6HFWLRQ 6) &217,18$7,21 6+((7

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&/,1 '(/,9(5< '$7(48$17,7< 6+,3 72 $''5(66 '2'$$&
&$*(

,16758&7,216 72 2))(5256
3/($6(',5(&7 48(67,216 72 **JENNIFER M. SAMELA** $7 **(978) 318-8324** 25
JENNIFER.M.SAMELA@USACE.ARMY.MIL 7+(62/,&,7$7,21 $1' 5(68/7,1* &2175$&7
6+$// %(7+(*29(51,1* '2&80(17 ,1 $// &$6(6
4827(6 &$1 **E-MAILED** 72 -(11,)(5 0 6$0(/$ $7
-(11,)(5 0 6$0(/$#86$&($50< 0,/

THE BID SCHEDULE MUST BE COMPLETED AND SUBMITTED FOR A QUOTE TO BE CONSIDERED COMPLETE.

,Q DFFRUGDQFH ZLWK)$5 3DUW E &RQWUDFWRUV PXVW EH UH
6$0 GDWDEDVH JRW WR VXEPLW DQ RIIHU)RUPHUO\ WKH &HQWUDO &RQ
DQG WKH 2Q /LQH 5HSUHVHQWDWLRQV DQG &HUWLILFDWLRQV 25&$
SURYLVLRQ LV ZULWWHQ WR DOORZ WKH3OHDVH QRWH WKDW *RRJOH DQG *RO
EURZVHUV IRU 6$0 UHJLVWUDWLRQ 0R]LOOD)LUH)R[6DIDUL DQG ,QW

127(6$0 JRY UHJLVWUDWLRQ WDNHV DSSUR[LPDWHO\ ZHHNV '816 UH
YDOLGDWLRQ XS WR EXVLQHVV GD\V ,56 YDOLGDWLRQ DQG RYHUDOO
UHVSRQVLELOLW\ WR WUDFN 6$0 JRY UHJLVWUDWLRQ DQG IROORZ XS Z

,Q DGGLWLRQ LI \RX DUH UHJLVWHULQJ D QHZ HQWLW\ LQ 6$0 JRY \RX
VWDWLQJ WKDW \RX DUH WKH DXWKRUL]HG (QWLW\ $GPLQLVWUDWRU
DFFRXQW XVLQJ WKH H PDLO DGGUHVV WKDW ZLOO EH DVVRFLDWHG
XV RUJDQL]DWLRQ IHGHUDO DFTXLVLWLRQ VHUYLFH RIILFH RI V\VWHPV
XSGDWH DGGLWLRQDO LQIRUPDWLRQ

3URYLGH '816 QXPEHU BBBBBBBBBBBBBBBBBBBBBBBBB WHOHSKRQH
3URYLGH &$*(FRGH BBBBBBBBBBBBBBBBBBBBBBBBB
3URYLGH 7$; ,' BBBBBBBBBBBBBBBBBBBBBBBBB
3HU)$5 3DUW $OW , WKH &RQWUDFWRU LV UHTXLUHG WR FRPSO
$SSOLFDWLRQ ZZZ 6$0 JRY DQG RQH RI WKH JRYHUQPHQW EXVLQHVV F WKU
DQG UHWXUQ ZLWK TXRWH
327(17,$/ 4827(56 $5(127,),(' 7+$7 7+(%$6,6 21 :+,&+ $:$5' :,// %(0$'(,6
$/21(

$// 5(63216,%/(6285&(6 0$< 68%0,7 $ 5(63216(:+,&+ ,) 7,0(/< 5(&(,9(' 08
&216,'(5(' %< 7+($*(1&<

,192,&(6 6+$// %(6(17 72 7(&+1,&$/ 32,17 2) &217$&7

6(&85,7< 5(48,5(0(176
7KH FRQWUDFWRU DQG DOO DVVRFLDWHG VXE FRQWUDFWRUV VKDOO UH
VXSSLFLRXV DFWLYLW\ UHSRUWLQJ SURJUDP 7KLV ORFDOO\ GHYHORSH

RI EHKDYLRU WR ZDWFK IRU DQG LQVWUXFW HPSOR\HHV WR UHSRUW VX
UHSUHVHQWDWLYH RU ODZ HQIRUFHPHQW HQWLW\ 7KLV WUDLQLQJ VKD
DQG ZLWKLQ FDOHQGDU GD\V RI QHZ HPSOR\HHV FRPPHQFLQJ SHUIRU
3RLQW RI &RQWDFW 1/7 FDOHQGDU GD\V DIWHU WKH FRPSOHWLRQ RI

%,' 6&+('8/(

Emergency Backup Generator Rental
Stamford Hurricane Barrier
Stamford, CT
Performance Work Statement

7$6. ,7(0 180%(5	81,7	81,7 47<, 35,&(	727$/
6WDPIRUG +XUULFDQH %DUULHU 3URYLGH N: , ($9 ROW BBBBBBBBBBBBBBB $PS 3KDVH *HQHUDWRU DQG ¶ IRRW &RQQHFWRU &DEOH			
8QLW 3ULFH LV SHU PRQWK RI UHQWDO			
*HQHUDWRU &RQQHFWLRQ			-$
*HQHUDWRU 'LVFRQQHFWLRQ			-$
		7RWDO	

Note $OO IHHV DUH SDLG E\ WKH FRQWUDFWRU 'HOLYHU\ ) VKRXOG EH LQFOXGHG LQ WKH TXRWHG SULFH

3(5)250$1&(:25. 67$7(0(17

Emergency Backup Generator Rental
Stamford Hurricane Barrier
Stamford, CT
Performance Work Statement

A. General

Scope)XUQLVK DOO QHFHVVDU\ ODERU HTXLSPHQW PDW SURYLGH DQ HPHUJHQF\ EDFNXS JHQHUDWRU UHQWDO D 6WDPIRUG &7 7KH VHUYLFHV DUH WR EH SURYLGHG LQ 3HUIRUPDQFH :RUN 6WDWHPHQW 3:6 DQG VKHGXOH

Requests for information will be directed to the contract specialist within five (5) days from the solicitation issuance date

:RUN ZLOO EH SHUIRUPHG LQ D WLPHO\ PDQQHU DQG WR RI &RQWDFW

Location ± 7KH 6WDPIRUG +XUULFDQH %DUULHU LV ORFDWHG
6WDPIRUG +XUULFDQH %DUULHU LV ORFDWHG DW (OP

Site Visit ±&RQWDFW WKH 7HFKQLFDO 3RLQW RI &RQWDFW 7
7RSROVNL GLDQDRU HUULFR WRSROVNL#DQJHOD DUW

Schedules - 7KH &RQWUDFW SHULRG RI SHUIRUPDQFH ZLOO E
DZDUG *HQHUDWRU ZLOO EH GHOLYHUHG WR WKLV VLW
DZDUG

5. Safety Requirements ±

D *HQHUDO

$OO ZRUN VKDOO EH FRQGXFWHG LQ DFFRUGDQFH ZLWK
DQG +HDOWK 5HTXLUHPHQWV 0DQXDO (0 PRVW UH
2FFXSDWLRQDO 6DIHW\ DQG +HDOWK $GPLQLVWUDWLRQ
KHDOWK UHTXLUHPHQWV $ FRS\ RI (0 FDQ EH DFFH
HOHFWURQLFDOO\ DW WKH IROORZLQJ OLQN
KWWS ZZZ SXEOLFDWLRQV XVDFH DUP\ PLO 3RUWDOV
SGI

3URMHFW VWDII UHVHUYH WKH ULJKW WR FHDVH ZRUN DW
&RQWUDFWRUV DQG RU WKH SXEOLF EHFRPH MHRSDUGL]

E $EEUHYLDWHG $FFLGHQW 3UHYHQWLRQ 3ODQ

7KH &RQWUDFWRU VKDOO SUHSDUH DQ $EEUHYLDWHG $F
DFWLYLWLHV EHLQJ SHUIRUPHG ,W VKDOO LQFOXGH $FW
EHORZ $ QRQ PDQGDWRU\ ILOODEOH $EEUHYLDWHG $3
+RZHYHU WKH FRQWUDFWRU LV SHUPLWWHG WR VXEPLW
UHTXLUHPHQWV RI (0 $SSHQGL[$ 6HFWLRQ .

$ SUHSDUDWRU\ PHHWLQJ VKDOO EH FRQGXFWHG E\ WKH
$33 FRQWHQWV ZLWK DOO HIIHFWHG RQVLWH HPSOR\HH
LQIRUPLQJ WKHLU VXEFRQWUDFWRUV RI WKH VDIHW\ SU
SHQDOWLHV IRU QRQFRPSOLDQFH DQG LQVSHFWLQJ VXE
SUHYHQWLRQ UHVSRQVLELOLWLHV DUH EHLQJ FDUULHG R

F $FWLYLW\ +D]DUG $QDO\VLV $+$

$Q $+$ VKDOO EH VXEPLWWHG IRU HDFK PDMRU SKDVH RI
DV DQ RSHUDWLRQ LQYROYLQJ D W\SH RI ZRUN SUHVHQW
RSHUDWLRQV RU ZKHUH D QHZ VXEFRQWUDFWRU RU ZRUN

VKDOO GHILQH DOO DFWLYLWLHV WR EH SHUIRUPHG LGH
DQWLFLSDWHG DQG WKH FRQWURO PHDVXUHV WR EH LPS
WR DQ DFFHSWDEOH OHYHO 7KH $+$ VKDOO EH FRQWLQX
FKDQJLQJ VLWH FRQGLWLRQV DV DSSURSULDWH

Note: $V SDUW RI WKH $33 DQG $+$V LQFOXGH VLWH VSHFLI
ZKLFK DGGUHVV DW D PLQLPXP WKH IROORZLQJ HOHPHQ

- 3URFHGXUHV IRU SHULRGLF VDQLWDWLRQ LQVSHFWLRQ
- 3URFHGXUHV IRU GLVLQIHFWLQJ SURMHFW VLWHV LQ DI
  DQG 3UHYHQWLRQ &'& JXLGHOLQHV
- 6LWH VSHFLILF PHDVXUHV WR SUDFWLFH VRFLDO GLVWI
  RI PDVNV IDFH FRYHULQJV
- (PSOR\HH WUDLQLQJ RQ WKH VLJQV V\PSWRPV DQG SU
  &'& JXLGHOLQHV
- $ OLVW RI 3HUVRQDO 3URWHFWLYH (TXLSPHQW 33(WR
  VWDWH JXLGHOLQHV

G 5HTXLUHG 3HUVRQQHO

7KH &RQWUDFWRU VKDOO GHVLJQDWH RQH HPSOR\HH DV
UHVSRQVLEOH IRU HQVXULQJ D VDIH HQYLURQPHQW IRU D
SURMHFW VLWH DQG UHSRUW WR WKH FRQWUDFWRU¶V XS
UHODWHG FRQVWUXFWLRQ DQG RU VHUYLFH H[SHULHQFH

:KHQ HPHUJHQF\ PHGLFDO VHUYLFHV DUH QRW DFFHVVLE
ORFDWLRQ DQG WKHUH DUH WZR RU PRUH ZRUNHUV RQ
WUDLQHG LQ)LUVW $LG DQG &35 0LQLPXP TXDOLILFDWLR
$ F

H $FFLGHQW 5HSRUWLQJ

$OO DFFLGHQWV DQG QHDU PLVVHV VKDOO EH LQYHVWLJ
UHFRUGDEOH LQMXULHV LOOQHVVHV DQG SURSHUW\ GD
DFFLGHQWV LQ ZKLFK WKH SURSHUW\ GDPDJH H[FHHGV
732& ZLWKLQ IRXU KRXUV RI WKH LQFLGHQW 6HULRXV
6HFWLRQ ' VKDOO EH LPPHGLDWHO\ UHSRUWHG WR WKH
FRPSOHWHG DQG VXEPLWWHG WR WKH 732& ZLWKLQ ILYH

(OHFWULFDO

D $OO HOHFWULFDO ZRUN VKDOO FRPSO\ ZLWK (0 6
1DWLRQDO (OHFWULFDO 6DIHW\ &RGH 1(6& 1DWLRQDO
3URWHFWLRQ $VVRFLDWLRQ 1)3$ 26+$ DQG 86&* UHJX

LV D GLVFUHSDQF\ EHWZHHQ WKH FRGHV DQG UHJXODW
DSSO\

E 4XDOLILHG 3HUVRQ (OHFWULFDO ZRUN VKDOO EH SHUI
YHULILDEOH FUHGHQWLDOV ZKR DUH IDPLOLDU ZLWK DS
FUHGHQWLDOV FRQVLVW RI 6WDWH 1DWLRQDO DQG RU
RU -RXUQH\PDQ (OHFWULFLDQ PD\ KROG GHSHQGLQJ R
EH LGHQWLILHG LQ WKH DSSURSULDWH $+$ -RXUQH\PD
DFFRUGDQFH ZLWK 6WDWH /RFDO DQG)HGHUDO UHTXL
EHLQJ SHUIRUPHG

F $OO HOHFWULFDO ZLULQJ DQG HTXLSPHQW VKDOO EH D
WHVWLQJ ODERUDWRU\ IRU WKH VSHFLILF DSSOLFDWLR
ZLOO EH ZRUQ DQG RU XWLOL]HG DW DOO WLPHV DQG D
G (PHUJHQF\ 3URFHGXUHV DQG 7UDLQLQJ (PSOR\HHV H[S
HPSOR\HHV UHVSRQVLEOH IRU WDNLQJ DFWLRQ LQ FDVH
DFFRUGDQFH ZLWK (0 6HFWLRQ $ 26+$ &)5
F 7KH WUDLQLQJ VKDOO LQFOXGH PHWKRGV WR UH
H[SRVHG HQHUJL]HG HOHFWULFDO FRQGXFWRUV RU FLU
LQVWUXFWHG LQ PHWKRGV RI ILUVW DLG DQG HPHUJHQ
RI UHVXVFLWDWLRQ

H $OO HTXLSPHQW DQG FLUFXLWV WR EH ZRUNHG RQ VKD
3HUVRQQHO VKDOO EH SURWHFWHG E\ D +D]DUGRXV (QH
SURFHGXUHV LQ DFFRUGDQFH ZLWK (0 6HFWLRQ
IRU UHQGHULQJ FRQWUROV RU GHYLFHV LQRSHUDWLYH
WR WKH PDFKLQHV WKH\ FRQWURO

I ,I ZRUN 0867 EH SHUIRUPHG RQ DQ HQHUJL]HG V\VWHP
GHPRQVWUDWH WKDW GH HQHUJL]LQJ LQWURGXFHV DGG
GXH WR HTXLSPHQW GHVLJQ RU RSHUDWLRQDO OLPLWD

L (QHUJL]HG ZRUN PD\ QHYHU EH SHUIRUPHG ZLWKRX
EHHQ GHWHUPLQHG WKDW HTXLSPHQW PXVW EH ZRU
HQHUJL]HG ZRUN SHUPLW VKDOO EH VXEPLWWHG W
DFFHSWDQFH ! 6HH 1)3$ (DQG (0 6HFWLRQ
UHTXLUHPHQWV

6. Pre-Work Conference – 3ULRU WR WKH VWDUW RI DQ\ ZRUN WKH 7H
VFKHGXOH DQG FRQGXFW D ³3UH ZRUN &RQIHUHQFH´ 7KH &
&RQWURO 3HUVRQQHO ZLOO DWWHQG WKLV PHHWLQJ 7KLV
DJUHHDEOH WR WKH JRYHUQPHQW DQG FRQWUDFWRU 1R Z
WR WKLV FRQIHUHQFH 7KH SXUSRVH RI WKH FRQIHUHQFH L
RXWOLQH WKH SURFHGXUHV WKDW ZLOO EH IROORZHG E\ W
FRQWUDFW DQG WR GLVFXVV WKH SHUIRUPDQFH WKDW ZLO
FRQIHUHQFH ZLOO DOORZ WKH &RQWUDFWRU DQ RSSRUWXQ

DGPLQLVWUDWLRQ DQG LQVSHFWLRQ RI FRQWUDFW ZRUN R
EH UHTXLUHG $W WKH 3UH ZRUN FRQIHUHQFH WKH &RQWUD
VXSHULQWHQGHQW ZLWK D WHOHSKRQH QXPEHU IRU SURMH

7KH IROORZLQJ LV D JHQHUDO OLVW RI LWHPV IR
&RQIHUHQFH
L $XWKRULW\ RI WKH 3URMHFW 0DQDJHU DQG 4
LL&RQWUDFWRU¶V 6DIHW\ 3URJUDP
LLL$EEUHYLDWHG $FFLGHQW 3UHYHQWLRQ 3ODQ
LY$FFLGHQW +D]DUG $QDO\VLV $+$
Y $FFLGHQW 5HSRUWLQJ (1*)RUP
YL&RQWUDFWRU¶V 4XDOLW\ &RQWURO 3ODQ
YLL&RRUGLQDWLRQ 3URFHGXUH DQG &RPPXQLF
YLLL,GHQWLI\ WKH 7HFKQLFDO 3RLQW RI &RQWDFW
L[$GPLQLVWUDWLYH 3URFHGXUHV
[,QYRLFH DQG SD\PHQW

7. Permits ± 7KH &RQWUDFWRU VKDOO ZLWKRXW DGGLWLRQDO
IRU REWDLQLQJ DQ\ QHFHVVDU\ OLFHQVHV SHUPLWV DQG
FRPSO\ ZLWK DQ\ DSSOLFDEOH)HGHUDO 6WDWH &RXQW\
LQ FRQQHFWLRQ ZLWK WKH SHUIRUPDQFH RI WKH ZRUN VSH

8 Damage to Government and Private Property ± 7KH &RQWUDFWRU VKDOO EH
UHVWRULQJ DQ\ *RYHUQPHQW IDFLOLWLHV VWUXFWXUHV R
&RQWUDFWRU¶V DFWLRQV 7KH &RQWUDFWRU VKDOO DOVR
RU LQMXU\ WR DQ\ SHUVRQ DV D UHVXOW RI WKH ILUP¶V RS
7HFKQLFDO 3RLQW RI &RQWDFW LPPHGLDWHO\ RI GDPDJH W
LQMXU\ WR DQ\ SHUVRQ UHVXOWLQJ IURP WKH &RQWUDFWR
GULYHQ RQ H[LVWLQJ URDGV RQO\ DQG QRW DFURVV RU WK
VKDOO DOVR UHVWRUH VWUXFWXUHV DQG RU ODQGVFDSH I
JXDUGUDLOV IHQFLQJ HWF ZKLFK DUH GDPDJHG RU GHV
GHVWUR\HG VWUXFWXUHV DQG IHDWXUHV VKDOO EH UHSOD
$OVR WKH &RQWUDFWRU VKDOO QRWLI\ WKH 7HFKQLFDO 3R
IDFLOLWLHV GXH WR YDQGDOLVP RU RWKHU FDXVHV RQ WK

9. Security – 7KH &RQWUDFWRU ZLOO FRPSO\ ZLWK DOO HVWDEOI
+XUULFDQH %DUULHU 'XH WR SHULRGV RI KHLJKWHQHG VH
FRYHUHG XQGHU WKLV FRQWUDFW DUHDV PD\ EH VXEMHFW
RU LQKLELW WKH &RQWUDFWRU¶V DELOLW\ WR DFFHVV FHU
WKH *RYHUQPHQW UHVHUYHV WKH ULJKW DW DQ\ WLPH WR
UHVFKHGXOH DQG RU FDQFHO DQ\ VXEVHTXHQW VHUYLFH L
KRXUV¶ QRWLFH RI DQ\ VXFK FORVXUH

11. Payment – 7KH &RQWUDFWRU ZLOO IXUQLVK WKH 7HFKQLFDO
LQYRLFH VWDWLQJ WKH VHUYLFH (The invoice shall have the DQG WKH DPP
contract number, contractors mailing address and phone number, invoice number, date of

services, date of invoice and charges by contract item number.) 3D\PHQW VKDOO EH PD
PRQWKO\ IRU WKH DFWXDO VHUYLFHV SHUIRUPHG DW WKH D

All invoices may be mailed to:
8 6 $UP\ &RUSV RI (QJLQHHUV
+RS %URRN /DNH 3URMHFW 2IILFH
6WUDLWV 7XUQSLNH
0LGGOHEXU\ &7
2U HPDLO GLGQDWR HUULFR WRSROVNL#XVDFH DUP\ PLO

B. TECHNICAL

General

1. **Other Contracts** – 7KH *RYHUQPHQW PD\ XQGHUWDNH RU DZDUG F
ZRUN QRW UHODWHG WR WKLV FRQWUDFW DQG WKH &RQ
&RQWUDFWRUV DQG *RYHUQPHQW HPSOR\HHV 7KH &RQW
ZKLFK ZLOO LQWHUIHUH ZLWK WKH SHUIRUPDQFH RI ZRU
HPSOR\HHV

2. **Contractor's Personnel**

   a. **Minimum Personnel Requirements** 7KH &RQWUDFWRU VKDOO SURY
   QXPEHU RI IXOO\ TXDOLILHG SHUVRQQHO WR SHUIRUP
   HIILFLHQWO\ ZLWKLQ WKH WLPH OLPLWV VSHFLILHG
   QDPHV DQG FRQWDFW SKRQH QXPEHUV IRU DOO HPSO
   *RYHUQPHQW 3URSHUW\

   b. **Employee Conduct** 7KH &RQWUDFWRU VKDOO EH UHVSRQVLE
   HPSOR\HHV VWULFWO\ FRPSO\ ZLWKDO)HGHUDO 6WD
   DFWLYLW\ ZKLFK LQ WKH RSLQLRQ RI WKH *RYHUQPL
   SHUIRUPDQFH RI WKH FRQWUDFW PD\ UHVXOW LQ WKH
   HPSOR\HH HPSOR\HHV

      ([DPSOHV RI XQEHFRPLQJ DFWLRQV RU FRQGXFW LQ
      IROORZLQJ
         L &XUVLQJ KDUDVVPHQW RU GLVFULPLQDWLRQ F
           FRQWDFW ZLWK YLVLWRUV &RUSV SHUVRQQHO
         LL5HFXUULQJ ZULWWHQ DQG RU YHUEDO FRPSODL
           RU RWKHU FRQWUDFWRUV
         LLL8QVDIH RSHUDWLRQ RI YHKLFOHV ZKLOH RQ 86
           SURSHUW\

   c. **Removal of Contractor's Employees** ± 7KH 7HFKQLFDO 3RLQW RI &RQ
   WKH &RQWUDFWRU WR LPPHGLDWHO\ UHPRYH IURP WH
   &RQWUDFWRU RU VXEFRQWUDFWRU ZKR LQ WKH RSL

LQFRPSHWHQW ZKR HQGDQJHUV SHUVRQV RU SURSHU
FRQGLWLRQ LV VXFK WKDW LW ZRXOG LPSDLU WKH HI
DVVLJQHG ZRUN 1RWLILFDWLRQ WR WKH &RQWUDFWR
WLPH DQG FLUFXPVWDQFHV SHUPLW 2WKHUZLVH QR
WHOHSKRQH DQG VKDOO EH FRQILUPHG LQ ZULWLQJ
KRZHYHU ZLOO UHGXFH WKH &RQWUDFWRU¶V REOLJD
WKLV FRQWUDFW DQG LPPHGLDWH UHSODFHPHQW ZL
VKDOO QRW EH PDGH WKH EDVLV RI DQ\ FODLP IRU F
8QLWHG 6WDWHV RU DQ\ RI LWV RIILFHUV RU DJHQWV

3. Inspections

a. Contractor Quality Control 7KH &RQWUDFWRU LV UHVSRQVLEOH
PDLQWDLQLQJ DQ DGHTXDWH TXDOLW\ FRQWURO V\VW
WKDW DOO ZRUN SHUIRUPHG E\ WKH &RQWUDFWRU¶V
IXOO FRPSOLDQFH ZLWK WKLV FRQWUDFW DQG WKH U

b. Government Inspection 7KH *RYHUQPHQW ZLOO PRQLWRU WKH
SHUIRUPDQFH DQG PDNH GHGXFWLRQV DFFRUGLQJO\
UHTXLUHPHQWV RI WKH FRQWUDFW

Equipment

1. **Condition of Equipment** ± $OO HTXLSPHQW XVHG WR SHUIRUP ZRU
EH LQ JRRG RSHUDWLQJ DQG PHFKDQLFDO FRQGLWLRQ
&RUSV RI (QJLQHHUV 6DIHW\ DQG +HDOWK 5HTXLUHPHQ
FRQWUDFW ZLOO EH SUHVHQWDEOH VHUYLFHDEOH DQ
&RQWUDFWRUV YHKLFOHV ZLOO EH FOHDUO\ PDUNHG ZL
DUHDV

2. **Equipment Storage** – 1R *RYHUQPHQW VSDFH RU IDFLOLWLHV VK
FRQWUDFW IRU VWRUDJH RI HTXLSPHQW RWKHU WKDQ I
JHQHUDWRU **There will be no Government provided shelter for the generator, it will be exposed to the weather.** 3OHDVH UHIHU WR ,QIRUPDWLRQ 3KRWR
7KH ORFDWLRQ ZKHUH WKH JHQHUDWRU LV WR EH SODF
DSSUR[LPDWHO\ ¶ [¶ LQ VL]H

Service Requirements

7KH &RQWUDFWRU VKDOO IXUQLVK DOO ODERU DQG HT
LGHQWLILHG EHORZ

1. **General Service Requirements**
D *HQHUDWRU ZLOO EH GHOLYHUHG DQG UHPDLQ RQ V
QHFHVVDU\ RU WKH FRQWUDFW SHULRG RI SHUIRUP

E 7KH &RQWUDFWRU VKDOO SURYLGH D IXOO\ IXQFWL
IHHW RI FRQGXLW FDEOH
7KH FRQQHFWRU FDEOH QHHGV WR EH UDWHG IRU
F *HQHUDWRU VKDOO EH HQFORVHG DQG FDSDEOH RI
FRQGLWLRQV
G 7KH &RQWUDFWRU ZLOO SURYLGH D 4XDOLILHG 3HUVRQ 43 W
JHQHUDWRU IURP H[LVWLQJ $XWRPDWLF 7UDQVIHU 6ZLWFK $7
H[LVWLQJ $XWRPDWLF 7UDQVIHU 6ZLWFK $76 **The Qualified Person (QP) must also check for correct phase rotation of backup generator** 4XDOLILHG 3HUVRQ 43 ZLOO DOVR
JHQHUDWRU IURP $76 DW WKH FRQFOXVLRQ RI WKH FRQWUDFW
H 7KH &RQWUDFWRU VKDOO SURYLGH DOO QHFHVVDU\ UH
PDLQWHQDQFH WR HQVXUH WKDW JHQHUDWRU LV IX
GXUDWLRQ RI WKH FRQWUDFW
I 7KH &RQWUDFWRU VKDOO SURYLGH DOO LWHPV QHF
VROHO\ UHVSRQVLEOH IRU WKHVH LWHPV DQG DQ\ C
J 'HOLYHU\ IHHV DQG WUDQVSRUWDWLRQ IHHV ZLOO
DGGLWLRQDO FRVW WR WKH *RYHUQPHQW DQG ZLO
K &RQWUDFWRU KROLGD\V RU YDFDWLRQ WLPHV VKDO
SLFN XS RU VHUYLFH VFKHGXOH 7KH FRQWUDFWRU
&RQWDFW ZLWK DQ\ FRQIOLFWLQJ KROLGD\ VFKHGX
GDWHV
L ,I WKH &RQWUDFWRU FDQQRW PHHW D VFKHGXOHG
HTXLSPHQW EUHDNGRZQ ZHDWKHU HYHQW KROLGD
FLUFXPVWDQFH RXWVLGH RI WKH FRQWURO RI WKH
VHUYLFH WLPH DQG GDWH VKDOO EH PDGH WR WKH
&RQWUDFWRU
M 7KH 4XDOLILHG 3HUVRQ 43 ZLOO SURYLGH VWDII Z
RSHUDWLRQ DQG IRU DQ\ UHTXLUHG GDLO\ ZHHNO\

2. **Changes to Frequency and or Quantities:** 7KH *RYHUQPHQW UHVHUYHV WK
LW EHFRPH QHFHVVDU\ WR GHFUHDVH RU LQFUHDVH F
JLYHQ DGHTXDWH QRWLILFDWLRQ WR SUHSDUH IRU H
GHGXFWHG LQ DFFRUGDQFH ZLWK WKH ELGGLQJ VFKHG
VHUYLFHV D IRUPDO PRGLILFDWLRQ ZLOO EH LVVXHG
WKH SHUIRUPDQFH RI VHUYLFHV

Service Locations

7KH VHUYLFHV IRU WKLV FRQWUDFW DUH ORFDWHG DV IROO

$ **Stamford Hurricane Barrier** LV ORFDWHG DW (OPFUIW 5RDG 6WD

7KH &RQWUDFWRU VKDOO IXUQLVK DOO ODERU PDWHULDOV
WDVNV

1. **Stamford Hurricane Barrier**

D 6HUYLFH 5HTXLUHPHQW
L 3URYLGH RQH 9NOW $PS 3KDVH *HQHUDWRU
LL3URYLGH ¶ IHHW RI DPS UDWHG FRQQHFWR
LLL3URYLGH 4XDOLILHG 3HUVRQ 43 WR GLVFRQQH
FRQQHFW EDFNXS JHQHUDWRU DW VDPH $76 DQ
JHQHUDWRU IURP $76
E 6HUYLFH $UHD 6WDPIRUG +XULFDQH %DUULHU
F 6HUYLFH 6FKHGXOH VHYHQ PRQWKV IURP &RQW

$''ITIONAL INFORMATION
3/($6(5()(5 72 7+(77&+0(176 ,1&/8'(' ,1 7+,6 62/,&,7$7,21)25 $''ITIONA
,1)250$7,21

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6\VWHP IRU $ZDUG 0DQDJHPHQW 2&7
3HUVRQDO ,GHQWLW\ 9HULILFDWLRQ RI &RQWUDFWRU 3HU
6\VWHP IRU $ZDUG 0DQDJHPHQW 0DLQWHQDQFH 2
&RPPHUFLDO DQG *RYHUQPHQW (QWLW\ &RGH 5HSRUWLQJ
&RPPHUFLDO DQG *RYHUQPHQW (QWLW\ &RGH 0DLQWHQDQ
,QFRUSRUDWLRQ E\ 5HIHUHQFH'RF& 5HSUHVHQWDWLRQV DQ
&HUWLILFDWLRQV
$OWHUQDWLYH /LQH ,WHP 3URSRVDO -$1
5HSUHVHQWDWLRQ 5HJDUGLQJ &HUWDLQ 7HOHFRPPXQLFDV
9LGHR 6XUYHLOODQFH 6HUYLFHV RU (TXLSPHQW
'HY ,QVWUXFWLRQV WR 2IIHURUV 2&&RPPHUFLDO ,WHPV '(9,
2
&RQWUDFW 7HUPV DQG &RQGLWLRQV &RPPHUFLDO ,WHPV
'HY 1RWLFH RI 7RWDO $VLGH '(9,$7,21
2
3ROOXWLRQ 3UHYHQWLRQ DQG 5LJKW WR .QRZ ,QIRUPDWL
3URKLELWLRQ RQ &RQWUDFWLQJ ZLWK (QWLWLHV (QJDJLQ
$FWLYLWLHV RU 7UDQVDFWLRQV 5HODWLQJ WR ,UDQ 5HSU
DQG &HUWLILFDWLRQV
8QHQIRUFHDELOLW\ RI 8QDXWKRUL]HG 2EOLJDWLRQV
3URYLGLQJ $FFHOHUDWHG 3D\PHQWV WR 6PDOO %XVLQHVV
6XEFRQWUDFWRUV
6WRS :RUN 2UGHU $8*
5HTXLUHPHQWV 5HODWLQJ WR &RPSHQVDWLRQ RI)RUPHU
2IILFLDOV
5HTXLUHPHQW WR ,QIRUP (PSOR\HHV RI :KLVWOHEORZHU
5HSUHVHQWDWLRQ 5HODWLQJ WR &RPSHQVDWLRQ RI)RUP
2IILFLDOV
&RQWURO 2I *RYHUQPHQW 3HUVRQQHO :RUN 3URGXFW
&RPSOLDQFH :LWK 6DIHJXDUGLQJ &7
&RQWUROV
6DIHJXDUGLQJ &RYHUHG 'HIHQVH &,QIRUPDWLRQ DQG &\EH
,QFLGHQW 5HSRUWLQJ

1RWLFH RI $XWKRUL]HG 'LVFORV›0$<
6XSSRUW
&RYHUHG 'HIHQVH 7HOHFRPPXQLI'(&
5HSUHVHQWDWLRQ
3URKLELWLRQ RQ WKH $FTXLVLW(&LRQ RI &RYHUHG 'HIHQVH
7HOHFRPPXQLFDWLRQV (TXLSPHQW RU 6HUYLFHV
3URKLELWLRQ RQ WKH $FTXLVLV1LRQ RI &RYHUHG 'HIHQVH
7HOHFRPPXQLFDWLRQV (TXLSPHQW RU 6HUYLFHV
1RWLFH RI 1 'R' $VVHVVPHQW 5HTXLUHPHQWV
1,67 63 'R' $VVHVVPHQW 5HTXL1U2PHQWV
3URKLELWLRQ 2Q 6WRUDJH 7U(3WPHQW DQG 'LVSRVDO F
+D]DUGRXV 0DWHULDOV
([SORUW &RQWURROHG ,WHPV -81
/HYLHV RQ &RQWUDFW 3D\PHQWV '(&
3ULFLQJ 2I &RQWUDFW 0RGLILFDWLRQV '(&
6XEFRQWUDFWV IRU &RPPHUFLDO ,WHPV -$1

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&29(5(' 7(/(&20081,&$7,216 (48,30(17 25 6(59,&(6 5(35(6(17$7,21

D 'HILQLWLRQV $V XVHG LQ WKLV SURYLVLRQ ³FRYHUHG WHOHFRPPX
LQTXLU\ KDYH WKH PHDQLQJ SURYLGHG LQ WKH FODXVH 3URKL
7HOHFRPPXQLFDWLRQV DQG 9LGHR 6XUYHLOODQFH 6HUYLFHV RU (TXLS

E 3URFHGXUHV 7KH 2IIHURU VKDOO UHYLHZ WKH OLVW RI H[FOXGHG S
KWWSV ZZZ.IRUHLJQDVVHWV H[FOXGHG IURP UHFHLYLQJ IHGHUDO DZDU
HTXLSPHQW RU VHUYLFHV´

F 5HSUHVHQWDWLRQV

7KH 2IIHURU UHSUHVHQWV WKDW LW > BBB @ GRHV > BBB @ GRH
VHUYLFHV DV D SDUW RI LWV RIIHUHG SURGXFWV RU VHUYLFHV WR WKH
VXEFRQWUDFW RU RWKHU FRQWUDFWXDO LQVWUXPHQW

$IWHU FRQGXFWLQJ D UHDVRQDEOH LQTXLU\ IRU SXUSRVHV RI WKLV
GRHV > BBB @ GRHV QRW XVH FRYHUHG WHOHFRPPXQLFDWLRQV HTXL
WKDW XVHV FRYHUHG WHOHFRPPXQLFDWLRQV HTXLSPHQW RU VHUYLFHV

(QG RI SURYLVLRQ

2))(525 5(35(6(17$7,216 $1' &(57,),&$7,216 &200(5&,$/ ,7(06)(
$/7(51$7(, 2&7

7KH 2IIHURU VKDOO FRPSOHWH RQO\ SDUDJUDSK E RI WKLV SURYLVLR
UHSUHVHQWDWLRQV DQG FHUWLILFDWLRQ HOHFWURQLFDOO\ LQ WKH 6\
WKURXJK KWWSV ZZZ.V\VPV.JRY 7KH 2IIHURU KDV QRW FRPSOHWHG WKH DQQXDO UH
HOHFWURQLFDOO\ WKH 2IIHURU VKDOO FRPSOHWH RQO\ SDUDJUDSKV

D *Definitions.* $V XVHG LQ WKLV SURYLVLRQ

&RYHUHG WHOHFRPPXQLFDWLRQV HTXLSPHQW RU VHUYLFHV KDV WKH
RQ &RQWUDFWLQJ IRU &HUWDLQ 7HOHFRPPXQLFDWLRQV DQG 9LGHR 6XU

(FRQRPLFDOO\ GLVDGYDQWDJHG ZRPHQ RZQHG VPDOO EXVLQHVV ('':26
WKDW LV DW OHDVW SHUFHQW GLUHFWO\ DQG XQFRQGLWLRQDOO\ RZ
RI ZKLFK DUH FRQWUROOHG E\ RQH RU PRUH ZRPHQ ZKR DUH FLWL]HQ
GLVDGYDQWDJHG LQ DFFRUGDQFH ZLWK &)5 SDUW ,W DXWRPDWLF
HOLJLEOH XQGHU WKH :26% 3URJUDP

)RUFHG RU LQGHQWXUHG ODERU²

([DFWHG IURP DQ\ SHUVRQ XQGHU WKH DJH RI XQGHU WKH PHQDFH
ZKLFK WKH ZRUNHU GRHV QRW RIIHU KLPVHOI YROXQWDULO\ RU

3HUIRUPHG E\ DQ\ SHUVRQ XQGHU WKH DJH RI SXUVXDQW WR D FR
DFFRPSOLVKHG E\ SURFHVV RU SHQDOWLHV

+LJKHVW OHYHO RZQHU PHDQV WKH HQWLW\ WKDW RZQV RU FRQWURO
FRQWUROV RQH RU PRUH HQWLWLHV WKDW FRQWURO DQ LPPHGLDWH R
WKH KLJKHVW OHYHO RZQHU

,PPHGLDWH RZQHU PHDQV DQ HQWLW\ RWKHU WKDQ WKH RIIHURU WK
FRQWURO LQFOXGH EXW DUH QRW OLPLWHG WR RQH RU PRUH RI WKH
LGHQWLW\ RI LQWHUHVWV DPRQJ IDPLO\ PHPEHUV VKDUHG IDFLOLWLHV

,QYHUWHG GRPHVWLF FRUSRUDWLRQ PHDQV D IRUHLJQ LQFRUSRUDWH
GRPHVWLF FRUSRUDWLRQ XQGHU 8 6 & E DSSOLHG LQ DFFRUGDQ

0DQXIDFWXUHG HQG SURGXFW PHDQV DQ\ HQG SURGXFW LQ SURGXFW

36& /XPEHU DQG 5HODWHG %DVLF :RRG 0DWHULDOV

3URGXFW RU 6HUYLFH *URXS 36* $JULFXOWXUDO 6XSSOLHV

36* /LYH $QLPDOV

36* 6XEVLVWHQFH

36& &UXGH *UDGHV RI 3ODQW 0DWHULDOV

36& 0LVFHOODQHRXV &UXGH $QLPDO 3URGXFWV ,QHGLEOH

36& 0LVFHOODQHRXV &UXGH $JULFXOWXUDO DQG)RUHVWU\ 3UR

36& 2UHV

36& 0LQHUDOV 1DWXUDO DQG 6\QWKHWLF DQG

36& $GGLWLYH 0HWDO 0DWHULDOV

3ODFH RI PDQXIDFWXUH PHDQV WKH SODFH ZKHUH DQ HQG SURGXFW L
RU SURFHVVHG IURP UDZ PDWHULDOV LQWR WKH ILQLVKHG SURGXFW W
GLVDVVHPEOHG DQG UHDVVHPEOHG WKH SODFH RI UHDVVHPEO\ LV QRV

5HDVRQDEOH LQTXLU\ KDV WKH PHDQLQJ SURYLGHG LQ WKH FODXVH
7HOHFRPPXQLFDWLRQV DQG 9LGHR 6XUYHLOODQFH 6HUYLFHV RU (TXLS

5HVWULFWHG EXVLQHVV RSHUDWLRQV PHDQV EXVLQHVV RSHUDWLRQV
PLQHUDO H[WUDFWLRQ DFWLYLWLHV RLO UHODWHG DFWLYLWLHV RU W
GHILQHG LQ WKH 6XGDQ $FFRXQWDELOLW\ DQG 'LVHVWPHQW $FW RI
GR QRW LQFOXGH EXVLQHVV RSHUDWLRQV WKDW WKH SHUVRQ DV WKD
DQG 'LVHVWPHQW $FW RI FRQGXFWLQJ WKH EXVLQHVV FDQ GHPRQ\

$UH FRQGXFWHG XQGHU FRQWUDFW GLUHFWO\ DQG H[FOXVLYHO\ ZL

$UH FRQGXFWHG SXUVXDQW WR VSHFLILF DXWKRUL]DWLRQ IURP WKH
WKH 7UHDVXU\ RU DUH H[SUHVVO\ H[HPSWHG XQGHU)HGHUDO ODZ IUR
DXWKRUL]DWLRQ

&RQVLVW RI SURYLGLQJ JRRGV RU VHUYLFHV WR PDUJLQDOL]HG SRS

&RQVLVW RI SURYLGLQJ JRRGV RU VHUYLFHV WR DQ LQWHUQDWLRQD
RUJDQL]DWLRQ

&RQVLVW RI SURYLGLQJ JRRGV RU VHUYLFHV WKDW DUH XVHG RQO\

+DYH EHHQ YROXQWDULO\ VXVSHQGHG

6HQVLWLYH WHFKQRORJ\ ²

0HDQV KDUGZDUH VRIWZDUH WHOHFRPPXQLFDWLRQV HTXLSPHQW F
VSHFLILFDOO\²

L 7R UHVWULFW WKH IUHH IORZ RI XQELDVHG LQIRUPDWLRQ LQ ,UDQ

LL 7R GLVUXSW PRQLWRU RU RWKHUZLVH UHVWULFW VSHHFK RI WKH

'RHV QRW LQFOXGH LQIRUPDWLRQ RU LQIRUPDWLRQDO PDWHULDOV
DXWKRULW\ WR UHJXODWH RU SURKLELW SXUVXDQW WR VHFWLRQ E
8 6 & E

6HUYLFH GLVDEOHG YHWHUDQ RZQHG VPDOO EXVLQHVV FRQFHUQ ²

0HDQV D VPDOO EXVLQHVV FRQFHUQ²

L 1RW OHVV WKDQ SHUFHQW RI ZKLFK LV RZQHG E\ RQH RU PRUH VH
SXEOLFO\ RZQHG EXVLQHVV QRW OHVV WKDQ SHUFHQW RI WKH VWRF
YHWHUDQV DQG

LL 7KH PDQDJHPHQW DQG GDLO\ EXVLQHVV RSHUDWLRQV RI ZKLFK DU
RU LQ WKH FDVH RI D VHUYLFH GLVDEOHG YHWHUDQ ZLWK SHUPDQHQW
RI VXFK YHWHUDQ

6HUYLFH GLVDEOHG YHWHUDQ PHDQV D YHWHUDQ DV GHILQHG LQ
FRQQHFWHG DV GHILQHG LQ 8 6 &

6PDOO EXVLQHVV FRQFHUQ ²

0HDQV D FRQFHUQ LQFOXGLQJ LWV DIILOLDWHV WKDW LV LQGHSHQ
RSHUDWLRQ LQ ZKLFK LW LV ELGGLQJ RQ *RYHUQPHQW FRQWUDFWV DQ
&)5 SDUW DQG VL]H VWDQGDUGV LQ WKLV VROLFLWDWLRQ

$IILOLDWHV DV XVHG LQ WKLV GHILQLWLRQ PHDQV EXVLQHVV FRQF
WKH SRZHU WR FRQWURO WKH RWKHUV RU D WKLUG SDUW\ RU SDUWLH
GHWHUPLQLQJ ZKHWKHU DIILOLDWLRQ H[LVWV FRQVLGHUDWLRQ LV JLY
IDFWRUV LQFOXGLQJ FRPPRQ RZQHUVKLS FRPPRQ PDQDJHPHQW DQG F
DIILOLDWLRQ EDVHG RQ WKH IDFWRUV VHW IRUWK DW &)5

6PDOO GLVDGYDQWDJHG EXVLQHVV FRQFHUQ FRQVLVWHQW ZLWK &
WKH VL]H VWDQGDUG DSSOLFDEOH WR WKH DFTXLVLWLRQ WKDW

,V DW OHDVW SHUFHQW XQFRQGLWLRQDOO\ DQG GLUHFWO\ RZQHG

L 2QH RU PRUH VRFLDOO\ GLVDGYDQWDJHG DV GHILQHG DW &)5
DW &)5 LQGLYLGXDOV ZKR DUH FLWL]HQV RI WKH 8QLWHG 6WDW

LL (DFK LQGLYLGXDO FODLPLQJ HFRQRPLF GLVDGYDQWDJH KDV D QHW
DFFRXQW WKH DSSOLFDEOH H[FOXVLRQV VHW IRUWK DW &)5 F

7KH PDQDJHPHQW DQG GDLO\ EXVLQHVV RSHUDWLRQV RI ZKLFK DUH
LQGLYLGXDOV ZKR PHHW WKH FULWHULD LQ SDUDJUDSKV L DQG LL

6XEVLGLDU\ PHDQV DQ HQWLW\ LQ ZKLFK PRUH WKDQ SHUFHQW RI V

'LUHFWO\ E\ D SDUHQW FRUSRUDWLRQ RU

7KURXJK DQRWKHU VXEVLGLDU\ RI D SDUHQW FRUSRUDWLRQ

9HWHUDQ RZQHG VPDOO EXVLQHVV FRQFHUQ PHDQV D VPDOO EXVLQH

1RW OHVV WKDQ SHUFHQW RI ZKLFK LV RZQHG E\ RQH RU PRUH YH
FDVH RI DQ\ SXEOLFO\ RZQHG EXVLQHVV QRW OHVV WKDQ SHUFHQW
YHWHUDQV DQG

7KH PDQDJHPHQW DQG GDLO\ EXVLQHVV RSHUDWLRQV RI ZKLFK DUH

:RPHQ RZQHG EXVLQHVV FRQFHUQ ZKLFK LV DW OHDVW SHUFHQW
LQ WKH FDVH RI DQ\ SXEOLFO\ RZQHG EXVLQHVV DW OHDVW SHUFHQ
ZKRVH PDQDJHPHQW DQG GDLO\ EXVLQHVV RSHUDWLRQV DUH FRQWURO

:RPHQ RZQHG VPDOO EXVLQHVV FRQFHUQ

7KDW LV DW OHDVW SHUFHQW RZQHG E\ RQH RU PRUH ZRPHQ RU SHUFHQW RI WKH VWRFN RI ZKLFK LV RZQHG E\ RQH RU PRUH ZRPHQ

:KRVH PDQDJHPHQW DQG GDLO\ EXVLQHVV RSHUDWLRQV DUH FRQWU

:RPHQ RZQHG VPDOO EXVLQHVV :26% FRQFHUQ HOLJLEOH XQGHU WKH SDUW PHDQV D VPDOO EXVLQHVV FRQFHUQ WKDW LV DW OHDVW PDQDJHPHQW DQG GDLO\ EXVLQHVV RSHUDWLRQV RI ZKLFK DUH FRQWU 8QLWHG 6WDWHV

E

$QQXDO 5HSUHVHQWDWLRQV DQG &HUWLILFDWLRQV $Q\ FKDQJHV SU SURYLVLRQ GR QRW DXWRPDWLFDOO\ FKDQJH WKH UHSUHVHQWDWLRQV

7KH RIIHURU KDV FRPSOHWHG WKH DQQXDO UHSUHVHQWDWLRQV DQG KWWS ZZZ $WHU UHYLHZLQJ 6$0 LQIRUPDWLRQ WKH 2IIHURU YHULILH UHSUHVHQWDWLRQV DQG FHUWLILFDWLRQV FXUUHQWO\ SRVWHG HOHFW &HUWLILFDWLRQV &RPPHUFLDO ,WHPV KDYH EHHQ HQWHUHG RU XSGD FRPSOHWH DQG DSSOLFDEOH WR WKLV VROLFLWDWLRQ LQFOXGLQJ WK UHIHUHQFHG IRU WKLV VROLFLWDWLRQ DW WKH WLPH WKLV RIIHU LV UHIHUHQFH VHH)$5 H[FHSW IRU SDUDJUDSKV BB

>2IIHURU WR LGHQWLI\ WKH DSSOLFDEOH SDUDJUDSKV DW F WKURXJK WKH SXUSRVHV RI WKLV VROLFLWDWLRQ RQO\ LI DQ\

7KHVH DPHQGHG UHSUHVHQWDWLRQ V DQG RU FHUWLILFDWLRQ V DUH DQG FRPSOHWH DV RI WKH GDWH RI WKLV RIIHU

$Q\ FKDQJHV SURYLGHG E\ WKH RIIHURU DUH DSSOLFDEOH WR WKLV VR UHSUHVHQWDWLRQV DQG FHUWLILFDWLRQV SRVWHG HOHFWURQLFDOO\

F 2IIHURUV PXVW FRPSOHWH WKH IROORZLQJ UHSUHVHQWDWLRQV ZKH 8QLWHG 6WDWHV RU LWV RXWO\LQJ DUHDV &KHFN DOO WKDW DSSO\

Small business concern 7KH RIIHURU UHSUHVHQWV WKDW LW LV RW D EXVLQHVV FRQFHUQ

9HWHUDQ RZQHG VPDOO EXVLQHVV FRQFHUQ >&RPSOHWH RQO\ LI W FRQFHUQ LQ SDUDJUDSK F RI WKLV SURYLVLRQ @ RU UHS QRW D YHWHUDQ RZQHG VPDOO EXVLQHVV FRQFHUQ

6HUYLFH GLVDEOHG YHWHUDQ RZQHG VPDOO EXVLQHVV FRQFHUQ > YHWHUDQ RZQHG VPDOO EXVLQHVV FRQFHUQ LQ SDUDJUDSK F RI WK RIIHU WKDW LW LV QRW D VHUYLFH GLVDEOHG YHWHUDQ RZQHG VPD

6PDOO GLVDGYDQWDJHG EXVLQHVV FRQFHUQ >&RPSOHWH RQO\ LI W FRQFHUQ LQ SDUDJUDSK F RI WKLV SURYLVLRQ @ RU UHS GLVDGYDQWDJHG EXVLQHVV FRQFHUQ DV GHILQHG LQ &)5

:RPHQ RZQHG VPDOO EXVLQHVV FRQFHUQ >&RPSOHWH RQO\ LI WKH
FRQFHUQ LQ SDUDJUDSK F RI WKLV SURYLVLRQ@7KH RWKHUZLVH
RZQHG VPDOO EXVLQHVV FRQFHUQ

Note: &RPSOHWH SDUDJUDSKV F DQG F RQO\ LI WKLV VROLFLWDWL
WKUHVKROG

:26% FRQFHUQ HOLJLEOH XQGHU WKH :26% 3URJUDP >&RPSOHWH RQ
RZQHG VPDOO EXVLQHVV FRQFHUQ LQ SDUDJUDSK F RI WKLV SURYL

L ,W@ LV QRW D :26% FRQFHUQ HOLJLEOH XQGHU WKH :26% 3U
GRFXPHQWV WR WKH :26% 5HSRVLWRU\ DQG QR FKDQJH LQ FLUFXPVWD
DIIHFWV LWV HOLJLELOLW\ DQG

LL ,W@ LV QRW D MRLQW YHQWXUH WKDW FRPSOLHV ZLWK WKH
UHSUHVHQWDWLRQ LQ SDUDJUDSK F L RI WKLV SURYLVLRQ LV DFFX
3URJUDP SDUWLFLSDWLQJ LQ WKH MRLQW YHQWXUH >7KH RIIHURU VKD
XQGHU WKH :26% 3URJUDP DQG RWKHU VPDOO EXVLQHVV(V WKDW DUH
:26% FRQFHUQ HOLJLEOH XQGHU WKH :26% 3URJUDP SDUWLFLSDWLQJ L
FRS\ RI WKH :26% UHSUHVHQWDWLRQ

(FRQRPLFDOO\ GLVDGYDQWDJHG ZRPHQ RZQHG VPDOO EXVLQHVV ('
UHSUHVHQWHG LWVHOI DV D :26% FRQFHUQ HOLJLEOH XQGHU WKH :26%
UHSUHVHQWV WKDW²

L ,W@ LV QRW DQ ('26% FRQFHUQ KDV SURYLGHG DOO WKH UI
5HSRVLWRU\ DQG QR FKDQJH LQ FLUFXPVWDQFHV RU DGYHUVH GHFLVL

LL ,W@ LV QRW D MRLQW YHQWXUH WKDW FRPSOLHV ZLWK WKH
UHSUHVHQWDWLRQ LQ SDUDJUDSK F L RI WKLV SURYLVLRQ LV DFFX
MRLQW YHQWXUH >7KH RIIHURU VKDOO HQWHU WKH QDPH RU QDPHV RI
DUH SDUWLFLSDWLQJ LQ WKH :26% YHQWXUH SDUWLFLSDWLQJ LQ WK
D VHSDUDWH VLJQHG FRS\ RI WKH ('26% UHSUHVHQWDWLRQ

:RPHQ RZQHG EXVLQHVV FRQFHUQ RWKHU WKDQ VPDOO EXVLQHVV F
RZQHG EXVLQHVV FRQFHUQ DQG GLG QRW UHSUHVHQW LWVHOI DV D VP
SURYLVLRQ @ 7KH RIIHURU LV SDUWLFLSDWLQJ LQ D :RPHQ RZQHG EXVLQHVV FRQFHUQ

Tie bid priority for labor surplus area concerns. ,I WKLV LV DQ LQYLWDWLRQ IRU ELG VPDOO
LGHQWLI\ WKH ODERU VXUSOXV DUHDV LQ ZKLFK FRVWV WR EH LQFXUU
RU ILUVW WLHU VXEFRQWUDFWRUV DPRXQW WR PRUH WKDQ SHUFHQ

BBB

+8%=RQH VPDOO EXVLQHVV FRQFHUQ >&RPSOHWH RQO\ LI WKH RIIH
LQ SDUDJUDSK F RI WKLV SURYLVLRQ @ 7KH RIIHURU UHSUHVHQWV

L ,W@ LV QRW D +8%=RQH VPDOO EXVLQHVV FRQFHUQ OLVWHG
/LVW RI 4XDOLILHG +8%=RQH 6PDOO %XVLQHVV &RQFHUQV PDLQWDLQHG

PDWHULDO FKDQJHV LQ RZQHUVKLS DQG FRQWURO SULQFLSDO RIILFH
LW ZDV FHUWLILHG LQ DFFRUGDQFH ZLWK &)5 SDUW DQG

LL ,WBB@ LVBB@ LV QRW D +8%=RQH MRLQW YHQWXUH WKDW FRPSOLHV Z
DQG WKH UHSUHVHQWDWLRQ LQ SDUDJUDSK F L RI WKLV SURYLVLR
SDUWLFLSDWLQJ LQ WKH +8%=RQH MRLQW YHQWXUH VKDOO VXEPLW D

The offeror shall enter the names of each of the HUBZone small business concerns participating in the HUBZone joint venture BBB@ (DFK +8%=RQH VPDOO EXVLQHVV
SDUWLFLSDWLQJ LQ WKH +8%=RQH MRLQW YHQWXUH VKDOO VXEPLW D V

&RPSOHWH LI WKH RIIHURU KDV UHSUHVHQWHG LWVHOI DV GLVDGY

The offeror shall check the category in which its ownership falls @

BBB %ODFN $PHULFDQ

BBB +LVSDQLF $PHULFDQ

BBB 1DWLYH $PHULFDQ $PHULFDQ ,QGLDQV (VNLPRV $OHXWV RU 1D

BBB $VLDQ 3DFLILF $PHULFDQ SHUVRQV ZLWK RULJLQV IURP %XUPD
-DSDQ &KLQD 7DLZDQ /DRV &DPERGLD .RUHD 9LHWQDP .RUHD
5HSXEOLF RI WKH 0DUVKDOO ,VODQGV)HGHUDWHG 6WDWHV RI 0LFURQ
,VODQGV *XDP 6DPRD 0DFDR +RQJ .RQJ)LML 7RQJD .LULEDWL 7XY

BBB 6XEFRQWLQHQW $VLDQ $VLDQ ,QGLDQ $PHULFDQ SHUVRQV ZLW
/DQND %KXWDQ WKH 0DOGLYHV ,VODQGV RU 1HSDO

BBB ,QGLYLGXDO FRQFHUQ RWKHU WKDQ RQH RI WKH SUHFHGLQJ

G 5HSUHVHQWDWLRQV UHTXLUHG WR LPSOHPHQW SURYLVLRQV RI ([HF

3UHYLRXV FRQWUDFWV DQG FRPSOLDQFH 7KH RIIHURU UHSUHVHQWV

L ,WBB@ KDBBVBB@ KDV QRW SDUWLFLSDWHG LQ D SUHYLRXV FRQWUDFW
2SSRUWXQLW\ FODXVH RI WKLV VROLFLWDWLRQ DQG

LL ,WBB@ KDBBVBB@ KDV QRW ILOHG DOO UHTXLUHG FRPSOLDQFH UHSRUW

Affirmative Action Compliance 7KH RIIHURU UHSUHVHQWV WKDW

L ,WBB@ KDV GHYHORSHGBBB@GKDVVRQWIGHHORSHG DQG GRHV QRW KD
HVWDEOLVKPHQW DIILUPDWLYH DFWLRQ SURJUDPV UHTXLUHG E\ UXOH
DQG RU

LL ,WBB@ KDV QRW SUHYLRXVO\ KDG FRQWUDFWV VXEMHFW WR WKH ZUL
UXOHV DQG UHJXODWLRQV RI WKH 6HFUHWDU\ RI /DERU

H *Certification Regarding Payments to Influence Federal Transactions* 8 6 & $SSOLHV RQO\ LI
FRQWUDFW LV H[SHFWHG WR H[FHHG %\ VXEPLVVLRQ RI LWV RI
DQG EHOLHI WKDW QR)HGHUDO DSSURSULDWHG IXQGV KDYH EHHQ SDL

DWWHPSWLQJ WR LQIOXHQFH DQ RIILFHU RU HPSOR\HH RI DQ\ DJHQF\ I
&RQJUHVV RU DQ HPSOR\HH RI D 0HPEHU RI &RQJUHVV RQ KLV RU KHU E
UHVXOWDQW FRQWUDFW ,I DQ\ UHJLVWUDQWV XQGHU WKH /REE\LQJ 'LV
EHKDOI RI WKH RIIHURU ZLWK UHVSHFW WR WKLV FRQWUDFW WKH RIIH
6WDQGDUG)RUP /// 'LVFORVXUH RI /REE\LQJ $FWLYLWLHV WR SURYLG
UHSRUW UHJXODUO\ HPSOR\HG RIILFHUV RU HPSOR\HHV RI WKH RIIHURU
PDGH

I*Buy American Certificate.* $SSOLHV RQO\ LI WKH FODXVH DW)HGHUDO $FTXLVLWL
$PHULFDQ ± 6XSSOLHV LV LQFOXGHG LQ WKLV VROLFLWDWLRQ

L 7KH 2IIHURU FHUWLILHV WKDW HDFK HQG SURGXFW H[FHSW WKR
GRPHVWLF HQG SURGXFW

LL 7KH 2IIHURU VKDOO OLVW DV IRUHLJQ HQG SURGXFWV WKRVH HQG
TXDOLI\ DV GRPHVWLF HQG SURGXFWV

LLL 7KH WHUPV GRPHVWLF HQG SURGXFW HQG SURGXFW IRUHLJQ
FODXVH RI WKLV VROLFLWDWLRQ HQWLWOHG %X\ $PHULFDQ 6XSSOLHV

)RUHLJQ (QG 3URGXFWV

/LQH LWHP 1R	&RXQWU\ RI RULJLQ
BBB	BBB
BBB	BBB
BBB	BBB

>/LVW DV QHFHVVDU\@

7KH *RYHUQPHQW ZLOO GHWHUPLQH ZKHWKHU WKH)$5 3DUW SURFH

J

Buy American -- Free Trade Agreements -- Israeli Trade Act Certificate $SSOLHV RQO\ LI WKH FODXV
%X\ $PHULFDQ)UHH 7UDGH $JUHHPHQWV ,VUDHOL 7UDGH $F

L $ 7KH 2IIHURU FHUWLILHV WKDW HDFK HQG SURGXFW H[FHSW WKR
LV D GRPHVWLF HQG SURGXFW

% 7KH WHUPV %DKUDLQLDQ 0RURFFDQ 2PDQL 3DQDPDQLDQ RU 3HU
SURGXFW IRUHLJQ HQG SURGXFW)UHH 7UDGH $JUHHPHQW FRXQWU
,VUDHOL HQG SURGXFW DQG 8QLWHG 6WDWHV DUH GHILQHG LQ WKH
7UDGH $JUHHPHQWV ,VUDHOL 7UDGH $FW

LL 7KH 2IIHURU FHUWLILHV WKDW WKH IROORZLQJ VXSSOLHV DUH)UH
%DKUDLQLDQ 0RURFFDQ 2PDQL 3DQDPDQLDQ RU 3HUXYLDQ HQG SUR
FODXVH RI WKLV VROLFLWDWLRQ HQWLWOHG %X\ $PHULFDQ)UHH 7UD

)UHH 7UDGH $JUHHPHQW &RXQWU\ (QG 3URGXFWV 2WKHU WKDQ %DKUD
(QG 3URGXFWV RU ,VUDHOL (QG 3URGXFWV

/LQH LWHP 1R	&RXQWU\ RI RULJLQ
BBB	BBB
BBB	BBB
BBB	BBB

List as necessary @

LLL 7KH 2IIHURU VKDOO OLVW WKRVH VXSSOLHV WKDW DUH IRUHLJQ H
RI WKLV SURYLVLRQ DV GHILQHG LQ WKH FODXVH RI WKLV VROLFLWDW
,VUDHOL 7UDGH $FW 7KH 2IIHURU VKDOO OLVW DV RWKHU IRUHLJQ HQ
8QLWHG 6WDWHV WKDW GR QRW TXDOLI\ DV GRPHVWLF HQG SURGXFWV

2WKHU)RUHLJQ (QG 3URGXFWV

/LQH LWHP 1R	&RXQWU\ RI RULJLQ
BBB	BBB
BBB	BBB
BBB	BBB

List as necessary @

LY 7KH *RYHUQPHQW ZLOO HYDOXDWH RIIHUV LQ DFFRUGDQFH ZLWK W

Buy American—Free Trade Agreements—Israeli Trade Act Certificate, Alternate I ,I $OWHUQDWH , WR WKH
)$5 LV LQFOXGHG LQ WKLV VROLFLWDWLRQ VXEVWLWXWH WKH IR
WKH EDVLF SURYLVLRQ

J LL 7KH RIIHURU FHUWLILHV WKDW WKH IROORZLQJ VXSSOLHV DUH
VROLFLWDWLRQ HQWLWOHG %X\ $PHULFDQ²)UHH 7UDGH $JUHHPHQWV²,

&DQDGLDQ (QG 3URGXFWV

/LQH LWHP 1R
BBB
BBB
BBB

[List as necessary]

Buy American—Free Trade Agreements—Israeli Trade Act Certificate, Alternate II. ,I $OWHUQDWH ,, WR WK
DW)$5 LV LQFOXGHG LQ WKLV VROLFLWDWLRQ VXEVWLWXWH WK
RI WKH EDVLF SURYLVLRQ

J LL 7KH RIIHURU FHUWLILHV WKDW WKH IROORZLQJ VXSSOLHV DUH
GHILQHG LQ WKH FODXVH RI WKLV VROLFLWDWLRQ HQWLWOHG %X\ $PH

&DQDGLDQ RU ,VUDHOL (QG 3URGXFWV

/LQH LWHP 1R	&RXQWU\ RI RULJLQ
BBB	BBB
BBB	BBB
BBB	BBB

List as necessary @

Buy American—Free Trade Agreements—Israeli Trade Act Certificate, Alternate III. ,I $OWHUQDWH ,,, WR WK
FODXVH DW LV LQFOXGHG LQ WKLV VROLFLWDWLRQ VXEVWLWXW
RI WKH EDVLF SURYLVLRQ

J LL 7KH RIIHURU FHUWLILHV WKDW WKH IROORZLQJ VXSSOLHV DUH
WKDQ %DKUDLQLDQ .RUHDQ 0RURFFDQ 2PDQL 3DQDPDQLDQ RU 3HUX
GHILQHG LQ WKH FODXVH RI WKLV VROLFLWDWLRQ HQWLWOHG %X\ $PH

)UHH 7UDGH $JUHHPHQW &RXQWU\ (QG 3URGXFWV 2WKHU WKDQ %DKUD
3HUXYLDQ (QG 3URGXFWV RU ,VUDHOL (QG 3URGXFWV

/LQH LWHP 1R	&RXQWU\ RI RULJLQ
BBB	BBB
BBB	BBB
BBB	BBB

List as necessary @

Trade Agreements Certificate $SSOLHV RQO\ LI WKH FODXVH DW)$5 7UDGH
WKLV VROLFLWDWLRQ

L 7KH RIIHURU FHUWLILHV WKDW HDFK HQG SURGXFW H[FHSW WKRVH
PDGH RU GHVLJQDWHG FRXQWU\ HQG SURGXFW DV GHILQHG LQ WKH FO

LL 7KH RIIHURU VKDOO OLVW DV RWKHU HQG SURGXFWV WKRVH HQG S
SURGXFWV

2WKHU (QG 3URGXFWV

/LQH LWHP 1R	&RXQWU\ RI RULJLQ
BBB	BBB
BBB	BBB
BBB	BBB

List as necessary @

LLL 7KH *RYHUQPHQW ZLOO HYDOXDWH RIIHUV LQ DFFRUGDQFH ZLWK
LWHPV FRYHUHG E\ WKH :72 *3$ WKH *RYHUQPHQW ZLOO HYDOXDWH RI
SURGXFWV ZLWKRXW UHJDUG WR WKH UHVWULFWLRQV RI WKH %X\ $PH
RQO\ RIIHUV RI 8 6 PDGH RU GHVLJQDWHG FRXQWU\ HQG SURGXFWV XQ
QR RIIHUV IRU VXFK SURGXFWV RU WKDW WKH RIIHUV IRU VXFK SURGXF
VROLFLWDWLRQ

K*Certification Regarding Responsibility Matters (Executive Order 12689)* $SSOLHV RQO\ LI WKH FRQWU
H[SHFWHG WR H[FHHG WKH VLPSOLILHG DFTXLVLWLRQ WKUHVKROG 7K
EHOLHI WKDW WKH RIIHURU DQG RU DQ\ RI LWV SULQFLSDOV

[illegible] $UH QRW SUHVHQWO\ GHEDUUHG VXVSHQGHG SURSRVH
WKH DZDUG RI FRQWUDFWV E\ DQ\ )HGHUDO DJHQF\

[illegible] +DYH QRW ZLWKLQ D WKUHH \HDU SHULRG SUHFHGLQJ
MXGJPHQW UHQGHUHG DJDLQVW WKHP IRU FRPPLVVLRQ RI IUDXG RU D
DWWHPSWLQJ WR REWDLQ RU SHUIRUPLQJ D)HGHUDO VWDWH RU ORF
RU VWDWH DQWLWUXVW VWDWXWHV UHODWLQJ WR WKH VXEPLVVLRQ RI
EULEHU\ IDOVLILFDWLRQ RU GHVWUXFWLRQ RI UHFRUGV PDNLQJ IDOV
ODZV RU UHFHLYLQJ VWROHQ SURSHUW\ DQG

[illegible] $UH QRW SUHVHQWO\ LQGLFWHG IRU RU RWKHUZLVH FU
HQWLW\ ZLWK FRPPLVVLRQ RI DQ\ RI WKHVH RIIHQVHV HQXPHUDWHG LQ

[illegible] +DYH QRW ZLWKLQ D WKUHH \HDU SHULRG SUHFHGLQJ
)HGHUDO WD[HV LQ DQ DPRXQW WKDW [illegible]

L 7D[HV DUH FRQVLGHUHG GHOLQTXHQW LI ERWK RI WKH IROORZLQJ F

$ *The tax liability is finally determined.* 7KH OLDELOLW\ LV ILQDOO\ GHWHUPLQHG LI LW K
ILQDOO\ GHWHUPLQHG LI WKHUH LV D SHQGLQJ DGPLQLVWUDWLYH RU M
OLDELOLW\ WKH OLDELOLW\ LV QRW ILQDOO\ GHWHUPLQHG XQWLO DOO

%*The taxpayer is delinquent in making payment.* $ WD[SD\HU LV GHOLQTXHQW LI WKH WD[SD\
OLDELOLW\ ZKHQ IXOO SD\PHQW ZDV GXH DQG UHTXLUHG $ WD[SD\HU L
DFWLRQ LV SUHFOXGHG

LL ([DPSOHV

$ 7KH WD[SD\HU KDV UHFHLYHG D VWDWXWRU\ QRWLFH RI GHILFLHQF\
VHHN 7D[&RXUW UHYLHZ RI D SURSRVHG WD[GHILFLHQF\ 7KLV LV QRW
6KRXOG WKH WD[SD\HU VHHN 7D[&RXUW UHYLHZ WKLV ZLOO QRW EH D
MXGLFLDO DSSHDU ULJKWV

% 7KH ,56 KDV ILOHG D QRWLFH RI)HGHUDO WD[OLHQ ZLWK UHVSHFW
LVVXHG D QRWLFH XQGHU , 5 & † HQWLWOLQJ WKH WD[SD\HU WR UH
&RQWHVWLQJ WKH OLHQ ILOLQJ DQG WR IXUWKHU DSSHDO WR WKH 7D[
WKH FRXUVH RI WKH KHDULQJ WKH WD[SD\HU LV HQWLWOHG WR FRQWH
QR SULRU RSSRUWXQLW\ WR FRQWHVW WKH OLDELOLW\ 7KLV LV QRW D

WKH WD[SD\HU VHHN WD[FRXUW UHYLHZ WKLV ZLOO QRW EH D ILQDO V
DSSHDO ULJKWV

& 7KH WD[SD\HU KDV HQWHUHG LQWR DQ LQVWDOOPHQW DJUHHPHQW
SD\PHQWV DQG LV LQ IXOO FRPSOLDQFH ZLWK WKH DJUHHPHQW WHUPV
QRW FXUUHQWO\ UHTXLUHG WR PDNH IXOO SD\PHQW

' 7KH WD[SD\HU KDV ILOHG IRU EDQNUXSWF\ SURWHFWLRQ 7KH WD[SD
DFWLRQ LV VWD\HG XQGHU 8 6 & † WKH %DQNUXSWF\ &RGH

L &HUWLILFDWLRQ 5HJDUGLQJ .QRZOHGJH RI &KLOG /DERU IRU /LVWHG
&RQWUDFWLQJ 2IILFHU PXVW OLVW LQ SDUDJUDSK L DQ\ HQG SURGX
LQFOXGHG LQ WKH /LVW RI 3URGXFWV 5HTXLULQJ &RQWUDFWRU &HUWL
H[FOXGHG DW E @

/LVWHG (QG 3URGXFW

/LVWHG HQG SURGXFW	/LVWHG FRXQWULHV RI R
BBB	BBB
BBB	BBB
BBB	BBB

&HUWLILFDWLRQ >,I WKH &RQWUDFWLQJ 2IILFHU KDV LGHQWLILHG H
WKLV SURYLVLRQ WKHQ WKH RIIHURU PXVW FHUWLI\ WR HLWKHU L

>BB@ L 7KH RIIHURU ZLOO QRW VXSSO\ DQ\ HQG SURGXFW OLVWHG LQ
SURGXFHG RU PDQXIDFWXUHG LQ WKH FRUUHVSRQGLQJ FRXQWU\ DV O

>BB@ LL 7KH RIIHURU PD\ VXSSO\ DQ HQG SURGXFW OLVWHG LQ SDUD
SURGXFHG RU PDQXIDFWXUHG LQ WKH FRUUHVSRQGLQJ FRXQWU\ DV O
PDGH D JRRG IDLWK HIIRUW WR GHWHUPLQH ZKHWKHU IRUFHG RU LQGH
PDQXIDFWXUH DQ\ VXFK HQG SURGXFW IXUQLVKHG XQGHU WKLV FRQWU
WKDW LW LV QRW DZDUH RI DQ\ VXFK XVH RI FKLOG ODERU

M*Place of manufacture.* 'RHV QRW DSSO\ XQOHVV WKH VROLFLWDWLRQ LV SUHGR
PDQXIDFWXUHG HQG SURGXFWV)RU VWDWLVWLFDO SXUSRVHV RQO\ W
PDQXIDFWXUH RI WKH HQG SURGXFWV LW H[SHFWV WR SURYLGH LQ UHV

>BB@ ,Q WKH 8QLWHG 6WDWHV &KHFN WKLV ER[LI WKH WRWDO DQW
LQ WKH 8QLWHG 6WDWHV H[FHHGV WKH WRWDO DQWLFLSDWHG SULFH R
6WDWHV RU

>BB@ 2XWVLGH WKH 8QLWHG 6WDWHV

N &HUWLILFDWHV UHJDUGLQJ H[HPSWLRQV IURP WKH DSSOLFDWLRQ R
WKH RIIHURU DV WR LWV FRPSOLDQFH ZLWK UHVSHFW WR WKH FRQWUD
VXEFRQWUDFWRU LI LW VXEFRQWUDFWV RXW WKH H[HPSW VHUYLFHV >
SDUDJUDSK N RU N DSSOLHV @

➢ 0DLQWHQDQFH FDOLEUDWLRQ RU UHSDLU RI FHUWDLQ HTXLSP
RIIHUHG GRHV QRW FHUWLI\ WKDW²

L 7KH LWHPV RI HTXLSPHQW WR EH VHUYLFHG XQGHU WKLV FRQWUDFW
SXUSRVHV DQG DUH VOG RU WUDGHG E\ WKH RIIHURU RU VXEFRQWUD
TXDQWLWLHV WR WKH JHQHUDO SXEOLF LQ WKH FRXUVH RI QRUPDO EX

LL 7KH VHUYLFHV ZLOO EH IXUQLVKHG DW SULFHV ZKLFK DUH RU DUH
F LL IRU WKH PDLQWHQDQFH FDOLEUDWLRQ RU UHSDLU RI

LLL 7KH FRPSHQVDWLRQ ZDJH DQG IULQJH EHQHILWV SODQ IRU DOO
ZLOO EH WKH VDPH DV WKDW XVHG IRU WKHVH HPSOR\HHV DQG HTXLYD
FRPPHUFLDO FXVWRPHUV

➢ &HUWDLQ VHUYLFHV DV GHVFULEHG %/2&.('(6&5,37,21 GRHV QRW WKH RI
FHUWLI\ WKDW²

L 7KH VHUYLFHV XQGHU WKH FRQWUDFW DUH RIIHUHG DQG VOG UHJX
E\ WKH RIIHURU RU VXEFRQWUDFWRU LQ WKH FDVH RI DQ H[HPSW VXEF
LQ WKH FRXUVH RI QRUPDO EXVLQHVV RSHUDWLRQV

LL 7KH FRQWUDFW VHUYLFHV ZLOO EH IXUQLVKHG DW SULFHV WKDW D
VHH)$5 G LLL

LLL (DFK VHUYLFH HPSOR\HH ZKR ZLOO SHUIRUP WKH VHUYLFHV XQGH
RU KHU WLPH D PRQWKO\ DYHUDJH RI OHVV WKDQ SHUFHQW RI WKH
SHUFHQW RI DYDLODEOH KRXUV GXULQJ WKH FRQWUDFW SHULRG LI WKI
*RYHUQPHQW FRQWUDFW DQG

LY 7KH FRPSHQVDWLRQ ZDJH DQG IULQJH EHQHILWV SODQ IRU DOO V
LV WKH VDPH DV WKDW XVHG IRU WKHVH HPSOR\HHV DQG HTXLYDOHQW

,I SDUDJUDSK N RU N RI WKLV FODXVH DSSOLHV²

L ,I WKH RIIHURU GRHV QRW FHUWLI\ WR WKH FRQGLWLRQV LQ SDUDJU
DWWDFK D 6HUYLFH &RQWUDFW /DERU 6WDQGDUGV ZDJH GHWHUPLQDWI
&RQWUDFWLQJ 2IILFHU DV VRRQ DV SRVVLEOH DQG

LL 7KH &RQWUDFWLQJ 2IILFHU PD\ QRW PDNH DQ DZDUG WR WKH RIIHU
SDUDJUDSK N RU N RI WKLV FODXVH RU WR FRQWDFW WKH &RQW
WKLV FODXVH

Taxpayer identification number (TIN) (26 U.S.C. 6109, 31 U.S.C. 7701) 1RW DSSOLFDEOH LI WKH RIIH
WR SURYLGH WKLV LQIRUPDWLRQ WR 6$0 WR EH HOLJLEOH IRU DZDUG

$OO RIIHURUV PXVW VXEPLW WKH LQIRUPDWLRQ UHTXLUHG LQ SDUD
ZLWK GHEW FROOHFWLRQ UHTXLUHPHQWV RI 8 6 & F DQG G
$ DQG 0 DQG LPSOHPHQWLQJ UHJXODWLRQV LVVXHG E\ WKH ,QW

7KH 7,1 PD\ EH XVHG E\ WKH JRYHUQPHQW WR FROOHFW DQG UHSRU
RIIHURU¶V UHODWLRQVKLS ZLWK WKH *RYHUQPHQW 8 6 & F

UHSRUWLQJ UHTXLUHPHQWV GHVFULEHG LQ)$5 WKH 7,1 SURYLGHG
YHULI\ WKH DFFXUDF\ RI WKH RIIHURU¶V 7,1

7D[SD\HU ,GHQWLILFDWLRQ 1XPEHU 7,1

> BB@ 7,1BBB

> BB@ 7,1 KDV EHHQ DSSOLHG IRU

> BB@ 7,1 LV QRW UHTXLUHG EHFDXVH

> BB@ 2IIHURU LV D QRQUHVLGHQW DOLHQ IRUHLJQ FRUSRUDWLRQ RU
HIIHFWLYHO\ FRQQHFWHG ZLWK WKH FRQGXFW RI D WUDGH RU EXVLQHV
SODFH RI EXVLQHVV RU D ILVFDO SD\LQJ DJHQW LQ WKH 8QLWHG 6WDW

> BB@ 2IIHURU LV DQ DJHQF\ RU LQVWUXPHQWDOLW\ RI D IRUHLJQ JRYH

> BB@ 2IIHURU LV DQ DJHQF\ RU LQVWUXPHQWDOLW\ RI WKH)HGHUDO *

7\SH RI RUJDQL]DWLRQ

> BB@ 6ROH SURSULHWRUVKLS

> BB@ 3DUWQHUVKLS

> BB@ &RUSRUDWH HQWLW\ QRW WD[H[HPSW

> BB@ &RUSRUDWH HQWLW\ WD[H[HPSW

> BB@ *RYHUQPHQW HQWLW\ )HGHUDO 6WDWH RU ORFDO

> BB@)RUHLJQ JRYHUQPHQW

> BB@ ,QWHUQDWLRQDO RUJDQL]DWLRQ SHU &)5

> BB@ 2WKHUBBB

&RPPRQ SDUHQW

> BB@ 2IIHURU LV QRW RZQHG RU FRQWUROOHG E\ D FRPPRQ SDUHQW

> BB@ 1DPH DQG 7,1 RI FRPPRQ SDUHQW

1DPHBBB

7,1 BBB

P *Restricted business operations in Sudan* %\ VXEPLVVLRQ RI LWV RIIHU WKH RIIHURU FH
FRQGXFW DQ\ UHVWULFWHG EXVLQHVV RSHUDWLRQV LQ 6XGDQ

Q 3URKLELWLRQ RQ &RQWUDFWLQJ ZLWK ,QYHUWHG 'RPHVWLF &RUSRU

*RYHUQPHQW DJHQFLHV DUH QRW SHUPLWWHG WR XVH DSSURSULDW
ZLWK HLWKHU DQ LQYHUWHG GRPHVWLF FRUSRUDWLRQ RU D VXEVLGLD
H[FHSWLRQ DW E DSSOLHV RU WKH UHTXLUHPHQW LV ZDLYHG LQ

5HSUHVHQWDWLRQ 7KH 2IIHURU UHSUHVHQWV WKDW

L ,W > BBB @ LV > BBB @ LV QRW DQ LQYHUWHG GRPHVWLF FRUSRU

LL ,W > BBB @ LV > BBB @ LV QRW D VXEVLGLDU\ RI DQ LQYHUWHG

R 3URKLELWLRQ RQ FRQWUDFWLQJ ZLWK HQWLWLHV HQJDJLQJ LQ FHU

7KH RIIHURU VKDOO HPDLO TXHVWLRQV FRQFHUQLQJ VHQVLWLYH WH
&,6$'$ #VWDWH JRY

5HSUHVHQWDWLRQ DQG &HUWLILFDWLRQ 8QOHVV D ZDLYHU LV JUDQ
R RI WKLV SURYLVLRQ E\ VXEPLVVLRQ RI LWV RIIHU WKH RIIHURU²

L 5HSUHVHQWV WR WKH EHVW RI LWV NQRZOHGJH DQG EHOLHI WKDW
WKH JRYHUQPHQW RI ,UDQ RU DQ\ HQWLWLHV RU LQGLYLGXDOV RZQHG
RI WKH JRYHUQPHQW RI ,UDQ

LL &HUWLILHV WKDW WKH RIIHURU RU DQ\ SHUVRQ RZQHG RU FRQWUI
ZKLFK VDQFWLRQV PD\ EH LPSRVHG XQGHU VHFWLRQ RI WKH ,UDQ 6DQ

LLL &HUWLILHV WKDW WKH RIIHURU DQG DQ\ SHUVRQ RZQHG RU FRQW
WUDQVDFWLRQ WKDW H[FHHGV WKH WKUHVKROG DW)$5 D ZLW
RIILFLDOV DJHQWV RU DIILOLDWHV WKH SURSHUW\ DQG LQWHUHVWV
,QWHUQDWLRQDO (PHUJHQF\ (FRQRPLF 3RZHUV $FW 8 6 & HW VH
1DWLRQDOV DQG %ORFNHG 3HUVRQV DV DPHQGHG
/LVW 3DJHV GHIDXOW DSS[

7KH UHSUHVHQWDWLRQ DQG FHUWLILFDWLRQ UHTXLUHPHQWV RI SDU

L 7KLV VROLFLWDWLRQ LQFOXGHV D WUDGH DJUHHPHQWV FHUWLILFDW
DQG

LL 7KH RIIHURU KDV FHUWLILHG WKDW DOO WKH RIIHUHG SURGXFWV W

S 2ZQHUVKLS RU &RQWURO RI 2IIHURU $SSOLHV LQ DOO VROLFLWDW
6$0 RU D UHTXLUHPHQW WR KDYH D XQLTXH HQWLW\ LGHQWLILHU LQ WK

7KH 2IIHURU UHSUHVHQWV WKDW LW > BBB @ KDV RU > BBB @ GRH
WKDQ RQH LPPHGLDWH RZQHU VXFK DV D MRLQW YHQWXUH WKHQ WKH
DSSOLFDEOH SDUDJUDSK RI WKLV SURYLVLRQ IRU HDFK SDUWLFLSD

,I WKH 2IIHURU LQGLFDWHV KDV LQ SDUDJUDSK S RI WKLV SURY

,PPHGLDWH RZQHU &$*(FRGH BBBBBBBBBBBBBBBBBBB
,PPHGLDWH RZQHU OHJDO QDPH BBBBBBBBBBBBBBBBBBBB
'R QRW XVH D GRLQJ EXVLQHVV DV QDPH
,V WKH LPPHGLDWH RZQHU RZQHG RU FRQWUROOHG E\ DQRWKHU HQW

,I WKH 2IIHURU LQGLFDWHV \HV LQ SDUDJUDSK S RI WKLV SURY
RU FRQWUROOHG E\ DQRWKHU HQWLW\ WKHQ HQWHU WKH IROORZLQJ L
+LJKHVW OHYHO RZQHU &$*(FRGH BBBBBBBBBBBBBBBBBB
+LJKHVW OHYHO RZQHU OHJDO QDPH BBBBBBBBBBBBBBBBBBB
'R QRW XVH D GRLQJ EXVLQHVV DV QDPH

T 5HSUHVHQWDWLRQ E\ &RUSRUDWLRQV 5HJDUGLQJ 'HOLQTXHQW 7D[/
/DZ

$V UHTXLUHG E\ VHFWLRQV DQG RI 'LYLVLRQ (RI WKH &RQVRO
$FW 3XE / DQG VLPLODU SURYLVLRQV LI FRQWDLQHG LQ
*RYHUQPHQW ZLOO QRW HQWHU LQWR D FRQWUDFW ZLWK DQ\ FRUSRUD

L +DV DQ\ XQSDLG)HGHUDO WD[OLDELOLW\ WKDW KDV EHHQ DVVHVVH
KDYH EHHQ H[KDXVWHG RU KDYH ODSVHG DQG WKDW LV QRW EHLQJ SD
DXWKRULW\ UHVSRQVLEOH IRU FROOHFWLQJ WKH WD[OLDELOLW\ ZKHU
XQOHVV DQ DJHQF\ KDV FRQVLGHUHG VXVSHQVLRQ RU GHEDUPHQW RI W
VXVSHQVLRQ RU GHEDUPHQW LV QRW QHFHVVDU\ WR SURWHFW WKH LQ

LL :DV FRQYLFWHG RI D IHORQ\ FULPLQDO YLRODWLRQ XQGHU DQ\ )HG
DZDUGLQJ DJHQF\ LV DZDUH RI WKH FRQYLFWLRQ XQOHVV DQ DJHQF\ K
FRUSRUDWLRQ DQG PDGH D GHWHUPLQDWLRQ WKDW WKLV DFWLRQ LV Q

7KH 2IIHURU UHSUHVHQWV WKDW²

L ,W LV ‘ LV QRW ‘ D FRUSRUDWLRQ WKDW KDV DQ\ XQSDLG)HGHUDO W
DQG DGPLQLVWUDWLYH UHPHGLHV KDYH EHHQ H[KDXVWHG RU KDYH ODS
SXUVXDQW WR DQ DJUHHPHQW ZLWK WKH DXWKRULW\ UHVSRQVLEOH IR

LL ,W LV ‘ LV QRW ‘ D FRUSRUDWLRQ WKDW ZDV FRQYLFWHG RI D IHOR
SUHFHGLQJ PRQWKV

U 3UHGHFHVVRU RI 2IIHURU $SSOLHV LQ DOO VROLFLWDWLRQV WKDW
*RYHUQPHQW (QWLW\ &RGH 5HSRUWLQJ

7KH 2IIHURU UHSUHVHQWV WKDW LW > BBB @ LV RU > BBB @ LV QR
RU JUDQW ZLWKLQ WKH ODVW WKUHH \HDUV

,I WKH 2IIHURU KDV LQGLFDWHG LV LQ SDUDJUDSK U RI WKLV S
SUHGHFHVVRUV WKDW KHOG D)HGHUDO FRQWUDFW RU JUDQW ZLWKLQ
UHYHUVH FKURQRORJLFDO RUGHU

3UHGHFHVVRU &$*(FRGH BBBB RU PDUN 8QNQRZQ

3UHGHFHVVRU OHJDO QDPH BBBB

'R QRW XVH D GRLQJ EXVLQHVV DV QDPH

W 3XEOLF 'LVFORVXUH RI *UHHQKRXVH *DV (PLVVLRQV DQG 5HGXFWLR
RIIHURUV WR UHJLVWHU LQ 6$0 G

7KLV UHSUHVHQWDWLRQ VKDOO EH FRPSOHWHG LI WKH 2IIHURU UHF
SULRU)HGHUDO ILVFDO \HDU 7KH UHSUHVHQWDWLRQ LV RSWLRQDO LI
FRQWUDFW DZDUGV LQ WKH SULRU)HGHUDO ILVFDO \HDU

5HSUHVHQWDWLRQ >2IIHURU WR FKHFN DSSOLFDEOH EORFN V LQ S
WKURXJK LWV LPPHGLDWH RZQHU RU KLJKHVW OHYHO RZQHU > BBB @
JDV HPLVVLRQV L H PDNHV DYDLODEOH RQ D SXEOLFO\ DFFHVVLEOH
SHUIRUPHG LQ DFFRUGDQFH ZLWK DQ DFFRXQWLQJ VWDQGDUG ZLWK SX
DV WKH *UHHQKRXVH *DV 3URWRFRO &RUSRUDWH 6WDQGDUG

LL 7KH 2IIHURU LWVHOI RU WKURXJK LWV LPPHGLDWH RZQHU RU KLJK
SXEOLFO\ GLVFORVH D TXDQWLWDWLYH JUHHQKRXVH JDV HPLVVLRQV U
DFFHVVLEOH :HE VLWH D WDUJHW WR UHGXFH DEVROXWH HPLVVLRQV R

LLL $ SXEOLFO\ DFFHVVLEOH :HE VLWH LQFOXGHV WKH 2IIHURU V RZQ
HPLVVLRQV UHSRUWLQJ SURJUDP

,I WKH 2IIHURU FKHFNHG GRHV LQ SDUDJUDSKV W L RU W L
SURYLGH WKH SXEOLFO\ DFFHVVLEOH :HE VLWH V ZKHUH JUHHQKRXVH
BBB

X ,Q DFFRUGDQFH ZLWK VHFWLRQ RI 'LYLVLRQ (7LWOH 9,, RI W
$SSURSULDWLRQV $FW 3XE / DQG LWV VXFFHVVRU SURYLV
H[WHQGHG LQ FRQWLQXLQJ UHVROXWLRQ *RYHUQPHQW DJHQFLHV DU
DYDLODEOH IXQGV IRU FRQWUDFWV ZLWK DQ HQWLW\ WKDW UHTXLUHV
UHSRUW ZDVWH IUDXG RU DEXVH WR VLJQ LQWHUQDO FRQILGHQWLDO
UHVWULFWLQJ VXFK HPSOR\HHV RU VXEFRQWUDFWRUV IURP ODZIXOO\ U
LQYHVWLJDWLYH RU ODZ HQIRUFHPHQW UHSUHVHQWDWLYH RI D)HGHUD
LQIRUPDWLRQ

7KH SURKLELWLRQ LQ SDUDJUDSK X RI WKLV SURYLVLRQ GRHV Q
)RUP &ODVVLILHG ,QIRUPDWLRQ 1RQGLVFORVXUH $JUHHPHQW)RUP
1RQGLVFORVXUH $JUHHPHQW RU DQ\ RWKHU IRUP LVVXHG E\ D)HGHUD
RI FODVVLILHG LQIRUPDWLRQ

5HSUHVHQWDWLRQ %\ VXEPLVVLRQ RI LWV RIIHU WKH 2IIHURU UHSU
VXEFRQWUDFWRUV WR VLJQ RU FRPSO\ ZLWK LQWHUQDO FRQILGHQWLDO
UHVWULFWLQJ VXFK HPSOR\HHV RU VXEFRQWUDFWRUV IURP ODZIXOO\ U
SHUIRUPDQFH RI D *RYHUQPHQW FRQWUDFW WR D GHVLJQDWHG LQYHVW
GHSDUWPHQW RU DJHQF\ DXWKRUL]HG WR UHFHLYH VXFK LQIRUPDWLRQ

Y &RYHUHG 7HOHFRPPXQLFDWLRQV (TXLSPHQW RU 6HUYLFHV 5HSUHV
D % RI 3XEOLF /DZ

7KH 2IIHURU VKDOO UHYLHZ WKH OLVW RI H[FOXGHG SDUWLHV LQ WK
KWWSV ZZZ.IRUPHQWLWLHV H[FOXGHG IURP UHFHLYLQJ IHGHUDO DZDU
HTXLSPHQW RU VHUYLFHV

7KH 2IIHURU UHSUHVHQWV WKDW

L ,W > BBB @ GRHV > BBB @ GRHV QRW SURYLGH FRYHUHG WHOHF
RIIHUHG SURGXFWV RU VHUYLFHV WR WKH *RYHUQPHQW LQ WKH SHUIRU
LQVWUXPHQW

LL $IWHU FRQGXFWLQJ D UHDVRQDEOH LQTXLU\ IRU SXUSRVHV RI WKL
XVH FRYHUHG WHOHFRPPXQLFDWLRQV HTXLSPHQW RU VHUYLFHV RU DQ
WHOHFRPPXQLFDWLRQV HTXLSPHQW RU VHUYLFHV

(QG RI SURYLVLRQ

&2175$&7 7(506 $1' &21',7,216 5(48,5(' 72 ,03/(0(17 67$787(6 25
(;(&87,9(25'(56 &200(5&,$/ ,7(06 -$1

D 7KH &RQWUDFWRU VKDOO FRPSO\ ZLWK WKH IROORZLQJ)HGHUDO $F
LQFRUSRUDWHG LQ WKLV FRQWUDFW E\ UHIHUHQFH WR LPSOHPHQW SU
DFTXLVLWLRQV RI FRPPHUFLDO LWHPV

3URKLELWLRQ RQ 5HTXLULQJ &HUWDLQ ,QWHUQDO &RQILGHQ
VHFWLRQ RI 'LYLVLRQ (7LWOH 9,, RI WKH &RQVROLGDWHG DQG)X
DQG LWV VXFFHVVRU SURYLVLRQV LQ VXEVHTXHQW DSSURSULDW

3URKLELWLRQ RQ &RQWUDFWLQJ IRU +DUGZDUH 6RIWZDUH
.DVSHUVN\ /DE DQG 2WKHU &RYHUHG (QWLWLHV -XO 6HFWLRQ

3URKLELWLRQ RQ &RQWUDFWLQJ IRU &HUWDLQ 7HOHFRPPXQ
(TXLSPHQW $8* 6HFWLRQ D $ RI 3XE /

3URKLELWLRQ RQ &RQWUDFWLQJ ZLWK ,QYHUWHG 'RPHVWLF

3URWHVW $IWHU $ZDUG $8* 8 6 &

$SSOLFDEOH /DZ IRU %UHDFK RI &RQWUDFW &ODLP 2&7
8 6 & QRWH

E 7KH &RQWUDFWRU VKDOO FRPSO\ ZLWK WKH)$5 FODXVHV LQ WKLV S
LQGLFDWHG DV EHLQJ LQFRUSRUDWHG LQ WKLV FRQWUDFW E\ UHIHUHQ
DSSOLFDEOH WR DFTXLVLWLRQV RI FRPPHUFLDO LWHPV &RQWUDFWLQ

BBB 5HVWULFWLRQV RQ 6XEFRQWUDFWRU 6DOHV WR WKH *
8 6 & DQG 8 6 &

BBBB &RQWUDFWRU &RGH RI %XVLQHVV (WKLFV DQG &RQGXF

BBBB :KLVWOHEORZHU 3URWHFWLRQV XQGHU WKH $PHULFDQ
6HFWLRQ RI 3XE / $SSOLHV WR FRQWUDFWV IXQGHG E\
$FW RI

5HSRUWLQJ ([HFXWLYH &RPSHQVDWLRQ DQG)LUVW 7LHU
8 6 & QRWH

BBB >5HVHUYHG@

BBB 6HUYLFH &RQWUDFW 5HSRUWLQJ 5HTXLUHPHQWV 2FW
&

BBB 6HUYLFH &RQWUDFW 5HSRUWLQJ 5HTXLUHPHQWV IRU ,QG
/ VHFWLRQ RI 'LY &

BBB 3URWHFWLQJ WKH *RYHUQPHQW V ,QWHUHVW :KHQ 6XEF
6XVSHQGHG RU 3URSRVHG IRU 'HEDUPHQW -81 8 6 & QRWH

BBBB 8SGDWHV RI 3XEOLFO\ $YDLODEOH ,QIRUPDWLRQ 5HJDUG
8 6 &

BBBB >5HVHUYHG@

BBBB L 1RWLFH RI +8%=RQH 6HW $VLGH RU 6ROH 6RXUFH $Z

BBBB LL $OWHUQDWH , 0$5 RI

BBBB L 1RWLFH RI 3ULFH (YDOXDWLRQ 3UHIHUHQFH IRU +8
LI WKH RIIHURU HOHFWV WR ZDLYH WKH SUHIHUHQFH LW VKDOO VR LQ

BBBB LL $OWHUQDWH , 0$5 RI

BBBB >5HVHUYHG@

BBBB L 1RWLFH RI 7RWDO 6PDOO %XVLQHVV 6HW $VLGH 12

BBBB LL $OWHUQDWH , 0$5 RI

BBBB L 1RWLFH RI 3DUWLDO 6PDOO %XVLQHVV 6HW $VLGH

BBBB LL $OWHUQDWH , 0$5 RI

BBBB 8WLOL]DWLRQ RI 6PDOO %XVLQHVV &RQFHUQV 2&7

BBBB L 6PDOO %XVLQHVV 6XEFRQWUDFWLQJ 3ODQ -81

BBBB LL $OWHUQDWH , 129 RI

BBBB LLL $OWHUQDWH ,, 129 RI

BBBB LY $OWHUQDWH ,,, -81 RI

BBBB Y $OWHUQDWH ,9 -81 RI

BBBB L 1RWLFH RI 6HW $VLGH RI 2UGHUV 0$5 8 6 &

BBBB LL $OWHUQDWH , 0$5 RI

BBBB /LPLWDWLRQV RQ 6XEFRQWUDFWLQJ 0$5 8 6 &

BBBB /LTXLGDWHG 'DPDJHV²6XEFRQWUDFWLQJ 3ODQ -DQ

BBBB 1RWLFH RI 6HUYLFH 'LVDEOHG 9HWHUDQ 2ZQHG 6PDOO
8 6 & I

BBBB L 3RVW $ZDUG 6PDOO %XVLQHVV 3URJUDP 5HUHSUHV

BBBB LL $OWHUQDWH , 0$5 RI

BBBB 1RWLFH RI 6HW $VLGH IRU RU 6ROH 6RXUFH $ZDUG W
2ZQHG 6PDOO %XVLQHVV ('':26% &RQFHUQV 0$5 8 6 & P

BBBB 1RWLFH RI 6HW $VLGH IRU RU 6ROH 6RXUFH $ZDUG W
(OLJLEOH 8QGHU WKH :RPHQ 2ZQHG 6PDOO %XVLQHVV 3URJUDP 0$5
BBBB 2UGHUV ,VVXHG 'LUHFWO\ 8QGHU 6PDOO %XVLQHVV 5H

BBBB 1RQPDQXIDFWXUHU 5XOH 0$5 8 6 & D

[&RQYLFW /DERU -81 (2

BBBB &KLOG /DERU &RRSHUDWLRQ ZLWK $XWKRULWLHV DQG 5

[3URKLELWLRQ RI 6HJUHJDWHG)DFLOLWLHV $35

[L (TXDO 2SSRUWXQLW\ 6(37 (2

BBBB LL $OWHUQDWH ,)(% RI

BBBB L (TXDO 2SSRUWXQLW\ IRU 9HWHUDQV -81 8 6

BBBB LL $OWHUQDWH , -8/ RI

[L (TXDO 2SSRUWXQLW\ IRU :RUNHUV ZLWK 'LVDELOLWLHV

BBBB LL $OWHUQDWH , -8/ RI

BBBB (PSOR\PHQW 5HSRUWV RQ 9HWHUDQV -81 8 6 &

BBBB 1RWLILFDWLRQ RI (PSOR\HH 5LJKWV 8QGHU WKH 1DWL

[L &RPEDWLQJ 7UDIILFNLQJ LQ 3HUVRQV 2&7 8 6 &

BBBB LL $OWHUQDWH , 0$5 RI 8 6 & FKDSWHU DQG (

BBBB (PSOR\PHQW (OLJLELOLW\ 9HULILFDWLRQ 2&7 (
DFTXLVLWLRQ RI FRPPHUFLDOO\ DYDLODEOH RII WKH VKHOI LWHPV RU

BBBB L (VWLPDWH RI 3HUFHQWDJH RI 5HFRYHUHG 0DWHULD
8 6 & F $ LL 1RW DSSOLFDEOH WR WKH DFTXLVLWLRQ
LWHPV

BBBB LL $OWHUQDWH , 0$< RI 8 6 & L & 1RW
FRPPHUFLDOO\ DYDLODEOH RII WKH VKHOI LWHPV

BBBB 2]RQH 'HSOHWLQJ 6XEVWDQFHV DQG +LJK *OREDO :DU
(2

BBBB 0DLQWHQDQFH 6HUYLFH 5HSDLU RU 'LVSRVDO RI 5H
-81 (2

BBBB L $FTXLVLWLRQ RI (QHUJ\ ,PDJLQJ (TXLSPHQW -81

BBBB LL $OWHUQDWH , 2&7 RI

BBBB L $FTXLVLWLRQ RI (QHUJ\ 7HOHYLVLRQV -81 (2 V

BBBB LL $OWHUQDWH , -81 RI

BBBB (QHUJ\ (IILFLHQF\ LQ (QHUJ\ &RQVXPLQJ 3URGXFWV 0

BBBB L $FTXLVLWLRQ RI (3($7Š 5HJLVWHUHG 3HUVRQDO &R
DQG

BBBB LL $OWHUQDWH , -81 RI

[(QFRXUDJLQJ &RQWUDFWRU 3ROLFLHV WR %DQ 7H[W 0HVV

BBBB $HURVROV -81 (2

BBBB)RDPV -81 (2

BBBB L 3ULYDF\ 7UDLQLQJ -$1 8 6 & D

BBBB LL $OWHUQDWH , -$1 RI

BBBB %X\ $PHULFDQ 6XSSOLHV -$1 8 6 & FKDSWHU

BBBB L %X\ $PHULFDQ)UHH 7UDGH $JUHHPHQWV ,VUDHOL
8 6 & QRWH 8 6 & QRWH 8 6 & QRWH 8 6 &
DQG

BBBB LL $OWHUQDWH , -$1 RI

BBBB LLL $OWHUQDWH ,, -$1 RI

BBBB LY $OWHUQDWH ,,, -$1 RI

BBBB 7UDGH $JUHHPHQWV 2&7 8 6 & HW VHT

[5HVWULFWLRQV RQ &HUWDLQ)RUHLJQ 3XUFKDVHV -81
DGPLQLVWHUHG E\ WKH 2IILFH RI)RUHLJQ $VVHWV &RQWURO RI WKH 'H

BBBB &RQWUDFWRUV 3HUIRUPLQJ 3ULYDWH 6HFXULW\ )XQFWLR
6HFWLRQ DV DPHQGHG RI WKH 1DWLRQDO 'HIHQVH $XWKRUL]DWLR

BBBB 1RWLFH RI 'LVDVWHU RU (PHUJHQF\ $UHD 6HW $VLGH

BBBB 5HVWULFWLRQV RQ 6XEFRQWUDFWLQJ 2XWVLGH 'LVDVW

BBBB 7D[RQ &HUWDLQ)RUHLJQ 3URFXUHPHQWV -81

BBBB 7HUPV IRU)LQDQFLQJ RI 3XUFKDVHV RI &RPPHUFLDO ,
8 6 & I

BBBB ,QVWDOOPHQW 3D\PHQWV IRU &RPPHUFLDO ,WHPV -$1

[3D\PHQW E\ (OHFWURQLF)XQGV 7UDQVIHU²6\VWHP IRU $ZD

BBBB 3D\PHQW E\ (OHFWURQLF)XQGV 7UDQVIHU²2WKHU WKD
8 6 &

BBBB 3D\PHQW E\ 7KLUG 3DUW\ 0$< 8 6 &

BBBB 3ULYDF\ RU 6HFXULW\ 6DIHJXDUGV $8* 8 6 &

BBBB 3D\PHQWV WR 6PDOO %XVLQHVV 6XEFRQWUDFWRUV -

BBBB L 3UHIHUHQFH IRU 3ULYDWHO\ 2ZQHG 8 6)ODJ &RPP
$SS[E DQG 8 6 &

BBBB LL $OWHUQDWH , $35 RI

BBBB LLL $OWHUQDWH ,,)(% RI

F 7KH &RQWUDFWRU VKDOO FRPSO\ ZLWK WKH)$5 FODXVHV LQ WKLV S
WKH &RQWUDFWLQJ 2IILFHU KDV LQGLFDWHG DV EHLQJ LQFRUSRUDWHG
ODZ RU ([HFXWLYH RUGHUV DSSOLFDEOH WR DFTXLVLWLRQV RI FRPPHU

[6HUYLFH &RQWUDFW /DERU 6WDQGDUGV $8* 8 6 &

[6WDWHPHQW RI (TXLYDOHQW 5DWHV IRU)HGHUDO +LUHV 0
FKDSWHU

BBBBB)DLU /DERU 6WDQGDUGV $FW DQG 6HUYLFH &RQWUDFW
<HDU DQG 2SWLRQ &RQWUDFWV $8* 8 6 & DQG 8 6 & FKD

BBBBB)DLU /DERU 6WDQGDUGV $FW DQG 6HUYLFH &RQWUDFW
8 6 & DQG 8 6 & FKDSWHU

BBBBB ([HPSWLRQ IURP $SSOLFDWLRQ RI WKH 6HUYLFH &RQW
0DLQWHQDQFH &DOLEUDWLRQ RU 5HSDLU RI &HUWDLQ (TXLSPHQW 5H

BBBBB ([HPSWLRQ IURP $SSOLFDWLRQ RI WKH 6HUYLFH &RQW
6HUYLFHV 5HTXLUHPHQWV 0$< 8 6 & FKDSWHU

[0LQLPXP :DJHV 8QGHU ([HFXWLYH 2UGHU 129 (2

[3DLG 6LFN /HDYH 8QGHU ([HFXWLYH 2UGHU -$1 (

BBBBB 3URPRWLQJ ([FHVV)RRG 'RQDWLRQ WR 1RQSURILW 2U

G &RPSWUROOHU *HQHUDO ([DPLQDWLRQ RI 5HFRUG 7KH &RQWUDFWR
G LI WKLV FRQWUDFW ZDV DZDUGHG XVLQJ RWKHU WKDQ VHDOHG ELG
GHILQHG LQ)$5 RQ WKH GDWH RI DZDUG RI WKLV FRQWUDFW DQG
5HFRUGV 1HJRWLDWLRQ

7KH &RPSWUROOHU *HQHUDO RI WKH 8QLWHG 6WDWHV RU DQ DXWKR
KDYH DFFHVV WR DQG ULJKW WR H[DPLQH DQ\ RI WKH &RQWUDFWRU V
WR WKLV FRQWUDFW

7KH &RQWUDFWRU VKDOO PDNH DYDLODEOH DW LWV RIILFHV DW DOO
HYLGHQFH IRU H[DPLQDWLRQ DXGLW RU UHSURGXFWLRQ XQWLO \HD
VKRUWHU SHULRG VSHFLILHG LQ)$5 6XESDUW &RQWUDFWRU 5HFRU
WKLV FRQWUDFW LV FRPSOHWHO\ RU SDUWLDOO\ WHUPLQDWHG WKH U
DYDLODEOH IRU \HDUV DIWHU DQ\ UHVXOWLQJ ILQDO WHUPLQDWLRQ V
FODXVH RU WR OLWLJDWLRQ RU WKH VHWWOHPHQW RI FODLPV DULVLQJ
XQWLO VXFK DSSHDOV OLWLJDWLRQ RU FODLPV DUH ILQDOO\ UHVROY

$V XVHG LQ WKLV FODXVH UHFRUGV LQFOXGH ERRNV GRFXPHQWV
UHJDUGOHVV RI W\SH DQG UHJDUGOHVV RI IRUP 7KLV GRHV QRW UHTX
WKH &RQWUDFWRU GRHV QRW PDLQWDLQ LQ WKH RUGLQDU\ FRXUVH RI

H 1RWZLWKVWDQGLQJ WKH UHTXLUHPHQWV RI WKH FODXVHV LQ SD
&RQWUDFWRU LV QRW UHTXLUHG WR IORZ GRZQ DQ\ )$5 FODXVH RWKH
FRPPHUFLDO LWHPV 8QOHVV RWKHUZLVH LQGLFDWHG EHORZ WKH H[W
FODXVH²

L &RQWUDFWRU &RGH RI %XVLQHVV (WKLFV DQG &RQGXFW -8

LL 3URKLELWLRQ RQ 5HTXLULQJ &HUWDLQ ,QWHUQDO &RQILGH
VHFWLRQ RI 'LYLVLRQ (7LWOH 9,, RI WKH &RQVROLGDWHG DQG)X
DQG LWV VXFFHVVRU SURYLVLRQV LQ VXEVHTXHQW DSSURSULDW

LLL 3URKLELWLRQ RQ &RQWUDFWLQJ IRU +DUGZDUH 6RIWZDU
.DVSHUVN\ /DE DQG 2WKHU &RYHUHG (QWLWLHV -XO 6HFWLRQ

LY 3URKLELWLRQ RQ &RQWUDFWLQJ IRU &HUWDLQ 7HOHFRPPX
(TXLSPHQW $8* 6HFWLRQ D $ RI 3XE /

Y 8WLOL]DWLRQ RI 6PDOO %XVLQHVV &RQFHUQV 2FW 8
WKDW RIIHU IXUWKHU VXEFRQWUDFWLQJ RSSRUWXQLWLHV ,I WKH VXEF
WR VPDOO EXVLQHVV FRQFHUQV H[FHHGV WKH DSSOLFDEOH WKUHVKRO
DZDUG WKH VXEFRQWUDFWRU PXVW LQFOXGH LQ ORZHU WLHU V

YL 3URKLELWLRQ RI 6HJUHJDWHG)DFLOLWLHV $SU

YLL (TXDO 2SSRUWXQLW\ 6HS (2

YLLL (TXDO 2SSRUWXQLW\ IRU 9HWHUDQV -81 8 6 &

L[(TXDO 2SSRUWXQLW\ IRU :RUNHUV ZLWK 'LVDELOLWLHV -81

[(PSOR\PHQW 5HSRUWV RQ 9HWHUDQV -81 8 6 &

[L 1RWLILFDWLRQ RI (PSOR\HH 5LJKWV 8QGHU WKH 1DWLRQDO)ORZ GRZQ UHTXLUHG LQ DFFRUGDQFH ZLWK SDUDJUDSK I RI)$5 FODX

[LL 6HUYLFH &RQWUDFW /DERU 6WDQGDUGV $XJ 8 6 &

[LLL [$ &RPEDWLQJ 7UDIILFNLQJ LQ 3HUVRQV 2&7 8

BBBBB % $OWHUQDWH , 0DUFK RI 8 6 & FKDSWHU

[LY ([HPSWLRQ IURP $SSOLFDWLRQ RI WKH 6HUYLFH &RQWUDF 0DLQWHQDQFH &DOLEUDWLRQ RU 5HSDLU RI &HUWDLQ (TXLSPHQW 5H

[Y ([HPSWLRQ IURP $SSOLFDWLRQ RI WKH 6HUYLFH &RQWUDFW 6HUYLFHV 5HTXLUHPHQWV 0D\ 8 6 & FKDSWHU

[YL (PSOR\PHQW (OLJLELOLW\ 9HULILFDWLRQ 2FW (2

[YLL 0LQLPXP :DJHV 8QGHU ([HFXWLYH 2UGHU 129 (

[YLLL 3DLG 6LFN /HDYH 8QGHU ([HFXWLYH 2UGHU -DQ (2

[L[$ 3ULYDF\ 7UDLQLQJ &DQ D

% $OWHUQDWH , -DQ RI

[[&RQWUDFWRUV 3HUIRUPLQJ 3ULYDWH 6HFXULW\ )XQFWLRQV DV DPHQGHG RI WKH 1DWLRQDO 'HIHQVH $XWKRUL]DWLRQ $FW IRU

[[L 3URPRWLQJ ([FHVV)RRG 'RQDWLRQ WR 1RQSURILW 2UJDQL] GRZQ UHTXLUHG LQ DFFRUGDQFH ZLWK SDUDJUDSK H RI)$5 FODXVH

[[LL 3UHIHUHQFH IRU 3ULYDWHO\ 2ZQHG 8 6)ODJ &RPPHUFLD E DQG 8 6 &)ORZ GRZQ UHTXLUHG LQ DFFRUGDQFH ZLWK S

:KLOH QRW UHTXLUHG WKH &RQWUDFWRU PD\ LQFOXGH LQ LWV VXE DGGLWLRQDO FODXVHV QHFHVVDU\ WR VDWLVI\ LWV FRQWUDFWXDO REO

(QG RI FODXVH

3267 $:$5' 60$// %86,1(66 352*5$0 5(5(35(6(17$7,21 129

D 'HILQLWLRQV $V XVHG LQ WKLV FODXVH

/RQJ WHUP FRQWUDFW PHDQV D FRQWUDFW RI PRUH WKDQ ILYH \HDUV QRW LQFOXGH FRQWUDFWV WKDW H[FHHG ILYH \HDUV LQ GXUDWLRQ EH FXPXODWLYH SHULRG QRW WR H[FHHG VL[PRQWKV XQGHU WKH FODXVH DSSURSULDWH DXWKRULW\

6PDOO EXVLQHVV FRQFHUQ

0HDQV D FRQFHUQ LQFOXGLQJ LWV DIILOLDWHV WKDW LV LQGHSHQ
RSHUDWLRQ LQ ZKLFK LW LV ELGGLQJ RQ *RYHUQPHQW FRQWUDFWV DQ
&)5 SDUW DQG WKH VL]H VWDQGDUG LQ SDUDJUDSK G RI WKLV FOD
RSHUDWLRQ ZKHQ LW GRHV QRW H[HUFLVH D FRQWUROOLQJ RU PDMRU
DFWLYLW\ LQ ZKLFK D QXPEHU RI EXVLQHVV FRQFHUQV DUH SULPDULO\
FRQVLGHUDWLRQ VKDOO EH JLYHQ WR DOO DSSURSULDWH IDFWRUV LQ
YROXPH RI EXVLQHVV QXPEHU RI HPSOR\HHV ILQDQFLDO UHVRXUFHV
RI PDWHULDOV SURFHVVHV SDWHQWV OLFHQVH DJUHHPHQWV IDFLOL

$IILOLDWHV DV XVHG LQ WKLV GHILQLWLRQ PHDQV EXVLQHVV FRQF
WKH SRZHU WR FRQWURO WKH RWKHUV RU D WKLUG SDUW\ RU SDUWLH
GHWHUPLQLQJ ZKHWKHU DIILOLDWLRQ H[LVWV FRQVLGHUDWLRQ LV JLY
FRPPRQ PDQDJHPHQW DQG FRQWUDFWXDO UHODWLRQVKLSV 6%$ GHWH
&)5

E ,I WKH &RQWUDFWRU UHSUHVHQWHG WKDW LW ZDV DQ\ RI WKH VPDO
DZDUG RI WKLV FRQWUDFW WKH &RQWUDFWRU VKDOO UHUHSUHVHQW L
RI WKLV FODXVH RU LI DSSOLFDEOH SDUDJUDSK K RI WKLV FODXVH

:LWKLQ GD\V DIWHU H[HFXWLRQ RI D QRYDWLRQ DJUHHPHQW RU ZI
LQFOXGH WKLV FODXVH LI WKH QRYDWLRQ DJUHHPHQW ZDV H[HFXWHG

:LWKLQ GD\V DIWHU D PHUJHU RU DFTXLVLWLRQ WKDW GRHV QRW
RI WKH FRQWUDFW WR LQFOXGH WKLV FODXVH LI WKH PHUJHU RU DFTX
FRQWUDFW

)RU ORQJ WHUP FRQWUDFWV

L :LWKLQ WR GD\V SULRU WR WKH HQG RI WKH ILIWK \HDU RI WKH

LL :LWKLQ WR GD\V SULRU WR WKH GDWH VSHFLILHG LQ WKH FRQ

F ,I WKH &RQWUDFWRU UHSUHVHQWHG WKDW LW ZDV DQ\ RI WKH VPDO
DZDUG RI WKLV FRQWUDFW WKH &RQWUDFWRU VKDOO UHUHSUHVHQW L
RI WKLV FODXVH RU LI DSSOLFDEOH SDUDJUDSK K RI WKLV FODXVH
RUGHU LVVXHG XQGHU D PXOWLSOH DZDUG FRQWUDFW

G 7KH &RQWUDFWRU VKDOO UHUHSUHVHQW LWV VL]H VWDWXV LQ DFFH
UHUHSUHVHQWDWLRQ WKDW FRUUHVSRQGV WR WKH 1RUWK $PHULFDQ ,
WR WKLV FRQWUDFW 7KH VPDOO EXVLQHVV VL]H VWDQGDUG FRUUHVSR
KWWSV ZZZ VED JRY GRFXPHQW VXSSRUW WDEOH VL]H VWDQGDUGV

H 7KH VPDOO EXVLQHVV VL]H VWDQGDUG IRU D &RQWUDFWRU SURYLG
FRQWUDFW RWKHU WKDQ D FRQVWUXFWLRQ RU VHUYLFH FRQWUDFW LV

I ([FHSW DV SURYLGHG LQ SDUDJUDSK K RI WKLV FODXVH WKH &RQV
SDUDJUDSK E DQG F RI WKLV FODXVH E\ YDOLGDWLQJ RU XSGDWLQJ
&HUWLILFDWLRQV VHFWLRQ RI WKH 6\VWHP IRU $ZDUG 0DQDJHPHQW 6$
HQVXUH WKDW WKH\ UHIOHFW WKH &RQWUDFWRU V FXUUHQW VWDWXV
ZLWKLQ WKH WLPHIUDPHV VSHFLILHG LQ SDUDJUDSK E RI WKLV FODXV
WKLV FODXVH WKDW WKH GDWD KDYH EHHQ YDOLGDWHG RU XSGDWHG

J ,I WKH &RQWUDFWRU UHSUHVHQWHG WKDW LW ZDV RWKHU WKDQ D V
&RQWUDFWRU PD\ EXW LV QRW UHTXLUHG WR WDNH WKH DFWLRQV UH

K ,I WKH &RQWUDFWRU GRHV QRW KDYH UHSUHVHQWDWLRQV DQG FHU
6$0 IRU WKH 1$,&6 FRGH DSSOLFDEOH WR WKLV FRQWUDFW WKH &RQW
UHUHSUHVHQWDWLRQ DQG VXEPLW LW WR WKH FRQWUDFWLQJ RIILFH D
UHUHSUHVHQWDWLRQ ZDV FRPSOHWHG

7KH &RQWUDFWRU UHSUHVHQWV WKDW LW > @ LV > @ LV Q
DVVLJQHG WR FRQWUDFW QXPEHU : :- 3;;;;

>&RPSOHWH RQO\ LI WKH &RQWUDFWRU UHSUHVHQWHG LWVHOI DV D
FODXVH @ 7KH &RQWUDFWRU UHSUHVHQWV WKDW LW > @ LV >
GHILQHG LQ &)5

>&RPSOHWH RQO\ LI WKH &RQWUDFWRU UHSUHVHQWHG LWVHOI DV D
FODXVH @ 7KH &RQWUDFWRU UHSUHVHQWV WKDW LW > @ LV >

:RPHQ RZQHG VPDOO EXVLQHVV :26% FRQFHUQ HOLJLEOH XQGHU W
&RQWUDFWRU UHSUHVHQWHG LWVHOI DV D ZRPHQ RZQHG VPDOO EXVLQ
FODXVH @ 7KH &RQWUDFWRU UHSUHVHQWV WKDW

L ,W > @ LV > @ LV QRW D :26% FRQFHUQ HOLJLEOH XQGHU
GRFXPHQWV WR WKH :26% 5HSRVLWRU\ DQG QR FKDQJH LQ FLUFXPVWD
EHHQ LVVXHG WKDW DIIHFWV LWV HOLJLELOLW\ DQG

LL ,W > @ LV > @ LV QRW D MRLQW YHQWXUH WKDW FRPSOL
UHSUHVHQWDWLRQ LQ SDUDJUDSK K L RI WKLV FODXVH LV DFFXUDW
3URJUDP SDUWLFLSDWLQJ LQ WKH MRLQW YHQWXUH

>7KH &RQWUDFWRU VKDOO HQWHU WKH QDPH RU QDPHV RI WKH :26% FR
VPDOO EXVLQHVVHV WKDW DUH SDUWLFLSDWLQJ LQ WKH MRLQW YHQWX
HOLJLEOH XQGHU WKH :26% 3URJUDP SDUWLFLSDWLQJ LQ WKH MRLQW Y
:26% UHSUHVHQWDWLRQ

(FRQRPLFDOO\ GLVDGYDQWDJHG ZRPHQ RZQHG VPDOO EXVLQHVV ('
&RQWUDFWRU UHSUHVHQWHG LWVHOI DV D ZRPHQ RZQHG VPDOO EXVLQ
RI WKLV FODXVH @ 7KH &RQWUDFWRU UHSUHVHQWV WKDW

L ,W > @ LV > @ LV QRW DQ (':26% FRQFHUQ HOLJLEOH XQGH
UHTXLUHG GRFXPHQWV WR WKH :26% 5HSRVLWRU\ DQG QR FKDQJH LQ
KDYH EHHQ LVVXHG WKDW DIIHFWV LWV HOLJLELOLW\ DQG

LL ,W > @ LV > @ LV QRW D MRLQW YHQWXUH WKDW FRPSOL
UHSUHVHQWDWLRQ LQ SDUDJUDSK K L RI WKLV FODXVH LV DFFXUDW
YHQWXUH >7KH &RQWUDFWRU VKDOO HQWHU WKH QDPH RU QDPHV RI W
EXVLQHVVHV WKDW DUH SDUWLFLSDWLQJ LQ WKH MRLQW YHQWXUH
YHQWXUH VKDOO VXEPLW D VHSDUDWH VLJQHG FRS\ RI WKH (':26% UHS

>&RPSOHWH RQO\ LI WKH &RQWUDFWRU UHSUHVHQWHG LWVHOI DV D
FODXVH @ 7KH &RQWUDFWRU UHSUHVHQWV WKDW LW > @ LV >
VPDOO EXVLQHVV FRQFHUQ

>&RPSOHWH RQO\ LI WKH &RQWUDFWRU UHSUHVHQWHG LWVHOI DV D
K RI WKLV FODXVH @ 7KH &RQWUDFWRU UHSUHVHQWV WKDW LW >

VHUYLFH GLVDEOHG YHWHUDQ RZQHG VPDOO EXVLQHVV FRQFHUQ

>&RPSOHWH RQO\ LI WKH &RQWUDFWRU UHSUHVHQWHG LWVHOI DV D
FODXVH @ 7KH &RQWUDFWRU UHSUHVHQWV WKDW

L ,W > @ LV > @ LV QRW D +8%=RQH VPDOO EXVLQHVV FRQF
/LVW RI 4XDOLILHG +8%=RQH 6PDOO %XVLQHVV &RQFHUQV PDLQWDLQHG
PDWHULDO FKDQJHV LQ RZQHUVKLS DQG FRQWURO SULQFLSDO RIILFH
LW ZDV FHUWLILHG LQ DFFRUGDQFH ZLWK &)5 SDUW DQG

LL ,W > @ LV > @ LV QRW D +8%=RQH MRLQW YHQWXUH WKDV
DQG WKH UHSUHVHQWDWLRQ LQ SDUDJUDSK K L RI WKLV FODXVH L
SDUWLFLSDWLQJ LQ WKH +8%=RQH MRLQW YHQWXUH >7KH &RQWUDFWR
EXVLQHVV FRQFHUQV SDUWLFLSDWLQJ LQ WKH +8%=RQH MRLQW YHQWX
SDUWLFLSDWLQJ LQ WKH +8%=RQH MRLQW YHQWXUH VKDOO VXEPLW D V

>&RQWUDFWRU WR VLJQ DQG GDWH DQG LQVHUW DXWKRUL]HG VLJQHU

(QG RI FODXVH

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7KLV VROLFLWDWLRQ LQFRUSRUDWHV RQH RU PRUH VROLFLWDWLRQ SU
WKH\ ZHUH JLYHQ LQ IXOO WH[W 8SRQ UHTXHVW WKH &RQWUDFWLQJ 2
FDXWLRQHG WKDW WKH OLVWHG SURYLVLRQV PD\ LQFOXGH EORFNV WK
TXRWDWLRQ RU RIIHU ,Q OLHX RI VXEPLWWLQJ WKH IXOO WH[W RI WKR
SDUDJUDSK LGHQWLILHU DQG SURYLGH WKH DSSURSULDWH LQIRUPDWL
VROLFLWDWLRQ SURYLVLRQ PD\ EH DFFHVVHG HOHFWURQLFDOO\ DW WK

KWWSV ZZZ DFTXLVLWLRQ JRY

(QG RI SURYLVLRQ

&/$86(6 ,1&25325$7(' %< 5()(5(1&( )(%

7KLV FRQWUDFW LQFRUSRUDWHV RQH RU PRUH FODXVHV E\ UHIHUHQFH
IXOO WH[W 8SRQ UHTXHVW WKH &RQWUDFWLQJ 2IILFHU ZLOO PDNH WK
EH DFFHVVHG HOHFWURQLFDOO\ DW WKLV WKHVH DGGUHVV HV

KWWSV ZZZ DFTXLVLWLRQ JRY

(QG RI FODXVH

$87+25,=(' '(9,$7,216 ,1 3529,6,216 129

D 7KH XVH LQ WKLV VROLFLWDWLRQ RI DQ\ )HGHUDO $FTXLVLWLRQ 5H
DXWKRUL]HG GHYLDWLRQ LV LQGLFDWHG E\ WKH DGGLWLRQ RI '(9,$7,

E 7KH XVH LQ WKLV VROLFLWDWLRQ RU FRQWUDFW RI DQ\ )HGHUDO $SSURSULDWHG
LQGLFDWHG E\ WKH DGGLWLRQ RI '(9,$7,21 DIWHU WKH QDPH RI WKH

(QG RI SURYLVLRQ

$87+25,=(' '(9,$7,216 ,1 &/$86(6 129

D 7KH XVH LQ WKLV VROLFLWDWLRQ RU FRQWUDFW RI DQ\ )HGHUDO $SSURSULDWHG
DXWKRUL]HG GHYLDWLRQ LV LQGLFDWHG E\ WKH DGGLWLRQ RI '(9,$7,

E 7KH XVH LQ WKLV VROLFLWDWLRQ RU FRQWUDFW RI DQ\ )HGHUDO $SSURSULDWHG
LQGLFDWHG E\ WKH DGGLWLRQ RI '(9,$7,21 DIWHU WKH QDPH RI WKH

(QG RI FODXVH

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7+(6(59,&(&2175$&7 $&7 (03/2<0(17 67$1'$5'6 $'0,1,6
%\ GLUHFWLRQ RI WKH 6HFUHWDU\ RI /DERU :$*($1' +285
:$6+,1*721 ' &

:DJH 'HWHUPLQDWLRQ 1R

'DQLHO : 6LPPV 'LYLVLRQ RI 5HYLVLRQ 1R

'LUHFWRU :DJH 'HWHUPLQDWLRQV 'DWH 2I /DVW 5HYLVL
BBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBB BBBBBBBBBBBB
1RWH 8QGHU ([HFXWLYH 2UGHU (2 DQ KRXUO\ PLQLPXP ZD
FDOHQGDU \HDU DSSOLHV WR DOO FRQWUDFWV VXEMHFW WR
$FW IRU ZKLFK WKH FRQWUDFW LV DZDUGHG DQG DQ\ VROLFLWD
DIWHU -DQXDU\ ,I WKLV FRQWUDFW LV FRYHUHG E\ WKH (2
PXVW SD\ DOO ZRUNHUV LQ DQ\ FODVVLILFDWLRQ OLVWHG RQ WK
DW OHDVW SHU KRXU RU WKH DSSOLFDEOH ZDJH UDWH OLV
GHWHUPLQDWLRQ LI LW LV KLJKHU IRU DOO KRXUV VSHQW SHUI
LQ FDOHQGDU \HDU 7KH (2 PLQLPXP ZDJH UDWH ZLOO EH DG
$GGLWLRQDO LQIRUPDWLRQ RQ FRQWUDFWRU UHTXLUHPHQWV DQ
WKH (2 LV DYDLODEOH DW ZZZ GRO JRY ZKG JRYFRQWUDFWV

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1(: +$9(1 &2817< $QVRQLD 'HUE\ 0LOIRUG 2[IRUG 6H\PRXU 6RXWK
:RRGEULGJH
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)ULQJH %HQHILWV 5HTXLUHG)ROORZ WKH 2FFXSDWLRQD

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$GPLQLVWUDWLYH 6XSSRUW $QG &OHULFDO 2FFXSDWLRQV
$FFRXQWLQJ &OHUN ,
$FFRXQWLQJ &OHUN ,,
$FFRXQWLQJ &OHUN ,,,
$GPLQLVWUDWLYH $VVLVWDQW
&RXUW 5HSRUWHU
&XVWRPHU 6HUYLFH 5HSUHVHQWDWLYH ,
&XVWRPHU 6HUYLFH 5HSUHVHQWDWLYH ,,
&XVWRPHU 6HUYLFH 5HSUHVHQWDWLYH ,,,
'DWD (QWU\ 2SHUDWRU ,
'DWD (QWU\ 2SHUDWRU ,,
'LVSDWFKHU 0RWRU 9HKLFOH
'RFXPHQW 3UHSDUDWLRQ &OHUN
'XSOLFDWLQJ 0DFKLQH 2SHUDWRU
*HQHUDO &OHUN ,
*HQHUDO &OHUN ,,
*HQHUDO &OHUN ,,,
+RXVLQJ 5HIHUUDO $VVLVWDQW
0HVVHQJHU &RXULHU
2UGHU &OHUN ,
2UGHU &OHUN ,,
3HUVRQQHO $VVLVWDQW (PSOR\PHQW ,
3HUVRQQHO $VVLVWDQW (PSOR\PHQW ,,
3HUVRQQHO $VVLVWDQW (PSOR\PHQW ,,,
3URGXFWLRQ &RQWURO &OHUN
5HQWDO &OHUN
6FKHGXOHU 0DLQWHQDQFH
6HFUHWDU\ ,
6HFUHWDU\ ,,
6HFUHWDU\ ,,,
6HUYLFH 2UGHU 'LVSDWFKHU
6XSSO\ 7HFKQLFLDQ
6XUYH\ :RUNHU
6ZLWFKERDUG 2SHUDWRU 5HFHSWLRQLVW
7UDYHO &OHUN ,
7UDYHO &OHUN ,,
7UDYHO &OHUN ,,,
:RUG 3URFHVVRU ,
:RUG 3URFHVVRU ,,
:RUG 3URFHVVRU ,,,
$XWRPRWLYH 6HUYLFH 2FFXSDWLRQV

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$XWRPRWLYH (OHFWULFLDQ
$XWRPRWLYH *ODVV ,QVWDOOHU
$XWRPRWLYH :RUNHU
0RELOH (TXLSPHQW 6HUYLFHU
0RWRU (TXLSPHQW 0HWDO 0HFKDQLF
0RWRU (TXLSPHQW 0HWDO :RUNHU
0RWRU 9HKLFOH 0HFKDQLF
0RWRU 9HKLFOH 0HFKDQLF +HOSHU
0RWRU 9HKLFOH 8SKROVWHU\ :RUNHU
0RWRU 9HKLFOH :UHFNHU
3DLQWHU $XWRPRWLYH
5DGLDWRU 5HSDLU 6SHFLDOLVW
7LUH 5HSDLUHU
7UDQVPLVVLRQ 5HSDLU 6SHFLDOLVW

)RRG 3UHSDUDWLRQ $QG 6HUYLFH 2FFXSDWLRQV

%DNHU
&RRN ,
&RRN ,,
'LVKZDVKHU
)RRG 6HUYLFH :RUNHU
0HDW &XWWHU
:DLWHU :DLWUHVV

)XUQLWXUH 0DLQWHQDQFH $QG 5HSDLU 2FFXSDWLRQV

(OHFWURVWDWLF 6SUD\ 3DLQWHU
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)XUQLWXUH 5HILQLVKHU
)XUQLWXUH 5HILQLVKHU +HOSHU
)XUQLWXUH 5HSDLUHU 0LQRU
8SKROVWHUHU

*HQHUDO 6HUYLFHV $QG 6XSSRUW 2FFXSDWLRQV

&OHDQHU 9HKLFOHV
(OHYDWRU 2SHUDWRU
*DUGHQHU
+RXVHNHHSLQJ $LGH
-DQLWRU
/DERUHU *URXQGV 0DLQWHQDQFH
0DLG RU +RXVHPDQ
3UXQHU
7UDFWRU 2SHUDWRU
7UDLO 0DLQWHQDQFH :RUNHU
:LQGRZ &OHDQHU

+HDOWK 2FFXSDWLRQV

$PEXODQFH 'ULYHU
%UHDWK $OFRKRO 7HFKQLFLDQ
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&HUWLILHG 3K\VLFDO 7KHUDSLVW $VVLVWDQW
'HQWDO $VVLVWDQW
'HQWDO +\JLHQLVW
(.* 7HFKQLFLDQ

(OHFWURQHXURGLDJQRVWLF 7HFKQRORJLVW
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/LFHQVHG 3UDFWLFDO 1XUVH ,
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/LFHQVHG 3UDFWLFDO 1XUVH ,,,
0HGLFDO $VVLVWDQW
0HGLFDO /DERUDWRU\ 7HFKQLFLDQ
0HGLFDO 5HFRUG &OHUN
0HGLFDO 5HFRUG 7HFKQLFLDQ
0HGLFDO 7UDQVFULSWLRQLVW
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1XUVLQJ $VVLVWDQW ,
1XUVLQJ $VVLVWDQW ,,
1XUVLQJ $VVLVWDQW ,,,
1XUVLQJ $VVLVWDQW ,9
2SWLFDO 'LVSHQVHU
2SWLFDO 7HFKQLFLDQ
3KDUPDF\ 7HFKQLFLDQ
3KOHERWRPLVW
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5HJLVWHUHG 1XUVH ,
5HJLVWHUHG 1XUVH ,,
5HJLVWHUHG 1XUVH ,, 6SHFLDOLVW
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5HJLVWHUHG 1XUVH ,,, $QHVWKHWLVW
5HJLVWHUHG 1XUVH ,9
6FKHGXOHU 'UXJ DQG $OFRKRO 7HVWLQJ
6XEVWDQFH $EXVH 7UHDWPHQW &RXQVHORU
,QIRUPDWLRQ $QG $UWV 2FFXSDWLRQV
([KLELWV 6SHFLDOLVW ,
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([KLELWV 6SHFLDOLVW ,,,
,OOXVWUDWRU ,
,OOXVWUDWRU ,,
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/LEUDULDQ
/LEUDU\ $LGH &OHUN
/LEUDU\ ,QIRUPDWLRQ 7HFKQRORJ\ 6\VWHPV $GPLQLVWUDWRU
/LEUDU\ 7HFKQLFLDQ
0HGLD 6SHFLDOLVW ,
0HGLD 6SHFLDOLVW ,,
0HGLD 6SHFLDOLVW ,,,
3KRWRJUDSKHU ,
3KRWRJUDSKHU ,,
3KRWRJUDSKHU ,,,
3KRWRJUDSKHU ,9
3KRWRJUDSKHU 9
7HFKQLFDO 2UGHU /LEUDU\ &OHUN
9LGHR 7HOHFRQIHUHQFH 7HFKQLFLDQ

,QIRUPDWLRQ 7HFKQRORJ\ 2FFXSDWLRQV
&RPSXWHU 2SHUDWRU ,
&RPSXWHU 2SHUDWRU ,,
&RPSXWHU 2SHUDWRU ,,,
&RPSXWHU 2SHUDWRU ,9
&RPSXWHU 2SHUDWRU 9
&RPSXWHU 3URJUDPPHU , VHH
&RPSXWHU 3URJUDPPHU ,, VHH
&RPSXWHU 3URJUDPPHU ,,, VHH
&RPSXWHU 3URJUDPPHU ,9 VHH
&RPSXWHU 6\VWHPV $QDO\VW , VHH
&RPSXWHU 6\VWHPV $QDO\VW ,, VHH
&RPSXWHU 6\VWHPV $QDO\VW ,,, VHH
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3HUVRQDO &RPSXWHU 6XSSRUW 7HFKQLFLDQ
6\VWHP 6XSSRUW 6SHFLDOLVW
,QVWUXFWLRQDO 2FFXSDWLRQV
$LUFUHZ 7UDLQLQJ 'HYLFHV ,QVWUXFWRU 1RQ 5DWHG
$LUFUHZ 7UDLQLQJ 'HYLFHV ,QVWUXFWRU 5DWHG
$LU &UHZ 7UDLQLQJ 'HYLFHV ,QVWUXFWRU 3LORW
&RPSXWHU %DVHG 7UDLQLQJ 6SHFLDOLVW ,QVWUXFWRU
(GXFDWLRQDO 7HFKQRORJLVW
)OLJKW ,QVWUXFWRU 3LORW
*UDSKLF $UWLVW
0DLQWHQDQFH 7HVW 3LORW)L[HG -HW 3URS
0DLQWHQDQFH 7HVW 3LORW 5RWDU\ :LQJ
1RQ 0DLQWHQDQFH 7HVW &R 3LORW
7HFKQLFDO ,QVWUXFWRU
7HFKQLFDO ,QVWUXFWRU &RXUVH 'HYHORSHU
7HVW 3URFWRU
7XWRU
/DQGU\ 'U\ &OHDQLQJ 3UHVVLQJ $QG 5HODWHG 2FFXSDWL
$VVHPEOHU
&RXQWHU $WWHQGDQW
'U\ &OHDQHU
)LQLVKHU)ODWZRUN 0DFKLQH
3UHVVHU +DQG
3UHVVHU 0DFKLQH 'U\FOHDQLQJ
3UHVVHU 0DFKLQH 6KLUWV
3UHVVHU 0DFKLQH :HDULQJ $SSDUHO /DXQGU\
6HZLQJ 0DFKLQH 2SHUDWRU
7DLORU
:DVKHU 0DFKLQH
0DFKLQH 7RRO 2SHUDWLRQ $QG 5HSDLU 2FFXSDWLRQV
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7RRO $QG 'LH 0DNHU
0DWHULDOV +DQGOLQJ $QG 3DFNLQJ 2FFXSDWLRQV
)RUNOLIW 2SHUDWRU
0DWHULDO &RRUGLQDWRU
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      0DWHULDO +DQGOLQJ /DERUHU
      2UGHU )LOOHU
      3URGXFWLRQ /LQH :RUNHU )RRG 3URFHVVLQJ
      6KLSSLQJ 3DFNHU
      6KLSSLQJ 5HFHLYLQJ &OHUN
      6WRUH :RUNHU ,
      6WRFN &OHUN
      7RROV $QG 3DUWV $WWHQGDQW
      :DUHKRXVH 6SHFLDOLVW
    0HFKDQLFV $QG 0DLQWHQDQFH $QG 5HSDLU 2FFXSDWLRQV
      $HURVSDFH 6WUXFWXUDO :HOGHU
      $LUFUDIW /RJV DQG 5HFRUGV 7HFKQLFLDQ
      $LUFUDIW 0HFKDQLF ,
      $LUFUDIW 0HFKDQLF ,,
      $LUFUDIW 0HFKDQLF ,,,
      $LUFUDIW 0HFKDQLF +HOSHU
      $LUFUDIW 3DLQWHU
      $LUFUDIW 6HUYLFHU
      $LUFUDIW 6XUYLYDO )OLJKW (TXLSPHQW 7HFKQLFLDQ
      $LUFUDIW :RUNHU
      $LUFUHZ /LH 6XSSRUW (TXLSPHQW $/6( 0HFKDQLF
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      $SSOLDQFH 0HFKDQLF
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      &DUSHQWHU 0DLQWHQDQFH
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      (OHFWURQLFV 7HFKQLFLDQ 0DLQWHQDQFH ,,
      (OHFWURQLFV 7HFKQLFLDQ 0DLQWHQDQFH ,,,
      )DEULF :RUNHU
      )LUH $ODUP 6\VWHP 0HFKDQLF
      )LUH ([WLQJXLVKHU 5HSDLUHU
      )XHO 'LVWULEXWLRQ 6\VWHP 0HFKDQLF
      )XHO 'LVWULEXWLRQ 6\VWHP 2SHUDWRU
      *HQHUDO 0DLQWHQDQFH :RUNHU
      *URXQG 6XSSRUW (TXLSPHQW 0HFKDQLF
      *URXQG 6XSSRUW (TXLSPHQW 6HUYLFHU
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      *XQVPLWK ,
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      +HDWLQJ 9HQWLODWLRQ $QG $LU &RQGLWLRQLQJ
0HFKDQLF
      +HDWLQJ 9HQWLODWLRQ $QG $LU &RQWLGLRQLQJ
0HFKDQLF 5HVHDUFK )DFLOLW\
      +HDY\ (TXLSPHQW 0HFKDQLF
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+HDY\ (TXLSPHQW 2SHUDWRU
,QVWUXPHQW 0HFKDQLF
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0DFKLQHU\ 0DLQWHQDQFH 0HFKDQLF
0DFKLQLVW 0DLQWHQDQFH
0DLQWHQDQFH 7UDGHV +HOSHU
0HWURORJ\ 7HFKQLFLDQ ,
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0LOOZULJKW
2IILFH $SSOLDQFH 5HSDLUHU
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3LSHILWWHU 0DLQWHQDQFH
3OXPEHU 0DLQWHQDQFH
3QHXGUDXOLF 6\VWHPV 0HFKDQLF
5LJJHU
6FDOH 0HFKDQLF
6KHHW 0HWDO :RUNHU 0DLQWHQDQFH
6PDOO (QJLQH 0HFKDQLF
7HOHFRPPXQLFDWLRQV 0HFKDQLF ,
7HOHFRPPXQLFDWLRQV 0HFKDQLF ,,
7HOHSKRQH /LQHPDQ
:HOGHU &RPELQDWLRQ 0DLQWHQDQFH
:HOO 'ULOOHU
:RRGFUDIW :RUNHU
:RRGZRUNHU

3HUVRQDO 1HHGV 2FFXSDWLRQV
&DVH 0DQDJHU
&KLOG &DUH $WWHQGDQW
&KLOG &DUH &HQWHU &OHUN
&KRUH $LGH
)DPLO\ 5HDGLQHVV $QG 6XSSRUW 6HUYLFHV &RRUGLQDWRU
+RPHPDNHU

3ODQW $QG 6\VWHP 2SHUDWLRQV 2FFXSDWLRQV
%RLOHU 7HQGHU
6HZDJH 3ODQW 2SHUDWRU
6WDWLRQDU\ (QJLQHHU
9HQWLODWLRQ (TXLSPHQW 7HQGHU
:DWHU 7UHDWPHQW 3ODQW 2SHUDWRU

3URWHFWLYH 6HUYLFH 2FFXSDWLRQV
$ODUP 0RQLWRU
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&RUUHFWLRQV 2IILFHU
&RXUW 6HFXULW\ 2IILFHU
'HWHFWLRQ 'RJ +DQGOHU
'HWHQWLRQ 2IILFHU
)LUHILJKWHU

*XDUG ,
*XDUG ,,
3ROLFH 2IILFHU ,
3ROLFH 2IILFHU ,,
5HFUHDWLRQ 2FFXSDWLRQV
&DUQLYDO (TXLSPHQW 2SHUDWRU
&DUQLYDO (TXLSPHQW 5HSDLUHU
&DUQLYDO :RUNHU
*DWH $WWHQGDQW *DWH 7HQGHU
/LIHJXDUG
3DUN $WWHQGDQW $LGH
5HFUHDWLRQ $LGH +HDOWK)DFLOLW\ $WWHQGDQW
5HFUHDWLRQ 6SHFLDOLVW
6SRUWV 2IILFLDO
6ZLPPLQJ 3RRO 2SHUDWRU
6WHYHGRULQJ /RQJVKRUHPHQ 2FFXSDWLRQDO 6HUYLFHV
%ORFNHU $QG %UDFHU
+DWFK 7HQGHU
/LQH +DQGOHU
6WHYHGRUH ,
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$LU 7UDIILF &RQWURO 6SHFLDOLVW &HQWHU +)2 VHH
$LU 7UDIILF &RQWURO 6SHFLDOLVW 6WDWLRQ +)2 VHH
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&U\RJHQLF 7HFKQLFLDQ ,
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(QJLQHHULQJ 7HFKQLFLDQ 9
(QJLQHHULQJ 7HFKQLFLDQ 9,
(QYLURQPHQWDO 7HFKQLFLDQ
(YLGHQFH &RQWURO 6SHFLDOLVW
/DERUDWRU\ 7HFKQLFLDQ
/DWHQW)LQJHUSULQW 7HFKQLFLDQ ,
/DWHQW)LQJHUSULQW 7HFKQLFLDQ ,,
0DWKHPDWLFDO 7HFKQLFLDQ
3DUDOHJDO /HJDO $VVLVWDQW ,
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3DUDOHJDO /HJDO $VVLVWDQW ,,,
3DUDOHJDO /HJDO $VVLVWDQW ,9
3HWUROHXP 6XSSO\ 6SHFLDOLVW
3KRWR 2SWLFV 7HFKQLFLDQ
5DGLDWLRQ &RQWURO 7HFKQLFLDQ
7HFKQLFDO :ULWHU ,
7HFKQLFDO :ULWHU ,,
7HFKQLFDO :ULWHU ,,,
8QH[SORGHG 2UGQDQFH 8;2 7HFKQLFLDQ ,
8QH[SORGHG 2UGQDQFH 8;2 7HFKQLFLDQ ,,
8QH[SORGHG 2UGQDQFH 8;2 7HFKQLFLDQ ,,,
8QH[SORGHG 8;2 6DIHW\ (VFRUW
8QH[SORGHG 8;2 6ZHHS 3HUVRQQHO
:HDWKHU)RUHFDVWHU ,
:HDWKHU)RUHFDVWHU ,,
:HDWKHU 2EVHUYHU &RPELQHG 8SSHU $LU 2U VHH
6XUIDFH 3URJUDPV
:HDWKHU 2EVHUYHU 6HQLRU VHH
7UDQVSRUWDWLRQ 0RELOH (TXLSPHQW 2SHUDWLRQ 2FFXSD
$LUSODQH 3LORW
%XV $LGH
%XV 'ULYHU
'ULYHU &RXULHU
3DUNLQJ DQG /RW $WWHQGDQW
6KXWWOH %XV 'ULYHU
7D[L 'ULYHU
7UXFNGULYHU /LJKW
7UXFNGULYHU 0HGLXP
7UXFNGULYHU +HDY\
7UXFNGULYHU 7UDFWRU 7UDLOHU
0LVFHOODQHRXV 2FFXSDWLRQV
&DELQ 6DIHW\ 6SHFLDOLVW
&DVKLHU
'HVN &OHUN
(PEDOPHU
)OLJKW)ROORZHU
/DERUDWRU\ $QLPDO &DUHWDNHU ,
/DERUDWRU\ $QLPDO &DUHWDNHU ,,
0DUNHWLQJ $QDO\VW
0RUWLFLDQ
3HVW &RQWURROHU
3KRWRILQLVKLQJ :RUNHU
5HF\FOLQJ /DERUHU
5HF\FOLQJ 6SHFLDOLVW
5HIXVH &ROOHFWRU
6DOHV &OHUN
6FKRRO &URVVLQJ *XDUG
6XUYH\ 3DUW\ &KLHI
6XUYH\LQJ $LGH
6XUYH\LQJ 7HFKQLFLDQ

9HQGLQJ 0DFKLQH $WWHQGDQW
9HQGLQJ 0DFKLQH 5HSDLUHU
9HQGLQJ 0DFKLQH 5HSDLUHU +HOSHU

BBBB

9$&$7,21 ZHHNV SDLG YDFDWLRQ DIWHU \HDU RI VHUYLFH ZL
VXFFHVVRU ZHHNV DIWHU \HDUV DQG ZHHNV DIWHU \HDUV
LQFOXGHV WKH ZKROH VSDQ RI FRQWLQXRXV VHUYLFH ZLWK WKH
VXFFHVVRU ZKHUHYHU HPSOR\HG DQG ZLWK WKH SUHGHFHVVRU
SHUIRUPDQFH RI VLPLODU ZRUN DW WKH VDPH)HGHUDO IDFLOLW

+2/,'$<6 $ PLQLPXP RI HOHYHQ SDLG KROLGD\V SHU \HDU 1HZ <
/XWKHU .LQJ -U V %LUWKGD\ :DVKLQJWRQ V %LUWKGD\ *RRG)UL
,QGHSHQGHQFH 'D\ /DERU 'D\ &ROXPEXV 'D\ 9HWHUDQV 'D\ 7KDQ
&KULVWPDV 'D\ $ FRQWUDFWRU PD\ VXEVWLWXWH IRU DQ\ RI W
GD\ RII ZLWK SD\ LQ DFFRUGDQFH ZLWK D SODQ FRPPXQLFDWHG
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&20387(5 (03/2<((6 8QGHU WKH 6&$ DW VHFWLRQ E WKLV Z
QRW DSSO\ WR DQ\ HPSOR\HH ZKR LQGLYLGXDOO\ TXDOLILHV DV
DGPLQLVWUDWLYH RU SURIHVVLRQDO HPSOR\HH DV GHILQHG LQ
PRVW &RPSXWHU 6\VWHP $QDO\VWV DQG &RPSXWHU 3URJUDPPHU
QRW OHVV WKDQ RU RQ D VDODU\ RU IHH EDVLV DW D UDW
ZHHN DQ KRXU ZRXOG OLNHO\ TXDOLI\ DV H[HPSW FRPSXWHU SU
ZDJH UDWHV PD\ QRW EH OLVWHG RQ WKLV ZDJH GHWHUPLQD
ZLWKLQ WKRVH MRE IDPLOLHV ,Q DGGLWLRQ EHFDXVH WKLV ZD
OLVW D ZDJH UDWH IRU VRPH RU DOO RFFXSDWLRQV ZLWKLQ WK
GDWD LQGLFDWHV WKDW WKH SUHYDLOLQJ ZDJH UDWH IRU WKH
SHU KRXU FRQIRUPDQFHV PD\ EH QHFHVVDU\ IRU FHUWDLQ
H[DPSOH LI DQ LQGLYLGXDO HPSOR\HH LV QRQH[HPSW EXW QHYH
ZLWKLQ WKH VFRSH RI RQH RI WKH &RPSXWHU 6\VWHPV $QDO\VW
RFFXSDWLRQV IRU ZKLFK WKLV ZDJH GHWHUPLQDWLRQ GRHV QR
WKHQ WKH ZDJH UDWH IRU WKDW HPSOR\HH PXVW EH FRQIRUPH
FRQIRUPDQFH SURFHGXUHV GHVFULEHG LQ WKH FRQIRUPDQFH Q
GHWHUPLQDWLRQ

$GGLWLRQDOO\ EHFDXVH MRE WLWOHV YDU\ ZLGHO\ DQG FKDQJH
LQGXVWU\ MRE WLWOHV DUH QRW GHWHUPLQDWLYH RI WKH DSSO
SURIHVVLRQDO H[HPSWLRQ 7KHUHIRUH WKH H[HPSWLRQ DSSOL
ZKR VDWLVI\ WKH FRPSHQVDWLRQ UHTXLUHPHQWV DQG ZKRVH SU

7KH DSSOLFDWLRQ RI V\VWHPV DQDO\VLV WHFKQLTXHV DQ
FRQVXOWLQJ ZLWK XVHUV WR GHWHUPLQH KDUGZDUH VRIWZDUH
VSHFLILFDWLRQV

7KH GHVLJQ GHYHORSPHQW GRFXPHQWDWLRQ DQDO\VLV FU
PRGLILFDWLRQ RI FRPSXWHU V\VWHPV RU SURJUDPV LQFOXGLQJ
UHODWHG WR XVHU RU V\VWHP GHVLJQ VSHFLILFDWLRQV

7KH GHVLJQ GRFXPHQWDWLRQ WHVWLQJ FUHDWLRQ RU PRG
SURJUDPV UHODWHG WR PDFKLQH RSHUDWLQJ V\VWHPV RU

$ FRPELQDWLRQ RI WKH DIRUHPHQWLRQHG GXWLHV WKH SH
UHTXLUHV WKH VDPH OHYHO RI VNLOOV &) 5

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3$< ,I \RX
ZRUN DW QLJKW DV SDUW RI D UHJXODU WRXU RI GXW\ \RX ZLOO
DQG UHFHLYH DQ DGGLWLRQDO RI EDVLF SD\ IRU DQ\ KRXUV Z
,I \RX DUH D IXOO WLPH HPSOR\HG KRXUV D ZHHN DQG 6XQG
UHJXODUO\ VFKHGXOHG ZRUNZHHN \RX DUH SDLG DW \RXU UDWH
SUHPLXP RI RI \RXU EDVLF UDWH IRU HDFK KRXU RI 6XQGD\ ZH
L H RFFDVLRQDO ZRUN RQ 6XQGD\ RXWVLGH WKH QRUPDO WRXU
RYHUWLPH ZRUN

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$Q SHUFHQW GLIIHUHQWLDO LV DSSOLFDEOH WR HPSOR\HHV HP
UHSUHVHQWV D KLJK GHJUHH RI KD]DUG ZKHQ ZRUNLQJ ZLWK RU
RUGQDQFH H[SORVLYHV DQG LQFHQGLDU\ PDWHULDOV 7KLV LQF
VFUHHQLQJ EOHQGLQJ G\LQJ PL[LQJ DQG SUHVVLQJ RI VHQVLWLY
DQG S\URWHFKQLF FRPSRVLWLRQV VXFK DV OHDG D]LGH EODFN S
$OO GU\ KRXVH DFWLYLWLHV LQYROYLQJ SURSHOODQWV RU H[S
PRGLILFDWLRQ UHQRYDWLRQ GHPROLWLRQ DQG PDLQWHQDQFH R
RUGQDQFH H[SORVLYHV DQG LQFHQGLDU\ PDWHULDOV $OO RSH
DQG FOHDQLQJ RI DUWLOOHU\ UDQJHV

$ SHUFHQW GLIIHUHQWLDO LV DSSOLFDEOH WR HPSOR\HHV HPS
UHSUHVHQWV D ORZ GHJUHH RI KD]DUG ZKHQ ZRUNLQJ ZLWK RU
RUGQDQFH RU HPSOR\HHV SRVVLEO\ DGMDFHQW WR H[SORVLYH

ZKLFK LQYROYHV SRWHQWLDO LQMXU\ VXFK DV ODFHUDWLRQ RI
HPSOR\HH HQJDJHG LQ WKH RSHUDWLRQ LUULWDWLRQ RI WKH VN
PLQLPDO GDPDJH WR LPPHGLDWH RU DGMDFHQW ZRUN DUHD RU
RSHUDWLRQV LQYROYLQJ XQORDGLQJ VWRUDJH DQG KDXOLQJ RI
LQFHQGLDU\ RUGQDQFH PDWHULDO RWKHU WKDQ VPDOO DUPV DI
DUH RQO\ DSSOLFDEOH WR ZRUN WKDW KDV EHHQ VSHFLILFDOO\
RUGQDQFH H[SORVLYHV DQG LQFHQGLDU\ PDWHULDO GLIIHUHQW

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,I HPSOR\HHV DUH UHTXLUHG WR ZHDU XQLIRUPV LQ WKH SHUIRU
HLWKHU E\ WKH WHUPV RI WKH *RYHUQPHQW FRQWUDFW E\ WKH
ORFDO ODZ HWF WKH FRVW RI IXUQLVKLQJ VXFK XQLIRUPV DQG
ODXQGHULQJ RU GU\ FOHDQLQJ VXFK XQLIRUPV LV DQ H[SHQVH
HPSOR\HH ZKHUH VXFK FRVW UHGXFHV WKH KRXU\ UDWH EHORZ
GHWHUPLQDWLRQ 7KH 'HSDUWPHQW RI /DERU ZLOO DFFHSW SD\
IROORZLQJ VWDQGDUGV DV FRPSOLDQFH

7KH FRQWUDFWRU RU VXEFRQWUDFWRU LV UHTXLUHG WR IXUQLV
DGHTXDWH QXPEHU RI XQLIRUPV ZLWKRXW FRVW RU WR UHLPEXU
FRVW RI WKH XQLIRUPV ,Q DGGLWLRQ ZKHUH XQLIRUP FOHDQLQ
WKH UHVSRQVLELOLW\ RI WKH HPSOR\HH DOO FRQWUDFWRUV DQ
WKLV ZDJH GHWHUPLQDWLRQ VKDOO LQ WKH DEVHQFH RI D ERQ
DJUHHPHQW SURYLGLQJ IRU D GLIIHUHQW DPRXQW RU WKH IXUQI
DIILUPDWLYH SURRI DV WR WKH DFWXDO FRVW UHLPEXUVH DOO
DQG PDLQWHQDQFH DW D UDWH RI SHU ZHHN RU FHQWV
WKRVH LQVWDQFHV ZKHUH WKH XQLIRUPV IXUQLVKHG DUH PDGH
PDWHULDOV PD\ EH URXWLQHO\ ZDVKHG DQG GULHG ZLWK RWKHU
QRW UHTXLUH DQ\ VSHFLDO WUHDWPHQW VXFK DV GU\ FOHDQLQJ
ODXQGHULQJ LQ RUGHU WR PHHW WKH FOHDQOLQHVV RU DSSHDU
RI WKH *RYHUQPHQW FRQWUDFW E\ WKH FRQWUDFWRU E\ ODZ RU
WKHUH LV QR UHTXLUHPHQW WKDW HPSOR\HHV EH UHLPEXUVHG

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7KH GXWLHV RI HPSOR\HHV XQGHU MRE WLWOHV OLVWHG DUH WK
6HUYLFH &RQWUDFW $FW 'LUHFWRU\ RI 2FFXSDWLRQV)LIWK (
GDWHG 6HSWHPEHU XQOHVV RWKHUZLVH LQGLFDWHG

5(48(67)25 $87+25,=$7,21 2) $'',7,21$/ &/$66,),&$7,21 $1' :$*(5$
6WDQGDUG
)RUP 6)

&RQIRUPDQFH 3URFHVV

7KH FRQWUDFWLQJ RIILFHU VKDOO UHTXLUH WKDW DQ\ FODVV RI
QRW OLVWHG KHUHLQ DQG ZKLFK LV WR EH HPSOR\HG XQGHU WK
EH SHUIRUPHG LV QRW SHUIRUPHG E\ DQ\ FODVVLILFDWLRQ OLVW
GHWHUPLQDWLRQ EH FODVVLILHG E\ WKH FRQWUDFWRU VR DV W
UHODWLRQVKLS L H DSSURSULDWH OHYHO RI VNLOO FRPSDULVL
FODVVLILFDWLRQV DQG WKH FODVVLILFDWLRQV OLVWHG LQ WKH
E L 6XFK FRQIRUPLQJ SURFHGXUHV VKDOO EH LQLWLDW
SULRU WR WKH SHUIRUPDQFH RI FRQWUDFW ZRUN E\ VXFK XQOL\
6HH &)5 E LL 7KH :DJH DQG +RXU 'LYLVLRQ VKDOO PD
GHWHUPLQDWLRQ RI FRQIRUPHG FODVVLILFDWLRQ ZDJH UDWH DQ
VKDOO EH SDLG WR DOO HPSOR\HHV SHUIRUPLQJ LQ WKH FODVVI
RI ZRUN RQ ZKLFK FRQWUDFW ZRUN LV SHUIRUPHG E\ WKHP LQ W
WR SD\ VXFK XQOLVWHG HPSOR\HHV WKH FRPSHQVDWLRQ DJUHH
SDUWLHV DQG RU IXOO\ GHWHUPLQHG E\ WKH :DJH DQG +RXU 'LY
GDWH VXFK FODVV RI HPSOR\HHV FRPPHQFHG FRQWUDFW ZRUN V
DQG WKLV FRQWUDFW 6HH &)5 E Y :KHQ PXOWLSOH Z
LQFOXGHG LQ D FRQWUDFW D VHSDUDWH 6) VKRXOG EH SUHS
GHWHUPLQDWLRQ WR ZKLFK D FODVV HV LV WR EH FRQIRUPHG

7KH SURFHVV IRU SUHSDULQJ D FRQIRUPDQFH UHTXHVW LV DV IR

:KHQ SUHSDULQJ WKH ELG WKH FRQWUDFWRU LGHQWLILHV WKH
RFFXSDWLRQ V DQG FRPSXWHV D SURSRVHG UDWH V

$IWHU FRQWUDFW DZDUG WKH FRQWUDFWRU SUHSDUHV D ZULW
WKH SURSRVHG FODVVLILFDWLRQ WLWOH V D)HGHUDO JUDGH H
SURSRVHG FODVVLILFDWLRQ V MRE GHVFULSWLRQ V DQG UDWH
UDWH V LQFOXGLQJ LQIRUPDWLRQ UHJDUGLQJ WKH DJUHHPHQW
DXWKRUL]HG UHSUHVHQWDWLYH RI WKH HPSOR\HHV LQYROYHG R
UHSUHVHQWDWLYH WKH HPSOR\HHV WKHPVHOYHV 7KLV UHSRUW
FRQWUDFWLQJ RIILFHU QR ODWHU WKDQ GD\V DIWHU VXFK XQ
SHUIRUPV DQ\ FRQWUDFW ZRUN

7KH FRQWUDFWLQJ RIILFHU UHYLHZV WKH SURSRVHG DFWLRQ RI WKH DFWLRQ WRJHWKHU ZLWK WKH DJHQF\ V UHFRPPHQGDWLRQ LQIRUPDWLRQ LQFOXGLQJ WKH SRVLWLRQ RI WKH FRQWUDFWRU 'HSDUWPHQW RI /DERU :DJH DQG +RXU 'LYLVLRQ IRU UHYLHZ 6H

:LWKLQ GD\V RI UHFHLSW WKH :DJH DQG +RXU 'LYLVLRQ DSS GLVDSSURYHV WKH DFWLRQ YLD WUDQVPLWWDO WR WKH DJHQF\ QRWLILHV WKH FRQWUDFWLQJ RIILFHU WKDW DGGLWLRQDO WLPH WKH UHTXHVW

7KH FRQWUDFWLQJ RIILFHU WUDQVPLWV WKH :DJH DQG +RXU ' FRQWUDFWRU

(DFK DIIHFWHG HPSOR\HH VKDOO EH IXUQLVKHG E\ WKH FRQWU RI VXFK GHWHUPLQDWLRQ RU LW VKDOO EH SRVWHG DV D SDUW &)5 E LLL

,QIRUPDWLRQ UHTXLUHG E\ WKH 5HJXODWLRQV PXVW EH VXEPLW

:KHQ SUHSDULQJ D FRQIRUPDQFH UHTXHVW WKH 6HUYLFH &RQW 2FFXSDWLRQV VKRXOG EH XVHG WR FRPSDUH MRE GHILQLWLRQ UHTXHVWHG DUH QRW SHUIRUPHG E\ D FODVVLILFDWLRQ DOUHDG GHWHUPLQDWLRQ 5HPHPEHU LW LV QRW WKH MRE WLWOH EXW W GHWHUPLQH ZKHWKHU D FODVV LV LQFOXGHG LQ DQ HVWDEOLVK &RQIRUPDQFHV PD\ QRW EH XVHG WR DUWLILFLDOO\ VSOLW FRPE FODVVLILFDWLRQV OLVWHG LQ WKH ZDJH GHWHUPLQDWLRQ 6HH