

)ULW])LVFKHU
8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR
&ROOHJH RI +XPDQLWLHV DQG 6RFLDO 6FLHQFHV

(PDL)@LW])LVFKHU#XQFR HGX

(GXFDWLRQ

3K' 1RUWKZHVWHUQ 8QLYHUVLW\
\$UHD RI 6WXG\ WK &HQWXU\ 8 6 'LSORPDWLF &XOWXUDO

0\$ 6WDQIRUG 8QLYHUVLW\
\$UHD RI 6WXG\ WK &HQWXU\ 8QLWHG 6WDWHV

0\$ 6WDQIRUG 8QLYHUVLW\
\$UHD RI 6WXG\ 8 6 ORGHUQ (XURSH

3URIHVVLRQDO \$FDGHPLF ([SHULHQFH

3URIHVVUR 8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR 3UHVHQW

\$VVRFLDWH 3URIHVVUR 8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR

\$VVLVWDQW 3URIHVVUR 8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR

6HPLQDU ORGHUWRU \$VSHQ ,QVWLWXWH IRU +XPDQLVWLF 6WXGL

/HFWXUHU 1RUWKZHVWHUQ 8QLYHUVLW\
7HDFKLQJ \$VVLVWDQW 1RUWKZHVWHUQ 8QLYHUVLW\
7HDFKHU , +DYH \$ 'UHDP)RXQGDLRQ
7HDFKHU RI +LVWRU\ &U\WDO 6SULQJV 8SODQGV 6FKRRO
7HDFKLQJ \$VVLVWDQW 0HQOR \$WKHUWRQ +LJK 6FKRRO

5(6(\$5&+ 6&+2/\$56+,3 \$1' &5(\$7,9(:25.6

3XEOLFDWLRQV

-XULHG

%RRN &KDSWHU

)LVFKHU) 37HDFKLQJ 5HYROXWLRQ 5HIRUP DQG 5HEH
SUHYHQW LW ' ,Q *RUGRQ \$QGUHZKHDO+RRD\$JBQJGIDQ(6
0HPRU\ LQ +LVWRULFD0H20M\WOMDQSLQJ\QH &DPEULGJH 6
3UHV

.OHLQ 3)LVFKHU) 7KH LPSOLFDWLRQV RI QHZ UHVH
DQG JHRJUDSK\ IRU XQGHUJUDGDWH DQG WHDFKHU HGXF
6 %HGQDUJRFQDO 6FLHQFH RQ WKH)URQWLHU 1HZ +RUL]R
*HRJUDSKS ± %RXOGHU &2 6RFLDO 6FLHQFH (GXFDL

1RQ MXULHG

-RXUQDO \$UWLFOH

)LVFKHU) 6WXGHQW 3URWHVW +LVWRULFDO 7KLQNLQ
FRQWH[W RQ WKH -HIIFR \$BB@+(GXFDWLRQ

)LVFKHU) 1&+(& DQG WKH ,PSRUWD+LVWRU+LVWRU\
ODWWHUV

)LVFKHU) +LVWRU\ (GXFDWLRQK B @ Q @ F D W / L F D Q @ R H I
1HZ <RUN 5HYLHZ ;/9,,

)LVFKHU) 7KH +LVWRULDQ DV 7UDQVODWRU +LVWRUL
+LVWRU\ (G-XLFDWLRULQF DOO\ 6SHDNLQJ

)LVFKHU) 7KH 7H[DV +LVWRU\ 6WDQGDUGV 7KH &DVH
DQG (IIHFWLYH +LVWRU\ 7HDFKLUHUV

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+HOS 7KHLU 6WXGHQWV %HFRPH %HWWHU 67KH
+LVWRU\ 7HDFKHU

)LVFKHU) 3UHSDUDWLRQ RI)XWXUH +LVWRU\ 7HDFKHU
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)LVFKHU) 7KH 3URIHVVRLVWRUWKHDLWMLOH &KDLU

)LVFKHU) \$UWV DQG 6FLHQFHV)BXQW\ (GXFDWLRQKHU

)LVFKHU) 'RZQH\ 0 +LVWRU\ 7HDFKZ@H B Q GWRKH :LQ
7HDFKHU

%RRN

)LVFKHU) 7KH 0HPRU\ +ROH 7KH 8 6 +LVWRU\ &XUULFXOXP
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%RRN &KDSWHU

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\$QWRQLR &DQWXR\ (GXFDWLRQ WKH 3DVW 3UHVHQW
3UHSDUDWLRQ

%RRN 5HYLHZ

)LVFKHU) ,QRFHQWV \$EURDG \$PHULFDQ 7HDFKHUV LQ WKH
-RXUQDO RI \$PHULFDQ +LVWRU\
)LVFKHU) 3RS 'UHDPV 5HG 5LYHO 9DO+LVWRULFDO -RXUQDO

)LVFKHU) *XDUGLDQV RI QBSHGH YRO SS 3DFLILF
5HYLHZ

)LVFKHU) 1XFOHDU 3UROLIHUWLRQ DIWHU WKH &UDWFOHDU

)LVFKHU) &KDLU \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ \$
+LVWRU\ (GXFDWLRQ 5HFRJQLJLQJ ,QWHUGHSHQGHHQH DQ
\$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ 'HQYHU -DQXDU\
)LVFKHU) \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ \$+\$ \$QQX
:KDW LV LWV UROH LQ +LVWRU\ (GXFDWLRQ" ' \$PHULFDQ +
-DQXDU\
)LVFKHU) 3DQHOLVW \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ
+LVWRU\ RI WKH & DQG 7XQLQJ 3URMHFWV' \$PHULFDQ +L
-DQXDU\
)LVFKHU) &KDLU 2UJDQLJDWLRQ RI \$PHULFDQ +LVWRULDQ
7ZHQRW\ <HDU 3HUVSHFWLYH RQ WKH μ+LVWRU\ :DU↑ RI WKH
\$PHULFDQ +LVWRULDQV 3URYLGHHQH 5, \$SULO

)LVFKHU) 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWLRQ 1D
&RPPRQ &RUH DQG +LVWRU\ &RQWHQW .DQVDV &LW\ 0LVV

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7KH 0HPRU\ +ROH *HRUJH 2UZHOO DQG WKH 7H[DV 6WDQGD
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+LVWRULFDO 7KLQNLQJ DQG WKH 3URIHVVLRLQ RI +LVWRU\

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&DOLIRUQLD 0DUFK

)LVFKHU) 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWLRQ 1D
/LQFROQ +HDGV RU 7DLOV /RXLVYLOOH .HQWFXN\ \$SUL

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)LVFKHU) *LOGHU /HKUPDQ 86 3UHVHUYH \$PHULFD 1DWLRQ
&RQIHUHQFH ,VVXH LQ +LVWRU\ (GXFDWLRQ 1HZ <R

)LVFKHU) 2UJDQLJDWLRQ RI \$PHULFDQ +LVWRULDQV 2\$+ 1
WKH)XWXUH *HQHUDWLRQ RI +LVWRU\ 7HDFKHUV 0LQQHDS

)LVFKHU) \$+\$ 1DWLRQDO &RQIHUHQFH 7UDLQLQJ WKH 1H[
7HDFKHUV \$WODQWD *HRUJLD -DQXDU\

)LVFKHU) 7\$+ 3URMHFW 'LUHFWRUV 5HJLRQDO 0HHWLQJ \$
3\$67 \$FDGHP\ IRU (OPHQWDU\ 6FKRRO 7HDFKHUV \$OEXTX
6HSWHPEHU

)LVFKHU) 8QLYHUVLW\ RI 9LUJLQLD &DUQHJLH &RUSRUDWL
+LVWRU\ 'HSDUWPHQW LQ WKH 3UHSUDWLRQ RI)XWXUH +L
9LUJLQLD -XQH

)LVFKHU) \$+\$ 2\$+ ,QQRYDWLRQV LQ &ROODERUDWLRQ 1DWL
3UHSDUDWLRQ RI +LVWRU\ 7HDFKHUV WKURXJK &XUULFXOD
9LUJLQLD -XQH

)LVFKHU) \$VVRFLDWLRQ RI 7HDFKHU (GXFDWRUV \$7(1DWL
LQ 7HDFKHU 7UDLQLQJ 'HQYHU &RORUDGR)HEUXDU\

)LVFKHU) \$VVRFLDWLRQ RI 7HDFKHU (GXFDWRUV 1DWLRQD
'LVWLQJXLVKHG 3URJUDP LQ 7HDFKHU (GXFDWRU 'HQYHU

6HSWHPEHU

)LVFKHU) 6+)\$5 1DWLRQDO &RQYHQWLRQ .HQQHG\¶V 3HDF
0\WKV DQG 5HDOLWLHV RI ,QWHUQDWLRQDO 'HYHORSPHQW
-XQH

)LVFKHU) 2UJDQL]DWLRQ RI \$PHULFDQ +LVWRULDQV &RQYH
)DFXOW\ \$ 3HUVSHFWLYH IURP %RWK 6LGHV &KLFDJR ,OO

)LVFKHU) \$PHULFDQ \$VVRFLDWLRQ RI +LJKHU (GXFDWLRQ 1
3URJUDP 1RUWKZHVWHUQ DQG WKH 1DWLRQ :DVKLQJWRQ

)LVFKHU) ,QGLDQD \$VVRFLDWLRQ RI +LVWRULDQV \$QQXDO
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,QGLDQD)HEUXDU\

*5\$176

)XQGHG

)LVFKHU) \$FDGHPLF GLUHFWRU 7HDFKLQJ \$PHULFDQ +LVWRU
E\ 86 'HSDUWPHQW RI (GXFDWLRQ)HGHUDO 3QD \$VV[RVV[

7(\$&+,1*

7HDFKLQJ ([SHULHQFH

8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR

&RXUVHV 7DXJKW

(')(6XSHUYLVHG 6WXGHQW 7HDFKLQJ FRXUVHV FUHGLW
+,67 6XUYH\ RI \$PHULFDQ +LVWRU\ IURP WR WKH 3UHVHQ
+,67 7KH 8QLWHG 6WDWHV DQG WKH :RUOG FRXUVHV
+,67 \$GYDQFHG 2YHUYLHZ RI \$PHULFDQ +LVWRU\ FRXUVHV
+,67 7KH 8QLWHG 6WDWHV DQG :RUOG :DU ,, FRXUVHV
+,67 7KH 8QLWHG 6WDWHV DQG WKH 9LHWQDP :DUV FRXUVHV
+,67 7RSLFV LQ +LVWRU\ FRXUVH FUHGLW KRUV
+,67 7HDFKLQJ +LVWRU\ LQ WKH 6HFRQGDU\ &XULFXOXP
+,67 'LUHFWHG 6WXG\ FRXUVH FUHGLW KRUV
+,67 7RSLFV LQ \$PHULFDQ +LVWRU\ FRXUVH FUHGLW KRUV
+,67 6HPLQDU LQ +LVWRU\ FRXUVHV FUHGLW KRUV
+,67 ,QWHUQVKLS FRXUVHV FUHGLW KRUV
+,67 3URIHVVLQRQDO 5HQHZDO FRXUVHV FUHGLW KRUV
+,67 7RSLFV LQ \$PHULFDQ +LVWRU\ FRXUVHV FUHGLW KRUV
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67(3 2EVHUYDWLRQ DQG \$QDO\VLV RI 6HFRQGDU\ 7HDFKLQJ
67(3 2EVHUYDWLRQ DQG \$QDO\VLV RI 6HFRQGDU\ 7HDFKLQJ
67(3 &OLQLFDO ([SHULHQFH 6HFRQGDU\ FRXUVH FUHGLW
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1RQ &UHGLW ,QVWUXFWLRQ

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3URYRVW¶V 7DVN)RUFH RQ 8QLYHUVLW\ \$GYLVLQJ
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&KDLU 3URIHVVLQRQDO (GXFDWLRQ &RXQFLO
9LFH &KDLU 3URIHVVLQRQDO (GXFDWLRQ &RXQFLO
6HFRQGDU\ 37(3 &KDUWHU DQG \$OWHUQDWLYH 6FKRRO &RPPLWWH
3URYRVW¶V 7DVN)RUFH WR FUHDWH QHZ (O (G 0XOWLGLVFLSOLQD
3UHVLGHQW¶V 7HDFKHU (GXFDWLRQ 9LVLRQ 7DVN)RUFH
6HFRQGDU\ 37(3 3URJUDP 5HYLHZ &RPPLWWHH
81& *UHHOH\ 6FKRRO 'LVWULFW 'LYHUVLW\ LQ (GXFDWLRQ 7DVN)R
2XVVDQGLQJ 6WXGHQW 7HDFKHU \$ZDUG &RPPLWWHH
3)) 3URJUDP &RRUGLQDWRU 1RUWKZHVWHUQ 8QLYHUVLW\ *UDGXD
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&ROOHJH 6HUFLFH

+66 'HDQ 6HDUFK &RPPLWWHH
,/\$ 0DMRU \$GYLVRU\ %RDUG
&RPPLWWHH &KDLU \$ 6 /LFHQVXUH 7HVWLQJ &RPPLWWHH
&RRUGLQDWRU \$ 6 6HFRQGDU\ 37(3
,QVWLWXWH IRU +LVWRU\ DQG 6RFLDO 6FLHQFH (GXFDWLRQ \$GYLV
6RFLDO 6FLHQFH 0DMRU \$GYLVRU\ %RDUG
6RFLDO 6WXGLHV 1&\$7(\$FFUHGLWDWLRQ 9LVLW &RPPLWWHH
81& &OXVWHU 3URJUDP
\$UWV DQG 6FLHQFHV &XUULFXOXP &RPPLWWHH
*HRJUDSK\ (GXFDWLRQ 6HDUFK &RPPLWWHH
6WHHULQJ &RPPLWWHH 3'RLQJ +LVWRU\ ' *UDQW 3URSRVDO

'HSDUWPHQW 6HUFLFH

&KDLUSHUVRQ 'HSDUWPHQW RI +LVWRU\ -XQH 3UHVHQW
+DJHO -RKQVRQ \$ZDUG &RPPLWWHH 3UHVHQW

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&KDLU (DUO\ ORGHUQ (XURSH 6HDUFK &RPPLWWHH
&RPPLWWHH 0HPEHU \$VLDQ +LVWRU\ 6HDUFK &RPPLWWHH
&KDLU WK &HQWXU\ 86 3ROLWLFDO +LVWRU\ 6HDUFK &RPPLWWHH
8QGHUJUDGXDWH &RPPLWWHH
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WK &HQWXU\ 86 +LVWRU\ 6HDUFK &RPPLWWHH

3URIHVVLQRQDO 6HUYLEFH

:RUNVKRS 3UHVHQWHU 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWLRQ
3UHVHQW
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3UHVHQW
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3UHVHQW
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&RPPLWWHH 0HPEHU 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWLRQ
3UHVHQW
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3UHVHQW
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(GXFDWLRQ 6HSWHPEHU

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&RPPLWWHH 0HPEHU \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ &RPP

&R &KDLU &RORUDGR)DFXOW\)DFXOW\ &RQIHUHQFH LQ +LVWRU\

&RPPLWWHH 0HPEHU 3UHSDULQJ)XWXUH)DFXOW\ *UDQW 6WHHUL

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3\$PHULFDQ)RUHLJQ 3ROLF\ LQ WKH V 7KH *XQILJKWHU ' 1LZRW
%DFFDODXUHDWH 3URJUDP

-XGJH 3:H WKH 3HRSOH' 5HJLRQDO)LQDOV *UHHOH\ &RORUDGR

-XGJH 3:H WKH 3HRSOH' 5HJLRQDO)LQDOV *UHHOH\ &RORUDGR

-XGJH 3:H WKH 3HRSOH' 6WDWH)LQDOV &LYLF (GXFDWLRQ SURJU
'HQYHU &RORUDGR

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81& +66 (PHULWXV)RUXP 2FWREHU

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\$VVRFLDWLRQ

-XGJH 3:H WKH 3HRSOH' 5HJLRQDO)LQDOV *UHHOH\ &RORUDGR

3&RORUDGR &RQWHQW 6WDQGDUGV ' 81& 67(3 6SHFLDOW\ 6HPLQDU

3UHVLGHQWLDO *UHDWQHVV +HDGV RU 7DLOV" 3RXGUH 6FKRRO
1RYHPEHU

3UHVLGHQWLDO *UHDWQHVV +HDGV RU 7DLOV" 3RXGUH 6FKRRO
1RYHPEHU

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+LVWRU\ ' 81& :ULWHU¶V &RQIHUHQFH)HEUXDU\

%DVNHWEDOO FRDFK 1LZRW <RXWK 6SRUWV

3+LVWRU\ 0HPRU\ DQG WKH 3UXWK' 7LP 2¶%ULHQ DV D +LVWRULF
\$SULO

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3+RQRUV 6\PSRVLXP 3HDFH &RUSV 9ROXQWHHUV ' 81& +RQRUV 6H

37HDFKLQJ DV D QDP 6WDU :DV 6HPLQDU gD-W *UHHOQWV

³+RQRUV 6\PSRVLXP 3HDFH &RUSV 9ROXQWHHUV ´ 81& +RQRUV 6H

³7KH 8QLWHG 1DWLRQV WR ´ 81& 0RGHO 81 0DUFK

2XWVWDQGLQJ 7HDFKHU \$ZDUG 7KH &ROOHJH RI \$UWV DQG 6FLHQ

-R\FH)RXQGDWLRQ 7XWRULDO ,QVWUXFWRU 1RUWKZHVWHUQ 8QLY

2XWVWDQGLQJ 7HDFKHU \$ZDUG 7KH &ROOHJH RI \$UWV DQG 6FLHQ

1RPLQDWHG IRU 2XWVWDQGLQJ 7HDFKLQJ \$VVLVWDQW \$ZDUG 1RU
'HSDUWPHQW

'HSDUWPHQWDO +RQRUV DQG 8QLYHUVLW\ 'LVWLQFWLRQ 3KL %HW

7HDFKLQJ

(XJHQH \$VKHU 'LVWLQJXLVKHG 7HDFKHU \$ZDUG \$PHULFDQ +LVWRU

6HDUV +HOJRWK 'LVWLQJXLVKHG 7HDFKLQJ \$ZDUG 8QLYHUVLW\ RI