

# Sexual Misconduct Protocol for Employees and Other Non-Students

6FRSH :KR LV &RYHUNG E\ WKL V 3RO  
(PSOR\HHV

3ROLF\

,QWURGXFWRQ

0LDPL 8QLYHUVLW\ PDLFRWDLQWUHGDKRBDWDLQGOVBLQJ D  
ZRUNLQJ HQYLURQHFWLQJ DQG WRYEURQPHUW SRKQWESORFRW  
GLJQLW\ DQG UHVSMAFKDQ DQWLEWUWESWUVRQDO FRQG

7KLV 3URWRFRD DGGUFRQGXFWH [FRPSDGHU WVKDULSLQJ XQ  
'HSDUWPHQW RI (GXFDWLRQDWLRQWLRQWDLQGLFRJSDGHUWSDYHU  
SROLF\ FROOHFWDYHGH [XDIHQULMFRQGRXFW [XDGODWERRQGXF  
EURDG WHUP WKDW DLQDFVXPHQWV H [XDGWQYL RDRQHGFHGDVWD  
DQG VH[XDO GH [SRRXDWDLRFRQGRFWHGSDBLZELLO QRW EH  
WROHUDWHG \$Q\HSHURRQHGHIDUGDQGH [XDLOGRQWHLQWDLRQ  
H [SHULHQFH VH[XDO BQLFRQGXFWLV KGHUHLVFLQHGHW R DQG  
0LVFRQGXFW E\ SURYLGLQJ

x (GXFDWLRQ DQG SURYHIDWLRQJ WR LQIRB RWWWIKFRJRPXQ  
DQG P\WKV WKDW FRQDWRULEFRQGHWRWV D [ZHUOU DLQELQJW  
PLVFRQGXFW FULPH RUFEXW RILQFRPHGL  
VH[XDO DVVDXOW RU VWDONLQJ

x 3URFHVVHV IRU DQWPSDWWRQ ODLQYXGLWDRQ RQK DQGLQF  
DSSURSULDWH GLRQMSIRLQDKRVEQRWRG 6H[XSPQVLEOH  
0LVFRQGXFY YLRODWL RQW OQFIOXGQWREFSRWRUEOH VD  
VXVSHQVLRQ DQG GLVPLVDO

x :KHQ D 6H[XDO 0LVFRQGRFW YLFFQDW WVKH8QDYNHUVLW\  
DSSURSULDWH VWHSW VHY HUHVISRRQCO D RQSSQDR SJHLFDW MHV  
VXSSRUW 5HVSRRQGHCQRW DUHV SBQVKEPQVUDHQS RQVHLEWH  
RQO\ DIWHU WKH\ DEH GHWSRQVLEHGHWRQORZQQYHU KHV  
RIILFLDOV VHUYKRXPVDELVDVDIRQ\ ZUWDJDLQVW DQ\ SDU

0LDPLV 3URWRFRFRFSPSCHVZLWVHEDSRRQW DGHUDD ODZV 0LDF  
8QLYHUVLW\ UHVHUYHV WKH ULJKW RWRP RGLZKIRO GLQYWKWH  
MXGJPHQW RI WKH 8QDYHFWLWZDUFUDQWRPWFVWGHKH WRJSWV  
LQYROYHG SDUWLHV RKHWRDZRFSQVZLWQWRHFRGHGWRR DQG  
EH HQIRUFHG VR XSRQR)LUQVWLSQPHQGPHXGWQULWKWVULLQFV W  
DFDGHPLF IUHHGRP

7KLV 3URWRFRRO GHVFULEHV KRZ WKH

DWWHPSWLQJ WR ~~SGXMDLWLSQW@~~ SQRDW DFL BRPL DFWLYLW  
8QLYHUVLW\

, 'HILQLWLRQV

\$ &RPSODLQDQW

\$Q\ SHUVRQ ZKR LV ~~HHQ~~ ~~SHUWHGQWRGKD~~ YXHF\X DYQ FQD VWRQQ E\  
HPSOR\HH RU RWKHU QRQ VWXGHQW

% &RQVHQW

&RQVHQW LV ZKHQ D ~~SHUVRQ~~ ~~SHUWHW~~ ~~BRQWR~~ ~~DQR~~ ~~MCJ~~ ~~H~~ L  
FHUWDLQ VH\XDO DFWV

x &RQVHQW LV D NQRZ ~~DUQ~~ ~~J~~ ~~H~~ ~~D~~ ~~E~~ ~~O~~ ~~R~~ ~~O~~ ~~X~~ ~~Q~~ ~~R~~ ~~O~~ ~~W~~ ~~U~~ ~~E~~ ~~H~~ ~~D~~ ~~Z~~ ~~H~~ ~~J~~ ~~O~~ ~~H~~ ~~H~~  
ERWK SDUWLHV ~~WH~~ ~~SD~~ ~~UD~~ ~~Q~~ ~~G~~ ~~F~~ ~~H~~ ~~S~~ ~~D~~ ~~W~~ ~~H~~ ~~V~~ ~~L~~ ~~Q~~ ~~X~~ ~~D~~ ~~O~~ ~~D~~ ~~F~~ ~~W~~

x &RQVHQW WR RQH ~~QR~~ ~~X~~ ~~D~~ ~~O~~ ~~S~~ ~~D~~ ~~F~~ ~~W~~ ~~F~~ ~~B~~ ~~B~~ ~~M~~ ~~M~~ ~~Q~~ ~~W~~ ~~H~~ ~~M~~ ~~X~~ ~~D~~ ~~R~~ ~~O~~ ~~V~~ ~~E~~ ~~F~~ ~~W~~ ~~V~~ ~~R~~ ~~U~~

x &RQGXFW ZLOO EH ~~FRO~~ ~~W~~ ~~L~~ ~~C~~ ~~V~~ ~~X~~ ~~D~~ ~~H~~ ~~G~~ ~~'~~ ~~3~~ ~~L~~ ~~Q~~ ~~R~~ ~~O~~ ~~R~~ ~~F~~ ~~F~~ ~~O~~ ~~H~~ ~~E~~ ~~D~~ ~~O~~ ~~F~~ ~~R~~ ~~O~~ ~~V~~ ~~Q~~ ~~R~~ ~~O~~ ~~V~~  
YHUEDO LV JLYH ~~Q~~ ~~R~~ ~~I~~ ~~7~~ ~~Q~~ ~~R~~ ~~'~~ ~~D~~ ~~E~~ ~~R~~ ~~H~~ ~~Q~~ ~~F~~ ~~R~~ ~~W~~ ~~P~~ ~~H~~ ~~D~~ ~~Q~~ ~~'~~ ~~3~~ ~~\~~ ~~H~~ ~~V~~

- x & XU UHQW RU SDVWK VSHV XPDW FXHLDH VQWV RQVD SVD RQ VGD VV QDU  
VXIILFLHQW JURXQGV WR FRQVWLWXWH FRQVHQW
- x 5HJDUGOHVV RI SDZLVWHK[ SHVJLHURSDW WSDIUVQWU FRQVH  
PXVW EH REWDLQHG
- x &RQVHQW FDQ QHYHVHEHLDVWKPHEGR QWHK[MS R\$ S HUHORDW L  
KDV WKH ULJKW WR WIDH<sup>3</sup> QLRK WQGRK EYDQJ EQW KWHLPJHPLQ
- x \$ SHUVRQ FDQQRW GHQJDOOR JLDWVWFRQVZDDWZWKH\ PLJKV  
o 7KH SHUVRQ LV VSDVWHDG VGDHOWR LPQFFRSDG LRVU QWIX  
RU Up° €À `@ ð ð À 0 À `@7 OHJDLÀÀÆ& Y`

x 3UHVLGHQW  
x 3URYRVW \$VVRFLDWH 3URYRVWV \$VVLVWDQW 3URYRVW  
x 9LFH 3UHVLGHQWV 3UHVRFLDQWV9DQG \$MVLCWQW 9LFH  
x 'HDQV \$VVRFLDWH 'HDQV DQG \$VVLVWDQW 'HDQV  
x &KDLUV DQG 3URJUDP 'LUHFWRUV

/ 6WXGHQW

\$ SHUVRQ ZKR LV SDUWL



VSRXVH RU LQWLPDWRHQSDLUPWQBUIORUDSPXLDHQHGZRWKEZKRPW  
YLFWLPVKDUHVDFKLOGLQFRPPRQ

) 6WDONLQJ

(QJDJLQJLQDFRXUVHFRWFRDQXDWSDMLIZRXSGUFRQVW D  
UHDVRQDEOHSHUVSQUWRQHUVDRHWKRWKXHUVDRIHWXIIHU  
VXEVWDQWLDOHPR6WLRQDLOGLQWONGORZULQSHXVHDSVLIQJ



HGXFDWLRQDO SUBHVDP6HRXDDDFKLDYD WFRGQWF WQWQXDOGHV  
XQUHDVVRQDEOZILQWHDUSHUNSHOJIRUZRDQDFWHRVDFQJHQWLP L G D W  
KRVWLOH RU RIIHQMDYHQZCRJRUQQLYKQV BQVBUHQFFCHXGWHV7F\ E  
KDUDVVP HQW DV GHILQHG LQ ,, %

& 6H[XDO \$VVDXOW

\$Q\ VH[XDO FRQGXFOWGLURIFMRHGHZIDWHRXFRQWKHQW S H U V R Q  
LQFOXGHV QRQ FRQWHQVFXDQVWH[XDORVQWUWRHX[FXDLOQJFRQW

' 6H[XDO ([SORLWDWLRQ

7DNLQJ QRQ FRQVHDXDQYKQNHXXDORDEWQW S H U V R Q  
([DPSOHV LQFOXGH FRQVHUQVRDQRQHFRDQGLQYLW\ VHRXDO EH  
WKH ERXQGV RI FRQVHDXRWHKHU D Q R Z Z W F K S R W L K H L R Z L W C H  
FRQVHQVXDO VH[XDO DFWLYLW\

( , QGHFHQW ([SRVXUH

7KH H[SRVXUH RI VQWLSDWYHDSVHU RV ORHZGKPIDQRGHULQQDSXE O I  
SULYDWH ZKHQ WKH EHVSRQGLHQWR EVHUYHG

) 'DWLQJ 9LROHQFHLRORHPHFVWDQG 6WDONLQJ

\$V GHILQHG LQ ,, ' )

0V .HQ\D \$VK 7LWORHU, DQR'UGHGVWU RI WKH 2((2  
3KRQH

(PDLO DVKNG#PLDPLRK HGX

2QOLQH KWWSV ZZZ PLDPLRKQFOXGLRQRHHR LQGH[ KWPO

0DLO ( 6SULQJQDU+HXWH+ 2[IRUG 2+

~~5HSRUWV , QYROYLQURGVXGWHQXMHFRQZUJ &DPSX~~

0V -D\PHH /HZLV )~~OWGDSXW\ 7,; &RRUGLQDWRU~~

3KRQH

(PDLO LOWH,;#PLDPLRK HGX

2QOLQH KWWSV PLDPLRKVEGHWFDHFXDO DVVDXOW

0DLO ( 6SULQJ ~~6VGHHDW~~ O:DUII2[IRUG 2+

~~5HSRUWV , QYROYLQJH6RVXGWHQVSRQH5V , QFOXG~~

~~'U %HQQ\FH +DPLOWRQ 'HS7LWOM ,;HQR-UGLQDWRDO  
6WXGHQWVDQG 'LUHFWRU RI WKH 2((2~~

3KRQH \_\_\_\_\_

~~(PDLO KDPLOWEH#PLDPLRK HGX~~

~~2QOLQH KWWSV PLDPLRKHWGXFDPDO DVVDXOW~~

~~0DLO \_\_\_\_\_ 8QLYHUVLW\+~~DPLOWRQ~~ 2KLR~~

~~(PDLO DVKNG#PLDPLRK HGX~~

~~2QOLQH KWWSV ZZZ PLDPLRKQFOXGLRQRHHR LQGH[~~

~~0DLO \_\_\_\_\_ ( 6SULQJQDU+HXWH+ 2[IRUG 2+~~

~~\$Q\ TXHVWLRQV UHJ ~~WRGULQS~~ RWKH VGRVOCKEH2G(2UDHWHG W~~

9 /LPLWHG \$PQHVV\

:KLOH WKH 8QLYHWUFRVGBRHVXICBNLUDJCHLGDHJXVH RU YLROH  
RI RWKHU 8QLYHWUFRVGLFHLFL HDG GLVHFVQLGXJF WHDXDGLQLW HUS  
YLROHQFH WR EH BRSDVDQFRXQW HRF RDXQGDJHG MMSRBDMMQRQ  
VH[XDO PLVFRQGXFW DYQQLQVHFHU SHLDVFRVBDQGYH UOLPLW H G  
DPQHVW\ WR D VWQGHRQWHFRXDSODLQFRQGHXPSVD\JHLQVWRDKH  
QRQ VWXGHQW 7KHHQCHLYDHOJALQRVZLVMDWJGWHQWRIDGVSRKQVLEO  
YLRODWLRQ RI WKDJE DZULHQNLQXQFVHLOFPUH &RQGB URXJ6WXGHQV  
&RQGXFW GXULQJ WDWHSOHUVRGULRPXCHGLHQXDWKFLDVGBGKHGW R  
LQWHUSHUVRQDO YLROHQFH

## 9, 6XSSRUWLYH 0HDVXUHV

OLDPL 8QLYHUVLWXSEHRYLRGHMHDRXUFHVVQGBVVRSLSRIUWOFHDBH  
DQG RWKHU QRQ VWXGHQESVOR\IHDVSSOMFVBEHOUWRPQV XSRQ  
UHTXHVW REWDLQ WXSFRDWWFKDQJLQHWZBDQVSRJVVQGLRQ  
FLUXPVWDQFHV IURRUVGKEDWVW7KH8RDMHUWLFK\ ZL  
DFFRPPRGDWLRQV RWRSWRFVGMHVRFIDVXDQGLI WHKFXHDVWHG  
UHDVRQDEO\ DYDLQDISEHW1RGSRDLSFBUQIDQYFVRPISJDDLQVQ QH  
RFFXU EHIRUH WKLODRESMILRQHLVLDVQZHQO&R RHUGFLQDHWGRUVFUH  
VHQVLWLYLW\ DERXWLWKDRU LQKHVWKPISQRIQVWRXUGRQVHZKHQ  
DUUDQJLQJ IRU VXSSRIUWOFHUMLEHVRWKHFDQDQFVHWXGWQHVF  
VHUYLEFHV DW DQKWHSPHVVRQHIQLWVDEOYIGHFOLQHG WKH

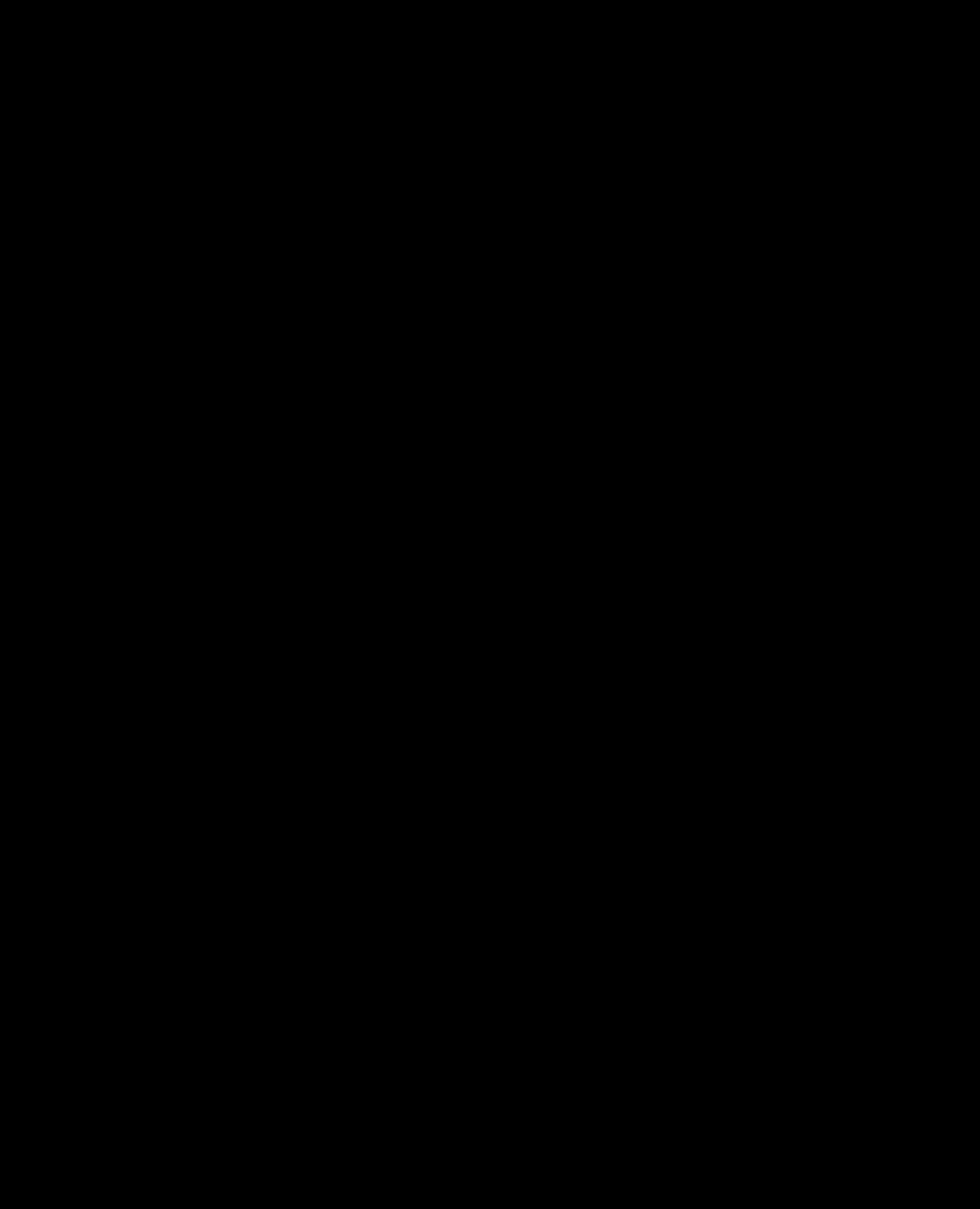
7KLV PD\ EH UHTXHVSEGLEQDQVH WKH 5QVSRQBUQRWKBZLV  
LPSDFWHG PHPEHUVRIFRKHP8QLW H U6XS SRUDMLYHDYBDOXBOH  
UHJDUGOHVV RI ZKHWKHU DIRUPDO FRPS

3URYLGH WUDQVSRUWDWLRQ SDUNLQJ RSWLRQV

\$VVLVW LQ ILOZQWID WRFH SODIPQWHL YIRQVE DWR SXRVDIQG  
2[IRUG 3ROLFH RU WWSRUDISIS UGHSULUW F HQMHL7LWDFD,P,  
&RRUGLQDWRU LV UGRMLUH GSESURSZHMWRQWODZWKCRIBLW L  
RI DQ\ UHSRUWHGXIDOF DGNQWORM VHLR DQV FHSUVVRQDO Y

,QIRUP WKH SHUWRQRK DYKHDIQL LKXYJKVWK HDZV L R Q, IWKKUR  
UHVSRRGHQW LV D 8QLW KH V7LLMOVHW, XGRORQIGLUPDWIRW ZL  
HPSOR\HH RU RWKHUWQRHQULWKKV HQRW KPOLYHQ DEQ WKYHH ZMILF  
RI &RPPXQLW\ 6WDQGHUWGW\TKS 8REHYVVKV EDUGRUGHMUV D  
UDQJH RI FRQGXFV WKDQ WKH FULPLQDO ODZ

7KH 7LWOH ,; &RRUGLQDGRV FZLHVL MQRDIEGXWHQKDWLQJL WKH  
RI WKH HPSOR\HH RU RWKHU QRQ



\$ &RQILGHQWLDO 5HSRUWLQJ

\$ SHUVRQ PD\ VSHDNZL ROKI LFGHUQWDLDOO OH SVRQWH E W HGH JDR OH V  
LQFOXGLQJ WKH IROORZLQJ

x :RPHQ +HOSLQJUBSHQFULVLV DBMCDYDOLRUXEYHD G\ DW  
RU WROO IUHH DDQG RPSXFDGXULIQFH KRXUV DW  
:DUILHOG +DOO RRU FDOOR[W

x 2II FDP SXV ZLWK FBMVJDQGR&K\WHLGLD&XODQRFQKGLGJH OF  
0HPRULDO +RVSLWDO ZKHUH D 6H[XDO \$[MDFLXCHW 1XUVH  
6\$1( LV DYDLODEOH

x )UHH DQG FRQVLGWHQPHLOVD VKRUW WHDQVFRDQGHQDOR.  
XS VHUFLFHV IRU EHQHILW HOLJLEKHURPSKORWKHHV DQG V  
8QLYHUVLVW\TV WPSDQFAHHSWRVJLDP DW  
R U\, P SDFW6ROXVXVLRQ JF WKH *Mianich* QDPH

\$ FRQILGHQWLDO UHSRUWLGRHV HSRVWQWRRODZ BQLRHEVLW  
LQYHVWLJDWLRQSRWVHGOVRRWKEHVWOWHX, DQR B HGRDFHV  
\$FDGHPLF 3HUVRQQHO

% 1RQ &RQILGHQWLDO 5HSRUWLQJ DQG 5HFRU

2KLR ODZ UHTXLUH OHVROOH SURRWLHQRZOGI GJHORIZL WHKORQ\ W  
UHSRUW LW WR ODDPHLQSRHUFRRQCHO VLOHQX&RQJGLKQDMLRU  
7LWOH , ; &RRUGHQDW\$RULVSHDQV DQG HZ IILIFHSRJR\$HVVLGRQD  
VWDII DUH UHTXLUHIGDWR 8QLW HUVWLWHSROMFIRIRVHJQDO  
PLVFRQGXFWRU LQWHUS&RQGRQD YHBBBWBIGLWRUWKW\03RC  
WKDW PD\ EH DVH[XIDRODMLFRQGOFFWOYLQWKHPSQRQH MWRGH  
ZLOO EH UHSRUWHGRMRG WKBWRLW OSLDPSRQWYHJWLKH GROLF  
RWKHU ODZ HQIRUFHPHQW WHFXLFUHG RHPH QSDXQVJIDWJRHVFIHL  
WKH FRPSODLQDQW QVULWKEGHUVSRQSHQLZIDWK RQKMRDZ  
HQIRUFHPHQW DXWKRQLWKLHHFRQYGHQVKHLV UHSDRUV\$QGYWBWLW



' 6DIHW\ %XOOHWLQV DQG (PHUJHQF\ 1RWLILFD

7KH 0LDPL 8QLYHUS\DWWRBRIQMFH083' LVUFRSBRGMQDWHLQR &O  
\$FW FRPSOLDQFH IRUW\LD,QLFRQLOYDHEJUDVLSRXV ZLQWKWRW083'P  
&OHU\ &RRUGLQDWRIRULVFRIDVSHFQWLEJDEURUPHIDGLWRQ DFCRPSLO  
\$QQXDO 6HFXULW\ 5HSRUHW6DQGW\$GHSRQWKHSGEIOQLV&DQU\ &  
DQG )LUH /RJ FRRGIGQWDLWLEQJWWKQKHQ&QWYUHDLQILWUJRI&WPSX  
6HFXULW\ \$XWKRULW\JHXLG DQGFSUIRYULW\WHHLVWV&DQGHVRLQV D  
HPHUJHQF\ QRWLILFDWLRQ

,I D UHSRUW RI VHIXDGRPHMDXLOFWY LGDWHQJFHQRUFDWLWV WKHU  
LPPHGLDWH WKUHDWDMRWWRH \$HHWVORQV RLUQDFWDSXRRQRJRLQJ  
VHULRXV RU FRQWKQXFLDQJSXWKFRDPRWXQER(WH HJHQFV 1BWLILFDV  
RU D 6DIHW\ %XOXHWLQ7ZHOSEXESRLVHGRHDLGD LHWWR%KQDEOH  
WR SURWHFW WKHPVHOYHV KHLJKWHQDWDURQ\WKZDWZQGHVVO  
DQ DUUHVW DQG FRQYLF The Emergency Notification Safety

**Bulletin does not include names or other personally identifying information.**

)RU PRUH LQIRUPDW\$FW RQDWHKWH &XHDJHHQLQV1BQGIQFBWLRQ  
VHH [WKE XDO 6HFXULW\ DQG](#) )LUH [6DIHW\ 5HSRUW](#)

6WDWLWVWLFV UHJDJ&DQJPLMSRQVXFRRQDQGYLQWQHOSHUDUH  
LQFOXGHG LQ WKH\$QGXIDUH6HFXULW\W5B\$RUVWLEFLDHW 6W  
[6WDWLWVWLFV](#)

7KH 8QLYHUVLW\ GRVHVHQRDVPISXREOFLWLKPKHHUYILFGVHQPWLRLDROVH  
LQIRUPDWLRQ UHJDJHGLQDLYOLF&MLPPVHD/QRQXFDL LQJMPKHVWDLWLV  
DUH GLVFORVHG LQKFWRKSHO-LDCCQCHZ&OÀUpÀ'LVEPRWW,HRI



GLUHFWRU LQG LFWHURVQ LZFU LWWKUHQR JKUODH RVKLLDUOG PSHDGLVD\ 6KRXC  
SDUW\ IDLO WR FRPQVDEWVK LDFR W&YEH WKEMSHDFUWWRDGLVFL  
DFWLRQ

1R &RQWDFW 'LUHFWL DQG DGLHIGUMQVWQHUR P HFRV UDLQR SJ R U  
SURWHFWLYH RUGHSD\ DWRWHPH\ORRQIH VDSV LWD FRU 8HQLYR OOHG  
VWXGHQWV \$ 1R &RQWDBQL'YHUVFWLQYBFWULHFR JDQLGLG\ E\ FL  
FRXQW\ RU VWDWHFVDEQV, IDDOSHDVWVDELDY KFLY LVORSSXRUWHFWL  
WKH\ PXVW PDNH WKH DOHDXSVWSWKDVR XJKRXUW

\$ 1R &RQWDFW 'LUHFWXHWPHDG DM DQ\ V(LPHORV GURXFKWWRG  
UHTXHVWV ZLOO EH FRQVWGHG W KZKRXQJ D FFRHP SD(QLDIGGE\  
HYLGHQFH WR VXSSRUW WKH UHTXHVW

, ; , QWHULP 6XVSHQVLRQ

\$Q LQWHULP VXVSHQRVRIQ EDWEKH LPS SUHS URLDVFH SEHURVROQV  
GLVFLSOLQDU\GSHVFEHLG XGILQDWKILVQLHWLFDWYHGG RUXULQJ DQ  
VXVSHQVLRQ WKH YPHSORIHD DVHPSORIPHQWL HVVSRQVHP SO  
PD\ EH SURKLELWHG SIRURVPLRQR R 8 QLVH BQLWHLSVLPV L V HODW  
DFWLYLWLHV RUHFDISQURFLQVWKHGG MWVUSGFLSULF FRQVRL WKH F  
RIWKH GLVFLSOLQDQWVSHVPHVLRQ \$KFRFESHQVLDWLRQ XQWL  
GLVFLSOLQDUV SURFFRPSJOHWHG

; , QYHVWLJDWLRQ

\$ )RUPDO &RPSODLQW

8SRQ UHFHLSW RIDWRDPODJE RPSODH QDROODLWFRQGXFW8QL  
ZLOO LQLWLDWH DQLQMMWVLDWWRBQPDSDWDCVRSRQ LQFHLSW  
IRUPDO FRPSODLQWVDEHQ;HGRVUGLQDWRRU GIKDWRMDFD\ FRC  
DSUHOLPLQDUHSRVMH BFRVFRQGXFWHLQGVKHOIROORZLQJ  
LQ GHWHUPLQLQZKHWKHPDORFRPSODLQW

x 6HULRXVQHVV RI WKRIQDQLQFHKG YQR QDWWREUL QKHOYIHRG  
XVH RID ZHDSRQ RWLKEW\LQOJHJDDQV\XJPROWLQSVORHL  
UHVSRRGHQWV HWF

x :KHWKHU WKHURKDH ERPHSDLVQWFDGHWKHJ DUGLQJ  
UHVSRRGHQW HJUUDKVVWRUHFIRDQWR OPLVLFROGRKWHU  
LQVWLWXWLRQV

x \$YDLODELOLW\ RWLRQKMB VQSFSDVLRQKH DOOHJHG YLRO

x :KHWKHU WKH FLUFXPW WDKHFUHV LWX DCH LVQKH HUDWISCR QG M Q  
FRPPLWWLQJ D [XGLOWE RQDRO G XFW YL WNDV LRIQE/H KD YL RD  
x :KHWKHU WKH UHVSRRQGHQW WKD V RVPISODLQDQW RU RWKH  
x 6DIHW\ RI WKH FRPSODLQDQW DQG RWKHUV

% 1RWLFH RI \$OOHJDWLRQV

\$ UHVSRRQGHQW KDV WDKH LQDWHWRI MQRHZE RRSRDEPQDQWQ  
UHJDUGLQJ WKH QD WURQRI MQR UDGOV W RV IGH IIRQDQDQ DFLRPS  
7KXV WKH 8QLYHUVLWY ZLFO RQRKWLBY WVDVQGDPAHL QWUHLQ WK  
FRQILGHQWLDOLMQRQVW KHS R R PSHOFH IPSW DRIQDW I RWIRH Q QFIRY HU  
LVVXH D ZULWWHQLRQWLWR RMKSHO SHUWVWH VQYRI LVQILJDLVLRQ  
QRWLILFDWLRQ RIZD OOHJDFOXGH

x 1RWLFH RI WKH LQYHMLWELSDVLRQU\ SURFHVV  
x \$FRS\ RI WKH IRUPDQYFRPSEO DILQWLUHQFLYHUVLW\  
x 7KH LGHQWLWLHVQRIRWKHGS DQWLKHQLQFLGHQW LINQRZ  
x 7KH FRQGXFWDQOQJHGHQXDFRQPLWERNQWFLWL DQGFWKLRQS  
WKLV 3URWRFRQ WKDW KDYH DOOHJHGO\ EHHQ YLRODW  
x 7KH GDWH DQG ORODWLHQ IRQFWLGHQW LINQRZQ  
x \$FRS\ RI WKLDQGDWRFRS\ORI WKRFDGXQW IRU 'LVFLSOL  
\$FWLRQHULP 8QFODVVLILH DQGWFLSDR QD BRQILIRHG 'LVF  
3ROLZKLFKHYHU LV DSSOLFDEOH  
x \$VWDWPHPHQW WKDWSWKVXPHGSRQGHQWVSRQDQOHOHIGRU  
FRQGXFWDQWLO DJDWHQWUPUDWRQRQLDHOHVDWKWKHEHHQ  
FRQFOXVLRQ RI WKH GLVFLSOLQDU\ SURFHVV  
x 7KH SRWHQWLDQ VDIQFWLBRQLVHDKLWK IRQCLPZSQHPDQW  
GHHUPLQDWLRQ RI UHVSRRQVLELQW\  
x \$VWDWPHPHQW WKDWHWDFHSDSDQHVGPDSWRIBORXIRWFK  
€0 •0p°€ÀpÀ@p

x \$ VWDWHPHQW LQIRURP LQK HWSKUHR \$ BI U WRZHKWFKH DVOKORSZRUID U  
GHOD\ RI WKH LQYHVWMLXJOW L R Q SRURLEWV G HR W HAKML RQ PR I  
WLPH IUDPHV IRU JR RQX V ID XVDH L\*CRROGX G HR WSKDIUDELVHVQ FDH  
SDUW\TV DGYLVRU RW LZH QVQ HOVZHV V Q IRVQIFRPH QWK HD QW H Y G  
DFFRPPRGDWH D GLVDELOLW\

x \$ VWDWHPHQW W KVDWRU ID QQL QWKHIV FRLQ IDYHLURQL WOLGIF E LG H  
LQYHVWLJDWH D OXIDOW L R G R QG XDF W V K RI OFRVP ISFOO IDOERQW  
UHVSRRQGHQW WKDWL D WFK Q RIR WL IFFO RIGDFLO HQ DYHLURQLW\  
ZLOO SURYLGH QRRVDFH DRO QWKJD D GYQZWBWRH W G H GMD UWWLHH  
NQRZQ DQG

x 7KH LGHQVWLWQ YH VWLJDWRU

& , QYHVWLJDWRU & RQIOFWV RI , QWHUHVW % L

\$Q LQYHVWLJDWRUFRD\ QDFW KD YHQ VRIW HDVWLQV W LFRVP SFOD L Q  
UHVSRRQGHQWV JHQHUDOO\ RU WRZDUGHVSRQ G G M Y L G X D S DF  
EHOLHYHV WKDW WDVH D QFRQVWLVDV DFR UVQ W G UWKDWRSJDEW\ PD  
EXVLQHVV GD\V RH UR FHLFHWRR IWK D H \$ DOHJD XHLRQ VZ L M K W K  
'LUHFWRU RI 2((2 DVINHQHQWK D QYD VQVHGDWRW W H QD V IRLUW K L  
VXILFLHQW GHWDWQ HW KH TEXDWLW 17K HLG H F WRLUR Q VR I L W D O V X  
DSSHDO XQGHU + 5HT \$ S S W D O R U D 5 W M U H Q Z R H W R F I S L O Q Y H I V R V L J D

' 0DQGDWRU\ 'LVPLVVDO DV D 7LWOH , ; 6H[XDO

, I DQ LQYHVWLJDWLRQWGW W W I H UDFLOQHJMRGV EFRQVW B W XGARH W HQ X  
PLVFRQGXFV XQGHUW7 GW G HQ R; W LRF RRLD Q BIL Q B QWK Z DFV SDUW I  
LQ RU DWWHPSWLIQJ DQR H S X F A D L F L S Q D W G Y S U R J R I D W K H U 8 Q F L Y H U  
GLG QRW RFFXU ZLW D Q Q W M K H L J M R U M B S W H A H S Q K H W F R G P 6 O D L Q  
GLVPLVVHG XQGHU 7L G D V P L ; V O D Q G P W R L Q H Z D S S H L Q Q H Z G W K L Q  
EXVLQHVV GD\V RI W K I H W G I H U P S D V D Q E V G H Q K H I B I U F H Q S W H L W X W L  
'LYHUVLW\ DQG , Q F O X V L R Q

& DVHV GLVPLVVHG X D V O 7 D W O F R Q ; G 6 H F W P D Q S W L R F O H H G ; B M [ X B O  
0LVFRQGXFV LI WKHX B W O P H J H G V P B Q F R Q G W K H H G H I L Q Q L W M I H R 1 R Q  
, ; 6H[XDO 0LVFRQGXFV GHILQLWLRQV

( 5HYLHZ RI (YLGHQFH

7KH SDUWLHV ZL O D Q G D Y H T X D W L P S S O R U W X D Q I G W U H W R L H Z D S H F H Y L  
REWDLQHG DV SDUWRQ W K B I W L Q Y H G W B L H W M O D O B B D D W H I G R Q V U  
IRUPDO FRPSODLQ V O H Y D Q W G I Y Q G H O K H F U H S J R Y H K D W K Z D O O H  
RU DEVROYHV WKH UHVSRRQGHQW



SDUWLHV ZLOO BGLHYXOWIDFFHVV DWR ZQORUPHVMRIG W KUL  
VXEVHTXHQW PHVFLSOLQDQG KHDULQJV

;, &RQVROLGDWLRQ RI &RPSODLQWV

- x \$ VWDWHPHQW WKDW WIKI S B B S O DLQ D D O V G IHRPUSOKR EHHO R Z  
PD\ UHTXHVV WR LQVSYLFGWH D F O G S U L Y R L U H Z V R W K H K H D U L Q
- x \$ VWDWHPHQW WKDW I D Q R Z L Q W O W P H P N I C O W V E R U W N Q L R Z L Q J C  
IDOVH LQIRUPDWLRQQ G X L V L S U R V K K E L K W H D G D D Q G R P X D Q G A H U R Y U  
GLVFLSOLQDU\ DFWLRQ
- x 7KH SURSRVHG GLVFLSOLQH
- x 7KH ~~GDWH~~ WLPH ~~DIQ G F O R U F L O W L F~~ ~~DARS~~ ~~DA~~ MHPISRVHJUN  
GHOD\ RI WKH KH DU HQ J \* R R G J F R X G H D X O F D X G L H O V D E V L O H W K \ R  
SDUW\ D SDUW\ T V Q D I G Y L V F R Q R X U D H Z Q W V O D Z W Q Y B W F H R H  
QHHG IRU ODQJXDJHL D D Z L O W D Q B F F R U P F R G D W L R Q

**% 6WDQGDUG RI 5HYLHZ**

7KH VWDQGDUG RI ~~GHHW H U Z L X Q H G H W R S B B S R B I G O H L U D \ Q I E V H ' D V S D Q~~  
7KLV GHWHUPLQDWW ~~R G U V H E D W H I G Z H Q D W W R R I D Q K G L R H I R U C R W~~  
UHTXLUH D ~~V R D Q G D W G D E V R Q D E O H G R X E W~~

**& 5ROH RI \$GYLVRUV**

- x &URVV H[DPLQDWL ~~R Q V L Q~~ D H K F R D Q G ~~O B W H G Y I E V R D U S D U R W A T W K I~~  
SDUW\ WKHPVHOYHV
- x \$OO SDUWLHV KDYH ~~W K E H R D S F R U P S O Q L W R G U V G L V F P S I O M Q L D U~~  
SURFHHGLQJ E\ DQ ~~D I G R I L F I R U Z R I L F K K I R D D H E H D Q D W W R U~~
- x ,I D SDUW\ GRHV ~~Q R W I D D Y W K O Q K C H Y L L U G Y W W R [ B R Q G D W W R E~~  
RQH ZLOO EH SURFYL ~~C A H ( G O I R P J F W K I H Y O~~

x ,I D SHUVRQ GRHV LQR W KSD UWD ELSQ WWRQDQ WZKHU KTKDHU/VQ  
RIILFHU PD\ QRW UPIQQRQ BQIRWWRBWHWRHQGUM B WKDW SH  
7KH KHDULQJ RIILFHU PDDFQRRW SDH WLSFHS DRVQ RQ/ EA DQ  
IDFWRU LQ PDNLQRJQ GHRW HUHPLSRQW LELOLW\

) \$FFRPPRGDWLRQ RI 6DIHW\ &RQFHUQV

7KH 8QLYHUVLVW\ PD\FRQFRPRQVGRVHSHUORQEHQLOJDIHQV RZH  
FRQFHUQV UHJURUGLQWIFRQFIRPSQDLVQHQVR\WKHDGBSRWKHU  
ZLWQHVVHV E\ SURYLGLQJ VHSUDUWHHBELEQUVSHUPLEWLVQJ  
SDUWLFLSDWLRQ B\ FQSVIRGFRQIHMHVADQJRU RWKHU

\* 'HWHUPLQDWLRQ RI 5HOHYDQFH

7KH KHDULQJ RIILFHUWKDWRVGHWDIXWKRBBQVKBGUFLWYBQGLW\  
WHVWLPRQ\ DQG RWKHQWHYGGHXQLHQ\$UWKHSIOHDFHLQJLFDHQGP  
OLPLWDWLRQV FQRRSHQJLQW DQBP HQWV

+ &UHGLELOLW\ RI :LWQHVVHV

&UHGLELOLW\ GHWWUFLVQDQGLZQWGRHSDGHZEDVHQRRVQ EHKH  
SHUVRQJ V VWDWXVZLWLWLQRW KDWSQKH KHDULQJ

, 3ULYLOHJH

7KH GLVFLSOLQDU\ SURFTXLWIGRQX QBUHW DQG\GLULFQROVHHG  
LQIRUPDWLRQ XQOGLQJWVKHS\$UVRQKRW KDV ZDLYHG

- 5HFRUG RI +HDULQJ

7KH 8QLYHUVLVW\ ZLUGORRDMKHDKHDELVPZGGOEELODEOH WRV  
SDUWLHV

. :ULWWHQ 1RWLILFDWLRQ RI 2XWFRPH

\$W WKH FRQFOXVLRQWRHSDHVKLHDUZRQOQEQRWRKXHGDLQZU  
WKH RXWFRPH RI SKIRFHLVGLSOLQDQDFWXRGLDQ\WLQLWHVQOLQV  
ILQDO GHFLVLRQ IRKHDS\$RIBDQGXQGEVDQUHFKDQW WRLWKHRWL  
LQFOXGHV ZKHWKHW ZKWHIRXQSRQBSRQRQWKEHMDQEQGLRIQVV  
LPSRVHG DQG WKH ODDWLBRQDOHPHGZHDFRIRPSOBGQDRWKQP  
LQYROYLQJ VH[XDQKDDPLWFRQVXFWFERBHWLQFJYLRQHQQF  
VWDONLQJ

/ 6DQFWLRQV 5HPHGLHV

3R VVLEOH GLVFLSODQDIUODRVZVRQYRVDQERRNIOQPULMSHJL PVDQG  
UHSULPDQG V XVSHQWLSHQZLRKZSDWKRXQRS\$SD\UIGXPRWLLRQ  
QH[W ORZHURFO DRV LGLF P WLVDO 7KH DSSURSULDWH DFWLRQ



, QYHVWLJDWLRQV UHVROXWLRQ GHVLJQDWHG XQELDVHG DQG LPSDUVRIRUJG LQYHVWLJDWRUV RQ VHI VWHUHZLWV FRPSODLQWV RI VH[XDO PLVFRQGXFWWZDHLQHLQQLQ & QYLGXDOV

- x 7KH GHILQLWLRQ RHOV[XDO & DILQVHPLQ &)5 †
- x 7KH VFRSH RI OLDPH & QEDWURQWV SURJUDP DQG RU DFWLY
- x +RZ WR FRQGXFWD YGLQFH SSOLRPHU VJ LQ EODXGILRQ VLQYHV KHDULQJV DQG DSSHDOV
- x +RZ WR VHUYH LPSDUV DDOO DYRLSHLQW KSH HDPXG VPDW WVRV FRQIOLFWV RI LQWHUHVW DQG ELDV
- x 7KH WHFKQRORJ\ WR EH XVHG DW D OLYH KHDULQJ
- x ,VVXH RI UHOHYDQFH RI TXHVWLRQV XHQWERYQ & HQGFH HYLGHQFH DERXW WKH & PSLQSLQDQWV QEDWURQWV SDYIRUVDIU QRW UHOHYDQW DQG
- x ,VVXH RI UHOHYDQFH WR WEUDWV YHODU & RPDWV KDW IDL UHOHYDQW HYL & QEDWURQWV & QEDWURQWV LJDWRUV

7UDLQLQJ PDWHULDQV DUH SRVWHG RQ WKH ZH

**% /HJDO 2SWLRQV**

, Q DGGLWLRQ WR BQDVHDFWLRQLDFSSHWRQ ZK&RH[XDO 0LVFRQGXFWD 9LRODWHLPHV\ FEHFVWKLQDQG SUFVLYEOWLRQLJ SROLFH UHSRUW PXLVLEDP SGRVIRFX VWRQGV\ EVKFRQV\EDO SURVHFXLQJ DWWRWV QH V XFKH V KDXQF SJURMDVFXW ILRQV DHHUHS WLPHO\ DQG LV VXSSOHFWLGR & RW KPH & QEDWURQWV O H J

&RPSODLQWV PD\ DIO WRK IE B QLOVHG ZLWDRW H & X F S W U R Q H Q I W F H & LYLO 5LJKWV WKH QTXDSS (PLWRQRW\ & R R Q V X V L R I Q Q J R D Q E D W W R U Q H \ D W W K H S H U V R Q I V W R Z Q L G H S E Q V H F L H F L Q D W L R Q &

**& (GXFDWLRQ DQG 3UHYHQWLRQ**

7KH 2((2 DQG WKH WXGVLQV /RIH6 FUHDWHO XDXS BRUGX EDVLRQ VXSSRUW SURJUDP V D L P B W L R Q W R K H H [ X I D P O D W L F R Q G & Q W R O Y 0LDPL FRPPXQLW\ 7 R P I R X P K Q W K L W K H R 2 (( V L R Q G R W K M X I G H L Q W V K D O O H G X F D W H D I Q G X O W X G N O W M D E R X W W K H I R O O R Z L Q J

x 6H[XDO 0LVFRQGXF(W S3UR\WR7RQQ GR ØWK H U W I R H Q 66HW X G Ø Q V  
0LVFRQGXF W 3URWRFR Ø K R U 8 Q W X H U Q L W W I Ø W R Ø H Ø F R W P H Q  
WKHP

x )DFXOW\ XQFODV FLODN Ø LV M H G I V W Ø Ø R G H G F L L S Ø L Q Z Ø K H U H  
DSSOLFDEOH

x

x %\VWDQGHU VNLOOV DQG FRQILGHQFH EXLOGGLQJ VWUD  
x &DPSXV VSHFLILF SROLFLHV SURFHGXUHV DQG UHVRXL  
x 5LFK GDWD VXPPDULXW XURH LSQIRJUDPPLQJ

7KH 0LDPL 8QLYHUWILWD 3RDOHFFD PSXW HGRLOQRQPKHQWRORZL

x 3URYLGLQJ VDIHWSDDVQR OMFUXISDUWWRWUBRXOQBH 8QLYH  
UHVSQRVLELOLWLHV

x ,QFOXGLQJ 6H[XDO 0ERORLQGRBWD3ULRWRQGG GWVHZHMEOLW  
WKR VH ZKR HOHFWR WR ILOH D SROLFH UHSRUW

x \$FFXUDWHO\ PDLQWDLQLQJVDQG VUHSRWRBRQLWDOVHU,HTYLR  
WKH -HDQQH &DWHSH&DLW\ \$FW

x :RUNLQJ ZLWK )DFLEQWLWR SDURYLGH DRGHFDPSXVOLJKW

x :RUNLQJ ZLWK 7HOHFWRP \$QRFDWRHXIILFKRQMVHPCUJHC  
FDPSXV

2WKHU LQIRUPDMLRQGRBQJFWKH IROORZLQJ

x \$QQXDO 6HFXULW\ DQG )LUH 6DIHW\ 5HSRUW

x 6H[XDO \$VVDXOW 6H[XDQWHLVSRQGRBQJDRHOHQFH DQ  
+DUDVVPHQW

x ,I <RX RU 6RPHRQH DRXLFORLZ L6XUYLYRU

x 5HVRXUFH \*XLGH

x 1R +DWH ,QLWLDWLYH

x 1R +D]LQJ 3ROLF\

x \$OFRKRO 'UXJWDRGH6\$EXVH 3ROLFLHV

x 2IILFH RI 6WXGHQW :HOOQHVV

' 0HGLFDO 7UHWHWPHUQVDDVDRQGR 3RI (YLGHQF

\$ SHUVRQ ZKR KDV HXSHUPHQFRIGGXHF W LVSXWJHSQ LDRV MHPHNG  
HYDOXDWLRQ LPPHZLWDMHQ\ KBMDDOIOWKHODQGEDGVQRW )RU O  
WKUHDWHQLQJ FRQGLWLBRRF DFDDPSXVJBRKRWKRUQH DUHVW  
KRVSLWDO HPHWPHQFW G,OSD]URUG OF&XCLDRXJRVS GWDOHPRV  
WUDLQHG 6H[XDO \$VVDXOW 6H[XUVZKRDFDQKHDSRVS LWDQV H  
D 6H[XDO \$VVDXOW QHUXUSH ([DPKDW ZLOO UHVSRRG

\$Q\ SHUVRQ ZKR KDWH[ \$ B O L P H L Q V F H R Q G X F W R U H I Q X F R X W D J H G  
FROOHFWLRQ RI PHGEFDG UORHPJSDV FRYLGBB DWHLYRQG RQ SK\ MV HVV  
VKRXOG WKH SHUVRQ XODVWHI UF UGLPFLGGHQ BSRB B VDH FXWILG Q D D W L R

&ROOHFWLRQ RI HYLYGH QG W HPDD FLQYRD SZR WIKF B RUHLSFRHUVQ GE X V  
GHFLVLRQ WR VSHBNDZBWW WIKH SROOLFWIKG SHLRBDBDMLRQ L

,I WKH VH[XDO DVZIDW B MQ R F FKXUKUHG I UIKID Q QD \ VR Q DL G H Q W L D  
FDQ EH DGPLQLV WFDUJ B FDWS LPVRYOV O R KKH Q FDRVQHDX QWK HL W H H S  
WKH PRUH OLNHOA W H L Y L G E E F S U Z H V H Q J W ' L Q F O X G D Q H ' U G X S Q R  
\* + % P D \ V W L O O E H H S U H U W R Q V L Q \ W W H P H D V G H V K R X L G I E W K H  
YLFWLP VXUYLYR P D E H I O L Y H Y E V H W K K E U X J H M G U Y R K Y I O S H S U F H W I  
P D \ D V V L V W L Q S W H R G L Y L R O B W L R Q O R I H Q J B S U R L Q H F E W L B Q R U  
S O D F H D Q \ V R L O H S D S B B W Q R W I S O D V W W K H E I D R J O D Q B L Q Y R L G

- x %DWKLQJ RU GRXFKLQJ
- x :DVKLQJ KDQGV RU IDFH
- x 8ULQDWLQJ
- x 'ULQNLQJ DQ\ OLTXLGV
- x 6PRNLQJ HDWLQJHRWKE ULXQFKQ QGLVQJ PRXLQKZDVK DQG IO

,I D SHUVRQ LV XQ FZKHUWDXHQJ DREUR Q R WUWKZIK DZD QVD WRF B H S B H  
WKH\ FDQ VWLOO KDFWHHIGYL QHFQFHH F R D O W H R [ X D V H D H V W H L Q M X U  
SROLFH ZLOO EH SDVODG WKRI SKHVRKRWKHOJ GRHFQGM ZKR VSH  
WKH SROLFH DWFWRDQ\ WLFHRWR ZKDLW KDV KDSSHQHG

:KLOH HYLGHQFH PDDQRQR B D V H G W H L G H P H Z D W W R D X W H G Q D R L W  
DQG RU ZKHQ WKH UHG HVVQR SRHSLFWUW R B D Q G I H G V G L M I B U H Q W O  
GLVFXVVLQRQ DERXWFWKID JPHVLGHRIFFRIDQGR QUPZKMQ\WKH  
SHUVRQ GRHV QRW B D Q G E H R G L H S F R X U W H S K Z L V R Q P H G I D F O G R U  
DGYRFDWH

4XHVWLRQV DERXW RQ LGHQEH GRGCFWBSLWR :RPHQ BW  
RU KIRGHWXDO \$VVDXOW 6\$UVH ([DPLQHU

6\$1( RI %XWOHU &RXHQV\FBUCYLDG HV [D PLQ B MQ WQR DQG SVRWV H  
VH[XDO DVVDXOW F D W I D V H U 6 \$ R X B W % U H V S R L Q G D O W R L Q U B B X G L R Q

- x )RUW +DPLOWRQ +WRSL\$WHD +DRDOWRQ 2+
- x OF&XOORXJK +\GH OHRULDQ BR\$SDWMD6+W 2[IRUG 2

x 0HUF\ +HDOWK± )DWDLHOG 0B7N 5G )DLUILHOG 2+  
x :HVW &KHVWHU +RVSLWDO 'U :BQWY &KHSW2HU 7RZQVK  
x \$WULXP 0HGLFDO &BQWYHU0HGLFDGGOHWRZQ 2+

\$SSHQGL[ \$ 2KLR &ULPLQDO 2IIHQVHV  
6H[ 2IIHQVHV

7KHUH LV FXUUHQW 60R XG 0I \$QVW XROH YLQ MWK & RGH

2KLR 5HYLVHG &RGH ± 5DSH

\$ 1R SHUVRQ VKDQDQFJQ 6XQVZRWK QRWWKH ZBRXV  
WKH RIIHQGHU RU ZKRILWKWKRIIVSGYHSEWDMWHOLQGQJSDUW  
WKH RIIHQGHU VZKHQRDORZILQJ DSSOLHV

D )RU WKH SXUSRQH URHSLVWYDQFH WIDQRLIDQGHILP\$DEUVV  
SHUVRQTV MXGJPHQVPRQLFVQWLLRQ EDQWGBXJFRQWWRLOFOHG  
VXEVWDQFH WR WKH RWKHU SHUVRQ VX

7KH RIIHQGHU NQWZHUWSDUWVWQHVLDLWOKW/QDWDLSISURD R U  
WKH RWKHU SHUVROTWXZQDFRQGXQW\LLPSDLUH G

7KH RIIHQGHU NQWZHUWSDUWVWQHVEPLWV EHFDXVH WK

2KLR 5HYLVHG &RGHZIXO 6H[X8DQOO &RQGXFV Z D C

\$ 1R SHUVRQ LKZIKRV HM Q \HRUWR RG HDU HK D QOV H QJDD FRQGXFV  
DQRWKHU ZKR LV QRWKWR RHIVS B N V H ZKH Q QRKZV RMIKHQRG WKHU  
SHUVRQ LV WKLUWHR Q G H D UEVX WI OH M V B W K DRQI VDJHW H H L Q W KH  
RIIHQGHU LV UHFNOHV V LQ WKDW UHJDUG

2KLR 5HYLVHG &RGH ± \*URVV 6H[XDO ,PSR

\$ 1R SHUVRQ VKDQO FRQW BFWH ZLDV K S R X W K R U W Q R I W R W K G M  
FDXVH DQRWKHU SR X Q R W R W W K H V R I K D Q G H R U W X D F W F Z L W K W K H R I  
RU FDXVH WZR RU V R O U H V R V K B V H S H U [ X D Q \ F R I Q W I H F W R Z K C R Z L C  
DSSOLHV

7KH RIIHQQGHU SXVSRKHI QWRFRPLS ISG WVKRIQR VRKHRIQSH BMRQV  
VXEPLW E\ IRUFH RU WKUHDW RI IRUFH

)RU WKH SXUSRVH BHSUVW BQVH WWDH R LIDH Q G H I U P S D E U V V  
MXGJPHQW RU FRQSB B O R F I R V K H R I R R O G H H U V R O K H E R V D I G P U L Q L V W H  
DQ\ GUXJ LQWR[LHF G Q X E R U V D R Q W U R R O O M K H U B M S K W U W S L H R X W R \ R  
IRUFH WKUHDW RI IRUFH RU GHFHSWLRQ

7KH RIIHQQGHU NQRZVPW Q DWRW KFR QWSJRUOV R Q VRKHRR VRIQH R  
RWKHU SHUVRQV L F S D X L E M H G D Q W D D O X H Q Q D H V R R I D V K H G U Q U O R U  
LQWR[LFDQW DGP B O M K H W H S H I O V R H F W K H H Q V S F R Q V H Q W I R U W K  
SXUSRVH RI DQ\ N I R O G G R H I Q P H D C L H D D P L Q B W L V X Q J W W H D W P H Q W

7KH RWKHU SHUVRQH RWKHUHSUVV RQV UWH H Q H M D W K D R Q I D  
ZKHWKHU RU QRW WKWRHIB QIGHRU W Q B V SHUVRQ

7KH DELORWKHRU S K H V R Q W R U H V D E W O R W \ F R I Q R G Q V R I R W K M  
SHUVRQV WR UHVLX V V R V D Q R Q D D O W L P S D L U P H I G V E D I G D R X U I S K \ V L  
FRQGLWLRQ RU E H F G X D J H R D Q G Y D I Q F R I I K H Q G H H D M Q R Q Z D E B H  
FDXVH WR E H O L H W H W R K D M W L K W D R E U W K B I O V S H Q U W R Q V R K H R R R Q H  
RWKHU SHUVRQV L F S D X L E M H G D Q H F L D X O V H S R I V L F P H Q W B O G R W L R Q  
EHFDXVH RI DGYDQFHG DJH

% 1R SHUVRQRZK D O O \ W R X F K W K H J K B Q W D I O H L D V R K F D I Q F O W K L M  
WKURXJK FORWKLQRJQ W K H O I R W K M U K I S Q I W Z H I O Z Y K H H W K D H U V R R U I Q R W  
RIIHQGHU NQRZV WKVRD J H D B G W K K H W V S R Z L E W K Q D Q L V C G R H Q W W R  
KXPLOLDWH I D G U H D R V D G H R X V H R U J U D M L R I W Q H S H H U X B R Q G H V I

2KLR 5HYLVHG &RGH ± 6H[XDO ,PSRVLWLR

\$ 1R SHUVRQ VKD O O R K O W B F W H Z L D V K S R X W K R U W Q R W R W K E G V  
FDXVH DQRWKVHSR XQ R W R W W K H W R I K D Q G H R W X D F O F Z L W K W K H R I  
RU FDXVH WZR RU V P R Q W R R V K B U H S M H [ X D Q \ F R I Q W W D H F W R Z K C R Z L C  
DSSOLHV

7KH RIIHQGHU NQRZV WKDW WKH VH



& 1R SHUVRQ E\ HW KUK-DDOVD RNIQIRZLFQ JQA\ RFUD XVRX VDH KRFPLG PHP  
WR EHOLHYH WKDWF DKKVH RIFA QGHHQWZ SCROWLFH ODKP DOR RU KRXX  
PHPEHU

## 'DWLQJ 9LROHQFH 3URWHFWLRQ 2UGHUV

'DWLQJ 9LROHQFH H\ VG HQFOLXGLRQ LQH QPHIRWLW KHL RSX USRVH  
REWDLQLQJ SWGRMHF WQRQLV GHILQHG LQ 2KL\$ 5DW URDG RZVC

- x <sup>3</sup>'RPHVWLF 9LROHQFH PHDQV DQ\ RI WKH IROORZLQJ
  - o 7KH RFFXUUHQFH RIRWKH RIRORZLQJ DEDW DJDLQV  
PHPEHU RU KRXXVHKROG PHPEHU
- x \$WWHPSWLQJ WR VDO\ FDXV LQH FNRGLO\ LQMXU\
- x 3ODFLQJ DQRWKH HDSH BVRRUEFWLIQI HDUL RX VL BKLVQHFQDV V  
KDUP RU FRPPLWWLIQV HFWLRQDWLRQ RUWKH 5HYLVHG  
&RGH
- x &RPPLWWLQJ DQ\ DRWDZEKLO GHWISDWVWZRX OFB LQGV XG WQLG  
DEXVHG FKLOG DV GHILQHGRLO W KHH FWM RQHG &RG
- x &RPPLWWLQJ DVH[XDOO\ RULHQWHG RIIHQVH
- x 7KH RFFXUUHQFH RI RQH DEWPRU SHRWLSLHG DQLGLWRMLL  
RI WKLW VHFWRQ D JSLRQVH QWR EVWRQ ZUDH ODDWD RQDMKLS
- <sup>3</sup>'DWLQJ UHODWLRQV OLVSL' RQMKLS ID UHODWLRQVKLS E

% 1R SHUVRQ ZLWIKDNO RZIOH S HHU VR Q HK DW W HFDVUHUG HSUR VLI VD  
WKDW FDXVHV DFTXLHG MRO QR BHILFKL B OD OQRZ LQKJ\  
IROORZLQJ

(QJDJH LQ VH[XDO DFRQVGHFW SZLWV RQL Q I WKKRDXW NQLRZFOHRG J  
WKH RWKHU SHUQJDO LSQUL BQ WRH VH[XDO FRQGXFV

(QJDJH LQ VH[XDO DFRQVGHFWZKIRW KW RIZ VR RIHQGHU NQ  
UHDVRQDEOH FDXVH WRHEPHQLW D D D EDLWLVW WWR DISQULHEFD  
WKH NQRZOHGJH WKDW WHKWHWRIHGHSGVHURLYD DLU D VF DWKDMH FD  
DFTXLHG LPIKQRGVHIQ GURPH

(QJDJH LQ VH[XDO DFRQVGHFWXZLQWIKU HRIJ D VHH Z QRHLVUQRW V  
VSRXVH RI WKH RIIHQGHU

### 6WDONLQJ

2KLR 5HYLVHG &RGH ± 0HQDFLQJ E\ 6WDO  
\$

1R SHUVRQ E\ HODMDWIHQJLQI DFRSQGXFWFDKD D OD QRWZIHQJ S  
WR EHOLHYH WKDW FDXVRI SHKQGLFUD QKHOD LSH WARR Q KHU RDWID PLO  
KRXVHKROG PHPKHU SHUWKRIQRWV FDXVIR MKQHWVOKGIUV SHUHWV  
D IDPLO\ RU KRXVHKRIQ B VPIHIE HSH BV RQ DQQ B B GHW LRDV W IR  
RWKHU SHUVRQ IV IHHOGLHU ZLKODV FDKV HRS KWKIEF B V KKHU SHUV  
WKH RWKHU SHUVRQ IQR ODPE P ERHUKRX V MQRWDIOHGRW WHUW SHU  
WKH RWKHU SHUVRQ IQR ODPE P ERHUKRX V SIEHOREI RU PHQWD  
GLVWUHV V PD\ EH EDU HF B GRGX Z WURGIVW D H RIGI HQ B FWHV GKDW RU  
LGHQWLI\ D FRUSLRDWR B R WKVMR R I WDFOLR DWVWRQ V WDWU SH  
WR ZKLFK WKH RWKHU SHUVRQ EHORQJV

1R SHUVRQ WKBRXDK WRKLP XMHZ ULWWLRQ RRP D Q HFDHFWL  
PHWKRGR I UHPRWH QIRWUP DQALHQ ULQ DQ RGVQIG WRW DQRWFRP  
FRPSXWHU QHWZRUND FRUP SRF B VSHUR JUPVXQL RDWW RIQ HFHYL  
VKDOO SRVW D PHV QDWHQV L B V D Q V ZW D B KIE D OHVWXUH ZLW  
SXUSRVH WR GR HLWKHU RI WKH IROORZLQJ

D 9LRODWH GLRILWLRQV \$HFWLRQ

E 8UJH RU LQFLWPH IDVQ DWYKLRU DWR LRRQ RII QWKYLLW VRIQW \$RQ

1R SHUVRQ HZLWOK PRWLYDWLRQ V \$DOORULROBWWKGLVY VWH

### &RQVHQW



5HODWHG )RUP V

1RW DSSOLFDEOH

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\$GGLWLRQDO 5HVXRUFHV DQG 3URFH

:HEVLWHV

1RW \$SSOLFDEOH

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3ROLF\ \$GPLQLVWUDWLRQ

1H[W 5HYLHZ 'DWH

5HVSQRQVLEOH 2IILFHUV

- x \$VVRFLDWH 9HQW 3RUW\XPDQ 5HVRXUFHV
- x \$VVLVWDQW 3URYRVW IRU \$FDGHPLF 3HUVRQQHO
- x 'LUHFWRU RI ((TXDO\2SQUWXQLW\
- x 9LFH 3UHVLGHQW IRU 'LYHUVLW\ DQG ,QFOXVLRQ

/HJDO \$XWKRULW\

- x &OHU\ \$FW
- x 7LWOH ,;

&RPSOLDQFH 3ROLF\

<HV

5HFHQW 5HYLVLRQ +LVWRU\

\$PHQG HG -XO\ -XPHQGHG GLWHG 6HSWLPHG UFWREHU  
\$PHQG HG \$XJXVW (GLWH GG 6MSWHPXJXW)

5HIHUHQFH , ' V

083,0

5HYLHZLQJ %RGLHV

- x \$VVRFLDWH 9HQW 3RUW\XPDQ 5HVRXUFHV
- x \$VVLVWDQW 3URYRVW IRU \$FDGHPLF 3HUVRQQHO

x 'LUHFWRU RI ((TXDQ\2BQB UWXQLW\

x 9LFH 3UHVLGHQW IRU 'LYHUVLW\ DQG ,QFOXVLRQ