

6PDOOHU DXWKRULW (* % 2851 (3 \$ 5 , 6 + & 281 & , /

127 , & (2) 38 % / , & 5 , * + 76 \$ 1 ' 38 % / , & \$ 7 , 2 1

2) \$ 118 \$ / * 29 (51 \$ 1 & (\$ & & 2817 \$ % , / , 7 <

5 (7851 (; (037 \$ 87 + 25 , 7 <

\$ & & 28176) 25 7 + (((\$ 5 (1 ' (' 0 \$ 5 & +

/RFDO \$XGLW DQG \$FFRXQWDELOLW\ \$FW 6HFWLRQV
7KH \$FFRXQWV DQG \$XGLW 5HJXODWLRQV 6 ,

127 , 8	127 (6
<p>'DWH RI DQQRXQFHPHQW vW0D\)DLGD\ (DFK \HDU WKH VPDOOHU DXWKRULW\ SUHSDUHV \$FFRXQWDELOLW\ 5HWXUQ \$*\$5 7KH \$*\$5 KDV EHHQ SXEOLVKHG ZLWK WKH ,W ZLOO QRW EH UHYLHZHG E\ WKH DSSRLQWHG DXGLWRU VLQFH WKH VPDO FHUWLILHG LWVHOI DV H\HPSW IURP WKH DSSRLQWHG DXGLWRU UHYLHZ \$Q\ SHUVRQ LQWHUHVWHG KDV WKH ULJKW WR LQVSHFW DQG PDNH FRSLHV WKH DFFRXQWLQJ UHFUGV IRU WKH ILQDQFLDO \HDU WR ZKLFK LW UHODW GHHGV FRQWUDFWV ELOOV YRXFKHUV UHFHLSWV DQG RWKHU GRFXPHQ WKRVLV UHFUGV PXVW EH PDGH DYDLODEOH IRU LQVSHFWLRQ E\ DQ\ SHUVR)RU WKH \HDU HQQHG ODUFK WKHVLV GRFXPHQWV ZLOO EH DYDLO UHDVRQDEOH QRWLFH E\ DSSOLFDFWLRQ WR</p> <p>E 0UV 1DGLQH 0XVW 5HVSQRVLEOH)LQDQFH 8WWHUE\ /RXWKRULW</p> <p>FRPPHQFLQJ RQQGD\BB-XQHBBBBBBBBBBBBBBBBBBBBBBBB</p> <p>DQG HQGLQJ)RQG\ BBXOB BBBBBBBBBBBBBBBBBBBBBBBBBB</p> <p>/RFDO JRYHUQPHQW HOHFWRUV DQG WKHLU UHS 7KH RSSRUWXQLW\ WR TXHVWLRQ WKH DSSR UHFRUGV DQG</p> <p>7KH ULJKW WR PDNH DQ REMHFWLRQ ZKLFK WKH DSSRLQWHG DXGLWRU FRXOG HLWKHU WKH FRXUV IRU D GHFODUDWLRQ WKDW DQ RI DQ REMHFWLRQ PXVW ILUVW EH JLYHQ VPDOOHU DXWKRULW\</p> <p>7KH DSSRLQWHG DXGLWRU FDQ EH FRQWDFWHG WKLV SXUSRVLV EHWZHHQ WKH DERYH GDWHV</p> <p>7KH VPDOOHU DXWKRULW\ LV \$*\$5 LV RQO\ DXGLWRU LI TXHVWLRQV RU REMHFWLRQV \$FFRXQWDELOLW\ \$FW OHDG WR WKH DXGLWRU LV</p> <p>3.) /LWWOHMRKQ //3 5HI 6%\$ 7HDP :HVIHUU\ &LUFXY &DQDU\ :KDUI /RQGRQ ('+' VED#SNI O FRP</p> <p>7KLV DQQRXQFHPHQW LV PDGH E\ H 0UV 1DGLQH 2IILFHU</p>	<p>D ,QVHUW GDWH RI SODFL ZKLFK PXVW EH QRW OHVV W WKH GDWH E\ EHRZU DQG \$QXDO ERHJRUQD \$FFRXQWDELOLW\ 5HWXUQ \$*\$5 WKH \$*\$5 KDV EHHQ SXEOLVKHG ZLWK WKH VPDOOHU DXWKRULW\ SUHSDUHV ,W ZLOO QRW EH UHYLHZHG E\ WKH DSSRLQWHG DXGLWRU VLQFH WKH VPDOOHU DXWKRULW\ FHUWLILHG LWVHOI DV H\HPSW IURP WKH DSSRLQWHG DXGLWRU UHYLHZ \$Q\ SHUVRQ LQWHUHVWHG KDV WKH ULJKW WR LQVSHFW DQG PDNH FRSLHV WKH DFFRXQWLQJ UHFUGV IRU WKH ILQDQFLDO \HDU WR ZKLFK LW UHODW GHHGV FRQWUDFWV ELOOV YRXFKHUV UHFHLSWV DQG RWKHU GRFXPHQW WKRVLV UHFUGV PXVW EH PDGH DYDLODEOH IRU LQVSHFWLRQ E\ DQ\ SHUVR)RU WKH \HDU HQQHG ODUFK WKHVLV GRFXPHQWV ZLOO EH DYDLO UHDVRQDEOH QRWLFH E\ DSSOLFDFWLRQ WR</p> <p>E 0UV 1DGLQH 0XVW 5HVSQRVLEOH)LQDQFH 8WWHUE\ /RXWKRULW</p> <p>FRPPHQFLQJ RQQGD\BB-XQHBBBBBBBBBBBBBBBBBBBBBBBB</p> <p>DQG HQGLQJ)RQG\ BBXOB BBBBBBBBBBBBBBBBBBBBBBBBBB</p> <p>/RFDO JRYHUQPHQW HOHFWRUV DQG WKHLU UHS 7KH RSSRUWXQLW\ WR TXHVWLRQ WKH DSSR UHFRUGV DQG</p> <p>7KH ULJKW WR PDNH DQ REMHFWLRQ ZKLFK WKH DSSRLQWHG DXGLWRU FRXOG HLWKHU WKH FRXUV IRU D GHFODUDWLRQ WKDW DQ RI DQ REMHFWLRQ PXVW ILUVW EH JLYHQ VPDOOHU DXWKRULW\</p> <p>7KH DSSRLQWHG DXGLWRU FDQ EH FRQWDFWHG WKLV SXUSRVLV EHWZHHQ WKH DERYH GDWHV</p> <p>7KH VPDOOHU DXWKRULW\ LV \$*\$5 LV RQO\ DXGLWRU LI TXHVWLRQV RU REMHFWLRQV \$FFRXQWDELOLW\ \$FW OHDG WR WKH DXGLWRU LV</p> <p>3.) /LWWOHMRKQ //3 5HI 6%\$ 7HDP :HVIHUU\ &LUFXY &DQDU\ :KDUI /RQGRQ ('+' VED#SNI O FRP</p> <p>7KLV DQQRXQFHPHQW LV PDGH E\ H 0UV 1DGLQH 2IILFHU</p>

/2&\$/ \$87+25,7< \$&&28176 \$ 6800\$5< 2) <285 5,*+76

3OHDVH QRWH WKDW WKLW VXPPDU\ DSSOLHV WR DOO UHOHYDQW
FRXQFLOV LQWHUQDO GUDLQDJH ERDUGV DQG µRWKHU¶ VPDOOHU DX

7KH EDVLF SRVLWLRQ

7KH ORFDO \$XGLW DQG \$FFRXQWV \$EOLWRS \$FW QV WKH ZRUN RI DXGLWRU
DXWKRULWLHV 7KLV VXPPDU\ H[SODLQV WKH SURYLVRQV FRQWDLQ
DQG \$FFRXQWV DQG \$XGLW DOVR FRYHUQ WKH GXWLHV UHVSQVLELOL
DXWKRULWLHV RWKHU RUJDQLVDWLRQV DQG WKH SXEOLF FRQFHUQL

\$V D ORFDO HOHFWRU RU DQ LQWHUHVWHG SHUVRQ \RX KDYH FHU
UHFRUGV RI VPDOOHU DXWKRULWLHV \$V DQ LQWHUHVWHG SHUVRQ
GRFXPHQWV ,I \RX DUH D ORFDO JRYHUQPHQW HOHFWRU IRU WKH DU
DVN TXHVWLRQV DERXW WKH DFFRXQWV DQG REMHFW WR WKHP <RX
\RXU ULJKWV +RZHYHU DQ\ UHVXOWLQJ FRVWV LQFXUUHG E\ WKH VP
7KHUHIRUH LQGLUHFWO\ ORFDO UHVLGHQWV SD\ IRU WKH FRVW RI
WD[

7KH ULJKW WR LQVSHFW WKH DFFRXQWLQJ UHFRUGV

\$Q\ LQWHUHVWHG SHUVRQ FDQ LQVSHFW WKH DFFRXQWLQJ UHFRUGV
HOHFWRUV <RX FDQ LQVSHFW WKH DFFRXQWLQJ UHFRUGV IRU WKH I
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FDQ FRS\ DOO RU SDUW RI WKHVH UHFRUGV RU GRFXPHQWV <RXU
UHODWH WR DQ LWHP LQ WKH DFFRXQWV <RX FDQQRW IRU H[DPSOH
DFFRXQWV RU WKDW LQFOXGH SHUVRQDO LQIRUPDWLRQ 6HFWLRQ
E\ SHUVRQDO LQIRUPDWLRQ <RX FDQQRW LQVSHFW LQIRUPDWLR
FRQILGHQWLDOLW\ 7KLV LV LQIRUPDWLRQ ZKLFK ZRXOG SUHMXGLFH
WKH SXEOLF DQG WKHUH LV QRW VHW DJDLQVW WKLW D YHU\ VWU
QHYHUWKHOHVV EH GLVFORVHG

:KHQ VPDOOHU DXWKRULWLHV KDYH ILQLVKHG SUHSDULQJ DFFRXQWV
WKH\ PXVW SXEOLVK WKHP LQFOXGLQJ RQ D ZHEVLWH 7KHUH PXVW
µSHULRG IRU WKH H[HUFLVH RI SXEOLF ULJKWV¶ GXULQJ ZKLFK \RX
WKH DFFRXQWLQJ UHFRUGV 6PDOOHU DXWKRULWLHV PXVW WHOO V
ZHEVLWH WKDW WKH DFFRXQWLQJ UHFRUGV DQG UHODWHG GRFXPHQ
\RX ZLOO WKHQ KDYH ZRUNLQJ GD\ WR LQVSHFW DQG PDNH FRS
KDYH WR SD\ D FRS\LQJ FKDUJH 7KH ZRUNLQJ GD\ SHULRG PXVW L
GXULQJ ZKLFK DOO VPDOOHU DXWKRULWLHV¶ DFFRXQWLQJ UHFRUGV
IRU DFFRXQWV 7KH DGYHUWLVHPHQW PXVW VHW RXW WKH
SXEOLF ULJKWV KRZ \RX FDQ FRPPXQLFDWH WR WKH VPDOOHU DXWK
UHFRUGV DQG UHODWHG GRFXPHQWV WKH QDPH DQG DGGUHV RI W
JRYHUQV WKH LQVSHFWLRQ RI DFFRXQWV DQG REMHFWLRQV

7KH ULJKW WR DVN WKH DXGLWRU TXHVWLRQV DERXW WKH DFFRXQW

<RX VKRXOG ILUVV DVN \RXU ~~VPDOOHU DFFRXQWLQJ~~ UHFRUGV VLQ
GHWDLOV ,I \RX DUH D ORFDO HOHFWRU \RXU ULJKW WR DVN TXHVW
+RZHYHU ZKLOH WKH DXGLWRU ZLOO DQVZHU \RXU TXHVWLRQV ZKHU
GR VR)RU H[DPSOH WKH TXHVWLRQ PLJKW EH EHWWHU DQVZHU
LQYHVWLJDWLRQ EH\RQG WKH DXGLWRU¶V UHPLW RU LQYROYH GLV
WD[SD\HU *LYH \RXU VPDOOHU DXWKRULW\ WKH RSSRUWXQLW\ ILUVV
WKDW \RX DUH XQVXUH DERXW ,I \RX DUH QRW VDWLVILHG ZLWK WK
DXGLWRU DERXW WKH DFFRXQWLQJ UHFRUGV

7KH ODZ OLPLWV WKH WLPH DYDLODEOH IRU \RX IRUPDOO\ WR DVN T
WKH H[HUFLVH RI SXEOLF ULJKWV VR OHW WKH H[HUQDO DXGLWRU

DGYHUWLVHPPHQW RU QRWLFH WKDW WHOOV \RX WKH DFFRXQWLQJ UH
SHULRG IRU WKH H[HUFLVH RI SXEOLF ULJKWV GXULQJ ZKLFK \RX P
PHDQV IRUPDOO\ DVNLQJ TXHVWLRQV XQGHU WKH \$FW <RX FDQ DVN
WKH H[WHUQDO DXGLWURU TXHVWLRQV

%HIRUH \RX DVN WKH H[WHUQDO DXGLWURU DQ\ TXHVWLRQV LQVSHFV
ZKDW WKH\ FRQWDLQ 3OHDVH UHPHPEHU WKDW \RX FDQQRW IRUPDO
HQQ RI WKH SHULRG IRU WKH H[HUFLVH RI SXEOLF ULJKWV <RX PD\
DERXW WKHLU DFFRXQWV IRU DQ\ \HDU DW DQ\ WLPH %XW WKHVH D

<RX FDQ DVN WKH H[WHUQDO DXGLWURU TXHVWLRQV DERXW DQ LWHP
\HDU EHLQJ DXGLWHG +RZHYHU \RXU ULJKW WR DVN WKH H[WHUQDO
DXGLWURU FDQ RQO\ DQVZHU µZKDW¶ TXHVWLRQV QRW µZK¶ TXHVW
TXHVWLRQV DERXW SROLFLHV ILQDQFHV SURFHGXUHV RU DQ\WKLQJ
LQ WKH DFFRXQWLQJ UHFRUGV 5HPHPEHU WKDW \RXU TXHVWLRQV P
DYRLG PLVXQGHUVWDQGLQJ ZH UHFRPPHQG WKDW \RX DOZD\ SXW \

7KH ULJKW WR PDNH REMHFWLRQV DW DXGLW

<RX KDYH LQVSHFWHG WKH DFFRXQWLQJ UHFRUGV DQG DVNHG \RXU T
PD\ ZLVK WR REMHFW WR WKH DFFRXQWV RQ WKH EDVLV WKDW DQ L
DUH PDWWHU RI ZLGHU FRQFHUQ DULVLQJ IURP WKH VPDOOHU DXW
FDQ DVN WKH H[WHUQDO DXGLWURU WR DSSO\ WR WKH +LJK &RXUW
XQODZIXO RU WR LVVXH D UHSRUW RQ PDWWHUW ZKLFK DUH LQ WK
DXGLWURU ZKLFK VSHFLILF LWHP LQ WKH DFFRXQWV \RX REMHFW WR D
\RX WKLQN WKDW D SXEOLF LQWHUHVU UHSRUW VKRXOG EH PDGH DI
ZLWK WKH HYLGHQFH \RX KDYH WR VXSSRUW \RXU REMHFWLRQ 'LVD
PDNH LW XQODZIXO 7R REMHFW WR WKH DFFRXQWV \RX PXVW ZULW
PDNH DQ REMHFWLRQ LQFOXGLQJ WKH LQIRUPDWLRQ DQG HYLGHQFH
VPDOOHU DXWKRULW\ 7KH QRWLFH PXVW LQFOXGH

FRQILUPDWLRQ WKDW \RX DUH DQ HOHFWRU LQ WKH VPDOOHU D
ZK\ \RX DUH REMHFWLRQJ WR WKH DFFRXQWV DQG WKH IDFWV RQ
GHWDLOV RI DQ\ LWHP LQ WKH DFFRXQWV WKDW \RX WKLQN LV
GHWDLOV RI DQ\ PDWWHU DERXW ZKLFK \RX WKLQN WKH H[WHUQ
UHSRUW

2WKHU WKDQ LW PXVW EH LQ ZULWLQJ WKHUH LV QR VHW IRUPDW IRU
WR DFW ZLWKLQ WKH SRZHU [IRUPDYLDEOH DQ & \\$FW](#) [DELOLW\ \\$FW](#)
\$ ILQDO ZRUG

<RX PD\ QRW XVH WKLW µULJKW WR REMHFW¶ WR PDNH D SHUVRQD
DXWKRULW\ <RX VKRXOG WDNH VXFK FRPSODLQWV WR \RXU ORFDO
WR \RXU VROLFLWURU 6PDOOHU DXWKRULWLHV DQG VR ORFDO WD[S
DQG REMHFWLRQV ,Q GHFLGLQJ ZKHWKHU WR WDNH \RXU REMHFWLR
PXVW WDNH LQWR DFFRXQW LV WKH FRVW WKDW ZLOO EH LQYROYHG
LQ WKH SXEOLF LQWHUHVU WR GR VR 7KH\ PD\ DOVR GHFLGH QRW V
IULYRORXV RU YH[DWLRXV RU LI LW UHSHDWV DQ REMHFWLRQ DOUHD
DQ DXGLWURU¶V GHFLVLRQ QRW WR DSSO\ WR WKH FRXUWV IRU D GHF
ZLOO KDYH WR SD\ IRU WKH DFWLRQ \RXUVHOI

<p>)RU PRUH GHWDLOHG JXLGDO WKH VSHFLDO SRZHU RI DXGLWURU SXEOLF BWLRODXWKRULW\ DFFRXQWV \RXU UDUH DYDLODEOH IURP</p>	<p>I \RX ZLVK WR FROWDEW \RXU DXWKR FH[W]HQDORFGLWV SOHDVH ZULWH V SDUDJUDSK Notice of Public Rights and Publication of Unaudited Annual Governance & Accountability Return</p>	<p>U DXWKR ZULWH V</p>
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