

/LFHQVLQJ 6HFWLRQ 7RZQ +DOO &UDZOH\ :HVW 6XVVH[ 5-

ORFDO DXWKRULW\ H[HUFLVLQJ HQYLURQPHQWDO KHDOWK IX  
7KH OLFHQVLQJ DXWKRULW\ ZLOO JLYH WR \RX ZULWWHQ DF  
, WKH SURSRVHG SUHPDWHULFXWFKGKHUVHFRWJLLRQ RI WKH  
SURSRVDO WR FDUU\ RQ D WHPSRUDU\ DFWLYLW\ DW WKH S

7KH SHUVRQDO GHWDLOV RI SUHPDWHULFXWFKGKHUVHFRWJLLRQ X	
<RXU QDPH	
7LWOH 6XUQDPH )RUHQDPHV	OU [ ] OU [ ] OL [ ] O [ ] 2WKHU SOHDVH VW 'DUN OLFK
3UHYLRXV QDPHV 3OHDVH HQWHU GHWDLOV RI DQ\ 3OHDVH FRWLQXH RQ D VHSRUDWH VKHHW LI QHFHVV	
7LWOH 6XUQDPH )RUHQDPHV	OU [ ] OU [ ] OL [ ] O [ ] 2WKHU SOHDVH VW

<RXU GDWH RI ELUWK

)D[ QXPEHU RSWLRQDO	
(ODLO DGGUHV LI DYDLODEOH	
\$OWHUQDWLYH DGGUHV IRU FRUUHVSROGHQFH ,I \ WR FRUUHVSROG ZLWK \RX	
3RVW <del>WR</del> DZOH\	3RVW <del>WR</del> % \$
\$OWHUQDWLYH FRQWDFW GHWDLOV LI DSSOLFDEOH	
7HOHSKRQH QXPEHUV 'D\WLPH	
(YHQLQJ RSWLRQDO	
ORELOH RSWLRQDO	
)D[ QXPEHU RSWLRQDO	
(ODLO DGGUHV LI DYDLODEOH	

7KH SUHPLVHV	
3OHDVH JLYH WKH DGGUHV RI WKH SUHPLVHV ZKHUH KDV QR DGGUHV JLYH D GHWDLOHG GHVFULSWLRQ L UHDG QRWH	
'RRUPDQV 3DDGI&RPPXQLW\ \$URVUPDQVW&HUDZOH\ 5+	
'RHV D SUHPLVHV OLFHQFH RU FOXE SUHPLVHV FHUWL SDUW RI WKH SUHPLVHV " ,I VR SOHDVH HQWHU WKH	
3UHPLVHV OLFHQFH QXPEH	
&OXE SUHPLVHV FHUWLILF	
,I \RX LQWHQG WR XVH RQO\ SDUW RI WKH SUHPLVHV WKLV QRWLFH DSSOLHV SOHDVH JLYH D GHVFULSWLR	

\$ O O G D \ V K P P I H O N L I W R P D B P W R L O O E H Q W P D D O R S X D U W R I  
Z K R Z L S O R E Y H G L Q J I R R B Q D V C H G C D Q N

7 K H O L F H Q V D E O H D F W L Y L W L H V

3 O H D V H V W D W H W K H O L F H Q V D E O H D F W L Y L W L H V W K D W  
O L F H Q V D E O H D F W L Y L W L H V \ R X L Q W H Q G W R F D U U \ R Q

7 K H V D O H E \ U H W D L O R I D O F R K R O [



& K H F N O H D W W U H D G Q R W H

K D Y H 3 O H D V H W L F N W K H D S S U R S U L D W H E R [ H V

6 H Q W D W O H D V W R Q H F R S \ R I W K L V Q R ' ;

L Q Z K L F K W K H S U H P L V H V D U H V L W X D W H I

, DFNQRZOHGJH UHFHLSW RI WKLV WHPSRUDU\ HYHQW	
6LJQD	2Q EHKDOI RI WKH OLFHQVLQJ DXWKRULW\
'DWH	
1DPH 2IILFH VLJQL	

127(6

\*HQHUDO

,Q WKHVH QRWHV D SHUVRO ZKR JLYHV D WHPSRUDU\ HYHQW  
7KH SROLFH DOG ORFDO DXWKRULW\ H[HUFLVLQJ HOYLUROPH  
DQ\ RI WKH IRXU OLFHQVLQJ REMOHWLQJ WKHSSXUEOYFLOWDUR  
SXEOLF QXLVDQFH DOG WKH SURWHFWLRO RI FKLOGUHQ IUR  
SHUPLWWHG WHPSRUDU\ DFWLYLWLHV DUH WR WDNH SODFH  
DQ HYHQW +RZHYHU WKH OLFHQVLQJ DXWKRULW\ ZLOO LO

)LUVW ZLOO LVVXH D FRXQWHU QRWLFH LI WKHUH LV DQ REM  
EHORZ

6HFROG\PDH DVQWLFH LQ UHODWLRO WR LWV GHFLVLRO W  
QRWLFH VHH QRWH EHORZ

7KLUG\ZLOO LVVXH D FRXQWHU QRWLFH LI WKH ILUVW VHF  
H[FHHG ,I DOEHRZWHUHOEPIHWFKHG RU LI D FRXQWHU QR  
DFWLYLWLHV WDNLQJ SODFH ZRXOG EH XQDXWKRULVHG DOG  
7KH OLPLWDWLROV DSSO\ WR  
WKH QXPEHU RI WLPHV D SHUVROO PDRWLLFYH D WHPSRUDU\ DUH H  
SHUVRODO OLFHQFH KROGHU DOG WLPHV SHU \HDU IRU RW

WKH QXPEHU RI WLPHV D SHUVRO PD\ JLYH D ODWH WHPSRU  
SHUVRODO OLFHQFH KROGHU DIQG RWWLPHVSHRSOH

WKH QXPEHU RI WLPHV D WHPSRUDU\ HYHQW QRWLFH PD\ EH  
WLPHV LQ D FDOHQGDU \HDU

WKH OHQJWK RI WLPH D WHPSRUDU\ HYHQW PD\ ODVW IRU V

WKH PD[LXP DJJUHJDWH GXUDWLRO RI WKH SHULRGV FRYHU  
SUHPLVHV GD\V SHU FDOHQGDU \HDU DOG

WKH VFDOH RI WKH HYHQW LQ WHUPV RI WKH PD[LXP QXPE  
PD[XP RI

)RU WKH SXUSRVHV RI GHWHUPLQLQJ WKH RYHODOO OLPLWV  
KROGHU LQ D FDOHQGDUSHWVRODDOGLRHOQFIHUKDOGRQ LQ D F  
HYHQW QRWLFHV JLRHQDESHDQROVZRRLDWHHQ EXVLOHVV ZLWK  
EXVLOHVV LOYROYHV FDUU\LOJ RO OLFHQVDEOH DFWLYLWLHV  
WHPSRUDU\ HYHQW QRWLFHV DUH LQFOXGHG XZREWHKULQIWKHPBY  
HYHQW QRWLFHV 1RWH EHORZ VHWV RXW WKH GHILQLWL

:KHQ SHUPLWWHG WHPSRUDU\ DFWLYLWLHV WDNH SODFH D  
D FRS\ RI WKH WHPSRUDU\ HYHQW QRWLFHVHW \$WRPLQHQWO

WKH WHPSRUDU\ HYHQW QRWLFH LV NHSW DW WKH SUHPLVH  
SHUVRO SUHVHQW DQG ZRUNLOJ DW WKH SUHPLVHV DQG ZKR  
:KHUH WKH WHPSRUDU\ WKH HYHQW QRWLFH LV NHSW DW WKH SUHPLVH  
DQG WKH SRVLWLRO KHOG E\ WKDW SHUVRO PXVW EH GLVSO  
:KHUH WKH WHPSRUDU\ HYHQW QRWLFH RU D QRWLFH VSHFL  
FRQVWHDU DQ DXWKRULVHG SHUVRO IRU H[DPSOH D OLFHQ  
RIILFHU PD\ UHTXLUH WKH SUHPLVHV XVHU WR SURGXFH WK  
ZKHUH WKH QRPLQDWHG SHUVRO WKLFH LV KILW HFXVWURDGA\ DYHRO  
SHUVRO PD\ UHTXLUH WKDW SHUVRO WR SURGXFH LW IRU H[  
QRWLFH ZLWKRXW UHVRQDEOH H[FXVH ZRXOG EH DQ RIHQF  
,W VKRXOG DOVR EH QRWHGKWK DWK LDKN I DQREZ LIHQJQ F B P RXQG GR  
WKH VDOH RU VXSSO\ RI DOFRKRO WR FKLOGUHQ XQGHU \\  
FRQYLFWLRO

DOORZLOJ WKH VDOH RI DOFRKRO WR FKLOGUHQ XQGHU V

NQRZLQJO\ DOORZLOJ WKH FRQVXPSWLRO RI DOFRKRO RO WK  
WR DQ XQOLPLWHG ILQH RO FRQYLFWLRO

DOORZLOJ GLVRUGHUO\ EHKDYLRXU RO WKH SUHPLVH DQDWXEM  
VFDOH RO FRQVXPSWLRO

WKH VDOH RI DOFRKRO WR D SHUVRO ZKR LV GUXQN VXI  
VWDQGDUG VFDOH FXULQH DQFRQYLFWLRO

REWDLQLQJ DOFRKRO IRU D SHUVRO ZKR HVFHGXQJ VXEY  
VWDQGDUG VFDOH FXULQH DQFRQYLFWLRO

NQRZLQJO\ DOORZLOJ D SHUVRO DJHG XQGHU WR PDNI  
RU VXSSO\ KDV EHQ VSHFLILFDOO\ DSSURYHG E\ WKH S  
ZKR KDV EHQ DXWKRULVHG IRU WKH LMSHFWS RWRIE\ ILVQH Q  
OHYHO RO WKH VWDQGDUGU M DWCH RO FRQYLFWLRO

CH=NQRZLQJOU 0DàLQJHXbC•3ĐđD D°@VY€`™€K€`bC•3 G0D°P „.H V.¼ E\U H[FBT

,I D SUHPLVHV OLFHQFH RU FOXE SUDWPLRQH WR RHW WHL I S B D W LHV K Y  
SUHPLVHV ZKLFK \RX ZDQW WR XVH WR FDUU\ RO OLFHQVDE  
DSSO\ WR WKH OLFHQFH RU FHUWLILFDWH PD\ EHFIRFOSGRWMI GR  
DUH PHW FRKHGLHW SRQV DUH WKDW WKH SROLFH RU WKH ORF  
IXQFWLRQV REMHFW WR WKH QRWLFH DQG WKH OLFHQVLOJ D  
QRW WR JLYH D FRXQWHU QRWLFH XQGHU VHFWLRO R  
WKH

'DQFØR OLFHQFH LV UHTXLUHG IRU SHUIRUPDQFHV EH  
SURYLGHG WKDW WKH DXGLHQFH GRHV QRW H[FHHG  
WR DGXOW HQWHUWDLQPHQW UHPDLQV OLFHQVDEOH

)LOQVR QEFHLV UHTXILRSHU@ILRWI µQDQW H[KLELWLRO KHO  
EHWZHHQ DQG RQ DQ\ GD\ SURYLGHG WKD  
DQG WKH RUJDQLVHU D JHWV FROVHGW WR WKH VF  
WKSU HPLVHV DQG E HQVXUHV WKDW HDFK VXFK VF  
UDWLQJV

,QGRRU VSRUWQDQ JOHFFHQWLV UHTXLUHG IRU SHUIRUP  
RQ DQ\ GD\ SURYLGHG WKDW WKH DXGLHQFH C

%R[LQJ RU :UHVWOLQJ QRWOLUWQDQ PLHQW UHTXLUHG IRU  
GLVSOD\ BRP\*DOHFRUHVWOLQJ RU IUHHVW\OH ZUHVWOL  
GD\ SURYLGHG WKDW WKH DXGLHQFHJGWHQJQRSVUHV  
GHILQHG DV D FRQWHVW H[KLELWLRO RU GLVSOD\ Z  
PRUH RQVWLDO DUWV

&URVV DFWLYLW\QR[~~DEBMO~~RLV UHTXLUHG EHWZHHO  
ZLWK QR OLPLW RQ DXGLHQFH VL]H IRU  
o DQ\ HQWHUWDLQPHQW WDNLOJ SODFH RQ WKH S  
HQWHUWDLQPHQW LV SURYLGHG E\ RU RQ EHKDO  
o DQ\ HQWHUWDLQPHQW WDNLOJ SODFH RQ WKH K  
SURYLGHU ZKHUH WKH HQWHUWDLQPHQW LV SURY  
SURYLGHU  
o DQ\ HQWHUWDLQPHQW SODFH RQ WKH SUHPLVHV RI W  
HQWHUWDLQPHQW LV SURYLGHG E\ RU RQ EHKDO  
o DQ\ HQWHUWDLQPHQW H[FOXGLQJ ILOPV DQG D  
SODFH DW D WUDYHOOLQJ LWLWV SSURDYLGHG WKH  
VWUXFWXUH WKDW DFFRPPRGDWHV WKH DXGLHQFH  
QRW EHHQ ORFDWHG RQ WKH VDPH VLWH IRU PR

,I \RX DUH XQFHUWDLQ ZKHWKHU RU QRW WKH DFWLYLWLHV  
OLFHQVLOJ DXWKRULW\ IRU IXUWKHU DGYLFH

1RWH

/DWH QRWLFHV FDO EH JLYHQ QR ODWHU WKDQ ZRWNLQJ G  
HYHQW LQ UHODWLRQ WR ZKLFK WKH QRWLFH LV JLYHQ \$  
HYHQW WR ZKLFK LW UHODWHV ZLOO EH UHWXUQHG DV YRLG

7KH QXPEHU RI ~~ODWH~~ ~~ERJLYH~~ ~~VLW~~ ~~KDQ~~ ~~FRQ~~ ~~FDOHQGDU~~ \HDU  
OLFHQFH KROGH ~~SMUD~~ ~~DOIR~~ ~~OLFHQFH~~ KROGHUV 7KHVH FRXQV  
WHPSRUDU\ HYHQW QRWLFHV L H WHPSRUDU\ ~~WHYHQW~~ QR  
WHPSRUDU\ HYHQW ~~WHYHQW~~ ~~OLFHQFH~~ ~~OLFHQFH~~ KROGHUV

,I WKHUH LV DQ REMHFWRQ IURP HLWKHU WKH SROLFH RU  
WKH HYHQW ZLOO QRW JR DKHDG DQG D FRXQWHU QRWLFH Z

1RWH

1RWH

5HOHYDQW HQWHUWDLQPHQW LV GHILQDGHQVW3UHRXRVDRQVRV  
\$FW· DV DQ\ OLYH SHUIRUPDQFH RU DQ\ OLYH GLVSODV  
ILQDQFLDO JDLO LW PXVW UHDVRODEO\ EH DVVXPHG WR EH  
VH[XDLOPXDOWLQJ DQ\ PHPEHU RI WKH DXGLHQFH ZKHWKHU  
HQWHUWDLQPHQW WKHUHIRUH LQFOXGHV EXW LV QRW OLPL  
7KH \$FW UHTXLUHV SUHPLVHV ZKLFK SURXQGHUUWCKHDWDQV

