

8VHU , ' 3

2YHUYLHZ)LQDQFH 2YHUYLHZ 3XUSRVH

7KH SXUSRVH RI WKH ,3('6)LQDQFH FRPSRQHGW LV WR FROOHFW EDVLF ILQDQFLDO LQIRUPDWLRQ IURP LWHPV DVVRFLDWHG ZLWK WKH LQVWLWXWLRQ V *HQHUDO 3XUSRVH)LQDQFLDO 6WDWHPHQWV

7KHUH KDYH EHHQ QR FKDQJHV WR WKH)LQDQFH GDWD FROOHFWLRQ IURP WKH FROOHFWLRQ

5HVRXUFHV

7R GRZQORDG WKH VXUYH\ PDWHULDOV IRU WKLV FRPSRQHGW 6XUYH\ 0DWHULDOV
7R DFFHVV \RXU SULRU \HDU GDWD VXEPLVVLRQ IRU WKLV FRPSRQHGW 5HSRUWHG 'DWD

,I \RX KDYH TXHVWLRQV DERXW FRPSOHWLQJ WKLV VXUYH\ SOHDVH FRQWDFW WKH ,3('6 +HOS 'HVN DW

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

)LQDQFH 3XEOLF LQVWLWXWLRQV

*HQHUDO ,QIRUPDWLRQ
*\$6% 5HSRUWLQJ ,QVWLWXWLRQV DOLJQH IRUP

7R WKH H[WHQW SRVVLEOH WKH ILQDQFH GDWD UHTXHVWHG LQ WKLV UHSRUW VKRXOG EH SURYLGHG IURP \RXU LQVWLWXWLRQ V DXGLWHG
*HQHUDO 3XUSRVH)LQDQFLDO 6WDWHPHQWV *3)6 3OHDVH UHIHU WR WKH LQVWUXFWLRQV VSHFLILF WR HDFK VFUHHQ RI WKH VXUYH\ IRU
GHWDLOV DQG UHIHUHQFHV

)LVFDO <HDU &DOHQGDU

7KLV UHSRUW FRYHUV ILQDQFLDO DFWLYLWLHV IRU WKH PRQWK ILVFDO \HDU 7KH ILVFDO \HDU UHSRUWHG VKRXOG EH WKH PRVW
UHFHQW ILVFDO \HDU HQGLQJ EHIRUH 2FWREHU

%HJLQQLQJ PRQWK \HROWK <HDU
00<<<<

\$QG HQGLQJ PRQWK \HROWK <HDU
00<<<<

\$XGLW 2SLQLRQ

'LG \RXU LQVWLWXWLRQ UHFHLYH DQ XQTXDOLILHG RSLQLRQ RQ LWV *HQHUDO 3XUSRVH)LQDQFLDO 6WDWHPHQWV IURP \RXU DXGLWRU IRU WKH
ILVFDO \HDU QRWHG DERYH" ,I \RXU LQVWLWXWLRQ LV DXGLWHG RQ\ LQ FRPELQDWLRQ ZLWK DQRWKHU HQWLW\ DQVZHU WKLV TXHVWLRQ EDV
RQ WKH DXGLW RI WKDW HQWLW\

8QTXDOLILHG	4XDOLILHG	'RQ W NQRZ
([SODLQ LQ	([SODLQ LQ	([SODLQ LQ
ER[EHORZ	ER[EHORZ	ER[EHORZ

5HSRUWLQJ 0RGHO

*\$6% 6WDWHPHQW 1R RIIHUV WKUHH DOWHUQDWLYH UHSRUWLQJ PRGHOV IRU VSHFLDO SXUSRVH JRYHUQPHQWV OLNH FROOHJHV DQG
XQLYHUVLWLHV :KLFK PRGHO LV XVHG E\ \RXU LQVWLWXWLRQ"

%XVLQHVV 7\SH \$FWLYLWLHV

*RYHUQPHQWDO \$FWLYLWLHV

*RYHUQPHQWDO \$FWLYLWLHV ZLWK %XVLQHVV 7\SH \$FWLYLWLHV

\RX YH UHSRUWHG DERYH

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

3DUW % 5HYHQXHV DQG 2WKHU \$GGLWLRQV

)LVFDO <HDU -XO\ -XQH

/LQH 16RXUFH RI)XQGV &XUUHQW \HDU D~~PRXQW~~\HDU DPRXQW

2SHUDWLQJ 5HYHQXHV

7XLWLRQ DQG IHHV DIWHU GHGXFWLQJ GLVFRXQVV DOORZDQFHV

*UDQWV DQG FRQWUDFWV RSHUDWLQJ

)HGHUDO RSHUDWLQJ JUDQWV DQG FRQWUDFWV

6WDWH RSHUDWLQJ JUDQWV DQG FRQWUDFWV

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

3DUW % 5HYHQXH DQG 2WKHU \$GGLWLRQV

)LVFDO <HDU -XO\ -XQH

/LQH 1 6RXUFH RI IXQGV &XUUHQW \HDU DPRXQW 3UW \HDU DPRXQW

2WKHU 5HYHQXH DQG \$GGLWLRQV

&DSLWDO DSSURSULDWLRQV

&DSLWDO JUDQWV DQG JLIWV

\$GGLWLRQV WR SHUPDQHQW HQGRZPHQWV

2WKHU UHYHQXH DQG DGGLWLRQV

&9 >% % % @

7RWDO RWKHU UHYHQXH DQG DGGLWLRQV

7RWDO DOO UHYHQXH DQG RWKHU DGGLWLRQV

&9 >% % % @

<RX PD\ XVH WKH VSDFH EHORZ WR SURYLGH FRQWH[W IRU WKH GDWD \RX YH UHSRUWHG DERYH

\$OO (QGRZPHQWV WR 8QLYHUVLW\ DUH KDQGOHG YLD 86))RXQGDWLRQ ,QF

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

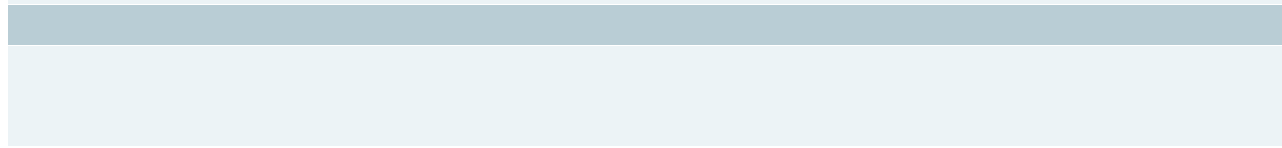
,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

3DUW ' 6XPPDU\ RI &KDQJHV ,Q 1HW 3RVLWLRQ
)LVFDO <HDU -XO\ -XQH

/LQH 1RVFULSWLRQ &XUUHQW \HDU DPRXQWHDU DPRXQW
7RWDO UHYHQXH DQG RWKHU DGGLWLRQV IURP %

7RWDO H[SHQVHV DQG GHGXFWLRQV IURP &

&KDQJH LQ QHW SRVLWLRQ GXULQJ \HDU



,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

3DUW + 'HWDLOV RI (QGRZPHQW \$VVHWV

)LVFDO <HDU -XO\ -XQH

/LQ#DOXH RI (QGRZPHQW \$VVHWV ODUNHW 9DOXBULRU <HDU
1R \$PRXQWV

,QFOXGH QRW RQO\ HQGRZPHQW DVVHWV KHOG E\ WKH LQVWLWXWLRQ EXW DQ\
DVVHWV KHOG E\ SULYDWH IRXQGDLRQV DIILOLDWHG ZLWK WKH LQVWLWXWLRQ
9DOXH RI HQGRZPHQW DVVHWV DW WKH EHLLOLOLRILWKH ILVFDO \HDU

9DOXH RI HQGRZPHQW DVVHWV DW WKH HOG RI WKH ILVFDO \HDU

<RX PD\ XVH WKH VSDFH EHORZ WR SURYLGH FRQWH[W IRU WKH GDWD \RX YH UHSRUWHG DERYH

--

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

3DUW / 'HEW DQG \$VVHWV SDJH

)LVFDO <HDU -XO\ -XQH

'HEW

&DWHJRU\

\$PRXQW

/RQJ WHUP GHEW RXWVWDQGLQJ DW EHJLQQLQJ RI ILVFDO \HDU

/RQJ WHUP GHEW LVVXHG GXULQJ ILVFDO \HDU

/RQJ WHUP GHEW UHWLUHG GXULQJ ILVFDO \HDU

/RQJ WHUP GHEW RXWVWDQGLQJ DW HQG RI ILVFDO \HDU

6KRUW WHUP GHEW RXWVWDQGLQJ DW EHJLQQLQJ RI ILVFDO \HDU

6KRUW WHUP GHEW RXWVWDQGLQJ DW HQG RI ILVFDO \HDU

<RX PD\ XVH WKH VSDFH EHORZ WR SURYLGH FRQWH[W IRU WKH GDWD \RX YH UHSRUWHG DERYH

--

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU ,' 3

3DUW / 'HEW DQG \$VVHWV SDJH

)LVFDO <HDU -XO\ -XQH

\$VVHWV

&DWHJRU\

\$PRXQW

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG RI ILVFDO \HDU LQ VLQNLQJ RU GHEW VHUFLFH IXQGV

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG RI ILVFDO \HDU LQ ERQG IXQGV

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG RI ILVFDO \HDU LQ DOO RWKHU IXQGV

<RX PD\ XVH WKH VSDFH EHORZ WR SURYLGH FRQWH[W IRU WKH GDWD \RX YH UHSRUWHG DERYH

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DBQHLDP'SXV

6XPPDU\

)LQDQFH 6XUYH\ 6XPPDU\

,3('6 FROOHFWV LPSRUWDQW LQIRUPDWLRQ UHJDUGLQJ \RXU LQVWLWXWLRQ \$OO GDWD UHSRUWHG LQ ,3('6
VXUYH\ FRPSRQHQWV EHFPH DYDLDEOH LQ WKH ,3('6 'DWD &HQWHU DQG DSSHU DV DJJUHJDWHG GDWD
LQ YDULRXV 'HSDUWPHQW RI (GXFDWLRQ UHSRUWV \$GGLWLRQDOO\ VRPH RI WKH UHSRUWHG GDWD DSSHU
VSHFLILFDOO\ IRU \RXU LQVWLWXWLRQ WKURXJK WKH &ROOHJH 1DYLJDWRU ZHEVLWH DQG LV LQFOXGHG LQ \RXU
LQVWLWXWLRQ¶V 'DWD)HHGEDFN 5HSRUW ')5 7KH SXUSRVH RI WKLV VXPPDU\ LV WR SURYLGH \RX DQ
RSSRUWXQLW\ WR YLHZ VRPH RI WKH GDWD WKDW ZKHQ DFFHSWHG WKURXJK WKH ,3('6 TXDOLW\ FRQWURO
SURFHVV ZLOO DSSHU RQ WKH &ROOHJH 1DYLJDWRU ZHEVLWH DQG RU \RXU ')5 &ROOHJH 1DYLJDWRU LV
XSGDWHG DSSUR[LPDWHO\ WKUHH PRQWKV DIWHU WKH GDWD FROOHFWLRQ SHULRG FORVHV DQG 'DWD)HHGEDFN
5HSRUWV ZLOO EH DYDLDEOH WKURXJK WKH 'DWD &HQWHU DQG VHQW WR \RXU LQVWLWXWLRQ¶V &(2 LQ
1RYHPEHU

3OHDVH UHYLHZ \RXU GDWD IRU DFFXUDF\ ,I \RX KDYH TXHVWLRQV DERXW WKH GDWD GLVSOD\HG EHORZ
DIWHU UHYLHZLQJ WKH GDWD UHSRUWHG RQ WKH VXUYH\ VFUHHQV SOHDVH FRQWDFW WKH ,3('6 +HOS 'HVN DW

&RUH ([SHQVHV

6WXGHQW VHUYLFHV			
2WKHU FRUH H[SHQVHV			
7RWDO FRUH H[SHQVHV			
7RWDO H[SHQVHV			

&RUH H[SHQVHV LQFOXGH H[SHQVHV IRU LQVWUXFWLRQ UHVHDFK SXEOLF VHUYLFH DFDGHPLF VXSSRUW LQVWLWXWLRQDO VXSSRUW VWXGHQW VHUYLFHV RSHUDWLRQ DQG PDLQWHQDQFH RI SODQW GHSUHFLDWLRQ VFKRODUVKLSV DQG IHOORZVKLSV H[SHQVHV RWKHU H[SHQVHV DQG QRQRSHUDWLQJ H[SHQVHV

	&DOFXODWHG YDOXH
)7(HQUROOPHQW	

7KH IXOO WLPH HTXLYDOHQW)7(HQUROOPHQW XVHG LQ WKLV UHSRUW LV WKH VXP RI WKH LQVWLWXWLRQV)7(XQGHUJUDGXDWLHQW HQUROOPHQW DQG)7(JUDGXDWLHQW HQUROOPHQW DV FDOFXODWHG IURP RU UHSRUWHG RQ WKH PRQWK (HQUROOPHQW FRPSRQHQW)7(LV HVWLPDWHG XVLQJ PRQWK LQVWUXFWLRQDO DFWLYLW\ FUHGLW DQG RU FRQWDFW KRUV \$OO GRFWURV GHJUHH VWXGHQWV DUH UHSRUWHG DV JUDGXDWLHQW VWXGHQWV

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ & DPSXV

(GLW 5HSRUW

)LQDQFH

8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ & DPSXV

6RXU FH 'HVFULSWLRQ 6HYHULWASHVROY HGSWLRQV

6FUHHQ 5HYHQXHV 3DUW

6FUHHQ KH DPRXQW RI DGGLWLRQV WR SHUPDQDWH LQWHUHQVWUHQV UHSRUWHG LQ
(QWU) 3DUW % OLQH VKRXOG QRW EH]HUR RU EODQN 3OHDVH FRQILUP WKDW
WKH GDWD UHSRUWHG DUH FRUUHFW (UURU

5HODWHG QXHV 3DUW
6FUHHQV

6FUHHQ 1HW 3RVLWLRQ

6FUHHQ KH FDOFXODWHG DPRXQW RI FKDQJH LQ RQH WBLWLRQV GXULQJ WKH \HDU LQ
(QWU) 3DUW ' OLQH LV H[SHFWHG WR EH JUHDWHU WKDQ]HUR 3OHDVH
FRQILUP WKDW WKH GDWD UHSRUWHG DUH FRUUHFW (UURU

5HODWHG 3RVLWLRQ
6FUHHQV