXQVLEOH VV WR WKH &ROOH  
DSSRLQW DQG GDQGDQKHERPPEKDLHUVV  
EH WKH UH&RUDHEDUQV D WLKHH VSRNHV SIBGVROSHWLH HQV  
'LUHFWRU 58RVLQSHVZRVFLDQVLRQ 5&\$ DQG WKH  
FRQYHQH PMSIMBLDQV LQGLFDWHG  
FKDLU ([%RDXWIGYHPHHWLQJV  
RQO\ YRWH LQ FDVHV RI D WLH LQ &RXQFL

,, 9LFH 3UHVLGHQW VKDOO  
SUHVLGH RYHU DOO UHJXODU PHHWLQJV DEVHQF  
DVVXPB DOO WKH 3UHVLGHQW VDEGXVQWHV RUDQGI  
LPSHDFKHUG UHVLJQV IURP RIILFH  
DVVLVW 3UHVLGHQW RFRFHGXUHDUOLDPHQWDU\  
EH UHVSQRVLEOH IRULIUHQYHFBQV DUWKHH D&FRQVBSLVV  
KHOS RI D FRPPLWWHH  
EH UHVSQRVLEOH IRU NHSLQJ RUGHU GXULQJ  
SRVVHVW WWR DXWRULWXQUXO\ PHPEHUV IURP  
DWWH([%RDXWIGYHPHHWLQJV  
YRWH LQ GDFQVL&RXQFLO

,,, 6HFUHWKDUO  
UHSRUW FRFQXUDXWHHV DQG VKRYH&WKRPPEHRDLOZ  
KRXUV DIWHU PHHWLQJ  
FRQWDEW PHPEHUV ZRRHWZLQWKRXRW VDWVHQGLDQJ  
EHFRPDEFWLQJ UHVLGHQW LQ WRW DEWHQVWHVRIQURHVL  
DQG 9LFH 3UHVLGHQW  
DWWH([%RDXWIGYHPHHWLQJV  
YRWH LQ GDFQVL&RXQFLO

,9 7UHDVXUHU VKDOO  
PHHWFRQWZKQK &RQGHJHQGH &ROSHVJLVWDQW WR G  
UHSRUW DDFWLQV DLDLHFDKO PHHWLQJ  
NHHS D WUHQDQJ V@HQF&@ @ @HDEW@ @ @ W ILQDQF

YRWH LQ GDFQVL&RXQFLO

9 6RFLDO &KDLU VKDOO  
DWWHDOG FKDLU &RPPKPHFWQRQV  
EH UHVSQRVLEDOG IRDDQFWHSDWQDLYPKBGXOH SUL  
WKH QH[W VHPHVWHU  
EH UHVSQRVLEOH IRU KDOSLQJDKW EFLRQJWVWGHHC  
DWWHDOG XWIRYHUG PHHWLQJV  
YRWH LQ GDFQVL&RXQFLO

9, 0DOH DQGWKPHFWRUUV VKDOO  
UHSRUW WRHDKH &ROOHJH  
UHSRUW DQQRXQVFKPHQJWV DQG VFKHGXOHV  
FROOHJH  
ZRUN ZLWK 068 &DPSXRUP5HQJWWVWVWQFRWQHJH  
SRVW DWKOHSLFVKHHDFWLIRLWLEDO DWKOHWLF  
NHHS UHFRUGV DQG VWSXQLQJWV RI DOO FDP  
EH UHVSQRVLEOH FRDFKREWDLRQFKHW WRDWWZH  
DQG DWWHQGDPHV DQG SUDFWLFHV  
UHSRUW DOO XSHQVWQJDOGVKOFMHLGXOHV WR W  
ERWK YRWH LQ DOO &RXQFLO GHFLVLRQV

9,, 6WXGHQW \*RYHUQPHQW\$W\$WFRDQDOLRQV 6\*\$  
DWWHDOG PHHWLQJWV 6WXGHQW \*RYHUQPHQW \$VVF  
YRWH IRU DWKHWK&ROOHJH PHHWLQJV  
XSGDWH 6\*\$ERDQXQHDWLQQHHGHG  
ERWK VKDOO YRWH LQ DOO &RXQFLO GHFLVL

9,,, 5HVLGH&RQDQVHFLDWLRQ 5&\$KDQSUHVHQWDLYHV  
DWWHDOG 5&RQDQVHFLDWLRQ 5&\$ PHHWLQJV  
UHSRUW DOOWR5&5&\$DFWLYLWLHV  
UHSRUW DOOWR5&\$5&\$DFWLYLWLHV  
ERWK VKDOO YRWH LQ DOO &RXQFLO GHFLVL

,; 5HVLGHQW \$GYLVRUV VKDOO  
UHSRUW DQHLQFWLWVSRQVHUG E\ WKH 5\$V WR  
5\$V DUH WR[SDFQVHGH&DQGHHWLQJWV \$EVHQF  
SUH DSSURYHG E\LUWVWRU5HDLQGHQ5& 3UHVLGHQW

EH KDQGOHG E'LUWVWHRU5HDQG5&H& 3EDHLLVG HQWH C  
DQ 5\$ LQ WKH WR OHDQVH Q B Q H % Q DUGR DEHGWLLYQH  
YRWH LQ GDFQVL&RQXFLO

; ODOH DQG0HPEHUVH DW /DUJH VKDOO  
WKH ODOH OHPEHU DW /DUJH VKDOO UHSUHVH  
WKH )HPEHU DW /DUJH VKDOO WKH H S R H O H Q M  
ZRUN ZLWK WKH 5&& 3UHVRLGHVQ WW RQQ SDU 5&L SV  
SKLODQW R Q S L F D P S X V Z L G H H Y H O H F H U S U H D M Q W H D C  
EH UHVSQRVLEOH IRUDQG J Q K S Q W D K F W K H D V Q S D S X A E L O F I F  
FDPSXV RUJ K R M J D M L R Q V Y H Q W V  
DGPLQLW V R I U V X U Y H \ V R Q H D V Q G W K R Q H E H D V Q Q M Q K I  
VHPHVWHU RQ D S G R J U D D P L Q L P S U R Y H P H Q W V  
EH UHVSQRVLEOH IRU SODQQLQJ RQH IXQGUDL  
DWWH H G F X W R Y H U G P Q G W L Q J V  
YRWH LQ GDFQVL&RQXFLO EHKDOI RI WKHLU F

;; :HEPDVWKDOO  
XSGDWH PRQLWRU EHKLQG IURQW GHVN ZLWK  
:RUNHUV ([R W G Y H P H P E H U V D Q G R W K H U 5 & &  
RWKHU L R S R R U V D D W L R Q  
PDLQW D K G / H H Z D D U N L V R O C E H J H X S L G D W U E D W L R H Z O  
VRRQ DV SRVVLEOH ZLWKLQ D VHYHQ GD\ SH  
DWWH D O G F R H H W L Q H V O H G L D % R D U G  
YRWH LQ GDFQVL&RQXFLO

;;; 6RFLDO OHGLD &KDLU  
ZLOO DVVLVWQ :HEPDVWKDOO G X W L H V  
EH SULP D V S R Q V L E O H I R U S K R W R G R F X P H Q W D W L  
PDQDJH O O / H H & D D V N F L G S O U R H U G L D /  
DWWH D O G F R H H W L Q H V O H G L D E R D U G D Q G  
YRWH LQ GDFQVL&RQXFLO

,,, ,QWHUQ D M S R Q V H Q K D D V L Y H  
UHSUHVHQW D V O X G H Q W W U Q I D Q L R Q D O & O D U N  
KROG D I R F H H W K E J V M Q X G H I Q Q D W L B Q D O O H D V W R Q F H  
NHHS LQW W W R G M Q W Q D Q L Q I R U P H G R I D O O / H H &  
DWWH & R G P X Q L F S R V P I R Q W H W L Q G V

YRWH LRO



KDYH EHHQPHDRIUDVWLRX&QLOCHJHRU DW OHDVW  
EHFRPLQJHVLGHQW  
KDYH D PLQL\*BX\$P SULRU DQG GXULQJ KLV KHU  
VHUYH IRU \RDU IDI DSDWLFV RIHVLBQREUWLRQXW H  
PHHWKH JX\HWHOIGRZV LQ WKLW &RQVWLWXWLRQ  
EH HDVQKH\QGHRWUDJ\WVGHQHW ZKRODLWLRQURROH

,, 9LFH 3UHVLGHQW VKDOO  
KDYH EHHQRIDWRHPEXIQLOCHJHRU DW OHDVW RQ  
EHFRPLQJKH 9LFH 3UHVLGHQW  
KDYH D PLQL\*BX\$P SULRU DQG GXULQJ WKH WH  
VHUYH IRU \RDU IDI DSDWLFV RIHVLBQREUWLRQXW H  
PHHWKH JX\HWHOIGRZV LQ WKLW &RQVWLWXWLRQ  
EH HDVQKH\QGHRWUDJ\WVGHQHW ZKRODLWLRQURROH

,,, 6HFUHWKDUO  
KDYH D PLQL\*BX\$P SULRU WR DQG GXULQJ WKH  
VHUYH IRU \RDU IDI DSDWLFV RIHVLBQREUWLRQXW H  
PHHWKH JX\HWHOIGRZV LQ WKLW &RQVWLWXWLRQ  
EH HDVQKH\QGHRWUDJ\WVGHQHW ZKRODLWLRQURROH

,9 7UHDVXUHU VKDOO  
KDYH D PLQL\*BX\$P SULRU WR DQG GXULQJ WKH  
VHUYH IRU \RDU IDI DSDWLFV RIHVLBQREUWLRQXW H

9,, 6WXGHQW \*RYHUQPHQSW\$USU\$HWHRZKDDOVLREIV 6\*\$  
KDYH D PLQL\*BP SULRU WR DQG GXULQJ WKH  
VHUYH IRU \RDUW IDQDQSDMLFV RUIHVLBPREUVEKQXW H  
PHHWKH JX/HGWHOIGRZV LQ WKLV &RQVWLWXWLRQ  
EH HDVQKHXQGRUWUDQVQXGHQHW ZKRODLWVLEKURROH

9,,, 5HVLGH&RVDQOHRFLDWLRQ 5&\$KDO60SUHVHQWDWLYHV  
KDYH D PLQL\*BP SULRU WR DQG GXULQJ WKH  
VHUYH IRU \RDUW IDQDQSDMLFV RUIHVLBPREUVEKQXW H  
PHHWKH JX/HGWHOIGRZV LQ WKLV &RQVWLWXWLRQ  
EH HDVQKHXQGRUWUDQVQXGHQHW ZKRODLWVLEKURROH

,; 5HVLGHQW \$GYLVRUV VKDOO  
PHHWXDOLILVFDWLREQV 0XUUD\ 6WDWH +RXVLQJ

; 0DOH DQG0HPEHDOYH DW /DUJH VKDOO  
KDYH D PLQL\*BP SULRU WR DQG GXULQJ WKH  
VHUYH IRU \RDUW IDQDQSDMLFV RUIHVLBPREUVEKQXW Y

;,9 &RPPXW5HHS UHVHVKDDVLYHV  
KDYH D PLQL\*BP SULRU WR DQG GXULQJ WKH  
VHUYH IRU RCHU DE DGSDFV RUIHVLB QREU/E RCHQXW H  
PHHWKH JX/HVHOIGRZV LQ WKLV &RQVWLWXWLRQ  
EH HDWKHXJQGHRWJUDG/VXGCHQHW ZKR ODLWWL RCHROOH

;9 \$FDGHP5HFSUHVHVKDDVLYH  
+DYH D FXIPXLOPXYLYB\$ SULRU WR DQG GXULQJ  
VHUYH IRU RCHU DE DGSDFV RUIHVLB QREU/E RCHQXW H  
PHHWKH JX/HVHOIGRZV LQ WKLV &RQVWLWXWLRQ  
EH HDWKHXJQGHRWJUDG/VXGCHQHW ZKR ODLWWL RCHROOH

;9, 3URYLVLRQV 'LUHFWRU  
+DYH D PLQL\*BP SULRU WR DQG GXULQJ WKH  
6HUYH IRU RCHU DE DGSDFV RUIHVLB QREU/E RCHQXW H  
PHHWKH JX/HVHOIGRZV LQ WKLV &RQVWLWXWLRQ  
%H HDWKHXJQGHRWJUDG/VXGCHQHW ZKR ODLWWL RCHROOH

;9,, 5HFRJQL'WURQWRU  
+DYH D PLQL\*BP SULRU WR DQG GXULQJ WH  
6HUYH IRU RCHU DE DGSDFV RUIHVLB QREU/E RCHQXW H  
PHHWKH JX/HVHOIGRZV LQ WKLV &RQVWLWXWLRQ  
%H HDWKHXJQGHRWJUDG/VXGCHQHW ZKR ODLWWL RCHROOH  
%H D RHPEH5+

\$UWLFOH 9, ± 7KH \$GYLVRUV

6HFWLRQ \$ 7KH &ROOHJH +HDG  
ZLOO DGYLVHWKQW VDSHOUVHFWHVEBQXGIFQJLWPHQW  
UHWHQDQBQFRQXVBIOLQJ RI VWXGHQW3XUDXLWW  
LV D VRXUFH RI DVVLVWDQFH LDBRIGHPQJURS  
DQG DVKFWLWLVWPHPH&RCHQJH  
ZLOO DVKWHG&RQPHDVLQHVXODU IREU/VLVRQDQGHQIEH  
SHUWDLQRQJWKXWLEXRQQLRQQ ZERQM XQKMLURSCW RGHQ  
D QHGW WR EDVLV



6HFWLRQ ' (OHFWLRQV  
2QOLQH YRWLQKURIXDPL+HLSDDVDS DQQRXQFHG DW  
IROORZLQJ WKH HOHFWLRQ  
7KH QDPHV RHPDQV HZLQFWHGHDSRVWQIGWKE W  
ZLWKLQ WZHQR\ IRXU KRXUV DIWHU WKH UHVXO

\$UWLFOH 9,,, ± 5HVLJQDWLRQ ,PSHDF

**\$UWLFOH**

**\$UWLFOH DS. DOOPHPEHUV ! AIA**

6HFWLRQ % )XQGUDLVHUV  
0D\ EH KHOG WKURXJKRXW WKH \HDU LQ RU

6HFWLRQ & \$OORFDWLRQV  
0XVW EH DSSURYHG E\ WKH &RXQFLO

\$UWLFOH ; ± &RPPLWWHH 6WUXF

6HFWLRQ \$ ([HFXWLYH %RDUG  
3UHVLGHQW LV &KDLU  
2WKHU PHPEHUV VKDOO EHUH  
0HPEHU DW /DUHPEHU)HDOH/DUJHFWQG 55\$WLG  
LQ LQIRURDWHLYHRQDQ &RDVHJHURRSHQKHLQ5&W  
DQG PD\ DWVWKHQKHU GLVFUHWLRQ  
\$G +RF FKDLUV PD\ EH DGGHG DV QHHGHG  
&RPPLWWHHWRV RHHGHG WR GLVFX5& WKHHWLDQ  
&RPPLWWHHWR 5HSUHVHQWVWDLRHLV LRI DWKH5HSLQJ  
FRPPXWLDQ LQ5HSUHVHQWVWDLRHLV

6HFWLRQ % &RPPXQLFDWLRQV &RPPLWWHH  
6RFLDO &KDLU LV &KDLU  
2WKHU PHPEHUV VKDOO EHUH  
5HSUHVHQWVWDLRHLV  
\$G +RF FKDLUV PD\ EH DGGHG DV QHHGHG  
,Q WKH DEVHQFH RI WK5HSUHVHQWVWDLRHLV  
WHPSRUH  
&RPPLWWHHWRV RHHGHG PRQWK WRWR5HSUHVHQWVWDLRHLV  
QRQ WUDGDWRQRQDQW5HSUHVHQWVWDLRHLV

6HFWLRQ & 0HGLD %RDUG  
0HPEHUV VKDOO EHUH  
\$G +RF FKDLUV PD\ EH DGGHG DV QHHGHG  
%RDUG ZWRZRHWRWR5HSUHVHQWVWDLRHLV  
ZHEVLWH LQ GHVLJQ DQG FRQWHQW  
&RPPLWWHHWRV RHHGHG PRQWK IRU WKHVH SXUSR



