

)ULW] )LVFKHU  
8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR  
&ROOHJH RI +XPDQLWLHV DQG 6RFLDO 6FLHQFHV

(PDL)@LW] )LVFKHU#XQFR HGX

(GXFDWLRQ

3K' 1RUWKZHVWHUQ 8QLYHUVLW\  
\$UHD RI 6WXG\ WK &HQWXU\ 8 6 'LSORPDWLF &XOWXUDO

0\$ 6WDQIRUG 8QLYHUVLW\  
\$UHD RI 6WXG\ WK &HQWXU\ 8QLWHG 6WDWHV

0\$ 6WDQIRUG 8QLYHUVLW\  
\$UHD RI 6WXG\ 8 6 ORGHUQ (XURSH

3URIHVVRQDO \$FDGHPLF ([SHULHQFH

3URIHVVRU 8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR 3UHVHQW

\$VVRFLDWH 3URIHVVRU 8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR

\$VVLVWDQW 3URIHVVRU 8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR

6HPLQDU ORGHUWRU \$VSHQ ,QVWLWXWH IRU +XPDQLVWLF 6WXGL

/HFWXUHU 1RUWKZHVWHUQ 8QLYHUVLW\  
7HDFKLQJ \$VVLVWDQW 1RUWKZHVWHUQ 8QLYHUVLW\  
7HDFKHU , +DYH \$ 'UHDP )RXQGDLRQ  
7HDFKHU RI +LVWRU\ &U\WDO 6SULQJV 8SODQGV 6FKRRO  
7HDFKLQJ \$VVLVWDQW 0HQOR \$WKHUWRQ +LJK 6FKRRO

5(6(\$5&+ 6&+2/\$56+,3 \$1' &5(\$7,9( :25.6

3XEOLFDWLRQV

-XULHG

%RRN &KDSWHU

)LVFKHU ) 37HDFKLQJ 5HYROXWLRQ 5HIRUP DQG 5HEH  
SUHYHQW LW ' ,Q \*RUGRQ \$QGUHZKHDO+RRO\$JBQJGIDQ(6  
0HPRU\ LQ +LVWRULFD0H20M\WOMDQSLQJ\QH &DPEULGJH 6  
3UHV

.OHLQ 3 )LVFKHU ) 7KH LPSOLFDWLRQV RI QHZ UHVH  
DQG JHRJUDSK\ IRU XQGHUJUDGDWH DQG WHDFKHU HGXF  
6 %HGQDUJRFQDO 6FLHQFH RQ WKH )URQWLHU 1HZ +RUL]R  
\*HRJUDSKS ± %RXOGHU &2 6RFLDO 6FLHQFH (GXFDL

1RQ MXULHG

-RXUQDO \$UWLFOH

)LVFKHU ) 6WXGHQW 3URWHVW +LVWRULFDO 7KLQNLQ  
FRQWH[W RQ WKH -HIIFR \$BB@+(GXFDWLRQ

)LVFKHU ) 1&+( & DQG WKH ,PSRUWD+LVWRU+LVWRU\  
ODWWHUV

)LVFKHU ) +LVWRU\ (GXFDWLRQK B @ Q @ F D W / L F D Q @ R H I  
1HZ <RUN 5HYLHZ ;/9,,

)LVFKHU ) 7KH +LVWRULDQ DV 7UDQVODWRU +LVWRUL  
+LVWRU\ (G-XFDWLRULQF DOO\ 6SHDNLQJ

)LVFKHU ) 7KH 7H[DV +LVWRU\ 6WDQGDUGV 7KH &DVH  
DQG (IIHFWLYH +LVWRU\ 7HDFKLUHUV

)LVFKHU ) 7HDFKLQJ 7HDFKLQJ :KLOH 7HDFKLQJ +LVWR  
+HOS 7KHLU 6WXGHQWV %HFRPH %HWWHU 67KH  
+LVWRU\ 7HDFKHU

)LVFKHU ) 3UHSDUDWLRQ RI )XWXUH +LVWRU\ 7HDFKHU  
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)LVFKHU ) 7KH 3URIHVVRLVWRUWKHDLWMLOH &KDLU

)LVFKHU ) \$UWV DQG 6FLHQFHV )BXQW\ (GXFDWLRQKHU

)LVFKHU ) 'RZQH\ 0 +LVWRU\ 7HDFKZ@H B Q GWRKH :LQ  
7HDFKHU

%RRN

)LVFKHU ) 7KH 0HPRU\ +ROH 7KH 8 6 +LVWRU\ &XUULFXOXP  
&KDUORWWH 1RUWK &DUROLQD ,QIRUPDWLRQ \$JH 3UHV

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%RRN &KDSWHU

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\$QWRQLR &D-QWXR\ (GXFDWLRQ WKH 3DVW 3UHVHQW  
3UHSDUDWLRQ

%RRN 5HYLHZ

)LVFKHU ) ,QRFHQWV \$EURDG \$PHULFDQ 7HDFKHUV LQ WKH  
-RXUQDO RI \$PHULFDQ +LVWRU\  
)LVFKHU ) 3RS 'UHDPV 5HG 5LYHO 9DO+LVWRULFDO -RXUQDO

)LVFKHU ) \*XDUGLDQV RI QBSHGH YRO SS 3DFLILF  
5HYLHZ

)LVFKHU ) 1XFOHDU 3UROLIHUWLRQ DIWHU WKH &UDWFOHDU

)LVFKHU ) &KDLU \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ \$  
+LVWRU\ (GXFDWLRQ 5HFRJQLJLQJ ,QWHUGHSHQGHQFH DQ  
\$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ 'HQYHU -DQXDU\  
)LVFKHU ) \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ \$+\$ \$QQX  
:KDW LV LWV UROH LQ +LVWRU\ (GXFDWLRQ" ' \$PHULFDQ +  
-DQXDU\  
)LVFKHU ) 3DQHOLVW \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ  
+LVWRU\ RI WKH & DQG 7XQLQJ 3URMHFWV' \$PHULFDQ +L  
-DQXDU\  
)LVFKHU ) &KDLU 2UJDQLJDWLRQ RI \$PHULFDQ +LVWRULDQ  
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)LVFKHU ) 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWLRQ 1D  
&RPPRQ &RUH DQG +LVWRU\ &RQWHQW .DQVDV &LW\ 0LVV

)LVFKHU ) 7HQQHVVHH &RXQFLO IRU +LVWRU\ (GXFDWLRQ &  
7KH 0HPRU\ +ROH \*HRUJH 2UZHOO DQG WKH 7H[DV 6WDQGD  
7HQQHVVHH 1RYHPEHU

)LVFKHU ) &DOLIRUQLD &RXQFLO IRU +LVWRU\ (GXFDWLRQ &  
'HEDWH DQG WKH +LVWRULDQV 5ROH LQ 3XEOLF 'HEDWHV  
6DFUDPHQWR &DOLIRUQLD 6HSWHPEHU

)LVFKHU ) 7KH +LVWRULFDO 6RFLHW\ 1DWLRQDO &RQIHUHQF  
+LVWRULFDO 7KLQNLQJ DQG WKH 3URIHVVLRLQ RI +LVWRU\

)LVFKHU ) %DLQ % :LQHEXUJ 6 1DWLRQDO &RXQFLO IRU  
&RQIHUHQFH 7HDFKLQJ DQG /HDUQLQJ +LVWRU\ \$ &RQYHU  
&DOLIRUQLD 0DUFK

)LVFKHU ) 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWLRQ 1D  
/LQFROQ +HDGV RU 7DLOV /RXLVYLOOH .HQWFXN\ \$SUL

)LVFKHU ) 0LFKDHO - &ROOLJDQ (QGRZHG /HFWXUH +LVWRU  
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)LVFKHU ) \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ \$+\$ 1DWLRQ  
+LVWRU\ IRU )XWXUH +LVWRU\ 7HDFKHUV :DVKLQJWRQ ' &

)LVFKHU ) \*LOGHU /HKUPDQ 86 3UHVHUYH \$PHULFD 1DWLRQ  
&RQIHUHQFH ,VVXHV LQ +LVWRU\ (GXFDWLRQ 1HZ <R

)LVFKHU ) 2UJDQLJDWLRQ RI \$PHULFDQ +LVWRULDQV 2\$+ 1  
WKH )XWXUH \*HQHUDWLRQ RI +LVWRU\ 7HDFKHUV 0LQQHDS

)LVFKHU ) \$+\$ 1DWLRQDO &RQIHUHQFH 7UDLQLQJ WKH 1H[  
7HDFKHUV \$WODQWD \*HRUJLD -DQXDU\

)LVFKHU ) 7\$+ 3URMHFW 'LUHFWRUV 5HJLRQDO 0HHWLQJ \$  
3\$67 \$FDGHP\ IRU (OHPHQWU\ 6FKRRO 7HDFKHUV \$OEXTX  
6HSWHPEHU

)LVFKHU ) 8QLYHUVLW\ RI 9LUJLQLD &DUQHJLH &RUSRUDWL  
+LVWRU\ 'HSDUWPHQW LQ WKH 3UHSUDWLRQ RI )XWXUH +L  
9LUJLQLD -XQH

)LVFKHU ) \$+\$ 2\$+ ,QQRYDWLRQV LQ &ROODERUDWLRQ 1DWL  
 3UHSDUDWLRQ RI +LVWRU\ 7HDFKHUV WKURXJK &XUULFXOD  
 9LUJLQLD -XQH

)LVFKHU ) \$VVRFLDWLRQ RI 7HDFKHU (GXFDWRUV \$7( 1DWL  
 LQ 7HDFKHU 7UDLQLQJ 'HQYHU &RORUDGR )HEUXDU\

)LVFKHU ) \$VVRFLDWLRQ RI 7HDFKHU (GXFDWRUV 1DWLRQDO  
 'LVWLQJXLVKHG 3URJUDP LQ 7HDFKHU (GXFDWRQ 'HQYHU

)LVFKHU ) \$+\$ 1DWLRQDO &RQIHUHQFH %XLOGLQJ &ROOHJ  
 6DQ )UDQFLVFR &DOLIRUQLD -DQXDU\

)LVFKHU ) &RRUGLQDWRU 2UJDQL]HU &RXQFLO IRU %DVLF  
 %DVHG 7HDFKHU (GXFDWRQ 3URMHFW 6XPPHU &RQIHUHQFH  
 /LQNLQJ /LEHUDO \$UWV ZLWK (GXFDWRQ :DVKLQJWRQ ' &

)LVFKHU ) +DUYDUG 8QLYHUVLW\ DW 5HFRQVLGHULQJ WKH &  
 &RPPHQWU\ RQ 3\$ 5HDO /LIH -DPHV %RQG' E\ \$OH[LV \$OEI  
 &DOLIRUQLD 0D\

)LVFKHU ) \$PHULFDQ \$VVRFLDWLRQ RI &ROOHJHV IRU 7HDFK  
 &RQIHUHQFH &RQWHQW 7HDFKLQJ 0HWKRGV DQG )LHOG (L  
 3HUVSHFWLYH &KLFDJR ,OOLQRLV )HEUXDU\

)LVFKHU ) &RRUGLQDWRU 2UJDQL]HU \$PHULFDQ \$VVRFLDW  
 (GXFDWRQ \$\$&7( 1DWLRQDO &RQIHUHQFH 7KH 6KDUHG 9  
 8QLYHUVLW\ 6FKRRO 3DUWQHUVKLS &KLFDJR ,OOLQRLV

)LVFKHU ) 'LVFXVVDQW 6RFLDO 6FLHQFH (GXFDWRQ &RQV  
 1HZ +LVWRULFDO ,GHDV DQG 7HDFKHU (GXFDWRQ %RXOC

6HSWHPEHU

)LVFKHU ) 6+)\$5 1DWLRQDO &RQYHQWLRQ .HQQHG\¶V 3HDF  
0\WKV DQG 5HDOLWLHV RI ,QWHUQDWLRQDO 'HYHORSPHQW  
-XQH

)LVFKHU ) 2UJDQL]DWLRQ RI \$PHULFDQ +LVWRULDQV &RQYH  
)DFXOW\ \$ 3HUVSHFWLYH IURP %RWK 6LGHV &KLFDJR ,OO

)LVFKHU ) \$PHULFDQ \$VVRFLDWLRQ RI +LJKHU (GXFDWLRQ 1  
3URJUDP 1RUWKZHVWHUQ DQG WKH 1DWLRQ :DVKLQJWRQ

)LVFKHU ) ,QGLDQD \$VVRFLDWLRQ RI +LVWRULDQV \$QQXDO  
DQG ,QWHUQDWLRQDO 'HYHORSPHQW 3HDFH &RUSV 9ROXQ  
,QGLDQD )HEUXDU\

\*5\$176

)XQGHG

)LVFKHU ) \$FDGHPLF GLUHFWRU 7HDFKLQJ \$PHULFDQ +LVWRU  
E\ 86 'HSDUWPHQW RI (GXFDWLRQ )HGHUDO 3QD \$VV[RVV[

7(\$&+,1\*

7HDFKLQJ ([SHULHQFH

8QLYHUVLW\ RI 1RUWKHUQ &RORUDGR

&RXUVHV 7DXJKW

(')( 6XSHUYLVHG 6WXGHQW 7HDFKLQJ FRXUVHV FUHGLW  
+,67 6XUYH\ RI \$PHULFDQ +LVWRU\ IURP WR WKH 3UHVHQ  
+,67 7KH 8QLWHG 6WDWHV DQG WKH :RUOG FRXUVHV  
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+,67 7RSLFV LQ \$PHULFDQ +LVWRU\ FRXUVHV FUHGLW KRUV  
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+,67 'LUHFWHG 6WXGLHV FRXUVHV FUHGLW KRUV  
+,67 7KHVLV FRXUVHV FUHGLW KRUV  
67(3 2EVHUYDWLRQ DQG \$QDO\VLV RI 6HFRQGDU\ 7HDFKLQJ  
67(3 2EVHUYDWLRQ DQG \$QDO\VLV RI 6HFRQGDU\ 7HDFKLQJ  
67(3 &OLQLFDO ([SHULHQFH 6HFRQGDU\ FRXUVH FUHGLW  
67(3 6HFRQGDU\ 6WXGHQW 7HDFKLQJ FRXUVHV FUHGLW

1RQ &UHGLW ,QVWUXFWLRQ

:RUNVKRS 1&+(\$FDGHPLF /HDGHUVKLS 7HDP 0HPEHU



5HSRUW \*HQHUDWHG RQ -XO\

3URYRVW¶V 7DVN )RUFH RQ 8QLYHUVLW\ \$GYLVLQJ  
3URIHVVLQRQDO (GXFDWLRQ &RXQFLO  
&KDLU 3URIHVVLQRQDO (GXFDWLRQ &RXQFLO  
9LFH &KDLU 3URIHVVLQRQDO (GXFDWLRQ &RXQFLO  
6HFRQGDU\ 37(3 &KDUWHU DQG \$OWHUQDWLYH 6FKRRO &RPPLWWH  
3URYRVW¶V 7DVN )RUFH WR FUHDWH QHZ (O (G 0XOWLGLVFLSOLQD  
3UHVLGHW¶V 7HDFKHU (GXFDWLRQ 9LVLRQ 7DVN )RUFH  
6HFRQGDU\ 37(3 3URJUDP 5HYLHZ &RPPLWWHH  
81& \*UHHOH\ 6FKRRO 'LVWULFW 'LYHUVLW\ LQ (GXFDWLRQ 7DVN )R  
2XVVDQGLQJ 6WXGHQW 7HDFKHU \$ZDUG &RPPLWWHH  
3)) 3URJUDP &RRUGLQDWRU 1RUWKZHVWHUQ 8QLYHUVLW\ \*UDGXD  
7\$ 6HPLQDU 0RGHUDWRU 1RUWKZHVWHUQ 8QLYHUVLW\  
5HVLGHQW \$VVLVWDQW 6WDQIRUG 8QLYHUVLW\

&ROOHJH 6HUFLH

+66 'HDQ 6HDUFK &RPPLWWHH  
,/\$ 0DMRU \$GYLVRU\ %RDUG  
&RPPLWWHH &KDLU \$ 6 /LFHQVXUH 7HVWLQJ &RPPLWWHH  
&RRUGLQDWRU \$ 6 6HFRQGDU\ 37(3  
,QVWLWXWH IRU +LVWRU\ DQG 6RFLDO 6FLHQFH (GXFDWLRQ \$GYLV  
6RFLDO 6FLHQFH 0DMRU \$GYLVRU\ %RDUG  
6RFLDO 6WXGLHV 1&\$7( \$FFUHGLWDWLRQ 9LVLW &RPPLWWHH  
81& &OXVWHU 3URJUDP  
\$UWV DQG 6FLHQFHV &XUULFXOXP &RPPLWWHH  
\*HRJUDSK\ (GXFDWLRQ 6HDUFK &RPPLWWHH  
6WHHULQJ &RPPLWWHH 3'RLQJ +LVWRU\ ' \*UDQW 3URSRVDO

'HSDUWPHQW 6HUFLH

&KDLUSHUVRQ 'HSDUWPHQW RI +LVWRU\ -XQH 3UHVHQW  
+DJHO -RKQVRQ \$ZDUG &RPPLWWHH 3UHVHQW

8QGHUJUDGXDWH \$FDGHPLF \$GYLVRU DSSUR[LPDWHO\ VWXGHQV  
&KDLUSHUVRQ 'HSDUWPHQW (YDOXDWLRQ &RPPLWWHH &KDLU  
  
&KDLU (DUO\ ORGHUQ (XURSH 6HDUFK &RPPLWWHH  
&RPPLWWHH 0HPEHU \$VLDQ +LVWRU\ 6HDUFK &RPPLWWHH  
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&RORQLDO 5HYROXWLRQDU\ 86 +LVWRU\ 6HDUFK &RPPLWWHH  
&RORQLDO 5HYROXWLRQDU\ 86 +LVWRU\ 6HDUFK &RPPLWWHH  
&KDLU WK &HQWXU\ 86 6RFLDO +LVWRU\ 6HDUFK &RPPLWWHH  
3URJUDP 5HYLHZ &RPPLWWHH  
WK &HQWXU\ 86 +LVWRU\ 6HDUFK &RPPLWWHH

### 3URIHVVLQRQDO 6HUYLEFH

:RUNVKRS 3UHVHQWHU 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWL  
3UHVHQW  
&RPPLWWHH 0HPEHU 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWL  
3UHVHQW  
&RPPLWWHH 0HPEHU 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWL  
3UHVHQW  
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&RPPLWWHH 0HPEHU 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWL  
3UHVHQW  
0HPEHU 1DWLRQDO %RDUG RI \$GYLVRUV 0W 9HUQRQ 3UHV  
&RPPLWWHH 0HPEHU 1DWLRQDO &RXQFLO IRU +LVWRU\ (GXFDWL  
3UHVHQW  
&RPPLWWHH 0HPEHU \$\$ -DPHV +DUYH\ 5RELQVRQ 3UL]H &RPPLWW  
&RPPLWWHH 0HPEHU \$\$ \$G +RF &RPPLWWHH RQ 6WDWH 6WDQGD



(GXFDWLRQ 6HSWHPEHU

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:HVW +LJK 6FKRROV

&RPPLWWHH 0HPEHU \$PHULFDQ +LVWRULFDO \$VVRFLDWLRQ &RPP

&R &KDLU &RORUDGR )DFXOW\ )DFXOW\ &RQIHUHQFH LQ +LVWRU\

&RPPLWWHH 0HPEHU 3UHSDULQJ )XWXUH )DFXOW\ \*UDQW 6WHHUL

3XEOLF &RPPXQLW\ 6HUYLEFH

3\$PHULFDQ )RUHLJQ 3ROLF\ LQ WKH V 7KH \*XQILJKWHU ' 1LZRW  
%DFFDODXUHDWH 3URJUDP

-XGJH 3:H WKH 3HRSOH' 5HJLRQDO )LQDOV \*UHHOH\ &RORUDGR

-XGJH 3:H WKH 3HRSOH' 5HJLRQDO )LQDOV \*UHHOH\ &RORUDGR

-XGJH 3:H WKH 3HRSOH' 6WDWH )LQDOV &LYLF (GXFDWLRQ SURJU  
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'LVFXVVLQR 0RGHUDWRU ZLWK 'U \$OIHG &RUQHELVH RQ KLV ERR  
81& +66 (PHULWXV )RUXP 2FWREHU

6RFFHU &RDFK DQG 7HDP 0DQDJHU 6W 9UDLQ <RXWK 6RFFHU \$VV  
\$VVRFLDWLRQ

-XGJH 3:H WKH 3HRSOH' 5HJLRQDO )LQDOV \*UHHOH\ &RORUDGR

3&RORUDGR &RQWHQW 6WDQGDUGV ' 81& 67(3 6SHFLDOW\ 6HPLQDU

3UHVLGHQWLDO \*UHDWQHVV +HDGV RU 7DLOV" 3RXGUH 6FKRRO  
1RYHPEHU

3UHVLGHQWLDO \*UHDWQHVV +HDGV RU 7DLOV" 3RXGUH 6FKRRO  
1RYHPEHU

3\*XQILJKWHUV -HGL DQG \$PHULFDQ &KDUDFWHUV 7KH 8VH RI +RO  
+LVWRU\ ' 81& :ULWHU\ &RQIHUHQFH )HEUXDU\

%DVNHWEDOO FRDFK 1LZRW <RXWK 6SRUWV

3+LVWRU\ 0HPRU\ DQG WKH 3UXWK' 7LP 2%ULHQ DV D +LVWRULF  
\$SULO

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6HQLRU 6HPLQDU 3URJUDP -DQXDU\

3+RQRUV 6\PSRVLXP 3HDFH &RUSV 9ROXQWHHUV ' 81& +RQRUV 6H

37HDFKLQJ DV D QDP 6WDU :DV 6HPLQDU gD-W \*UHHOQWV

³+RQRUV 6\PSRVLXP 3HDFH &RUSV 9ROXQWHHUV ´ 81& +RQRUV 6H

³7KH 8QLWHG 1DWLRQV WR ´ 81& 0RGHO 81 0DUFK

2XWVWDQGLQJ 7HDFKHU \$ZDUG 7KH &ROOHJH RI \$UWV DQG 6FLHQ

-R\FH )RXQGDWLRQ 7XWRULDO ,QVWUXFWRU 1RUWKZHVWHUQ 8QLY

2XWVWDQGLQJ 7HDFKHU \$ZDUG 7KH &ROOHJH RI \$UWV DQG 6FLHQ

1RPLQDWHG IRU 2XWVWDQGLQJ 7HDFKLQJ \$VVLVWDQW \$ZDUG 1RU  
'HSDUWPHQW

'HSDUWPHQWDO +RQRUV DQG 8QLYHUVLW\ 'LVWLQFWLRQ 3KL %HW

7HDFKLQJ

(XJHQH \$VKHU 'LVWLQJXLVKHG 7HDFKHU \$ZDUG \$PHULFDQ +LVWRU

6HDUV +HOJRWK 'LVWLQJXLVKHG 7HDFKLQJ \$ZDUG 8QLYHUVLW\ RI