

VKH DMJQP HQVRI D FRXUVH JUDGH E\ D VXEWDQMDXQJH DMRQDEGH DQG
XQDQQRXQFHG GHSDUWHU IURP VKH LQWVKFRUJ\ SUHYRXVO DUNFXDNG WDCQDUGV

' 3\$ * UDGLQ HUIRU LV D P DMHP DMFDOP LVFDGXDMRQRI D ILQDQJUDGH RUDQ LQDFFXUDM
UHFRUGQ RI VKH ILQDQJUDGH GRWDQ HUIRULQMGJPHQW

(\$ FOW GDA LV DQ GDA RI VFKHGXGIG LQWVKFRUJ H\ FOXGLQ 6 DMUGDA DQG 6 XQGDA
LQFOXGHGRQ VKH DFDGHP IF FDQGGDULQ HUIFDVWKH VP H RI D UHMHZ DV GHILQHGLQ
XQYHUVWUHU XDMRQV 5) LQ

7 KH LQWKFVRLV UHVSQMEΘI IRUQRWA IQJ WKH WXGHQWQZ UMQJ RI WKH LQWKFVRLV
IICDOMGJHP HQVFRGFHUCIQJ WKH JUDGH IQTXHMRQZ LMLQ FOW GDA V RI UHFHSVRI
WKH UHTXHMWDQG IRUSURP SVO VXEP LWMQJ WKH DSSURSUDM FKDQJH RI JUDGH IRUP VR
WKH 5 HU LWMQJ/2 IIEFH IL DQ HUURURFFXUHG ,I WKH GHFLVRQZ DV QRVAR FKDQJH WKH
JUDGH WKH LQWKFVRLVKDOQRWA WKH WXGHQWQZ UMQJ E\ FRP SΩMΩJ WKH IQIRUP DO
SRUVRQ RQ WKH \$ SSHDORI * UDGH IRUP

,I WKH WXGHQWGRHV QRWUHFHLYH D UHVSQMH IURP WKH LQWKFVRLV WKH UHTXUHG
GHDOGH WKH WXGHQWVKDOVHN WKH DMLVWQGFH RI WKH FKDLURI WKH GSDUW HQV
Z KLEK WKH FRXUWH Z DV RI IHUHG

,I WKH LQWKFVRLV QR ΘQJ HUDQHP SΩA HH RI WKH XQYHUWLV RULV RWHUZ LVH
XQDYDLOEΘI WKH WXGHQWVKDOVHN WKH DMLVWQGFH RI WKH XQVGHSDUW HQVFKDLU
Z KR Z IOP DNH HYHU HIRUVR FRQDFW WKH LQWKFVRLV WKH W FOW GDA RI WKH
GH VHU XDUVHP HMMU

D ,I WKH LQWKFVRLV FDQRVEH FRQDFW EXVFRXUWH UHFRLV DUH DYDLOEΘI WKH
GSDUW HQVFKDLU VKDOH IIEFWHVRQVRQZ LMLQ FOW GDA V RI GRVFDVRQ
E\ WKH WXGHQW 7 KH GSDUW HQVFKDLU D\ FRUHFVD JUDGQJ HUURUVRXJK
WKH UHU XDUVFKDQJH RI JUDGH SURFHV RQ EHKDORI WKH LQWKFVRLV

E ,I WKH LQWKFVRLV FDQRVEH FRQDFW DGG FRXUWH UHFRLV DUH HUWU
XQDYDLOEΘI RULQGFLVYH WKH WXGHQW D\ UHTXHMWD IRUP DOJYHEZ DV
GHVFEHG IQVFRQ% EHOZ

%) RUP DOB URFHGXUHV

,I QRWUVRQHG IQ WKH IQIRUP DOSURFHV WKH UHP DLQJ RSVRQ LV E\ UYHEZ IRUDOUHG DUEWDU
DQG FDSUFIRXV JUDGQJ RUI RULQWQGFHV Z KHUH WKH FRXUWH LQWKFVRLV XQDYDLOEΘI DGG
UHVROVRQ LV QRWRUVRP IQ IURP WKH DSSURSUDM GSDUW HQVFKDLU

7 KLV UYHEZ LV IQWQMG E\ WKH WXGHQWVRXJK D VJGHG Z UMMQ UHTXHMVR WKH
GSDUW HQVFKDLUZ LK D FRSA VR WKH GHQRI WKH FRDUH RUVKRRQZ KLEK WKH
FRXUWH Z DV RI IHUHG

D 7 KH WXGHQW UHTXHMVRUUYHEZ VKDOEH VXEP LWMQXVQJ XQYHUWLV IRUP V
VSHFLLFDΘ GHMJGHG IRUMLV SXLSRVH DGG DYDLOEΘI RQGH DW

[KWS ZZZ XDI HGX ILOV SURYRWQHZ BJUDGHBDSSHDOIRUP SG](#)

E 7 KH WXGHQWFRP SΩMM WKH JUDGH DSSHDOFKHFNDWQGG VXEP LV WKH * UDGH
\$ SSHDORUP DFNCRZ ΘGJLQ WKH FRP SΩMRQ RI WKH IQIRUP DOSURFHV

F 7 KH UHTXHMVRUD UYHEZ P XWEH UHFHLYHG E\ WKH GHQ GLUFRURI WKH
FRDUH RUVKRRQZ KLEK WKH FRXUWH Z DV RI IHUHG Z LMLQ FOW GDA V RI
FRP SΩMRQ RI IQIRUP DOJUDGH DSSHDCSURFHV

G 7 KH UHTXHMVP XWGHMLOMH EDMV IRU WKH DOU DMRQ VKDWD JUDGH Z DV WKH
UHVXORI DUEWDU DQG FDSUFIRXV JUDGQJ DQG P XWSUHVHQW UHBYDQW
HYLGHQFH WKH SRCF UYHLVRQ VXEFRP P LMMH VXJJHM D GHZ VMP SΩMM VR
P DNH LVHDMHU IRU WKH WXGHQWVR XQGHUWQGG Z KDWDUEWDU DGG FDSUFIRXV
JUDGQJ LV DGG WKH WSHV RI HYLGHQFH VKDVA RXCG DMLVWQ P DNQJ WKHU
FDMH

: LMLQ ILYH GDA V RI UHFHLSVRI VHX Z UMMQ UHTXH-MWRUJUHMEZ VHX GH-DQ GRVMEH LQ
Z UMMQ VHX LQMKFVRUZ KR LVXHG VHX JUDGH DQG VHX GH-SDUW HQ/VFKDLURI VHX XQW
VKDWD IRUP DOJUDGH DSSH-DOKDV EHHQ ILOIG DQG VXSSOHV D FRSA RI VHX VHXGHQW
UHTXH-MWRUD IRUP DOJUDGH DSSH-DOR VHX LQMKFVRU

7 KH LQMKFVRU VKDOEH LQYMWG VR UHVSROG LQ Z UMMQ VR VHX VHXGHQW DOU DMROV
VHX LQMKFVRU UHVSROVH VKDOEH GUHFVWG VR VHX JUDGH DSSH-DQ FRP P LMMH

, I VHX LQMKFVRURI VHX FRXUHLV DOR VHX' HDQ RI VHX & ROUH VHX 3 URYRWZ LO
GHMJQDM DGRVHU' HDQ Z LMLQ VHX 8 QYHUW VR DFVDV VHX FROUHM P RQVRURI DO
SURFHGQJV

\$ UHMEZ FRP P LMMH Z LOEH DSSRQMG DV IROZV

D 7 KUHH IDFXOV P HP EHV KROQJ DFDGHP IF UDN Z KR DUH UHSUHVQMG
VHXRXJK VHX FXUHQWSSOFDEH FROFVYH EDJDIQJ DJUHP HQW TURP VHX
) DFXOV 6 HQDM DG KRF 6 VHXGHQW\$ SSHDQ & RP P LMMH 6 \$ & VKDOEH
DSSRQMG E VHX 6 \$ & FKDLU 2 QH YRMQ P HP EHV KDOVHUH DV FKDLURI
VHX VHXGHQW DSSH-DQ FRP P LMMH

7KH DOUHGDVRO RI WLFW

