

)LQDQFH

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
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 6W 3HWHUVEXUJ
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

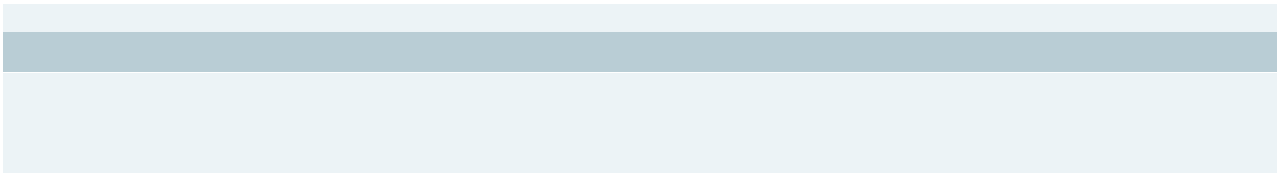
%HJLQQLQJ PRQWK \HROWK <HDU
00<<<<

\$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



,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
8VHU , ' 3

3DUW % 5HYHQXH DQG 2WKHU \$GGLWLRQV

)LVFDO <HDU -XO\ -XQH

/LQH ~~6R~~XUFH RI)XQGV &XUUHQW \HDU D~~PRXQW~~\HDU DPRXQW

2SHUDWLQJ 5HYHQXH

7XLWLRQ DQG IHHV DIWHU GHGXF~~W~~LQI GLVFRXQWV DOORZDQFHV

*UDQWV DQG FRQWUDFWV RSHUDWLQJ

)HGHUO RSHUDWLQJ JUDQWV DQG FRQWUDFWV

6WDWH RSHUDWLQJ JUDQWV DQG FRQWUDFWV

/RFDO JRYHUQPHQW SULYDWH RSHUDWLQJ JUDQWV DQG FRQWUDFWV

D/RFDO JRYHUQPHQW RSHUDWLQJ JUDQWV DQG FRQWUDFWV

E 3ULYDWH RSHUDWLQJ JUDQWV DQG FRQWUDFWV

6DOHV DQG VHU~~Y~~LFHV RI DX[LOLDU\ HQWHUSULVHV

DIWHU GHGXF~~W~~LQJ GLVFRXQWV DQG DOORZDQFHV

6DOHV DQG VHU~~Y~~LFHV RI KRVSLWDOV

DIWHU GHGXF~~W~~LQJ SDWLHQW FRQWUDFWXDO DOORZDQFHV

6DOHV DQG VHU~~Y~~LFHV RI HGXFDWLRQDO DFWLYLWLHV

,QGSHQGHW RSHUDWLQV

2WKHU VRXUFHV RSHUDWLQJ

&9 >% % % @

7RWDO RSHUDWLQJ UHYHQXH

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
8VHU , ' 3

3DUW % 5HYHQXHV DQG 2WKHU \$GGLWLRQV

WHUVEXUJ

RU \H DU DPRXQW

RUD UDOC

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
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 GHGXFWRQV IURP &

&KDQJH LQ QHW SRVLWLRQ GXULQJ \HDU
&9

1HW SRVLWLRQ EHJLQQLQJ RI \HDU

\$GMXVWPHQWV WR EHJLQQLQJ QHW SRVLWLRQ DQG RWKHU JDLQV RU ORVVHV
&9 > @

1HW SRVLWLRQ HQG RI \HDU IURP \$

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

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
8VHU , ' 3

3DUW + 'HWDLOV RI (QGRZPHQW \$VVHWV

)LVFDO <HDU -XO\ -XQH

/LQ#DOXH RI (QGRZPHQW \$VVHWV 0DUNHW 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 EHLLOLOLRI 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 UHSRUWHG DERYH

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,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
8VHU ,' 3

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

)LVFDO <HDU -XO\ -XQH

6RXUFH DC

\$PRXQW

7RWDO IRU DOO (XQF) WLRQ DQG [LOLDU\ HQWHUSURVWDOV
DQG RSHUDWLRQ RSHUDO LQGSHQGHQW
LQFOXGHV RSHUDWLRQV
HQGRZPHQW IXQGV
EXW H[FOXGHV FRPSRQHQW
XQLWV

\$JULFXOWXUH
H[WHQVLRQ H[SHULPHQW
VHUYLFHV

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
8VHU , ' 3

3DUW . ([SHQGLWXUH 'DWD IRU %XUHDX RI &HQVXV
)LVFDO <HDU -XO\ -XQH

&DWHJRU\	\$PRXQW			
	7RWDO IRU DOO(XCFWDRG DQG \$XQDO\ HQWHUSURVSLWDOV RSHUDWLRQV LOGHSHQGHQW RSHUDWLRQV			
	HQGRZPHQW IXQGV EXW H[FOXGHV FRPSRQHQW XQLWV			

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ
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 6W 3HWHUVEXUJ
8VHU , ' 3

3DUW / 'HEW DQG \$VVHWV SDJH

)LVFDO <H DU -XO\ -XQH

\$VVHWV

&DWHJRU\

\$PRXQW

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG R\ ILV FDO \ HDU \ Q VLQNLQJ RU GHEW VHUYLFH IXQGV

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG R\ ILV FDO \ HDU \ Q ERQG IXQGV

7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG R\ ILV FDO \ HDU \ Q 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 6W83\HHW\HUV\EXUJ

6XPPDU\

)LQDQFH 6XUYH\ 6XPPDU\

,3('6 FROOHFWV LPSRUWDQW LQIRUPDWLRQ UHJDUGLQJ \RXU LQVWLWXWLRQ \$OO GDWD UHSRUWHG LQ ,3('6
VXUYH\ FRPSRQHQWV EFRPH DYDLODEOH 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 DYDLODEOH 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
RU LSHGVBKOS#UWL RUJ

&RUH 5HYHQXH

5HYHQXH 6RXUFH	5HSRUWHG YDOXH	3HUFHQW RI WRWD	@FRUWH 5HYHQXH SHU)7(
7XLWLRQ DQG IHHV			HQUROOPHQW

&RUH ([SHQVHV

6WXGHQW VHUULFHV

2WKHU FRUH H[SHQVHV

7RWDO FRUH H[SHQVHV

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWH'UVBXUJ

(GLW 5HSRUW

)LQDQFH

8QLYHUVLW\ RI 6RXWK)ORULGD 6W 3HWHUVEXUJ

6RXUFH 'HVFULSWLRQ 6HYHULW\ 5HVROYHG 2SWLRQV

6FUHHQ ([SHQVHV

6FUHHQ	HKH DPRXQW UHSRUWHG LV RXWV\	(SODLQ	H[SHQVHV	FWHG	GHVDQJH RI
(QWU	EHWZHHQ DQG ZKHQ FRPSDUHG ZLWK				
	WKH SULRU \HDU YDOXH 3OHDVH FRUUHFW \RXU GDWD RU H[SODLQ				
	(UURU				

5HDV\RXGHW 6HUFLHV LQFUHDVHG EHFDXVH RI QHZ GLQLQJ VHUFLHV DQG DGGLWLRQDO KRXLQJ XQLWV

6FUHHQ	HKH DPRXQW UHSRUWHG LV RXWV\	(SODLQ	H[SHQVHV	FWHG	GHVDQJH RI
(QWU	EHWZHHQ DQG ZKHQ FRPSDUHG ZLWK				
	WKH SULRU \HDU YDOXH 3OHDVH FRUUHFW \RXU GDWD RU H[SODLQ				
	(UURU				

5HDV\QVWLWXWLRQDO 6XSSRUW GHFUHDVHG EHFDXVH RI UHFODVVLILFDWLRQ RI VRPH H[SHQVHV WR ,QVUXFWLRQ