7DEOH RI &RQWHQWV

$FNQRZOHGJHPHQWV

+LVWRU\ RI 32/' LQ 0LQQHVRWD

$ERXW 7KLV 0DQXDO
:KDW LV 3ODFH RI /DVW 'ULQN 32/' "
:KR LV WKLV PDQXDO IRU"
:K\ LV LW LPSRUWDQW WR UHGXFH RYHUVHUYLFH RI DOFRKR
+RZ GRHV 32/' ZRUN"
%URDGHU 32/' (IIRUWV
1RQ 5HWDLO 32/' /RFDWLRQV
2WKHU 32/' 0RGHOV

32/' ,PSOHPHQWDWLRQ
6WHS   6WDUW XS
6WHS   'DWD &ROOHFWLRQ
32/' 'DWD &ROOHFWLRQ 6WHS E\ VWHS .H\ 'HFLVLRQV
6WHS   6WDNHKROGHU $ZDUHQHVV
6WDNHKROGHU $ZDUHQHVV 6WHS E\ VWHS .H\ 'HFLVLRQV
6WHS   )ROORZ XS
32/')ROORZ XS 6WHS E\ VWHS .H\ 'HFLVLRQV

&RQFOXVLRQ

$SSHQGLFH
$SSHQGL[$ %URDGHU 32/' (IIRUWV
$SSHQGL[% 1RQ 5HWDLO 32/' /RFDWLRQV
$SSHQGL[& 6WDUWXS /HWWHU WR ,QIRUP 2WKHU $JHQFLHV
$SSHQGL[' 32/' 6WDUWXS /HWWHU IRU (VWDEOLVKPHQWV
$SSHQGL[(6XJJHVWLRQV IRU 'UDIWLQJ D 32/' 'DWDEDVH 8VHU
$SSHQGL[ ) 6DPSOH 1HZV 5HOHDVH
$SSHQGL[* 32/' 7DONLQJ 3RLQWV
$SSHQGL[+ 6DPSOH 6RFLDO 0HGLD 3RVW
$SSHQGL[,L°Đ00−X6X6".H\Q €0 € `0P€ð€H €H0p006XJHU

32/' 0DQXDO $XWKRUV

'DQLHO 6FKULHPHU 03+
(LOOHQ 'HOHKDQW\ 03+
(OOH 0DUN %6
.DWKOHHQ /HQN 03+
7UDFL 7RRPH\ 3K'

6XJJHVWHG $FLWDWLRQ QSLGHPLRORJ\ 3URJUDP /DVW 'ULQN 32/' 0D
8QLYHUVLW\ RI 0LQQHVRWD 6FKRRO RI 3XEOLF +HDOWK
[KWWSV DHS XPQ HGX WRROV SODFH ODVW GULQN SROG SROG U]

$FNQRZOHGJHPHQWV

7KLV SURMHFW LV VXSSRUWHG E\ WKH &HQWHUV IRU 'LVHDVH &R
'HSDUWPHQW RI +HDOWK DQG +XPDQ 6HUYLFHV ++6 DV SDUW RI
WRWDOLQJ   ZLWK   SHUFHQW IXQGHG E\ &'& ++6 7KH FRQ
DQG GR QRW QHFHVVDULO\ UHSUHVHQW WKH RIILFLDO YLHZV RI
8 6 *RYHUQPHQW

7KDQNV WR 6KHLOD 1HVELWW /LQGD 0 %RVPD $GDP 0RRUH -D
-RHOO 5DELQ &RXUW IRU SURYLGLQJ FRPPHQWV DQG JXLGDQFH

7KDQNV WR &ODXGLD +HEHUW IRU KHU ZRUN RQ WKH SUHOLPLQD

:H DSSUHFLDWH WKH VXSSRUW RI 1RUWK 0HPRULDO +HDOWK +RV

+LVWRU\ RI 32/' LQ 0LQQHVRWD

7KH 0LQQHVRWD 32/' LQLWLDWLYH ZDV VWDUWHG LQ)HEUXDU\
DQG D /HYHO , 7UDXPD &HQWHU ZLWK LQSXW IURP FLW\ DWWRUQ
RIILFLDOV $ WRWDO RI DJHQFLHV DFURVV 0LQQHVRWD KDYH S
LQLWLDWLYH 7KH 0LQQHVRWD 32/' LQLWLDWLYH ZDV SDUWO\ ED
VWDWHV &DOLIRUQLD 0DVVDFKXVHWWV 1HZ +DPSVKLUH DQG :
DJHQWV DUH WUDLQHG WR V\VWHPDWLFDOO\ DVN DERXW DQG UH

7KH 0LQQHVRWD 32/' LQLWLDWLYH LV LQQRYDWLYH LQ WKH IROO
  ” $JHQWV FROOHFW 32/' GDWD DW WKH WLPH RI WKH LQFLGHQ
    ZKLFK FRXOG RFFXU PRQWKV ODWHU 7KLV PHDQV WKH GDW
    IRU PRUH WLPHO\ UHVSRQVHV
  ” 32/' LQIRUPDWLRQ LV FROOHFWHG IRU DOFRKRO LPSDLUHG G
    DOFRKRO LQYROYHG LQFLGHQWV LQFOXGLQJ DVVDXOWV DQ
  ” 7KH 0LQQHVRWD 32/' LQLWLDWLYH XVHV DQ RQOLQH WRRO G
    HDVLO\ UHFRUG DQG PRQLWRU 32/' GDWD DFURVV MXULVGLF
  ” 7KH 32/' GDWDEDVH ZDV GHVLJQHG WR EH DFFHVVLEOH IURP
    DFURVV HQIRUFHPHQW MXULVGLFWLRQV DQG VLPSOLI\ GDW

$ERXW 7KLV 0DQXDO

7KLV PDQXDO RXWOLQHV 32/' DFFRUGLQJ WR KRZ LW LV LPSOHPH
PRGHO HPSKDVL]HV VKRUWHU IROORZ XS WLPHV WR KHOS FKDQJ
FRPPXQLWLHV LQ ZKLFK LW LV LPSOHPHQWHG 32/' GDWD LV FRO
DQ DOFRKRO UHODWHG LQFLGHQW 2WKHU MXULVGLFWLRQV KDYH
FRXUW SURFHVV ZKLFK KDV D ORQJHU WLPHOLQH 6RPH RI WKH
UHOHYDQW LI \RXU MXULVGLFWLRQ KDV GHFLGHG WR XVH D GLII

32/' ,PSOHPHQWDWLRQ

,GHQWLI\ DQG FRQWDFW NH\ GHFLVLRQ PDNHUV 'HWHUPLQH
DJHQF\ FRPPXQLW\ RU VWDWH DUH QHHGHG WR HQVXUH WK
LV LPSOHPHQ(WSHGNRQUROO)HUV D VDPSOH OHWWHU WKDW FDQ EH
GHFLVLRQ PDNHUV .H\ GHFLVLRQ PDNHUV ZLOO YDU\ E\ FRP

:KLFK NH\ GHFLVLRQ PDNHUV ZLOO \RXU DJHQF\ LQIRUP DER

"	3ROLFH FKLHI
"	6KHULII
"	'LUHFWRU RI DOFRKRO OLTXRU OLFHQVLQJ
"	&LW\ FRXQFLO PHPEHUV RU RWKHU HOHFWHG RIILFLDOV
"	0D\RU
"	&LW\ DWWRUQH\
"	&LW\ FOHUN
"	2WKHU BBBBBBBBBBBBBBBBBBBBBBB

(QJDJH NH\ SD2WWKQHHUUVDJHQFLHV DQG RUJDQL]DWLRQV FDQ DV
PDQDJHPHQW DQG IROORZ XS ,GHQWLI\LQJ DQG HQJDJLQJ W
HQVXUH WKDW H[SHUWV LQ GDWD PDQDJHPHQW DQG DQDO\V
D KHDOWK GHSDUWPHQW RU FRDOLWLRQ DJUHHV WR JHQHUD
IROORZ XS PHFKDQLVPV DUH LQ SODFH H J D UHVSRQVH E\
WR D IUHTXHQW 32/' HVWDEOLVKPHQW &RPPXQLFDWLQJ ZLV
WKH VWDUW XS SKDVH PD\ EH KHOSIXO IRU FUHDWLQJ D SOD

6WHS   'DWD &ROOHFWLRQ

32/' GDWD FROOHFWLRQ LV WKH GD\ WR GD\ ZRUN RI FROOHFWLQ
HQWHULQJ LW LQWR WKH 32/' GDWDEDVH 7R HQVXUH WKDW WKH
DQG FRQVLVWHQW LW LV FUXFLDO WKDW DJHQWV DUH WUDLQHG
GDWD ,W LV LPSRUWDQW WR JHW EX\ LQ IURP DJHQWV WR HQVX
DUH D URXWLQH SDUW RI UHVSRQGLQJ WR DOFRKRO LQYROYHG L

6RPH DJHQFLHV FROOHFW 32/' GDWD RQO\ IRU '8, LQFLGHQWV Z
LQFLGHQWV LQ ZKLFK DOFRKRO FRQVXPSWLRQ LV D IDFWRU &RO
LQFLGHQWV FDQ KHOS DJHQFLHV EHWWHU XQGHUVWDQG ZKLFK D
FRQWULEXWLQJ WR DOFRKRO UHODWHG FRQFHUQV LQ D FRPPXQ

<u>32/' 'DWD &ROOHFWLRQ 6WHS E\ VWHS .H\ 'HFLVLRQV</u>

    2EWDLQ DFFHVV WR D $SSOLFGDWWLDREQDLVQHJ GDWDEDVH PDNH
HQWHU 32/' GDWD DQG WR JHQHUDWH UHSRUWV $ 32/' GDWD
UHJLRQ RU VWDWH WKDW \RX FDQ XVH RU DGDSW ,I QRW \R
GDWDEDVH WR HQDEOH \RXU DJHQF\ WR V\VWHPDWLFDOO\ F
NH\ IHDWXUHV RI D 32/' GDWDEDVH LQFOXGH
    D (DV\ WR JHQHUDWH UHSRUWV
    E 'URSGRZQ PHQX IRU ORFDWLRQV
    F ,QFOXGHV HVWDEOLVKPHQW IURP UHJXODUO\ XSGDWH
    G $ELOLW\ WR VKDUH GDWD DPRQJ MXULVGLFWLRQV
    H ,QFOXGHV D YDULHW\ RI LQFLGHQW W\SHV QRW MXVW

:KDW GDWDEDVH ZLOO \RXU DJHQF\ XVH"
    ” ([LVWLQJ 32/' GDWDEDVH
    ” 1HZ 32/' GDWDEDVH FUHDWHG E\ \RXU DJHQF\
    ” 32/' GDWDEDVH DGDSWHG IURP DQRWKHU DJHQF\
    ” 2WKHU BBBBBBBBB

5HJDUGOHVV RI ZKHWKHU \RX XVH D QHZ RU H[LVWLQJ GDWDEDV
DJUHHPHQW LV QHHGHG 7KLV ZRXOG EH DQ DJUHHPHQW EHWZHH
VKDUHG DQG ZLW[<u>$SSHQGL[6</u>]XJJHVWLRQV IRU GUDIWLQJ D GDWD
DJUHHPHQW
   'RHV D GDWDEDVH XVHU DJUHHPHQW QHHG WR EH FUHDWHG'
    ” <HV
    ” 1R

$GYLFH IURP D 32/' DJHQF\ OHDG

8VLQJ D GURS GRZQ PHQX KDV LWV VWUHQJWKV DQG OI
VSHOOLQJ HUURUV VKRUWHQHG QDPHV RU ZULWLQJ WK
PDNHV LW HDVLHU WR NHHS WUDFN RI HVWDEOLVKPHQV
RXW WKH IRUP DQG LGHQWLI\ D 32/' 8VLQJ D GURS GRZ
FRPSOLFDWHG LQ ODUJH MXULVGLFWLRQV ZLWK PDQ\ D
XSGDWLQJ ZKLFK PD\ UHTXLUH DGGLWLRQDO VWDII WLF

6\VWHPDWLFDOO\ FROOHFW UHFRUGV DQG UHSRUW RXOG EDWF
VWDWHG LQ \RXU DJHQF\¶V VWDQGDUG RSHUDWLQJ SURFHGX
\RXU DJHQF\ REWDLQV DUH WUXVWZRUWK\
    ” &ROOHFW GDWD $OO DJHQWV VKRXOG FROOHFW GDWD I
    LV EHVW WR DVN DQ LQGLYLGXDO HDUO\ LQ WKH LQWHU
    <RXU FLW\ FRXQW\ RU VWDWH PD\ KDYH VSHFLILF UXOH
    FROOHFWLRQ VR FRQVXOW \RXU FLW\ RU FRXQW\ DWWR
    +RZ ZLOO \RXU DJHQF\ GDWD LQ   €P0péUQHPLW\ RU FR
    XSGDWLQJ ZKLFK € WKH 6À BB/€0 €G   6À BBLQVWDQFHV

7DEOH   32/' 'DWD (QWU\ 2SWLRQV

	'LUHFW (QWU\	6LQJOH 3RLQW (QW
6WUHQJWK	$JHQWV PD\ KDYH G WR GDWD LI GDWDE 6KDUHG UHVSRQVLE HQWU\ 5HDO WLPH GDWD H	0RUH FRQVLVWHQW G W\SHV QDWXUH RI QR 2QH SHUVRQ YHU\ IDP GDWD DQG WUHQGV
/LPLWDWL	6FDOH RI WUDLQLQJ UHTXLUHG DFURVV D 3RWHQWLDO LQFRQV HQWU\	0RUH FRQFHQWUDWHG $GGLWLRQDO SHUVRQ FDVHV WR ILQG 32/' LQ 3RVVLEOH ODJ LQ GD
0LWLJDWL 6WHSV	&RQGXFW FDVH UHY PLVVLQJ 32/' HQWUL HQWHULQJ RI GDWD LPSRUWDQW GXULQJ ,QFRUSRUDWH 32/' L FKHFNOLVWV PDQX 3URYLGH UHJXODU U DJHQWV WR HQWHU *LYH UHFRJQLWLRQ FRQVLVWHQWO\ HQW	)UHTXHQWO\ VKDUH U ZLWK DJHQF\ VR DJHQ UHVXOWV RI GDWD FR 3URYLGH UHJXODU UH WR UHFRUG 32/' LQIRU FDVH UHSRUWV DQG I *LYH UHFRJQLWLRQ W FRQVLVWHQWO\ UHFR LQ WKHLU FDVH UHSR FDVHV

1RWH 7KH RULJLQDO YHUVLRQ RI WKLV WDEOH ZDV FUHDWHG E\

" 6SHFLDO 6LWXDWLRQV
    v %XVLQHVVHV ZLWK PXO GRPHVWLF ORFDWLRQWXFK DV F
       KDYH PXOWLSOH ORFDWLRQV VR LW LV LPSRUWDQW
       VHUYHG WKH LQGLYLGXDO¶V ODVW GULQN
    v ,QFLGHQWV ZKHUH FROOHFWLQJ 32/' PD\ EH LQDSSU
       KDYH VXIIHUHG VH[XDO DVVDXOW RU VHYHUH LQMXU
       FROOHFW 32/' GDWD DW WLPH RI LQFLGHQW $JHQW
       UHFRJQL]H WKHVH VLWXDWLRQV $ VSHFLDO FDWHJ
       EH LQFOXGHG LQ WKH 32/' GDWDEDVH

7UDLQLQJ DQG $OO LQGLYLGXDOV LQYROYHG LQ FDUU\LQJ R
RU D SRUWLRQ RI WKH 623 PXVW EH WUDLQHG WR GR VR RQWV
VWDII GXULQJ WKH VWDUW XS SKDVH DV ZHOO DV SURYLGLQ
ZKR MRLQ \RXU DJHQF\ DIWHU 6WDUW XS <RXU DJHQF\ VKRX
PDLQWDLQ KLJK TXDOLW\ LPSOHPHQWDWLRQ HVSHFLDOO\ Z
DJHQWV DQG RWKHU VWDII KDYH D EURDG XQGHUVWDQGLQJ
XQGHUVWDQGLQJ WKHLU LQGLYLGXDO UROH WKH\ PD\ EH PR
UHODWHV WR WKH JRDO RI UHGXFLQJ DOFRKRO UHODWHG SU

” 6WDUW XS DQG 1HZ $JHQW HPSOR\HH RULHQWDWLRQ PHWKRGV RI LQV
  \RXU DJHQF\ FDQ XVH WR WUDLQ DJHQWV WKDW DUH QH

  ” ,Q SHUVRQ LQVWUXFWLRQ IURP D VXSHUYLVRU
  ” 'LVWULEXWLQJ SDSHU RU GLJLWDO PDWHULDOV WKD
    WR ODWHU
  ” *RLQJ WKURXJK HDFK SDUW RI WKH GDWD FROOHFW
    SURFHVV
  ” 5ROH SOD\LQJ RU REVHUYLQJ DQ DJHQW LQ WKH ILH
  ” 3UDFWLFLQJ GDWD UHFRUGLQJ DQG HQWU\ WKDW LV
    DFFXUDF\ DQG FRPSOHWHQHVV
  ” :DWFKLQJ LQVWUXFWLRQDO YLGHRV DV D JURXS DQ
    WR \RXU DJHQF\¶V 623
    | &RQVLGHU YLGHR RWKR R WR WKH VLWH IDPLOLDUL]H
      DJHQWV ZLWK 32/'

+RZ ZLOO \RXU DJHQF\ WUDLQ LWV DJHQWV DQG VWDII F

BBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBB

$IWHU VWDUWLQJ 32/' KRZ ZLOO \RXU DJHQF\ WUDLQ QH
PHPEHUV”

BBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBB

2QJRLQJ WUDLQLQJ DQG UHPLQGHUV 7UDLQLQJ DQG UH
UHJXODU LQWHUYDOV DQG DOVR ZKHQ LQFRQVLVWHQFL
PHHWLQJV DQG UROO FDOOV DUH DOVR JRRG RSSRUWXQ
UHFRJQL]H DJHQWV IRU FRQVLVWHQW DQG DFFXUDWH G

:KHQ ZKHUH DQG KRZ RIWHQ ZLOO \RXU DJHQF\ UHPLQG
RQJRLQJ WUDLQLQJ RQ WKH GDWD FROOHFWLRQ UHFRU

  | :KHQ ZKHUH
    " 6WDII 0HHWLQJV
    " 5ROO FDOO
    " 1HZ HPSOR\HH RULHQWDWLRQ RQERDUGLQJ
    " 32/' WUDLQLQJ VHVVLRQ
    " 2WKHU BBBBBBBBBBBBBBBBBBBBBBBBBBBBBB
  | +RZ RIWHQ
    " 0RQWKO\
    " 4XDUWHUO\
    " $QQXDOO\
    " :KHQ GDWD FROOHFWLRQ QHHGV WR EH LPSURY
    " 2WKHU BBBBBBBBBBBBBBBBBBBBBBBBBBBBBB

" 0RQLWRULQJ 0RQLWRULQJ GDWD FDQ KHOS LGHQWLI\ LI VRPH
HQWHULQJ 32/' GDWD DQG LGHQWLI\ PLVVLQJ LQIRUPDW
HVWDEOLVKPHQW OLVWHG LQ WKH QRWHV DV WKH 32/' V
WKH GDWDEDVH 'DWD PRQLWRULQJ DQG UHYLHZ PD\ EH
DJHQF\ RU ZLWKLQ D SDUWQHU DJHQF\ GHSHQGLQJ RQ
RUJDQL]H 32/' DW \RXU DJHQF\

:KR DW \RXU DJHQF\ RU D SDUWQHU DJHQF\ ZLOO UHJX
GDWD"

BBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBB
+RZ RIWHQ ZLOO WKLV SHUVRQ UHYLHZ WKH HQWHUHG G

BBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBBB

$GYLFH IURP D 32/' DJHQF\ OHDG
5HJXODUO\ UHPLQG DJHQWV WKDW LW LV LPSRUWDQW W
LQFLGHQWV ,W FDQ VRPHWLPHV EH FKDOOHQJLQJ WR J
LQFLGHQWV EXW LW LV LPSRUWDQW IRU 32/' GDWD FR
FRQVLVWHQWO\ DQG IDLUO\ IRU DOO DOFRKRO UHODWH
PRQLWRULQJ DPRQJ HVWDEOLVKPHQWV ZKHWKHU WKH\

6WHS   6WDNHKROGHU $ZDUHQHVV

0DLQWDLQ DZDUHQHVV RI 32/' DPRQJ DOFRKRO HVWDEOLVKP
VHUYLFH5HJXODU FRPPXQLFDWLRQ ZLWK DOFRKRO HVWDEOL

" 5HPLQG EXVLQHVVHV WKDW \RXU DJHQF\ WDNHV SUHYHQ
" (PSKDVL]H WKDW WKH JRDO LV WR SUHYHQW RYHUVHUYL
  WDUJHW RU SXQLVK EXVLQHVVHV
" ,QIRUP EXVLQHVVHV WKDW \RXU DJHQF\ LV PRQLWRULQJ
  RYHUVHUYLFH
" %XLOG UHODWLRQVKLSV EHWZHHQ DJHQF\ VWDII DQG DO
" 3URYLGH SRVLWLYH UHLQIRUFHPHQW WR HVWDEOLVKPH
" ,PSURYH LQWHUDFWLRQV ZLWK HVWDEOLVKPHQWV WKDW

&RPPXQLFDWLQJ WKDW \RXU DJHQF\ LV PDNLQJ HYHU\ H
IDLU DQG XQELDVHG ZD\ PD\ DOVR PDNH HVWDEOLVKPH
IHHGEDFN 7KH IUHTXHQF\ RI UHPLQGHUV ZLOO GHSHQG
FRPPXQLW\ ,Q SHUVRQ PHHWLQJV ZLWK PDQDJHPHQW D
DQG PD\ KHOS EXLOG D VWURQJHU UHODWLRQVKLS ZLWK
\RXU FRPPXQLW\¶V VL]H DQG \RXU DJHQF\¶V ZRUNORDG
DOVR EH DSSURSULDWH

,Q DGGLWLRQ LW PD\ EH LPSRUWDQW WR FRPPXQLFDWH
VHUYLQJ VWDII GLUHFWO\ DV ZHOO DV WKURXJK WKHLU
  " 0DQDJHPHQW PD\ QRW DOZD\V UHOD\ PHVVDJH WR
  " 6HUYLQJ VWDII DUH RQ WKH IURQW OLQH RI SUHYHQ
    DUH QRW DZDUH RI 32/' WKH\ PD\ FRQWLQXH WR RY

&RPPXQLFDWLQJ LQIRUPDWLRQ DERXW 32/' WKURXJK VH
DQG JHQHUDO DZDUHQHVV FDPSDLJQV PD\ EH ZD\V RI UH
VWLOO UHVSHFWLQJ WKH UHODWLRQVKLS EHWZHHQ HVW
HPSOR\HHV

+RZ ZLOO \RX PDLQWDLQ DZDUHQHVV DPRQJ HVWDEOLVK
  " ,Q SHUVRQ PHHWLQJV
  " 3KRQH FDOOV
  " /HWWHUV
  " 2WKHU BBBBBBBBBB
+RZ ZLOO \RX PDLQWDLQ DZDUHQHVV DPRQJ HVWDEOLVK
  " 'XULQJ VHUYLQJ VWDII WUDLQLQJ
  " $ZDUHQHVV FDPSDLJQV
  " 2WKHU BBBBBBBBBB

0DLQWDLQ DZDUHQHVV DPRQJ ORFDO JRYHUQPHQW RIILFLDO
ERDUG OLFHQVLQJ D%JHHFODFXLVHV FLWWF FRXQW\OHDGHUV DQG OL
RIWHQ FRQWURO ILQHV DQG SHQDOWLHV IRU DOFRKRO OLFH
HVSHFLDOO\ LPSRUWDQW :KHQ ORFDO OHDGHUV NQRZ ZKDW
WKH\ FDQ EH EHWWHU LQIRUPHG DQG FKRRVH WR WDNH DFW
DQG RU IDFW VKHHWV FDQ HDVLO\ EH JLYHQ GXULQJ IRUPDO
WKH HVWDEOLVKPHQW QDPH WKH QXPEHU RI 32/' UHSRUWV
IROORZ XS DFWLRQV WDNHQ

:KR ZLOO \RX FRPPXQLFDWH ZLWK"
” &LW\ FRXQFLO PHPEHUV
” 2WKHU FLW\ OHDGHUV BBBBBBBBBBBB
” /RFDO OLFHQVLQJ GHSDUWPHQW
” &RXQW\ OHDGHUV
” 2WKHU BBBBBBBBBBBB
+RZ ZLOO \RX FRPPXQLFDWH ZLWK WKHVH OHDGHUV"
” 3UHVHQWDWLRQV
” ,QGLYLGXDO PHHWLQJV
” :ULWWHQ UHSRUWV
”)DFW VKHHWV
” 2WKHU BBBBBBBBBBBBB
+RZ RIWHQ ZLOO \RX FRPPXQLFDWH ZLWK WKHVH OHDGH

0DLQWDLQ DZDUHQHVV DPRQJ2BWKHLUINVWHUSRODUWLRQ BHUYQFLHV
DQ LQWHUHVV LQ SUHYHQWLQJ DOFRKRO UHODWHG SUREOH
LQFOXGH
    D   +HDOWK GHSDUWPHQWV
    E   7UDQVSRUWDWLRQ GHSDUWPHQWV
    F   &RDOLWLRQV ZRUNLQJ RQ XQGHUDJH GULQNLQJ LVVXHV
    G   &RDOLWLRQV ZRUNLQJ RQ GULQNLQJ DQG GULYLQJ LVV
    H   2WKHU FRPPXQLW\ RUJDQL]DWLRQV QRQSURILW RUJDQ

    7KHVH RUJDQL]DWLRQV PD\ QRW EH SDUW RI GD\ WR GD
    WKH\ PD\ EH DEOH WR VXSSRUW 32/' LQ RWKHU ZD\V H
    32/' UDLVLQJ DZDUHQHVV DERXW 32/' DPRQJ WKHLU PHP

6WHS   )ROORZ XS

$IWHU 32/' GDWD FROOHFWLRQ EHJLQV WKH QH[W VWHS LV WR S
UHSRUWV RQ D UHJXODU EDVLV WR LGHQWLI\ HVWDEOLVKPHQWV
SDWWHUQ RI RYHUVHUYLFH 2QFH DQ HVWDEOLVKPHQW LV LGHQ
VWUDWHJLHV WKDW FDQ UDQJH IURP FROODERUDWLYH DQG SURDFWLYH SHQDOWLHV
GHVFULSWLRQV EHORZ 0RVW DJHQFLHV VWDUW ZLWK D FROODE
IROORZ XS VWUDWHJLHV DQG KDYLQJ VWDQGDUG IROORZ XS SUR
KHOSV HQVXUH WKDW 32/' LV LPSOHPHQWHG FRQVLVWHQWO\ DQG
GDWD IRU WKHLU SXUSRVHV RU RWKHU HQIRUFHPHQW DFWLYLWLHV)RU
JXLGH ZKHUH WR FRQGXFW VDWXUDWLRQ SDWUROV WDUJHWLQJ
SURYLGH DJHQFLHV ZLWK LQIRUPDWLRQ UHJDUGLQJ KRZ WR XVH
'8, DQG RWKHU RYHUVHUYLFH HQIRUFHPHQW

32/')ROORZ XS 6WHS E\ VWHS .H\ 'HFLVLRQV

" 5HYLHZ 32/' GDWD 2QFH 32/' GDWD DUH FROOHFWHG WKH\ PX
RUGHU WR EH XVHIXO 'HSHQGLQJ RQ WKH VL]H RI \RXU FRP
32/' UHSRUWV WKH IUHTXHQF\ RI GDWD UHYLHZ PD\ YDU\ <R
SDUWQHULQJ ZLWK RWKHU DJHQFLHV VXFK DV D KHDOWK GH
$%& DJHQF\ WR FRQGXFW WKH GDWD UHYLHZ SURFHVV 7K
FDVHV ZKHUH WKH SULPDU\ DJHQF\ ODFNV WKH FDSDFLW\ WH
5HYLHZLQJ WKH UHSRUWV LQ D WLPHO\ IDVKLRQ LV FUXFLDO
LQIRUP ZKLFK IROORZ XS DFWLRQV LI DQ\ \RXU DJHQF\ RU
HVWDEOLVKPHQWV LQ \RXU FRPPXQLW\ )ROORZ XS ZLWK HV
LQ RUGHU WR PD[LPL]H LWV HIIHFWLYHQHVV

+RZ IUHTXHQWO\ ZLOO \RXU DJHQF\ UHYLHZ 32/' GDWD"
" 2QJRLQJ
" :HHNO\
" 0RQWKO\
" %LPRQWKO\
" 2WKHU BBBBBBBBBBBBBBBBBBBBBBB

:KR ZLOO JHQHUDWH WKHVH UHSRUWV"
" $ GDWD RU UHFRUGV PDQDJHU DW \RXU DJHQF\
" $ FRPPXQLW\ OLDLVRQ DW \RXU DJHQF\
" $Q LQWHUQ DW \RXU DJHQF\
" $ SDUWQHULQJ DJHQF\ H J KHDOWK GHSDUWPHQW
" 7KH 32/' VWDII OHDG DW \RXU DJHQF\
" 2WKHU BBBBBBBBBBBBBBBBBBBBBBB

" ,GHQWLI\ 32/' HVWDEOLVKPHQWV WKHQ DWWHQWLRQ ILUVW WR HVWDEOLVKPHQWV
LGHQWLILHG DV D IUHTXHQW 32/' \RXU DJHQF\ RU DQRW

32/' ,QFLGHQW 7KUHVKROG QFLHV VHW D WKUHVKROO

RI 32/' LQFLGHQWV WKDW PD\ RFFXU LQ D VSHFLILH

IROORZ XS WDNHV SODFH)RU H[DPSOH DQ DJHQF\

ZLWK DQ\ HVWDEOLVKPHQW WKDW LV QDPHG DV D 3

SUHYLRXV PRQWK RU TXDUWHU WLPH SHULRG PD\ Q

FRPPXQLW\ DQG QXPEHU RI DOFRKRO UHODWHG LQF

IUZ2 HQW 7KUHVKRFG

IUZ2

6KDUH GDWD UHSRUWV ZLWK NH\ SDUWQHUV ,W PD\ EH

SDUWQHU DJHQFLHV WKDW FDQ KHOS IROORZ XS ZLWK H

ORFDWLRQ $SSHQGR[%PRUH LQIRUPDWLRQ DERXW RWKHU 3

\RX FKRRVH WR GR VR FRQVLGHU WKH EHVW ZD\V WR P

LQIRUPDWLRQ H J JHQHUDWLQJ DXWRPDWLF UHSRUWV

KHOS ZLWK WKLV SURFHVV ,W¶V DOVR LPSRUWDQW WR

YLRODWH DQ\ SDUWV RI WKH 32/' GDWDEDVH XVHU DJUH

:KLFK DJHQFLHV ZLOO UHFHLYH UHJXODU 32/' UHSRUWV

- ” /RFDO ODZ HQIRUFHPHQW DJHQFLHV
- ” /RFDO OLFHQVLQJ GHSDUWPHQW
- ” 6WDWH OLFHQVLQJ DJHQF\
- ” /RFDO KHDOWK GHSDUWPHQW
- ” 6WDWH KHDOWK GHSDUWPHQW
- ” /RFDO RU VWDWH FRDOLWLRQV
- ” 2WKHU BBBBBBBBBBBBB

” 6KDUH 32/' LQIRUPDWLRQ ZLWK DJHQFLHVWLQ QHDUE\ FR

H[FKDQJH ZLWK QHDUE\ FRPPXQLWLHV FDQ KHOS LGHQW

MXULVGLFWLRQ WKDW DUH EHLQJ UHSRUWHG WR DJHQF

6LPLODUO\ \RXU DJHQF\ PD\ GHDO ZLWK DOFRKRO LQFL

DOFRKRO DW HVWDEOLVKPHQWV ORFDWHG LQ RWKHU FR

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” $GGUHVV)UHTXHQW 32/' (VWDEOLVKPHQWV

0RVW FRPPXQLWLHV VWDUW ZLWK D FRROERUDWLYH DSSUR

” &RROERUDWLYH DSSURDFKHV VKDUHG SUREOHP VROYL
HVWDEOLVKPHQWV

$GGLWLRQDO WUDLQLQJ WUDLQLQJ IRU EDUWHQGH
FRXOG EH WKURXJK \RXU DJHQF\ RU WKURXJK D WU
” 9ROXQWDU\ FKDQJH RI GULQN VSHFLDOV KRXUV RI I
VHUYLFH &KDQJHV FDQ LQFOXGH UHVWULFWLQJ GU
KRXUV RU H[WHQGLQJ KRXUV WKDW IRRG LV VHUYH

:KDW FKDQJHV ZLOO \RXU DJHQF\ DVN HVWDEOLVKPHQW

” $GGLWLRQDO WUDLQLQJ IRU VHUYLQJ VWDII DQG RU
” 5HGXFH RU HOLPLQDWH GULQN VSHFLDOV
” ([WHQG KRXUV RI IRRG VHUYLFH
” 5HGXFH KRXUV RI DOFRKRO VHUYLFH
” 2WKHU BBBBBBB

”I 5FROXPELRQDWO VGBRBQ FGRQHWV QRW ZQ “Đ0•••q`p°€PĐ0  WKHp0p`€
”HQW”

2YHUVHUYLFH (QIRUFGHPHQWLRQ WR LQYHVWLJDWLQJ
LQFLGHQWV XQGHUFRYHU REVHUYDWLRQV WR GHW
KHOS EXLOG D OHJDO FDVH IRU RYHUVHUYLFH SHQD
D ORW RI SHUVRQ KRXUV $JHQFLHV FRXOG XVH 32/
REVHUYDWLRQV RQO\ LQ HVWDEOLVKPHQWV WKDW D
QRW ZRUNLQJ FROODERUDWLYHO\ ZLWK \RXU DJHQF
SUDFWLFHV 8VLQJ 32/' GDWD WR JXLGH RYHUVHUYL
DYRLG IDYRULWLVP RU ELDVHG HQIRUFHPHQW

&RQFOXVLRQ

32/' LV DQ LPSRUWDQW WRRO WKDW FDQ EH XVHG DV SDUW RI D
RYHUVHUYLFH RI DOFRKRO (DFK VWUDWHJ\ XVHG DV SDUW RI D
FRPSOH[LVVXHV OLNH RYHUVHUYLFH RI DOFRKRO ZLOO KDYH WK
WR PD[LPL]H SRWHQWLDO HIIHFWV 7KLV PDQXDO ZDV FUHDWHG
LPSOHPHQWDWLRQ RI 32/' LQ D FRPPXQLW\ *LYHQ WKDW DOFRKR
OLFHQVHG HVWDEOLVKPHQWV DQG RWKHU ORFDWLRQV ORFDW
ZRUN EHVW LI LPSOHPHQWHG DFURVV ODUJHU UHJLRQV RU DW W
VWLOO LPSOHPHQW 32/' DQG VHH SRVLWLYH FKDQJHV HYHQ LI LW
JHRJUDSKLF DUHD

$V DJHQFLHV ZRUN WKURXJK HDFK RI WKH IRXU LPSOHPHQWDWLR
PDQXDO WKH\ VKRXOG DOVR WKLQN WKURXJK KRZ WR PDNH VXU
RYHU WLPH :KLOH PDQ\ DJHQFLHV KDYH UHSRUWHG WKDW 32/' F
IORZV ZLWKRXW D VLJQLILFDQW FKDQJH WR VWDII EXUGHQ LW P
IRU 32/' HIIRUWV 7R PDNH VXUH 32/' HIIRUWV DUH VXVWDLQHG
ORQJ WHUP IXQGLQJ 7KLV W\SH RI IXQGLQJ PD\ EH DYDLODEOH
GHSDUWPHQWV WUDQVSRUWDWLRQ GHSDUWPHQWV $OFRKRO %H
PD\ DSSO\ IRU JUDQWV LQ SDUWQHUVKLS ZLWK RWKHU DJHQFLHV
$JHQFLHV FRXOG DOVR LQFOXGH D OLQH LWHP IRU 32/' LQ WKHL
JRYHUQPHQW DJHQFLHV FDQ DOVR KHOS PDNH VXUH WKDW WKHU
OHYHOV RI JRYHUQPHQW DQG DFURVV DJHQFLHV)LQDOO\ KDYL
DFFRXQWDEOH IRU LPSOHPHQWDWLRQ RI 32/' LV NH\ WR PDNLQJ
FRXOG PHDQ FUHDWLQJ D VSHFLILF MRE IRU DGPLQLVWHULQJ 32
HPSOR\HH¶V MRE GHVFULSWLRQ

$SSHQGL[$ %URDGHU 32/' (IIRUWV

7KLV PDQXDO IRFXVHV RQ KRZ WR LPSOHPHQW 32/' DW WKH FLW\
FRPPXQLW\ PD\ GHFLGH WR LPSOHPHQW 32/' RQ LWV RZQ +RZHY
32/' LQ SDUWQHUVKLS ZLWK RWKHU QHDUE\ FRPPXQLWLHV DW D
UHODWHG WR DOFRKRO OLNH Gµ PX`REOHPV
UH SD[HU QHPPX ÀpÀ€`ð0° 0` °0•ð€ PV

/RFDO &LW\ 7RZQ &RXQW\ +HDOWK 'HSDUWPHQWV
    ” $VVLVW ZLWK LQFUHDVLQJ DZDUHQHVV RI 32/' ORFDOO\
    ” 5HJXODUO\ UHYLHZ ORFDO 32/' GDWD
    ” 0HHW ZLWK IUHTXHQW 32/' VLWHV
/RFDO RU 6WDWH /LFHQVLQJ $XWKRULWLHV
    ” $SSO\ SHQDOWLHV WR 32/' ORFDWLRQV WKDW FRQWLQXH WR
        WKH DXWKRULW\ WR DSSO\ OLFHQVLQJ SHQDOWLHV YDULHV

$SSHQGL[% 1RQ 5HWDLO 32/' /RFDWLRQV

0DQ\ RI WKH DJHQFLHV LPSOHPHQWLQJ 32/' LQ 0LQQHVRWD WUDF
DUH QDPHG LQ DQ DOFRKRO UHODWHG LQFLGHQW 7KHVH ORFDW
HVWDEOLVKPHQWV H J   EDUV UHVWDXUDQWV   RU QRQ UHWDLO
VWDGLXPV ZRUNVLWHV SDUWLHV LQ SXEOLF SODFHV OLNH SDU
VKRZV WKDW WKH 32/' IRU DERXW KDOI RI GULQNLQJ DQG GULYL
HVWDEOLVKPHQWV 7KLV PHDQV WKDW WKH 32/' IRU WKH RWKHU
2YHUVHUYLFH RI DOFRKRO DW WKHVH RWKHU ORFDWLRQV OLNHO
LQFLGHQWV

,W PD\ EH LPSRUWDQW IRU D FRPPXQLW\ WR XQGHUVWDQG KRZ P
DUHD UHVXOW IURP RYHUVHUYLFH DW D EDU VSRUWV VWDGLXP
WKH EHVW VROXWLRQV WR UHGXFH DOFRKRO UHODWHG SUREOR
GLIIHUHQW VWUDWHJLHV WR DGGUHVV RYHUVHUYLFH LQ GLIIHUH
VWUDWHJLHV WR DGGUHVV RYHUVHUYLFH RI DOFRKRO LQ QRQ U
RWKHU ORFDWLRQV DQG SRVVLEOH VWUDWHJLHV &RPPXQLW\ OH
LGHQWLI\ WKH PRVW DSSURSULDWH VWUDWHJLHV IRU WKHLU FRP

&RPPXQLW\ )HVWLYDOV FRPPXQLWLHV KDYH IHVWLYDOV 2IWHQ YHQG
D WHPSRUDU\ OLTXRU OLFHQVH WR VHOO DOFRKRO)HVWLYDO V
DOFRKRO VHUYHUV RIWHQ YROXQWHHUV DW WKHVH HYHQWV DU
UHIXVH VHUYLFH WR LQWR[LFDWHG DQG XQGHUDJH LQGLYLGXDO
ZKR FDQ EDFN XS WKH VHUYHUV ZKHQ WKH\ UHIXVH DQ DOFRKRO

u†SRUDU\ OLTXR gð595`p € p

u†SRUD UYH DO WS"VWHG €À0 @ p0p°€``PXPP@ @O€0D°YL p0 DH WR VHFR

%HORZ LV D OHWWHU \RXU DJHQF\ FRXOG DGDSW WR LQIRUP RWK
)RU DJHQFLHV WKDW VLPSO\ QHHG WR EH QRWLILHG EXW ZLOO Q
UHPRYH WKH VHQWHQFH KLJKOLJKWHG LQ JUHHQ)RU DJHQFLHV
LPSOHPHQWDWLRQ \RX PLJKW FRQVLGHU LQFOXGLQJ D VHQWHQ

'HDU >$*(1&< 25*$1,=$7,21@

7KLV OHWWHU LV WR LQIRUP \RX WKDW >$*(1&<@ LV SUHSDULQJ
'ULQN 32/' LQ >&20081,7< 1$0(@ 7KLV SURJUDP DLPV WR UHGXF
DOFRKRO WR DQ REYLRXVO\ LQWR[LFDWHG SHUVRQ DW HVWDEO

2YHUVHUYLFH FDQ OHDG WR SUREOHPV LQ WKH FRPPXQLW\ VXF
LQFLGHQWV :KHQ ZH UHVSRQG WR VXFK LQFLGHQWV ZH ZLOO D
KDG WKHLU ODVW GULQN %\ FROOHFWLQJ WKLV LQIRUPDWLRQ
SUREOHPDWLF DOFRKRO VHUYLFH DW OLFHQVHG HVWDEOLVKPHQ
HVWDEOLVKPHQW DV D IUHTXHQW VRXUFH RI DOFRKRO UHODWHG
XS ZLWK WKHP WR SURYLGH HGXFDWLRQ DQG RXWOLQH SRWHQW

2XU JRDO LV WR KDYH D FRRSHUDWLYH UHODWLRQVKLS ZLWK OL
RFFXU QRW WR QHJDWLYHO\ LPSDFW D UHWDLOHU¶V EXVLQHVV
H[FHVVLYH DOFRKRO XVH DQG DOFRKRO UHODWHG KDUPV WR PD

:H KRSH \RXU DJHQF\ FDQ EH LQYROYHG LQ ;;;;; FDSDFLW\ DQG Z
SDUWQHUVKLS IXUWKHU ,I \RX KDYH TXHVWLRQV DERXW 32/' \RX
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>&,7< 67$7(=,3@

'HDU *HQHUDO 0DQDJHU

7KLV OHWWHU LV WR LQIRUP \RX WKDW ZH KDYH VWDUWHG D SUH
>&20081,7< 1$0(@ :KHQ ZH UHVSRQG WR LQFLGHQWV LQYROYLQJ
RU PHGLFDO LQFLGHQWV ZH ZLOO DVN SHRSOH LQYROYHG ZKHU
WKLV LQIRUPDWLRQ DQG QRWLI\ HVWDEOLVKPHQWV LI WKH\ DUH
LQWHQWLRQ LV WR KHOS \RX UHGXFH \RXU SRWHQWLDO OLDELOL
WR NHHS \RXU FXVWRPHUV DQG WKH UHVW RI WKH FRPPXQLW\ VI

,I \RXU HVWDEOLVKPHQW LV IUHTXHQWO\ QDPHG DV D 32/' >,16(5
,1&,'(17 7+5(6+2/' +(5(@ ZH ZLOO IROORZ XS ZLWK \RX WR GLVFX
DOFRKRO VHUYLQJ SUDFWLFHV :H HQFRXUDJH HVWDEOLVKPHQW
DQG WR KDYH DQG FRPPXQLFDWH UHVSRQVLEOH DOFRKRO VHUYL

3OHDVH FRQWDFW PH LI \RX KDYH DQ\ TXHVWLRQV :H DUH KDSS\
TXHVWLRQV YLD SKRQH >3+21(@ RU HPDLO >(0$,/@ 7KDQN \RX IR

6LQFHUHO\

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$SSHQGL[(6XJJHVWLRQV IRU 'UDIWLQJ D 32/' 'DWDEDVH

7KH FRPSRQHQWV RI D 32/' GDWDEDVH XVHU DJUHHPHQW ZLOO Y
LV IXQGHG ZKR PDLQWDLQV DQG PDQDJHV WKH GDWDEDVH ZKH
WKH MXULVGLFWLRQ V LQ ZKLFK WKH GDWDEDVH LV KRVWHG 0D
ILQDOL]LQJ DQ\ 32/' GDWDEDVH DJUHHPHQW %HORZ DUH D IHZ V
FRQVLGHU LQFOXGLQJ LQ D 32/' GDWDEDVH XVHU DJUHHPHQW

    7HUPV RI MRLQLQJ WKH GDWDEDVH 7KHVH WHUPV PD\ LQFOX
GDWDEDVH XVH GHWDLOHG LQ D XVHU JXLGH RU IURP FRPPX
PDQDJLQJ WKH 32/' GDWDEDVH
32/' GDWD UHVSRQVLELOLW\VSHFLI\ RU QRW ZKLVWKH GDWD DQG
UHVSRQVLEOH IRU HQVXULQJ GDWD DFFXUDF\
$JUHHPHQW WR VKDUH GDWD ZLWK RWKHU 32/' DJHQFLHV $J
PD\ QHHG WR DFFHVV RQH DQRWKHU¶V GDWD WR DVVHVV ZK
FRPPXQLW\ ZHUH QDPHG DV D 32/' IRU LQFLGHQWV RFFXUUL
DJUHHPHQW ZRXOG VSHFLI\ ZKLFK•À`@GDW 0 °QH DFFHVV WR
GDWDEDVV DEDJHDOO#0EDQH DFFHVV WK DO#32/' PD D 0ZRDQ
UHVSRQVLEOH IRU PDQDJLQJ DQG PDLQWDLQLQJ WKH 32/' GD
XVHUV³p˜ 32/' GDWD 7KLG PD\ GHOV WKH GDWDEDVH PDQDJH
0I RP ZRQHUQPHQW À`@GDW
GDEDOHPD#VV DFFHVV 0IJU DLRWHODQFH DQG RQGDGHV 7KL G P
GDWDEDVV DFFHVV 0EV UHVHDUVJHDV 7KH 32/' GDWDEDV PD
GDWDEDVV DFFHVV 0DQG RVV EV JJQHUJWHQV 7HGHUDO R
ZRQHUQPHQW À`FFHVV WR WKH 32/' GDWDEDV#
JHHV 7KH GDWDEDVH PDQDJHU PDV UHVHUQ WKH UDJQV W
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$SSHQGL[ ) 6DPSOH 1HZV 5HOHDVH

1HZV 5HOHDVH

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)RU ,PPHGLDWH 5HOHDVH RU +ROG XQWLO 'DWH 7LPH
'DWH   (PDLO DGGUHVV

([DPSOH +HDG>$OLQH@ DQQRXQFHV SODQ WR DGGUHVV FRPPXQLWV
DOFRKRO

,QWURGXFWRU\ 3DUDJUDSK SURYLGH WKH :KR :KDW :KHUH DQG :K
>&20081,7<@ ZLOO EH LPSOHPHQWLQJ 32/' WR SUHYHQW RYHUVH
UHVWDXUDQWV 2YHUVHUYLFH RI DOFRKRO PHDQV VHUYLQJ DOFR
7KLV FDQ OHDG WR KLJK SHUFHQWDJHV RI SHRSOH ZKR DUH LQW
FDXVH PDQ\ SRWHQWLDO SUREOHPV LQFOXGLQJ LQFUHDVHG HFF
YDQGDOLVP :KHQ WKH >$*(1&<@ UHVSRQGV WR DQ LQFLGHQW LQ
DOFRKRO WKH DJHQWV ZLOO FROOHFW LQIRUPDWLRQ DERXW ZK
ODVW GULQN 7KLV SURJUDP LV FDOOHG WKH 3ODFH RI /DVW 'UL
KHOS >$*(1&<@ VHH LI VSHFLILF EXVLQHVVHV DUH UHJXODUO\ RY
WR DOFRKRO UHODWHG SUREOHPV LQ WKH FRPPXQLW\ 7KH >$*(1
EXVLQHVVHV WR SUHYHQW IXWXUH RYHUVHUYLFH RI DOFRKRO

)LUVW 4XRWH ,QFOXGH D TXRWH IURP D FRPPXQLW\ OHDGHU DERXW ZKV
SURJUDP)RU H[DPSOH ³32/' LV DQ LPSRUWDQW WRRO WR KHOS
FRPPXQLW\ IDFHV EHFDXVH RI H[FHVVLYH DOFRKRO XVH´ 0D\RU

([SDQG ,QIRUPDWLRQ IURP WKH ILUVW SDUDJUDSK
>$*(1&<@ ZLOO UHJXODUO\ UHYLHZ 32/' GDWD WR LGHQWLI\ EDUV
EXVLQHVVHV WKDW UHJXODUO\ RYHUVHUYH DOFRKRO 7KLV GDW
OHDGHUV RI >&20081,7<@ VHH ZKLFK HVWDEOLVKPHQWV PD\ EH U
SUREOHPV LQ WKH FRPPXQLW\ DQG SUHYHQW SUREOHPV IURP RF
GHVLJQHG WR FROOHFW GDWD LQ DQ REMHFWLYH XQELDVHG ZD
EXVLQHVVHV 7KH JRDO RI 32/' LV WR SUHYHQW RYHUVHUYLFH RI
RXW RI EXVLQHVV 32/' LQIRUPDWLRQ FDQ KHOS HVWDEOLVKPHQ
SUHYHQW RYHUVHUYLFH RI DOFRKRO DQG DYRLG OLDELOLW\ LVV

6HFRQG 4XRWH ,I SRVVLEOH LQFOXGH D VHFRQG TXRWH IURP D
EXVLQHVV OLFHQVHG WR VHUYH DOFRKRO)RU H[DPSOH ³:H FDU
DQG WKLV FRPPXQLW\ 32/' LQIRUPDWLRQ ZLOO KHOS XV NQRZ ZK
DQG VXSSRUW IRU RXU DOFRKRO VHUYHUV´ 2ZQHU RI EXVLQHVV

)LQDO 3DUDJUDSK IRU H[DPSOH
>$*(1&<¶6@ JRDO LV WR SUHYHQW SUREOHPV UHODWHG WR DOFR
GDPDJH WR EXVLQHVVHV DQG KRPHV 32/' LV RQH WRRO WR KHOS

$SSHQGL[+ 6DPSOH 6RFLDO 0HGLD 3RVW

>,QVHUW UHOHYDQW SKRWR@

>$JHQF\@ LV VWDUWLQJ D QHZ SURJUDP FDOOHG 3ODFH RI /DVW
DJHQWV UHVSRQG WR DQ LQFLGHQW WKDW LQYROYHV DOFRKRO
WKHLU ODVW GULQN :H ZLOO XVH WKLV LQIRUPDWLRQ WR VHH Z
ORFDWLRQV WKDW DUH UHJXODUO\ RYHUVHUYLQJ DOFRKRO 2XU

1RWLI\ 6WDII RI &XVWRPHU ,QWR[LFDWLRQ /HYHOV
1RWLI\ DUULYLQJ VHUYLQJ VWDII DERXW WKH LQWR[LFDWLRQ VW
VWDII LI D FXVWRPHU KDV EHHQ FXW RII RU LV DSSURDFKLQJ LQ

:K\"
    ” 3UHYHQW RYHUVHUYLFH ZKHQ FXVWRPHUV DUH VHUYHG E\ P
        VKLIW FKDQJH RU ZKHQ FXVWRPHUV PD\ PRYH IURP RQH VHU

:KDW FDQ VHUYLQJ VWDII DQG RU VHFXULW\ GR"
    ” &OHDUO\ FRPPXQLFDWH ZLWK RWKHU VHUYLQJ VWDII DQG VH
        LQWR[LFDWLRQ OHYHOV

:KDW FDQ HVWDEOLVKPHQW RZQHUV PDQDJHUV GR
    ” (VWDEOLVK D V\VWHP IRU VHUYLQJ VWDII DQG VHFXULW\ WR
        VWDWXV RI WKHLU FXVWRPHUV
    ” 'LVFXVV HIIHFWLYHQHVV RI WKLV V\VWHP DW UHJXODU VWDI
    ” 'LVFLSOLQH HPSOR\HHV ZKR URXWLQHO\ GRQ W IROORZ WKL

+RQRU $ 7ZHQW\ 3HUFHQW *UDWXLW\ IRU 5HVSRQVLEOH %HYHUDJ
*XDUDQWHH DOO VHUYLQJ VWDII D   JUDWXLW\ LI DOFRKRO VHU
OHDYH D WLS

:K\"
    ” $ JXDUDQWHHG WLS ZLOO HQFRXUDJH VHUYLQJ VWDII WR WH
        DSSURSULDWH

:KDW FDQ VHUYLQJ VWDII DQG RU VHFXULW\ GR"
    ” &XW RII VHUYLFH WR LQWR[LFDWHG FXVWRPHUV
    ” 1RWLI\ PDQDJHU DQG RWKHU VHUYLQJ VWDII WKDW \RX KDYH

:KDW FDQ PDQDJHPHQW GR"
    ” %DFN XS VHUYLQJ VWDII DW DOO WLPHV
    ” 3URYLGH VHUYLQJ VWDII ZLWK D   JUDWXLW\ LI WKH JXHVW
        ZHUH FXW RII

Maintain a Safe Physical Environment

Monitor all areas of the establishment, including whe[re]
and the parking lot for unsafe activities

Why?

- Employees may be able to identify underage or obviou[s]
  monitoring customer behavior in these areas
  - To prevent violent situations from occurring
  - To prevent intoxicated patrons from driving
  - To increase safety of staff and customers

What can serving staff and or security do?
- Check restrooms, hallway, patios and parking lots a[t]
  basis
- Notify management when an intoxicated customer lea[ves]
  customer is being violent
- Notify management if you see unsafe or potentially d[...]
  vomiting, aggressive behavior, etc
- Describe any observed problems in incident log

What can management do?
- Establish procedures for handling troublesome agg[ressive]
  train all employees on these procedures
- Back up employees when dealing with intoxicated cus[...]
- Maintain an appropriate staff customer ratio
- Consider installing video surveillance cameras ou[...]
  deter suspicious activities
- For some bars and nightclubs, have security on duty[...]
- Have additional staff on duty for busy evenings and [...]
  the exit to monitor patrons as they leave the estab[lishment]

Ensure a Safe Closing Time

Why?
- Bar closing can be a challenging time for staff, cust[...]
- A large number of intoxicated customers exiting the [...]
  problems
- An establishment can be sued if they serve the last[...]
  subsequently causes harm to others due to their in[...]