

6(&7,21 , (03/2<(5

(LWKHU WKH HPSOR\HH RU WKH HPSOR\HU PD\ FRPSOHWH 6HFWLRQ , :KLOH XVH RI W
LQIRUPDWLRQ QHFHVVDU\ IRU D FRPSOHWH DQG VXIILFLHQW PHGLFDOR KHRUWLQFWD WLV
HPSOR\HH WR SURYLGH PRUH LQIRUPDWLRQ WKDQ DOORZHG XQGHU WSHGOLMLRQD
QRUHTXHVW D FHUWLILFDWLRQ IRU)0/\$ OHDYH WR ERQG ZLWK D KHDOWK\ QHZERUQ FK
(PSOR\HUV PXVW JHQHUDOO\ PDLQWDLQ UHFRUGV DQG GRFXPHQWV UHODWLQJ WR PH
KLVWRULHV RI HPSOR\HHV FUHDWHG IRU)0/\$ SXUSRVHV DV FRQILGHQWLDO PHGLFDO
LQ DFFRUGDQFH ZLWK &)5 † F LI WKH \$PHULFDQV ZLWK 'LVDELOLWLHV \$
*HQHWLF ,QIRUPDWLRQ 1RQGLVFULPLQDWLRQ \$FW DSSOLHV

OXVW DOORZ DW OHDVW ~~UFDXHQDGD GDQOHWRRWKM QBWHHDVLEOH GHVSLWH WKH~~

(PSOR\HH V MRE WLWOH ~~UFDXHQDGD GDQOHWRRWKM QBWHHDVLEOH GHVSLWH WKH~~ -RE GHVFDULSWLRQQRDWWDFK

(PSOR\HH†V UHJXODU ZRUN VFKHGXOH

6WDWHPIHQW

W LQIRUPDWLRQ FRPSOHWH DOO UHOHYDQW SDUWV RI WKLV 6HFWLRQ DQG VLJQ WKH IR
HPSOR\HU WR UHTXLUH WKDW WKH HPSOR\HH VXEPLW D WLPHO\ FRPSOHWH DQG VXIILFL
H WR WKH VHULRXV KHDOWK FRQGLWLRQ RI WKH HPSOR\HH)RU)0/\$ SXUSRVHV D ³VHUI
) FRQGLWLRQSDWKHWRFRQGHM VQJ ELDHWDQW FDUH SURYLGHU)RU
(GHILQLWLRQV RI D VHULRXV KHDOWK FRQGLWLRQ XQGHU WKH)0/\$ VHH WKH FKDUW RQ S
LGH RWKHU DSSURSULDWH PHGLFDO IDFWV LQFOXGLQJ V\PSWRPV GLDJQRVLV RU DQ\ UI
RI VSHFLDOLJHG HTXLSPHQW 3OHDVH QRWH WKDW VRPH VWDWH RU ORFDO ODZV PD\ Q
HQW†V VHULRXV KHDOWK FRQGLWLRQ VXFK DV SURYLGLQJ WKH GLDJQRVLV DQG RU FRXU

(PSOR\HH 1DPH

3\$57& (VVHQWLDO -RE)XQFWLRQV

.I SURYLGHG WKH LQIRUPDWLRQ LQ 6HFWLRQ , TXHVWLRQ PD\ EH XVHG WR DQVZH
HPSOR\HH\TV HVVHQWLDO IXQFWLRQV RU D MRE GHVFULSWLRQ DQVZHU WKHVH TXHVW
IXQFWLRQV \$Q HPSOR\HH ZKR PXVW EH DEVHQW IURP ZRUN WR UHFHLYH PHGLFDO WL
FRQGLWLRQ LV FRQGLWLRQV RUPHWKH HVVHQWLDO MRE IXQFWLRQV RI WKH SRVLWLR

'XH WR WKH FRQGLWLRQV ZKWK RUPHWKH HVVHQWLDO LV QR EH DEVHQW IURP ZRUN RUPHWKH
HVVHQWLDO MRE IXQFWLRQV`PI PI, DfÄDRIHÖRI MRE I1yj • QWJ•F FV FV FVPO Vfp WLRQ WKH H

3DJHRI