)LQDQFH

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

2YHUYLHZ)LQDQFH 2YHUYLHZ 3XUSRVH

7KH SXUSRVH RI WKH ,3('6)LQDQFH FRPSRQHQW 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 FRPSRQHQW 6XUYH\ 0DWHULDOV
7R DFFHVV \RXU SULRU \HDU GDWD VXEPLVVLRQ IRU WKLV FRPSRQHQW 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 DOLJQHG 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 \HDU <HDU

00<<<<

$QG HQGLQJ PRQWK \HDU <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 RQO\ LQ FRPELQDWLRQ ZLWK DQRWKHU HQWLW\ DQVZHU WKLV TXHVWLRQ EDVHG RQ WKH DXGLW RI WKDW HQWLW\

		8QTXDOLILHG	4XDOLILHG ([SODLQ LQ ER[EHORZ	'RQ W NQRZ ([SODLQ LQ ER[EHORZ

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

)LVFDO <HDU -XO\ -XQH

/LQH 1R	'HVFULSWLRQ	(QGLQJ EDODQFH	3ULRU \HDU (QGLQJ EDODQFH

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

3DUW % 5HYHQXHV DQG 2WKHU $GGLWLRQV

			)LVFDO <HDU -XO\ -XQH	
/LQH 1R	6RXUFH RI)XQGV		&XUUHQW \HDU DPRXQW	3ULRU \HDU DPRXQW
	2SHUDWLQJ 5HYHQXHV			
	7XLWLRQ DQG IHHV DIWHU GHGXFWLQJ GLVFRXQWV DOORZDQFHV			
	*UDQWV DQG FRQWUDFWV RSHUDWLQJ			
	)HGHUDO 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 VHUYLFHV RI DX[LOLDU\ HQWHUSULVHV DIWHU GHGXFWLQJ GLVFRXQWV DQG DOORZDQFHV			
	6DOHV DQG VHUYLFHV RI KRVSLWDOV DIWHU GHGXFWLQJ SDWLHQW FRQWUDFWXDO DOORZDQFHV			
	6DOHV DQG VHUYLFHV RI HGXFDWLRQDO DFWLYLWLHV			
	,QGHSHQGHQW RSHUDWLRQV			
	2WKHU VRXUFHV RSHUDWLQJ &9 >% % % @			
	7RWDO RSHUDWLQJ UHYHQXHV			

3DUW % 5HYHQXHV DQG 2WKHU $GGLWLRQV

WHUVEXUJ

RU \HDU DPRXQW

RUD UDOO

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

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

		)LVFDO <HDU -XO\ -XQH	
/LQH 1R	'HVFULSWLRQ	&XUUHQW \HDU DPRXQW	3ULRU \HDU 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		
	$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

/LQH 1R	9DOXH RI (QGRZPHQW $VVHWV	0DUNHW 9DOXH RU $PRXQWV
	,QFOXGH QRW RQO\ HQGRZPHQW DVVHWV KHOG E\ WKH LQVWLWXWLRQ EXW DQ\ DVVHWV KHOG E\ 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 UHSRUWHG DERYH

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

6RXUFH DO	)LVFDO <HDU -XO\ -XQH $PRXQW				
	7RWDO IRU DOO IXQGV DQG $FFRXQW DQG $GMXVWPHQW LQFOXGHV HQGRZPHQW IXQGV EXW H[FOXGHV XQLWV	(QGRZPHQW DQG RWKHU LQGHSHQGHQW RSHUDWLRQV	$GMXVWPHQWV	5HYHQXH EDVHV	$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([SHQGLWXUHV DQG 1HW([SHQGLWXUHV RSHUDWLQJ H[SHQVHV 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 <HDU -XO\ -XQH	
$VVHWV	
&DWHJRU\	$PRXQW
7RWDO FDVK DQG VHFXULW\ DVVHWV KHOG DW HQG RI ILVFDO \HDU LQ VLQNLQJ RU GHEW VHUYLFH IXQGV	
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 IXQGV	

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

,QVWLWXWLRQ 8QLYHUVLW\ RI 6RXWK)ORULGD 6W83HWH,UV3EXUJ
6XPPDU\

)LQDQFH 6XUYH\ 6XPPDU\

,3('6 FROOHFWV LPSRUWDQW LQIRUPDWLRQ UHJDUGLQJ \RXU LQVWLWXWLRQ $OO GDWD UHSRUWHG LQ ,3('6 VXUYH\ FRPSRQHQWV EHFRPH DYDLODEOH LQ WKH ,3('6 'DWD &HQWHU DQG DSSHDU DV DJJUHJDWHG GDWD LQ YDULRXV 'HSDUWPHQW RI (GXFDWLRQ UHSRUWV $GGLWLRQDOO\ VRPH RI WKH UHSRUWHG GDWD DSSHDUV 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 DSSHDU 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 LSHGVKHOS#UWL RUJ

&RUH 5HYHQXHV

5HYHQXH 6RXUFH	5HSRUWHG YDOXHV	3HUFHQW RI WRWDO &RUH UHYHQXHV SHU)7(UHYHQXHV	&RUH UHYHQXHV SHU)7(HQUROOPHQW
7XLWLRQ DQG IHHV			

&RUH ([SHQVHV			
6WXGHQW VHUYLFHV			
2WKHU FRUH H[SHQVHV			
7RWDO FRUH H[SHQVHV			

(GLW 5HSRUW

)LQDQFH

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

6RXUFH	'HVFULSWLRQ	6HYHULW\	5HVROYHG	2SWLRQV
6FUHHQ ([SHQVHV				
6FUHHQ (QWUE	7KH DPRXQW UHSRUWHG LV RXWVLGH WKH HLSQ (SODQDWLRQ FWHGHV GHVDQJH RI EHWZHHQ DQG ZKHQ FRPSDUHG ZLWK WKH SULRU \HDU YDOXH 3OHDVH FRUUHFW \RXU GDWD RU H[SODLQ (UURU			
5HDVRQ	6WXGHQW 6HUYLFHV LQFUHDVHG EHFDXVH RI QHZ GLQLQJ VHUYLFHV DQG DGGLWLRQDO KRXVLQJ XQLWV			
6FUHHQ (QWUE	7KH DPRXQW UHSRUWHG LV RXWVLGH WKH HLSQ (SODQDWLRQ FWHGHV GHVDQJH RI EHWZHHQ DQG ZKHQ FRPSDUHG ZLWK WKH SULRU \HDU YDOXH 3OHDVH FRUUHFW \RXU GDWD RU H[SODLQ (UURU			
5HDVRQ	,QVWLWXWLRQDO 6XSSRUW GHFUHDVHG EHFDXVH RI UHFODVVLILFDWLRQ RI VRPH H[SHQVHV WR ,QVWUXFWLRQ			