

+XPDQ 5HVRXUFHV

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

2YHUYLHZ

+XPDQ 5HVRXUFHV 2YHUYLHZ

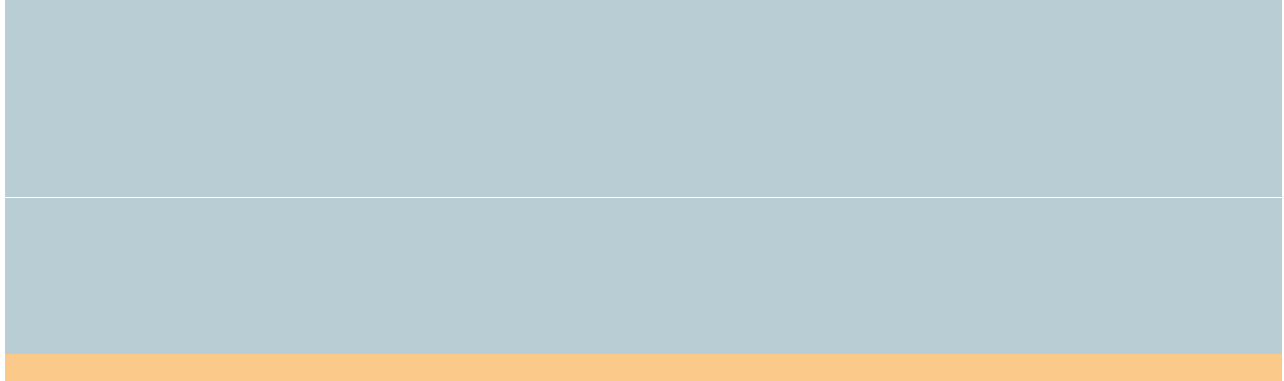
,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

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

3DUW \$)XOO WLPH ,QVWUXFWLRQDO 6WDII E\ \$FDGHPLF 5DQN DQG 7HQXUH
<HDU &RQWUDFW

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

3DUW \$)XOO WLPH ,QVWUXFWLRQDO 6WDII E\ \$FDGHPLF 5DQN DQG 7HQXUH
7KDQ \$QQXDO &RQWUDFW

A table with approximately 8 columns and 10 rows. The first two columns are highlighted in light blue. The last column is highlighted in a teal color. One cell in the bottom row, fourth column, is highlighted in black. The rest of the cells are white.

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

3DUW \$)XOO WLPH ,QVWUXFWLRQDO 6WDII :LWKRXW)DFXOW\ 6WDWXV
1XPEHU RI)XOO WLPH ,QVWUXFWLRQDO 6WDII
:LWKRXW)DFXOW\ 6WDWXV
\$V RI 1RYHPEHU

5HSRUW +LVSDQLF /DWLQR LQGLYLGXDOV RI DQ\ UDFH DV +LVSDQLF /DWLQR
5HSRUW UDFH IRU QRQ +LVSDQLF /DWLQR LQGLYLGXDOV RQO\
,QFOXGH ERWK 3ULPDULO\ ,QVWUXFWLRQ DQG ,QVWUXFWLRQ &RPELQHG ZLWK 5HVHDUFK DQG
,QFOXGH ERWK PHGLFDO VFKRRO DQG QRQ PHGLFDO VFKRRO VWDII

0HQ
5DFH HWKQLFLW\ :LWKRXW)DFXOW\ 6WDWXV
1RQUHVLGHQW DOLHQ
+LVSDQLF /DWLQR
\$PHULFDQ ,QGLDQ RU \$ODVND 1DWLYH
\$VLDQ
%ODFN RU \$IULFDQ \$PHULFDQ
1DWLYH +DZDLLDQ RU 2WKHU 3DFLILF ,VODQGHU

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

3DUW \$)XOO WLPH ,QVWUXFWLRQDO 6WDII E\)XQFWLRQ
1XPEHU RI)XOO WLPH ,QVWUXFWLRQDO 6WDII

\$V RI 1RYHPEHU

5HSRUW 3ULPDULO\ ,QVWUXFWLRQ DQG ,QVWUXFWLRQ FRPELQHG ZLWK 5HVHDUFK DQG RU 3XE
EHORZ

5HSRUW 1RQ PHGLFDO VFKRRO DQG 0HGLFDO VFKRRO VWDII VHSRUDWHO\ DV LQGLFDWHG EH

:LWK)DFXOW\ 6WDWXV :LWKR 7RWDO

7HQX	2Q	1RW RQ 7HQXUH 7UDFN	DFXC
7HQX	0XOWL \HDU	QXOW\ WKDQ	6WDII
7UDF	FRWLQXLQ	FRWLQXLQ	FRWLQXLQ
	ZLOO	FRWUDFW	

1RQ PHGLFDO VFKRRO VWDII

1RQ PHGLFDO VFKRRO VWDII IURP

SULRU \HDU

3ULPDULO\ ,QVWUXFWLRQ

([FOXVLYHO\ FUHGLW

([FOXVLYHO\ QRW IRU FUHGLW

&RPELQHG FUHGLW QRW IRU

FUHGLW

,QVWUXFWLRQ UHVHDUFK SXEOLF

VHUULFH VWDII

0HGLFDO VFKRRO VWDII

0HGLFDO VFKRRO VWDII IURP SULRU

\HDU

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

3DUW \$)XOO WLPH ,QVWUXFWLRQDO 6WDII 7RWDOV
7RWDO QXPEHU RI)XOO WLPH ,QVWUXFWLRQDO 6WDII

\$V RI 1RYHPEHU

5DFH HWKQLFLW\ 1RQUHVLGHQW DOLHQ +LVSDQLF /DWLQR \$PHULFDQ ,QGLDQ RU \$ODVND 1DWLYH \$VLDQ %ODFN RU \$IULFDQ \$PHULFDQ 1DWLYH +DZDLLDQ RU 2WKHU 3DFLILF ,VODQGHU :KLWH 7ZR RU PRUH UDFHV 5DFH DQG HWKQLFLW\ XQNQRZQ 7RWDO 7RWDO IURP SULRU \HDU	7RWDO PHQ 7RWDO ZRPHQ 7RWDO PHQ 7RWDO ZRPHQ			
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,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DLQ &DPSXV
8VHU , ' 3

3DUW %)XOO WLPH 1RQ LQVWUXFWLRQDO 6WDII E\ 2FFXSDWLRQDO &DWHJR
1XPEHU RI)XOO WLPH 1RQ LQVWUXFWLRQDO 6WDII
E\ 2FFXSDWLRQDO &DWHJRU\

\$V RI 1RYHPEHU

5HSRUW +LVSDQLF /DWLQR LQGLYLGXDOV RI DQ\ UDFH DV +LVSDQLF /DWLQR
5HSRUW UDFH IRU QRQ +LVSDQLF /DWLQR LQGLYLGXDOV RQO\
,QFOXGH ERWK PHGLFDO VFKRRO DQG QRQ PHGLFDO VFKRRO VWDII

0HQ

5DFH HWKQLFLW\

,QVWUXFWLRQDO 6WDII

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

3DUW %)XOO WLPH 1RQ LQVWUXFWLRQDO 6WDII E\ 2FFXSDWLRQDO &DWHJR
1XPEHU RI)XOO WLPH 1RQ LQVWUXFWLRQDO 6WDII
E\ 2FFXSDWLRQDO &DWHJRU\

\$V RI 1RYHPEHU

5HSRUW +LVSDQLF /DWLQR LQGLYLGXDOV RI DQ\ UDFH DV +LVSDQLF /DWLQR
5HSRUW UDFH IRU QRQ +LVSDQLF /DWLQR LQGLYLGXDOV RQO\
,QFOXGH ERWK PHGLFDO VFKRRO DQG QRQ PHGLFDO VFKRRO VWDII

0HQ

5DFH HWKQLFLWU FKLYLVWV &XFDWLRQDO DQG 6WXGHQW DQG \$FDGHPLF \$IIDLUV DQG 2
0XVHXP 7HFKQLFLDQ 7HFKQLFLDQ (XFDWLRQ 6HUylFHV 2FFXSDWLRQV

1RQUHVLGHQW DOLHQ
+LVSDQLF /DWLQR
\$PHULFDQ ,QGLDQ RU
\$ODVND 1DWLYH

%XVLQHVV DQG)LQDQFLDO 2SHUDWLRQV
2FFXSDWLRQV

&RPSXWHU (QJLQHHLQJ DQG 6FLHQFH
2FFXSDWLRQV

&RPPXQLW\ 6RFLDO 6HUFLFH /HJDO
\$UWV 'HVLJQ (QWHUWDLQPHQW 6SRUWV
DQG 0HGLD 2FFXSDWLRQV

+HDOWKFDUH 3UDFWLWLRQHUV DQG
7HFKQLFDO 2FFXSDWLRQV

7RWDO



7RWDO IURP SULRU \HDU

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

3DUW %)XOO WLPH 1RQ LQVWUXFWLRQDO 6WDII E\ 0HGLFDO 6FKRRO 6WDWX
1XPEHU RI)XOO WLPH 1RQ LQVWUXFWLRQDO 6WDII

\$V RI 1RYHPEHU

2FFXSDWLRQDO FDWHJRU\ 7RWDO 1RQ PHGLFDO MFKRRO VFKRRO
FDUULHG VWDII VWDII
IRUZDUG
IURP 3DUW %

6HUULFH 2FFXSDWLRQV

6DOHV DQG 5HODWHG 2FFXSDWLRQV

2IILFH DQG \$GPLQLVWUDWLYH 6XSSRUW 2FFXSDWLRQV

1DWXUDO 5HVRXUFHV &RQVWUXFWLRQ DQG 0DLQWHQDQFH
2FFXSDWLRQV

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

3DUW * 6DODU\ 2XWOD\ IRU ,QVWUXFWLRQDO 6WDII

[Blue background]				
[Blue background]				
[Light Gray]	[Light Gray]	[Light Gray]	[Light Gray]	[Light Gray]
[Orange background]				
[Light Gray]	[Light Gray]	[Light Gray]	[Light Gray]	[Teal]
[Light Gray]	[Light Gray]	[Light Gray]	[Light Gray]	[Teal]
[Light Gray]	[Light Gray]	[Light Gray]	[Light Gray]	[Teal]
[Light Gray]	[Light Gray]	[Light Gray]	[Light Gray]	[Teal]
[Light Gray]	[Light Gray]	[Light Gray]	[Light Gray]	[Teal]
[Teal]	[Teal]	[Teal]	[Teal]	[Teal]
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[Orange background]				
[Light Blue]	[Light Blue]	[Light Blue]	[Light Blue]	[Light Blue]

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

3DUW * 6DODU\ 2XWOD\ IRU 1RQ LQVWUXFWLRQDO 6WDII
6DODU\ 2XWOD\

IRU)XOO WLPH 1RQ PHGLFDO 6FKRRO 1RQ LQVWUXFWLRQDO 6WDII

\$QQXDO 6DODU\ 2XWOD\

2FFXSDWLRQDO FDWHJRU\

1XPEHU RI 7RWDO DQQXDO
IXOO WLPH VWDII
FDUULHG IRUZDUG IURP
SUHYLRXV VFUHHQV

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

3DUW ' 3DUW WLPH 6WDII E\ 2FFXSDWLRQDO &DWHJRU\
1XPEHU RI 3DUW WLPH 6WDII E\ 2FFXSDWLRQDO &DWHJRU\
\$V RI 1RYHPEHU

5HSRUW +LVSDQLF /DWLQR LQGLYLGXDOV RI DQ\ UDFH DV +LVSDQLF /DWLQR
5HSRUW UDFH IRU QRQ +LVSDQLF /DWLQR LQGLYLGXDOV RQO\
,QFOXGH ERWK PHGLFDO VFKRRO DQG QRQ PHGLFDO VFKRRO VWDII


0HQ

5DFH HWKQLFLW\ ,QVWUXFWLRQDO HDVW BKI V3XELF 6HUYLEFH VWDII
1RQUHVLGHQW DOLHQ
+LVSDQLF /DWLQR
\$PHULFDQ ,QGLDQ RU \$ODVND 1DWLYH
\$VLDQ
%ODFN RU \$IULFDQ \$PHULFDQ
1DWLYH +DZDLLDQ RU 2WKHU 3DFLILF ,VODQGHU
:KLWH
7ZR RU PRUH UDFHV
5DFH DQG HWKQLFLW\ XQNQRZQ
7RWDO PHQ

:RPHQ

5DFH HWKQLFLW\ ,QVWUXFWLRQDO HDVW BKI V3XELF 6HUYLEFH VWDII
1RQUHVLGHQW DOLHQ
+LVSDQLF /DWLQR
\$PHULFDQ ,QGLDQ RU \$ODVND 1DWLYH
\$VLDQ
%ODFN RU \$IULFDQ \$PHULFDQ
1DWLYH +DZDLLDQ RU 2WKHU 3DFLILF ,VODQGHU
:KLWH
7ZR RU PRUH UDFHV
5DFH DQG HWKQLFLW\ XQNQRZQ
7RWDO ZRPHQ

7RWDO PHQ ZRPHQ
7RWDO IURP SULRU \HDU

7RWDO ZRPHQ					
7RWDO PHQ ZRPHQ					
7RWDO IURP SULRU \HDU					

\$UFKLYLVWV &XUDWRUV DQG 0XVHXP
7HFKQLFLDQV

/LEUDULDQV

/LEUDU\ 7HFKQLFLDQV

6WXGHQW DQG \$FDGHPLF \$IIDLUV DQG 2WKHU
(GXFDWLRQ 6HUFLFHV 2FFXSDWLRQV

0DQDJHPHQW 2FFXSDWLRQV

%XVLQHVV DQG)LQDQFLDO 2SHUDWLRQV
2FFXSDWLRQV

&RPSXWHU (QJLQHULQJ DQG 6FLHQFH
2FFXSDWLRQV

&RPPXQLW\ 6RFLDO 6HUFLFH /HJDO \$UWV
'HVLJQ (QWHUWDLQPHQW 6SRUWV DQG 0HGLD
2FFXSDWLRQV

+HDOWKFDUH 3UDFWLWLRQHUV DQG 7HFKQLFDO
2FFXSDWLRQV

7RWDO



7RWDO IURP SULRU \HDU

&RPSXWHU (QJLQHHULQJ DQG 6FLHQFH
2FFXSDWLRQV

&RPPXQLW\ 6RFLDO 6HUULFH /HJDO \$UWV
'HVLJQ (QWHUWDLQPHQW 6SRUWV DQG
OHGLD 2FFXSDWLRQV

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

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

5DFH DQG					
HWKQLFLW\					
XQNQRZQ					
7RWDO ZRPHQ					
7RWDO					
PHQ ZRPHQ					

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

+XPDQ 5HVRXUFHV 6XUYH\ (YDOXDWLRQ
:HUH DQ\ VWDII PHPEHUV GLIILFXOW WR FDWHJRUL]H" ,I VR SOHDVH H[SODLQ LQ WKH

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 0DBQHU\PSXV
6XPPDU\

+XPDQ 5HVRXUFHV &RPSRQHQQW 6XPPDU\

,3('6 FROOHFWV LPSRUWDQW LQIRUPDWLRQ UHJDUGLQJ \RXU LQVWLWXWLRQ S
VXUYH\ FRPSRQHQQWV 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\ 'DWD)HHGEDFN 5HRSRUW ')5 7KH SXUSRVH RI WKLV VXPPDU
RSSRUWXQLW\ WR YLHZ VRPH RI WKH GDWD WKDW ZKHQ DFFHSWHG WKURXJK
SURFHVV ZLOO DSSHU RQ WKH &ROOHJH 1DYLJDWRU ZHEVLWH DQG RU \RXU
XSGDWHG DSSUR[LPDWHO\ WKUHH PRQWKV DIWHU WKH GDWD FROOHFWLRQ SH
5HRSRUWV 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 LSHGKOS#UWL RUJ



1XPEHU RI VWDII E\ HPSOR\PHQW VWDWXV DQG RFFXS DWLRQDO FDWHJRU\)DOO

3URGXFWLRQ	7UDQVSRUWDWLRQ	DQG 0DWH	ULDO 0RYLQJ	2FFXSDWLRQV
62&				

127()XOO WLPH HTXLYDOHQW)7(VWDII LV FDOFXODWHG E\ VXPPLQJ WKH WRWDO QXPEHU RI IXOO WLPH WKLUK RI WKH WRWDO QXPEHU RI SDUW WLPH VWDII *UDGXDWK DVVLVWDQWV DUH QRW LQFOXGHG LQ)7(ILJXUHV PD\ EH LQFOXGHG LQ WKH ')5

6DODULHV RI IXOO WLPH LQVWUXFWLRQDO VWDII E\ FRQWUDFW OHQJWK DQG \$FDGHPLF \HDU

\$FDGHP	0RQWKV & RYHUHG E\ \$QQXDO	6DODU\	7R WDO	6DODU\	6DODU\	6DODU\	:HLJKWHG
UDQN	PRQWK VPRQWK VPRQWK V	PRQWK	VRU 6DODU\ XPEHU	UHSRUW	LRQJORQWKV	2XWODIV	\$YHUDJH
\$OO 5DQNV							0RQWK\
3URIHVVRU							6DODULHV
\$VVRFLDWH							
SURIHVVRU							1 575.4 09I 3551765 rgT699.72 rg 355.015.4 0.5 6

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