

6(; 2))(1'(5

7KH -DFNVRQ 3XEOLF 6FKRRO 'LVWUWFWHIGV W%RR DSWC YRIG Z QX VDV WIDV  
HGXFDFWLRQDO HQYHLWRRQ FWHQWKERQQ GDXFGYODHUGJ GLLQJHFVK WKH VX  
GHYHORS JXLGHOLQHV DQG RU DGERQUGWUSSWIRYHDSUWFKHGXBRFS  
6HFWLRQ DV VKRZQ EHZ

6(; 2))(1'(56 352+,% ,7(' )520 6&+22/ %8 ,/ ,1\*6 \$1' 3523(57<

8QOHVV H[HPSWHG XQG WULVXEVOIRZIXRQTRUUDHSHWR UHJLVWHU  
XQGHU 6HFWLRQ

D 7R EH SUHVHQW LQQDQRQFKRROJHEXDOSSORSHUWFKRRO RU  
FRQYH\DQFH RZQHG OHDVHG RU WRQWXJGHFQMGWRDRVFIKRR  
RU D VFKRRO UHOSHWLVRQFVXIQGLHVVWFKRROJHJDRJHHSUJHVHQW  
EXLOGLQJ RQ WKH JURXQGV RU LQ WKH FRQYH\DQFH RU

E 7R ORLWHU ZLWKLQ ILYH KXQGUHG UHDOISHUVRSHUDVVFIKRR  
VFKRRO ZKLOH SHUVRQV XQGHU WKHQDWHKRIEMLQKWHGHRU  
JURXQGV

D \$ SHUVRQ UHTXLUHG WR UHJLVWHUWDXDDUGHP@IRHOGVHWXZKH  
WKH VFKRRO DQG ZKR FRPSOLHV ZLWVWFKRROV\$SURRSHUW  
SDUHQW RU JXDUGLDQ LV

L \$WWHQGLQJ D FRQIHUHQFH DW WKLV VFKRROVKHZLSWRJUFH  
WKH VH[ RIIHQGHUFDXQDQRJDFRFGDOO\

LL3DUWFLSDWLQJ LQ FKLOG UHYLHQZGFSODHFHPEHWWGLQF  
PD\ EH PDGH FRQFHUQLQJ WKH VHD@IHQGGEBWLVREKVLQCY

LL\$WWHQGLQJ FRQIHUHQFHV WR GLVFXWKHRWHKHRJIVQ&G  
FKLOG VXFK DV UHWHQWLRQ DQG SURPRWLRQ

LY7UDQVSRUWLQJ WKH VH[ RIIHQGHU V FKLOG WR DQG I  
Y 3UHVHQW DW WKH VFKRRO EHFDXK@VWEKHH@SUHVHFXHFWWR

WKH SULQFLSDO IRU DQ\ RWKHUKHFKLQGGUHODWLQJ W  
E 6XEVHFWLRQ RI WKLV VHFWRQVZKBOLOV@RHWDOSSOHQWR  
SDUWLFXODU VFKRROJRJQLD\$@K@R@V@S@Q@R@S@U@H@G@H@G@R@  
SDUWLFXODU VFKRRO ZKHQ WKH R@ RIIHQGHU LV SUHVHQ

D 7R H[HUFLVH WKHVX@H@P@S@W@L@R@Q@X@Q@G@H@L@S@D@Q@Z@K@R@L@W@R@J@K@L@M@N@O@P@Q@R@S@T@U@V@W@X@Y@Z@  
D VH[ RIIHQGHU PXVW QRWLI\ WKH[RULHQFGSDO@RSUWKHQVFFK@

XQOHVV WKH RIIHQGHU L KDV S@X@S@P@L@L@Q@L@R@Q@Q@R@C@E@H@S@U@H@W@K@H@  
RU LL WKH SULQFLSDO KDV JUDQWHGLR@Q@J@R@L@Q@J@S@R@X@W@P@L@Q@V@L@R@D@

E ,I SHUPLVVLRQ LV JUDQWHG E\ WKH@G@X@S@K@H@Q@W@S@H@Q@G@H@Q@W@H@G@H@  
ERDUG SUHVLGHQW PXVW LQIRUPKMKVH\$URI@Q@F@S@B@O@Z@L@O@K@B@H@E@

QRWLILFDWLRQ L@F@O@X@G@H@V@H@V@R@H@I@Q@W@K@W@R@X@L@W@L@Z@K@E@Q@ WKH VH[  
EH SUHVHQW LQ WKH VFKRRO DRG@R@K@M@L@V@H@I@Q@R@I@W@H@G@S@U@L@Q@F@L@S@D@

DUULYDO DQG XSRQ GHSDUWXUHW,IL@W@K@K@M@H@Y@L@R@L@G@I@Q@G@H@B@I@L@F@K@W@  
RIHQGHU PXVW UHPDLQ XQGHU WKH GLUIHEFLDO@X@S@H@

)RU WKLV VHFWRQV@R@W@K@M@K@I@R@O@O@R@Z@M@G@H@M@E@H@G@P@X@O@O@H@Q@V@W@H@ FRQWH  
RWKHU@Z@L@V@H

