

)LQDQFH

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

2YHUYLHZ

)LQDQFH 2YHUYLHZ

3XUSR VH

7KH SXUSR VH RI WKH ,3('6)LQDQFH FRPSRQH QW LV WR FROOHFW EDVLF ILQDQFLDO L
LQVWLWXWLRQ V *HQHUDO 3XUSR VH)LQDQFLDO 6WDWHPHQW

7KHUH DUH FKDQJHV PDGH WR WKH)LQDQFH GDWD FROOHFWLRQ IURP WKH
SULYDWH IRU SURILW VFKRROV KDYH EHHQ UHYLVHG WR PDNH LW PRUH FRPSDUDEOH
SURILW IRUPV

5HVRXUFHV

7R GRZQORDG WKH VXUYH\ PDWHULDOV IRU WKL V FRPSRQH QW 6XUYH\ ODWHULDOV
7R DFFHVV \RXU SULRU \HDU GDWD VXEPLVVLRQ IRU WKL V FRPSRQH QW 5HSRUWHG 'D

,I \RX KDYH TXHVWLRQV DERXW FRPSOHWLQJ WKL V VXUYH\ SOHDVH FRQWDFW WKH ,3(

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

)LQDQFH 3XEOLF LQVWLWXWLRQV

5HSRUWLQJ 6WDQGDUG

3OHDVH LQGLFDWH ZKLFK UHSRUWLQJ VWDQGDUGV DUH XVHG WR SUHSDUH \RXU ILQDG

⊗ *\$6% *RYHUQPHQDO \$FFRXQWLQJ 6WDQGDUGV %RDUG XVLQJ VWDQGDUGV R

⊗)\$6%)LQDQFLDO \$FFRXQWLQJ 6WDQGDUGV %RDUG

3OHDVH FRQVXOW \RXU EXVLQHVV RIILFHU IRU WKH FRUHFHFW UHVSRQVH EHIRUH VDYL
TXHVWLRQ ZLOO GHWHUPLQH WKH IRUPV \RX ZLOO UHFHLYH IRU UHSRUWLQJ ILQDQFH

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

)LQDQFH 3XEOLF LQVWLWXWLRQV

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

7R WKH H[WHQW SRVVLEOH WKH ILQDQFH GDWD UHTXHVWHG LQ WKLV UHSRUW VKRXO
*HQHUDO 3XUSR VH)LQDQFLDO 6WDWHPHQWV *3)6 3OHDVH UHIHU WR WKH LQVWUXFW
GHWDLOV DQG UHIHUHQFHV

)LVFDO <HDU &DOHQGDU

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

%HJLQQLQJ PRQWK \HDU 00<<<< 0RQWK <HDU

\$QG HQGLQJ PRQWK \HDU 00<<<< 0RQWK <HDU

\$XGLW 2SLQLRQ

'LG \RXU LQVWLWXWLRQ UHFHLYH DQ XQTXDOLILHG RSLQLRQ RQ LWV *HQHUDO 3XUSR
ILVFDO \HDU QRWHG DERYH" ,I \RXU LQVWLWXWLRQ LV DXGLWHG RQ\ LQ FRPELQDWL
RQ WKH DXGLW RI WKDW HQWLW\

8QTXDOLILHG

4XDOLILHG
([SODLQ LQ
ER[EHORZ

'RQ W NQRZ
([SODLQ LQ
ER[EHORZ

5HSRUWLQJ 0RGHO

*\$6% 6WDWHPHQW 1R RIIHUV WKUHH DOWHUQDWLYH UHSRUWLQJ PRGHOV IRU VSHFL
XQLYHUVLWLHV :KLFK PRGHO LV XVHG E\ \RXU LQVWLWXWLRQ"

8

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

3DUW % 5HYHQXHV DQG 2WKHU \$GGLWLRQV
)LVFDO <HDU -XO\ -XQH

/LQH	6R XUFH RI)XQGV	&XUUHQW \HDU3	DPRXQW DU	DPRXQW
	2SHUDWLQJ 5HYHQXHV			
	7XLWLRQ DQG IHHV DIWHU GHGXFWLQJ GLVFRXQWV		DOORZDQFHV	
	*UDQWV DQG FRQWUDFWV RSHUDWLQJ			
)HGHUDO RSHUDWLQJ JUDQWV DQG FRQWUDFWV			

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

3DUW % 5HYHQXH DQG 2WKHU \$GGLWLRQV
)LVFDO <H DU -XO\ -XQH

/LQH 1	RRXUFH RI IXQGV	&XUUHQW \H DU D	PRXQW \H DU D	PRXQW
	2WKHU 5HYHQXH DQG \$GGLWLRQV			
	&DSLWDO DSSURSULDWLRQV			
	&DSLWDO JUDQWV DQG JLIWV			
	\$GGLWLRQV WR SHUPDQH QW HQGRZPHQWV			
	2WKHU UHYHQXH DQG DGGLWLRQV			
	&9 >% % % @			
	7RWDO RWKHU UHYHQXH DQG DGGLWLRQV			
	7RWDO DOO UHYHQXH DQG RWKHU DGGLWLRQV			
	&9 >% % % @			

<RX PD\ XVH WKH VSDFH EH ORZ WR SURYLGH FRQWH[W IRU WKH GDWD \RX YH UHSRUW

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,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

3DUW + 'HWDLOV RI (QGRZPHQW \$VVHWV

)LVFDO <HDU -XO\ -XQH

/LQ9DOXH RI (QGRZPHQW \$VVHWV
1R

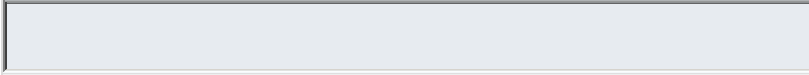
0DUNHW3ULRU <HDU
9DOXH \$PRXQWV

,QFOXGH QRW RQO\ HQGRZPHQW DVVHWV KHOG E\ WKH LQVWLWXWLRQ EXW DQ\ D
SULYDWH IRXQGDWLRQV DIILOLDWHG ZLWK WKH LQVWLWXWLRQ

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

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

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



,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
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 EHZRZ WR SURYLGH FRQWH[W IRU WKH GDWD \RX YH UHSRUW

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,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

3DUW / 'HEW DQG \$VVHWV SDJH
)LVFDO <H DU -XO\ -XQH

\$VVHWV

&DWHJRU\

\$PRXQW

7RWDO FDVK DQG VHFUXULW\ DVVHWV KHOG DW HQG RI ILVFDO \H DU LQ VLQNLQJ RU G

7RWDO FDVK DQG VHFUXULW\ DVVHWV KHOG DW HQG RI ILVFDO \H DU LQ ERQG IXQGV

7RWDO FDVK DQG VHFUXULW\ DVVHWV KHOG DW HQG RI ILVFDO \H DU LQ DOO RWKHU I

<RX PD\ XVH WKH VSDFH EH ORZ WR SURYLGH FRQWH[W IRU WKH GDWD \RX YH UHSRUW

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU , ' 3

3UHSDUHG E\

7KLV VXUYH\ FRPSRQHQW ZDV SUHSDUHG E\

○ .H\KROGHU

○

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH

8VHU , ' 3

6XPPDU\

)LQDQFH 6XUYH\ 6XPPDU\

,3('6 FROOHFWV LPSRUWDQW LQIRUPDWLRQ UHJDUGLQJ \RXU LQVWLWXWLRQ S
VXUYH\ FRPSRQHQWV EHRPH DYDLODEOH LQ WKH ,3('6 'DWD &HQWHU DQG DS
LQ YJUDWHG GDWD

7KH IXOO WLPH HTXLYDOHQW)7(HQUROOPHQW XVHG LQ WKLV UHSRUW LV WKH VXP RI WKH LQVWLWXV
)7(JUDGXDWH HQUROOPHQW DV FDOFXODWHG IURP RU UHSRUWHG RQ WKH PRQWK (HQUROOPHQW FRP
PRQWK LQVWUXFWLRQDO DFWLYLW\ FUHGLW DQG RU FRQWDFW KRXUV \$OO GRFWRU V GHJUHH VWXGH

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH

8VHU , ' 3

(GLW 5HSRUW

)LQDQFH

*UHDW %DVLQ &ROOHJH

7KHUH DUH QR HUURUV IRU WKH VHOHFWHG VXUYH\ DQG LQVWLWXW