

,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 LQIRUPDWLRQ IURP LWHPV DVVRFLDWHG ZLWK WKH
LQVWLWXWLRQ V *HQHUDO 3XUSR VH)LQDQFLDO 6WDWHPHQWV

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

5HVRXUFHV

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

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

SUHSDUH \RXU ILQDQFLDO VWDWHPHQWV
XVLQJ VWDQGDUGV RI *\$6%

SRQVH EHIRUH VDYLQJ WKLV VFUHHQ <RXU UHVSQVH WR WKLV
HSRUWLQJ ILQDQFH GDWD

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

)LQDQFH 3XEOLF LQVWLWXWLRQV

*HQHDO ,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
*HQHDO 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 \HDOWK <HDU
00<<<<
\$QG HQGLQJ PRQWK \HDOWK <HDU
00<<<<
\$XGLW 2SLQLRQ

8
3

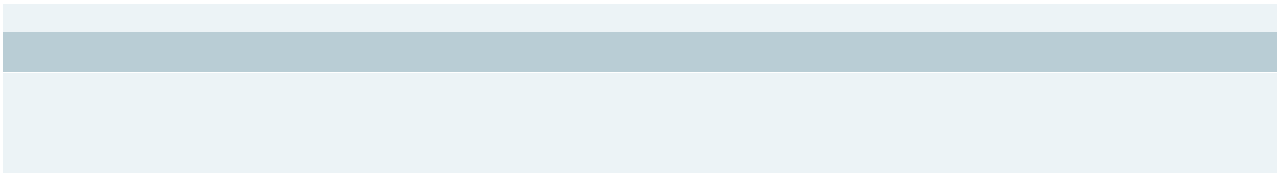
QWV UHSRUWHG LQ 3DUWV \$ DQG ' VKRXOG LQFOXGH \$// RI \RXU

/LQH QR &XUUHQW \HDU DPRXQW LRU \HDU DPRXQW

&XUUHQW \$VVHWV
7RWDO FXUUHQW DVVHWV

HSUHFLDEOH EDQWDO DVVHWV QHW RI GHSUHFLDWLRQ

2WKHU QRQFXUUHQW DVVHWV
&9 >\$ \$ @



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

3DUW % 5HYHQXH V DQG 2WKHU \$GGLWLRQV

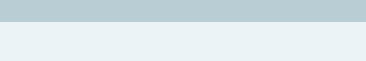
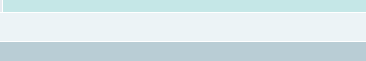
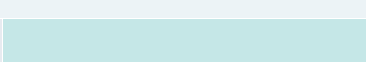
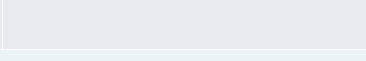
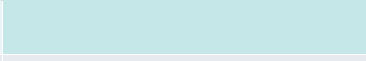
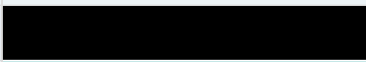
/LQH 1R XUFH RI IXQGV &XUUHQW \H DU DPRXQW RU \H DU DPRXQW

2WKHU 5HYHQXH V DQG \$GGLWLRQV

&DSLWDO DSSURSULDWLRQV

&DSLWDO JUDQWV DQG JLIWV

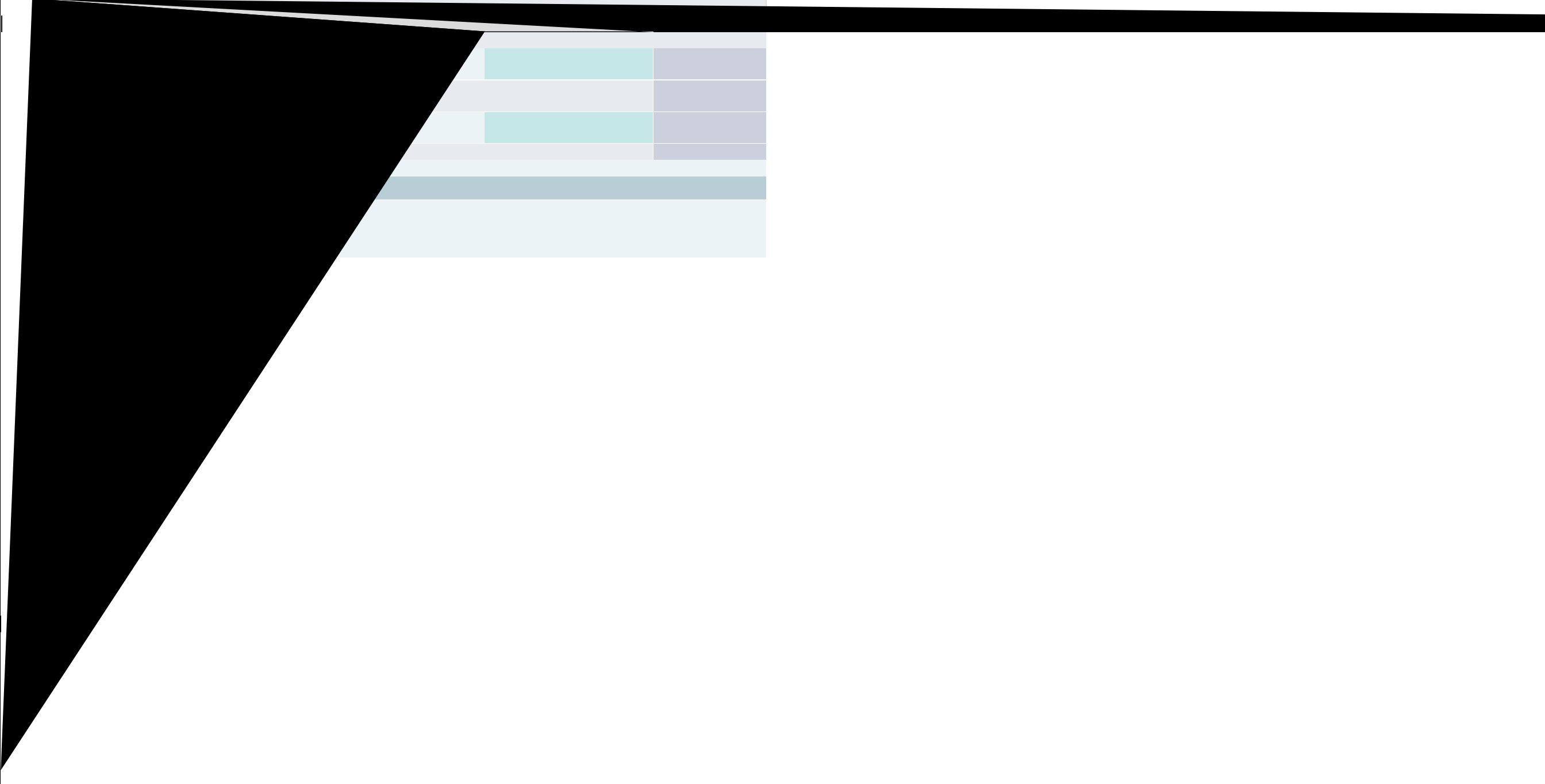
\$GGLWLRQV WR SHUPDQH QW



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

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

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



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

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

3DUW - 5HYHQXH 'DWD IRU %XUHDX RI &HQVXV

6RXUFH DC	7RWDO IRU DOO IXQGV		\$PRXQW		
	DQG RSHUDWLRQV				
	LQFOXGHV				

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

3DUW / 'HEW DQG \$VVHWV SDJH

'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

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

3DUW / 'HEW DQG \$VVHWV SDJH

\$VVHWV

&DWHJRU\

\$PRXQW

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG R I I L V E D O \ H D I I . Q VLQNLQJ RU GHEW VHUYLFH IXQGV

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG R I I L V E D O \ H D I I . Q ERQG IXQGV

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG R I I L V E D O \ H D I I . Q DOO RWKHU IXQGV

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

⊖bgh]ri h]cb. ; fYUh'6Ug]b'7c`Y[Y'f% &' \$*£

I gYf'⊖8. 'D% &' \$*%

6XPPDU\

)LQDQFH 6XUYH\ 6XPPDU\

&RUH ([SHQVHV

Gh XYbhgYfj]Wg	~ &z%\$, ž' &'	, l	~ %z%-)
Ch Yf`WtfY`Yl dYbgYg	~) ž') &z\$\$\$\$	&%d	~ ' z\$' &
HchU` WtfY`Yl dYbgYg	~ &) ž, &) ž- &)		

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)LQDQFH

*UHDW %DVLQ &ROOHJH

Gci fW	8YgW]dh]cb	GYj Yf]m	FYgc'j YX	Cdh]cbg
6FUHHQ	6FKRODUVKLSV)HOORZVKLSV		
6FUHHQ	7KH DPRXQW UHSRUWHG LV RXW]MISODLQ]HFWHG]HVDQJH RI	(QWU]EHWZHHQ DQG ZKHQ FRPSDUHG	ZLWK WKH SULRU \HDU YDOXH 3OHDVH FRUUHFW \RXU GDWD RU	H[SODLQ (UURU
5HDV	6FKRODUVKLSV IRU VWXGHQWV ZHUH KLJKHU GXULQJ)<		FRPSDUHG WR)<	
6FUHHQ	5HYHQXHV 3DUW			
6FUHHQ	7KH DPRXQW UHSRUWHG LV RXW]MISODLQ]HFWHG]HVDQJH RI	(QWU]EHWZHHQ DQG ZKHQ FRPSDUHG	ZLWK WKH SULRU \HDU YDOXH 3OHDVH FRUUHFW \RXU GDWD RU	H[SODLQ (UURU
5HDV	7QLWLRQ DQG IHHV DJUHH ZLWK ILQDQFLDO VWDWHPHQWV DQG DUH KLJKHU WKDQ)<		GXH WR FKDQJHV LQ IHHV	
6FUHHQ	(]SHQVHV			
6FUHHQ	7KH DPRXQW UHSRUWHG LV RXW]MISODLQ]HFWHG]HVDQJH RI	(QWU]EHWZHHQ DQG ZKHQ FRPSDUHG	ZLWK WKH SULRU \HDU YDOXH 3OHDVH FRUUHFW \RXU GDWD RU	H[SODLQ (UURU
5HDV	3Q]EOLF VHUYLFH H[SHQGLWXUHV ZHUH KLJKHU LQ)<		WKDQ WKH\ ZHUH LQ SULRU \HDUV	
6FUHHQ	1HW 3RVLWLRQ			
3HUIR	7RH FDOFXODWHG DPRXQW RI F]RQILUP WKDW QSRVL]LRQ	(GLW]GXULQJ WKH \HDU LQ 3DUW ' OLQH LV H[SHFWHG WR EH	JUHDWHU WKDQ]HUR 3OHDVH FRQILUP WKDW WKH GDWD	UHSRUWHG DUH FRUUHFW (UURU