3 , 9X 3G X - JM@?J 8C?J +QR?RC 6MPRDMJGM

3 , 9X - PMURF ' JJMA?RGML 6MPRDMJGM		
3 , 9X /LDJ?RGML! ' B#SQRCB (MLB 6MPRDMJGM		
3 , 9X 2GKGRCB 3?RSPGRW 6MPRDMJGM		
3 , 9X 3GB)?N <?JSC 6MPRDMJGM		
3 , 9X 3MBCP?RC ' JJMA?RGML 6MPRDMJGM		
3 , 9X 4CU *GQAMTCPW <?JSC 6MPRDMJGM		

@MNX ?YFYJRJSY TK / I INYNTSFQ 7SKTWRFYNTS !_? / 7`" HTSYFNSX FI INYNTSFQ NSKTWRFYNTS FGTZY JFHM KZSI QNXYJI FGT[J !WJKJWJSHJX YT F 4ZSI TW YMJ 4ZSI RJFS JFHM KZSI QNXYJĪ TS YMJ HT[JW UFLJ ZSQJXX TYMJW \ NXJ STYJI"# FSI XMTZQI GJ WJFI NS HTSQZSHYNTS \ NYM

5WT\YM =TWYKTQNT# :4? 5QTGFQ >JXJFWHM =TWYKTQNT# :4? 5QTGFQ @FHYNHFQ /QQTHFYNTS =TWYKTQNT# :4? 5T[JWSRJSY
?JHZWNYNJX =TWYKTQNT# :4? 6NLM ENJQI =TWYKTQNT# :4? 7SHTRJ =TWYKTQNT# :4? 7SYJWSFYNTSFQ 5WT\YM =TWYKTQNT# :4?

C

;<=@E@K@FEJ ,

D8E8><D<EK F=K?<=LE; ,

;@JKI@9LK@FE GC8E ,,

=@E8E:@8C@EK<ID<;@8IP :FDG<EJ8K@FE ,-

@EM<JK

'(),1,7,216

³ $FW WKH ,QYHVWPHQW &RPSDQLHV DQG $VVHW 0DQDJHPHQW &RPSDQLHV WKHUHXQGHU DV D UXOH RU UHJXODWLRQ DUH LQWHUSUHWHG E\ WKH 6(&

%RDUG RI 7UXVWHHV RI WKH 7UXVW

³)XQG´ IHUHQFHV WR D)XQG´ RU WKH)XQG´ PHDQ HDFK IXQG OLVWHG RQ WK

,QGHSHQGHQW 7UXVWHHV ZKR DUH QRW LQWHUHVWHG SHUVRQV´ DV GHILQHG

³0DMRULW\ 6KDUHKROGHUV´ RU ³2XWVWDQGLQJ 9RWLQJ 6HFXULWLHV´ RI WKH $FW WR EH WKH OHVVHU PHHWLQJ DW ZKLFK KROGHUV RI YRWLQJ VHFXULWLHV UHSUHVHQWLQJ PRUH WKDQ RI WKH RXWVWDQGLQJ YRWLQJ VHFXULWLH E\ SUR[\ RU LL PRUH WKDQ RI WKH RXWVWDQGLQJ YRWLQJ VHFXULWLH

³0)'´ RU 'LVWULEXWRU´ 0)6 'LVWULEXWRUV ,QF D 'HODZDUH FRUSRUDWLRQ

³0)6´ RU ³$VVHW 0DQDJHPHQW)LQDQFLDO 6HUYLFHV &RPSDQ\ D 'HODZDUH FRU

³0)6&´ RU 6KDUHKROGHU 0)6 6HUYLFLQJ &RPSDQ\ D 'HODZDUH FRUSRUDWLRQ ,QF D 'HODZDUH FRUSRUDWLRQ

0)6)XQG´ RU ´IXQG PDQDJHG E\ 0)6 DQG RYHUVHHQ E\ WKH %RDUG

0)6)XQG´V´