

)RU ILOLQJV ZLWK WKH)&\$ LQFOX
)RU ILOLQJV ZLWK LVVXHU H[FOXG

75 127,) ,&\$7,21 2) 0\$-25 ,17(5(67 1 6+\$5(6

,GHQWLW\ RI WKH LVVXHU RU RI H[LVWLQJ VKDUHV WR ZKLFK DWWDFKHG	WKH XQGHUO\LQJ LVVXHU YRWLQJ ULJKWV LDKHJ 7HFQR
5HDVRQ IRU WKH QQWLVHFWWENQWKH DSSURSULDWH ER[RU	
\$Q DFTXLVLWLRQ RU GLVSRVDO RI YRWLQJ ULJKWV	<HV
\$Q DFTXLVLWLRQ RU GLVSRVDO RI ZKDOKIPDQJUIHLVXQDWLDO W K DFTXLVLWLRQ RI VKHGHWRDZKLFK GYRLVWQW DFLKHQ V DJH	
\$Q DFTXLVLWLRQ RU GLVSRVDO RI LQMWUHWVHWQV V ZLWLK\ VQB L ILQDQFLDO LQVWUXPHQWV	
2WKHU SOHDVH VSHFLI\	
)XOO QDPH RI SHUVRQ V QRWLILFDWLRQ REOLJDWLRQ	VXEMHFW WR WKH .HVWUHO 3DUWQ
)XOO QDPH RI VKDUHKROG LI GLIIHUHQW IURP	.HVWUHO 2SSRUWXQLWLHV D FHOO RI * GWWKXJK %1< 0HOORQ 1RPLQHHV /LPLV FOLHQWV RI .HVWUHO 3DUWQHUV //3 W DQG %DQN RI 1HZ <RUN 1RPLQHHV /LPLV
'DWH RI WKH WUDQVDFWLRQ DQG GDWH RQ ZKLFK WKH WKUHVKROG LV FURVVHG RU UHDFKHG	
	-DQXDU\

&KDLQ RI FRQWUROOHG XQGHUWDLNLQJWKWKDQ&JKUZWKFK W ILQDQFLDO LQVWUXPHQWV DUH HIIHFWLYHO\ KHOG LI DSSOL
,QGLUHFW ± %1< 0HOORQ 1RPLQHVV /LPLVRIYRWLQJ ULJKWV ,QGLUHFW ± %DQNRRLQHVV<RLLPLWHG ± RI YRWLQJ ULJKWV ,QGLUHFW ± -,0 1RPLQHVV /LQJULJKWV

3UR[\ 9RWLQJ	
1DPH RI WKH SUR[\ KROGHU	
1XPEHU RI YRWLQJ ULJKWV SUR[\ WR KROG	KROGHU ZLOO FHDVH
'DWH RQ ZKLFK SUR[\ YRWLQJ ULJKWV	ZLOO FHDVH WR KROG

\$GGLWLRQDO LQIRUPDWLRQ	'LVFORVXUH EDVHG RQ 7RWDO Y RQ 7KH LQGLUHFW YRWLQJ ULJKWV VKDUHV KHOG LQ FOLHQW SRUW .HVWUHO 3DUWQHUV //3 XQGHU LQYHVWPHQW PDQDJHPHQW DJU
&RQWDFW QDPH	,DQ)RUUH
&RQWDFW WHOHVKRQH QXPEHU	