)LQDQFH

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

2YHUYLHZ

)LQDQFH 2YHUYLHZ

3XUSRVH
7KH SXUSRVH RI WKH ,3('6)LQDQFH FRPSRQHQW LV WR FROOHFW EDVLF ILQDQFLDO LQ
LQVWLWXWLRQ V *HQHUDO 3XUSRVH)LQDQFLDO 6WDWHPHQWV

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

)LQDQFH 3XEOLF LQVWLWXWLRQV

5HSRUWLQJ 6WDQGDUG
3OHDVH LQGLFDWH ZKLFK UHSRUWLQJ VWDQGDUGV DUH XVHG WR SUHSDUH \RXU ILQDQ
P21 l 21 715.l f Q Q q Q 1 l 221 l 21 715 l 21 7 W182K01OE12r15.71 l 5l506 d1 7 W182K05.71- l 5l506 d1 rg 49.93 688.29 0.5 16.18 re f 0

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

)LQDQFH 3XEOLF LQVWLWXWLRQV

*HQHUDO ,QIRUPDWLRQ

*$6% 5HSRUWLQJ ,QVWLWXWLRQV DOLJQHG IRUP

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

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

3DUW $ 6WDWHPHQW RI)LQDQFLDO 3RVLWLRQ

)LVFDO <HDU -XO\ -XQH

,I \RXU LQVWLWXWLRQ LV D SDUHQW LQVWLWXWLRQ WKHQ WKH DPRXQWV UHSRUWHG L
FKLOG LQVWLWXWLRQV

/LQH QR		&XUUHQW \HDU DPRXQW	3ULRU \HDU DPRXQW
	&XUUHQW $VVHWV		
	7RWDO FXUUHQW DVVHWV		
	1RQFXUUHQW $VVHWV		
	'HSUHFLDEOH FDSLWDO DVVHWV QHW RI GHSUHFLDWLRQ		
	2WKHU QRQFXUUHQW DVVHWV &9 >$ $ @		
	7RWDO QRQFXUUHQW DVVHWV		
	7RWDO DVVHWV &9 $ $		
	&XUUHQW /LDELOLWLHV		
	/RQJ WHUP GHEW FXUUHQW SRUWLRQ		
	2WKHU FXUUHQW OLDELOLWLHV &9 $ $		
	7RWDO FXUUHQW OLDELOLWLHV		
	1RQFXUUHQW /LDELOLWLHV		
	/RQJ WHUP GHEW		
	2WKHU QRQFXUUHQW OLDELOLWLHV &9 $ $		
	7RWDO QRQFXUUHQW OLDELOLWLHV		

3DUW $ 6WDWHPHQW RI)LQDQFLDO 3RVLWLRQ 3DJH

)LVFDO <HDU -XO\ -XQH		
/LQH 1R	'HVFULSWLRQ	(QGLQJ EDODQFH 3ULRU \HDU (QGLQJ EDODQFH
	&DSLWDO $VVHWV	
	/DQG DQG ODQG LPSURYHPHQWV	

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

3DUW (6FKRODUVKLSV DQG)HOORZVKLSV

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

3DUW % 5HYHQXHV E\ 6RXUFH

)LVFDO <HDU -XO\ -XQH

/LQH 1R	6RXUFH RI)XQGV	&XUUHQW \HDU DPRXQW	3ULRU \HDU DPRXQW
	2SHUDWLQJ 5HYHQXHV		

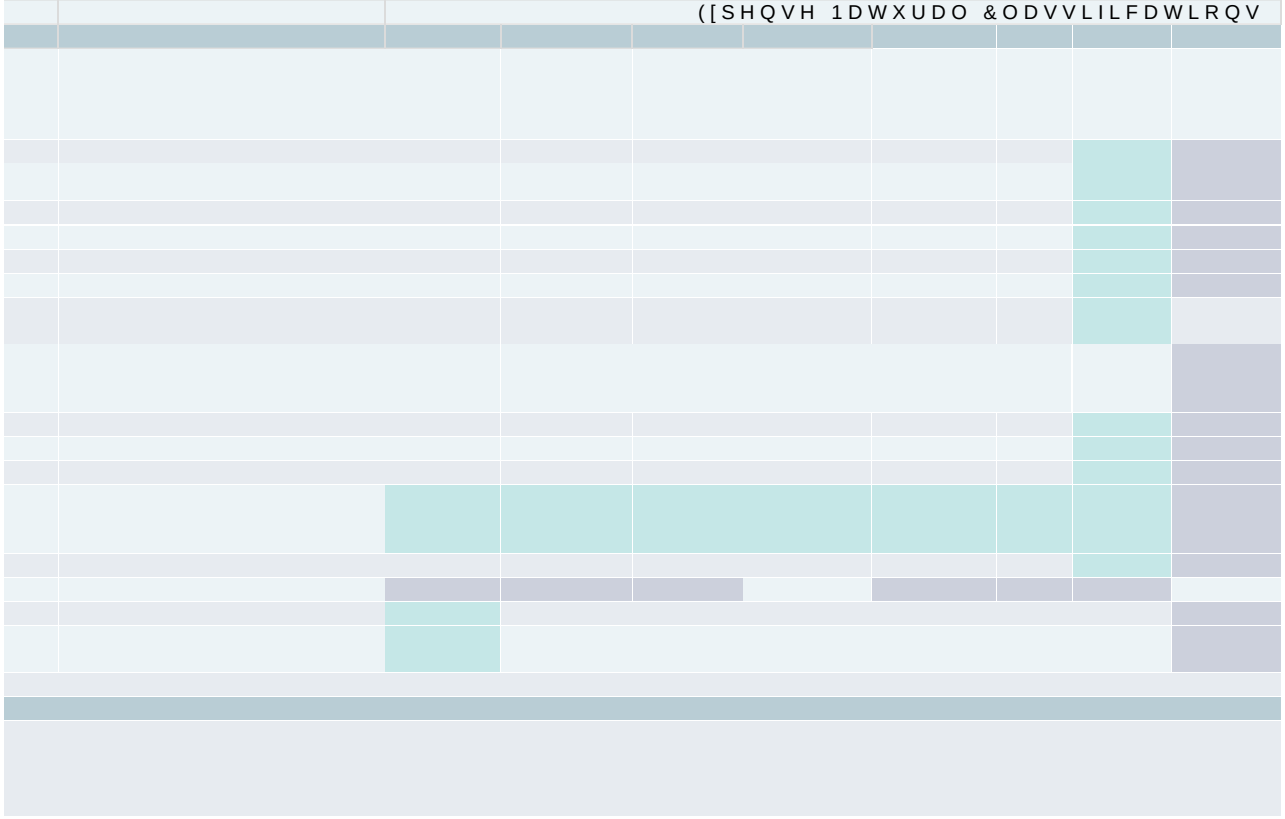
,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
8VHU ,' 3

3DUW % 5HYHQXHV E\ 6RXUFH

		)LVFDO <HDU -XO\ -XQH	
/LQH 1R	6RXUFH RI IXQGV	&XUUHQW \HDU DPRXQW	3ULRU \HDU DPRXQW
	2WKHU 5HYHQXHV DQG $GGLWLRQV		
	&DSLWDO DSSURSULDWLRQV		

3DUW & ([SHQVHV E\ )XQFWLRQDO DQG 1DWXUDO &ODVVLILFDWLRQ

)LVFDO <HDU -XO\ -XQH
5HSRUW 7RWDO 2SHUDWLQJ $1' 1RQRSHUDWLQJ ([SHQVHV LQ WKLV VHFWLRQ
([SHQVH 1DWXUDO &ODVVLILFDWLRQV



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

3DUW ' 6XPPDU\ RI &KDQJHV ,Q 1HW 3RVLWLRQ

	)LVFDO <HDU -XO\ -XQH		
/LQH	1HW 3RVFULSWLRQ	&XUUHQW \HDU DPRXQW	3UDPRXQW DPRXQW
	7RWDO UHYHQXHV DQG RWKHU DGGLWLRQV IURP %		
	7RWDO H[SHQVHV DQG GHGXFWLRQV IURP &		
	&KDQJH LQ QHW SRVLWLRQ GXULQJ \HDU &9 ' '		
	1HW SRVLWLRQ EHJLQQLQJ RI \HDU		

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

3DUW + 'HWDLOV RI (QGRZPHQW $VVHWV

)LVFDO <HDU -XO\ -XQH

/LQH 1R	9DOXH RI (QGRZPHQW $VVHWV	0DUNHW 9DOXH	3ULRU <HDU $PRXQWV

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

3DUW . ([SHQGLWXUH 'DWD IRU %XUHDX RI &HQVXV

3DUW / 'HEW DQG $VVHWV SDJH

,QVWLWXWLRQ *UHDW %DVLQ &ROOHJH
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 G	
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 I	

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

)LQDQFH 6XUYH\ 6XPPDU\

,3('6 FROOHFWV LPSRUWDQW LQIRUPDWLRQ UHJDUGLQJ \RXU LQVWLWXWLRQ VXUYH\ FRPSRQHQWV EHFRPH DYDLODEOH LQ WKH ,3('6 'DWD &HQWHU DQG DS LQ YDULRXV 'HSDUWPHQW RI (GXFDWLRQ UHSRUWV $GGLWLRQDOO\ VRPH RI VSHFLILFDOO\ IRU \RXU LQVWLWXWLRQ WKURXJK WKH &ROOHJH 1DYLJDWRU ZH LQVWLWXWLRQ¶V 'DWD)HHGEDFN 5HSRUW ')5 7KH SXUSRVH RI WKLV VXPPDU RSSRUWXQLW\ WR YLHZ VRPH RI WKH GDWD WKDW ZKHQ DFFHSWHG WKURXJK SURFHVV ZLOO DSSHDU RQ WKH &ROOHJH 1DYLJDWRU ZHEVLWH DQG RU \RXU XSGDWHG DSSUR[LPDWHO\ WKUHH PRQWKV DIWHU WKH GDWD FROOHFWLRQ SH 5HSRUWV ZLOO EH DYDLODEOH WKURXJK WKH 'DWD &HQWHU DQG VHQW WR \RX 1RYHPEHU

3OHDVH UHYLHZ \RXU GDWD IRU DFFXUDF\ ,I \RX KDYH TXHVWLRQV DERXW WK DIWHU UHYLHZLQJ WKH GDWD UHSRUWHG RQ WKH VXUYH\ VFUHHQV SOHDVH F RU LSHGVKHOS#UWL RUJ

&RUH 5HYHQXHV

5HYHQXH 6RXUFH	5HSRUWHG YDOXH	3HUFHQW RI WRWDO &RUH UHYHQXHV	&RUH UHYHQXHV SHU)7(HQUROOPHQW
7XLWLRQ DQG IHHV			
6WDWH DSSURSULDWLRQV			
/RFDO DSSURSULDWLRQV			
*RYHUQPHQW JUDQWV DQG	FRQWUDFWV		
3ULYDWH JLIWV JUDQWV D	QG FRQWUDFWV		
,QYHVWPHQW LQFRPH			

)7(HQUROOPHQW

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