

+XPDQ 2UJDQL]DWLRQ 9RO 1R  
&RS\ULJKW ( E\ WKH 6RFLHW\ IRU \$SSOLHG \$QWKURSRORJ\

## Introduction

▼ LVDVWHUV DQG UHVHWWOHPHQW LQYROYH YDU\LQJ W\SHV DQG  
GHJUHHV RI ORVV LVRODWLRQ DQG LPSRYHULVKPHQW DQG  
RI FKDQJH LQ SDWWHUQV RI LQGLYLGXDO DQG JURXS DFFHVV  
WR UHVRXUFHV LQVWLWXWLRQV DQG VHU\LFHV WKDW FRPSHO SHRSO  
WR FRQIURQW DOO PDQQHU RI VFDUFLW\ LQ FRQVWUDLQHG EXW RIWHQ  
FUHDWLQö@d@T @À` 0€P3Qö@d 0

WRZDUGV UHFRYHU\ DQG DGDSWLQJ WR WKH QHZ FRQGLWLRQV LQ WKH  
ZDNH RI GLVDVWHU GLVSODFHPHQW DQG UHVHWWOHPHQW )DDV HW DO  
-RQHV DQG )DDV 'LVDVWHU DQG UHVHWWOHPHQW DOVR  
WKUXVW WKRVH DIIHFWHG LQWR FRQWDFW<sup>2</sup>QRYHO RU DPSOL¿HG<sup>2</sup>ZLWK  
D EHY\ RI IRUPDO RUJDQL]DWLRQV SURPLVLQJ DLG DQG UHFRYHU\  
7KH RSHUDWLRQV RI WKHVH VXSUDORFDO RUJDQL]DWLRQV RIWHQ GLV  
UXSW ORFDO QHWZRUNV DQG DGDSWLYH SUDFWLFHV DQG ZKHWKHU WKI  
FRQVHTXHGFH RI DFWLYLVP H[SHULHQFH RU IRUPDO DIWHU DFWLRQ  
UH\YLHZ KXPDQLWDULDQ RUJDQL]DWLRQV KDYH EHFRPH LQFUHDV  
LQJO\ DZDUH RI WKH PHULWV RI UHDOL]LQJ RSHUDWLRQDO REMHFWLYHV  
LQ FXOWXUDOO\ VHQVLWLYH FRRUGLQDWLRQ ZLWK ORFDO HIIRUWV )DD  
)DDV HW DO 7KLV FDOOV DQWKURSRORJLFDO DWWHQWLRQ

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QRQJRYHUQPHQWDO RUJDQLJDWLRQV 1\*2V FRQVWUXFWHG VL[ UH  
VHWWOHPHQWV IRU WKRVH GLVSODFHG E\ WKH HUXSWLRQV 7KLV VWXG\  
EHJDQ LQ WZR RI WKHVH UHVHWWOHPHQWV DQG ODWHU H[SDQG HG WR  
YLOODJHV LQ WKH ULVN ]RQH ZKHUH UHVHWWOHUV JUDGXDOO\ UHWXUQH  
WR ZRUN WKHLU ODQG 0,'89, FRQVWUXFWHG RQH UHVHWWOHPHQW  
3HQLSH<sup>1</sup>FRQVLVWLQJ RI KRPHV DUUDQJHG RQ D ODQG  
OHVV XUEDQ JULG DV DQ H[WHQVLRQ RI WKH SHUL XUEDQ PXQLFLSDO  
FHQWHU RI 3HQLSH \$ORQJVLGH WKHVH KRPHV WKH 8QLWHG 6WDWHV  
EDVHG &KULVWLDQ (YDQJHOLFDO GLVDVWHU UHOLHI RUJDQLJDWLRQ 6D  
PDULWDQV 3XUVH EXLOW DQ DGGLWLRQDO KRPHV 7KH FRPELQH  
ODQGOHVV UHVHWWOHPHQW HIIHFWLYHO\ WULSOHG WKH WRWDO SRSXODW  
RI 3HQLSH 7RZQVKLS 5RXJKO\ - NP WR WKH VRXWKHDVW WKH (F  
XDGRULDQ QRQSUR¿W )XQGDFLYQ (VTXHO FRQVWUXFWHG IRUW\ ¿YH  
KRPHV LQ D KLOOWRS UHVHWWOHPHQW WKDW FDPH WR EH FDOOHG 3XVXF  
WKDW XQOLNH WKH SHUL XUEDQ UHVHWWOHPHQW LQ 3HQLSH LQFOXGHG

WKRXJK PDQ\ VHOO VPDOO SRUWLRQV RI WKHLU FURSV DW ORFDO PDU  
NHWV /RFDO FXOWLYDUV²KHDYLO\ GHSHQGHQW RQ LUULJDWLRQ²DUH  
SULPDULO\ FRUQ EHDQV SRWDWRHV DQG WR D OHVVHU H[WHQW SHD\  
WUHH WRPDWRHV EODFNEHUULHV DQG IUXLW WUHHV DSSOH SHDU  
SHDFK DQG SOXP /RFDOV DOVR UDLVH FDWWOH SLJV JXLQHD SLJV  
cuyes FKLFNHQV DQG UDEELWV %HFDXVH DJULFXOWXUDO ODERU  
GHPDQGV SHULRGLFDOO\ DQG VHDVRQDOO\ H[FHHG KRXVHKROG ODERU  
FDSDFLWLHV 3HQLSHxRV KDYH KLVWRULFDOO\ UHOLHG XSRQ WUDGLWLR  
BdWU WFC SGR FLUW HFG SURRFR SH UDXWIFRQ 6Wp IÀHFGH WHOE CH LG HODD Q 8' EPKM UH 40  
DUH G\DGLF WUDGLWL Radpa RIWKF LSKURFLW\ VXFK DV  
RIWHQ PRELOLJHG LQ VPDOO JURXSV LQ ZKLFK NLQ RU QHLJKERUV  
HQJDDH LQ `ÀW

PLQJD FXOWXUH KDG GHFOLQHG DPRQJ UHVHWWOHUV ZDV EHOLHG E\



UHVLGHWV EHQDQ RFFXS\LQJ WKHLU QHZ KRPHV LQ HDUO\ WKH  
FRXQFLO FRQWLQXHG RUJDQLJLQJ ZHHNO\ PLQJDV IRU LUULJDWLRQ  
SRWDEOH ZDWHU DQG RWKHU SXEOLF ZRUNV  
7KHUH ZHUH WZR NLQGV RI PLQJDV RUJDQLJHG LQ 0DQJ0DQR  
DQG 3XVXFD<sup>2</sup>LUULJDWLRQ PLQJDV DQG ZKDW ZHUH UHIHUHG WR DV  
FRPPXQLW\ PLQJDV<sup>2</sup>DQG ERWK KDG FHUWDLQ GLVWLQFW IHDWXUHV  
LQ HDFK FRPPXQLW\ %RWK FRPPXQLWLHV PDLQWDLQHG D V\ VWHP  
of rayas <sup>3</sup>FKHFN PDUNV IRU DWWHQGDQFH FUHGLW WR NHHS WUDFN  
RI SDUWLFLSDWLRQ IRU ERWK FRPPXQLW\ DQG LUULJDWLRQ PLQJDV  
DOWKRXJK UD\D DFRXQWLQJ ZDV GHFLGHGO\ VWULFWHU LQ LUULJD  
WLRQ PLQJDV LQ ERWK FRPPXQLWLHV DQG LQ 3XVXFD RYHUDOO ,Q  
ERWK VLWHV FRPPXQLW\ PLQJDV ZHUH RUJDQLJHG E\ WKH YLOODJH  
FRXQFLOV ,Q 0DQJ0DQR LUULJDWLRQ PLQJDV ZHUH RUJDQLJHG E\  
WKH ,UULJDWLRQ &RPPLWWHH IRU 3XHOD 3DULVK ZKLFK RUJDQLJHG DOO  
VL[ SDULVK YLOODJHV E\ QRWLI\LQJ HDFK YLOODJH FRXQFLO RI PLQJD  
GD\ V DQG WLPHV ,UULJDWLRQ PLQJDV LQ 3XVXFD ZHUH RUJDQLJHG  
E\ (VTXHO SURMHFW HQLQHUV WKURXJK WKH YLOODJH FRXQFLO DQG  
DQ LUULJDWLRQ VXE FRPPLWWHH  
:KHQ PLQJD SUDFWLFH LV RUJDQLJHG E\ WKH VWDWH DQG  
1\*2V ZKR RSHUDWH DFRUGLQJ WR WKH FORFN DQG IRU ZKRP  
WLPH PDQDJHPHQW LV DV PXFK D IDFWRU RI V\QFKURQLJDWLRQ DV  
LV SURGXFWLYLW\ WHQVLRQV EHWZHHQ WKH WHPSRUDO VFKHPDWD RI  
ZDJH ODERU DQG VXEVLVWHQFH DJULFXOWXUH FDQ EH H[DFHUEDWHG  
H[SHUW SUDFWLFHV DQG SROLFLHV FDQ ULJLGLI\ FRQWHQGLQJ GRPDLQV  
RI SUDFWLFH DQG FRQVWUDLQ 0RFDQ FDSDFLWLHV IRU FRSLQJ DQG DGDS  
WDWLRQ )XUWKHUPRUH LQ DGGLWLRQ WR IDFLOLWDWLQJ WDVN FRRUGLQJ  
WLRQ WKH WHPSRUDO UHJLPHV FDQ VHUYH DV D IRUP RI GLVFLSOLQH  
&RORQLDO DGPLQLVWUDWLRQ RI WKH \$QGHQ UHJLRQ HQWDLOHG WKH  
LPSRVLWLRQ RI V\ VWHPDWLF ZRUN KDELWV 6DOJ DQG IDFWRU\  
RZQHUV LQ 1DVK V \*XDWHPDODQ IDFWRU\ IRUFHG 0D\DQ  
ODERUHUV WR OHDUQ SXQFWXDOLW\ E\ ORFNLQJ GRRUV IROORZLQJ D  
PRUQLQJ ZKLVWOH 6R WRR FDQ ZH HQYLVLRLQ WLPH PDQDJHPHQW  
DV D PHDQV RI UHJXODWLQJ ERGLHV DQG SRSXODWLRQV D GLVFLSOLQ  
DU\ WHFKQLTXH IRU HQIRUFLQJ FRPSOLDQFH DQG GLVWLQJXLVKLQJ  
WKH GHVHUYLQJ IURP WKH XQGHVHUYLQJ  
,Q 3XVXFD IDLOXUH WR SDUWLFLSDWH LQ PLQJDV ZDV VDQFWLRQHG  
E\ OHY\LQJ ;QH V RQ D KRXVHKROG DQG LQ WKH FDVH RI  
WKH LUULJDWLRQ FDQDO EHLQJ FRQVWUXFWHG DW WKH WLPH WKRVH ZKR  
IDLOHG WR SDUWLFLSDWH RU SD\ WKH ;QH V ZHUH WROG WKH\ ZRXOG EH  
H[FOXGHG IURP LUULJDWLRQ ULJKWV 7KH 3XVXFD YLOODJH FRXQFLO  
ZDV LQ PDQ\ ZD\ VLPLODU WR-RWKHU YLOODJH FRXQFLOV LQ VWUXF  
WXUH DQG ERXQGDWHV SUHVHQWDWLYH IURP (VTXHO 0DUWKD  
VHUYHG DV DQ DGYLVRU WR WKH FRXQFLO DQG RWKHU VXE FRPPLWWHHV  
6KH DWWHQGHG DOO PHHWLQJV DQG PLQJDV DQG JXLGHG OHDGHUV  
WKURXJK GHFLVLRQ PDNLQJ SURFHVVHV ZKLFK LQ SULPDULO\  
HQWDLOHG WKH RUJDQLJDWLRQ RI PLQJDV DQG YLOODJH PHHWLQJV DQG  
WKH QH DU FRQVWDQW DUELWUDWLRQ RI FRQÀFWV RYHU PLQJD SUDFWLFH  
DQG VDQFWLRQV IRU QRQ SDUWLFLSDWLRQ  
,Q 0DQJ0DQR PLQJDV ZHUH RUJDQLJHG RQFH RU WZLFH SHU  
PRQWK DQG UD\ DV ZHUH JUDQWHG EDVHG RQ DWWHQGDQFH IRU D  
GH;QH G SHULRG R.M. W 2 P.M. & R.P.P.O.  
WDVNV LQFOXGHG FOHDULQJ DVK VRLO RYHUJURZWK DQG RWKHU GH  
EULV IURP LUULJDWLRQ FDQDOV SRWDEOH ZDWHU d€LVIP



\$ORQJVLGH WKH VORZ GHPLVH RI WKH KDFLHQGD V\ VWHP LQ WKH  
PLGGOH RI WKH WK FHQWXU\ PLQJD EHFDPH DQ DELGLQJ IHDWXUH  
RI ORFDO JRYHUQDQFH 7KRXJK SRSXODUO\ HOHFWHG OHDGHUV LQ  
YLOODJHV OLNH 0DQJDQR GHULYHG PFK RI WKHLU SRZHU IURP WKH  
UHSURGXFWLRQ RI UHODWLRQV RI ORFDO PLQJD SUDFWLFH HQDEOLQJ  
WKH EURNHJD RI RXWVLGH UHVRXUFHV DQG UHODWLRQV KLSV DQG WKH  
UHSURGXFWLRQ RI UHODWLRQV ZLWK RXWVLGH RUJDQLJDWLRQV ZKLFK  
XQGHURWH WKHLU FDSDFW\ WR RUJDQLJH PLQJDV )DDV  
Q G ,Q WKH ¿UVW GHFDGHV RI WKH VW FHQWXU\ PLQJD SUDFWLFH  
LQ 3HQLSH<sup>2</sup>VWLOO EXWWUHVHG E\ GLVFRXUVHV RI UHFLSURFDO REOLJD  
WLRQ DQG VROLDULW\<sup>2</sup>IUHTXHQWO\ HQWDLOV PDQGDWRU\ KR XVHKROG  
FRWULEXWLRQV WR VWDWH DQG 1\*2 SURMHFWV DV D FRQLWLRQ RI  
LQFOXVLRQ DQG JRRG VWDQGLQJ <HW ZKLOH WKHUH ZHUH SHULRGLF  
WHQVLRQV DURXQG PLQJD SUDFWLFH DQG WKH UHVRXUFHV PDLQWLQHG  
ZLWKLQ HDFK YLOODJH PLQJDV UHPDLQHG D VRXUFH RI SULGH LQ  
YRNHG DV H[DPSOHV RI ORFDO YDOXHV DQG VROLDULW\  
7KDW PLQJD EHFDPH SDUW RI D VXLWH RI SUDFWLFHV RI ERWK  
GRPLQDWLRQ DQG OLEHUDWLRQ IRU \$QGHQ SHRSOHV DW YDULRXV VWDJHV  
LQ KLVWRU\ EHDUV VRPH VLPLODULW\ ZLWK WKH DJHQF\ H[HUFLVHG E\  
SHRSOH LQ WKH SRVW GLVDVWHU FRQWH[WV DURXQG 0W 7XQJXUDKXD  
)LUVW ORFDOV RUJDQLJHG PLQJDV LQ WKH LPPHGLDWH DIWHUPDWK RI WKH  
HUXSWLRQV FOHDULQJ DVK DQG GHEULV IURP FURSV WUHHV DQG KRPHV  
DQG RUJDQLJLQJ WKH GLVWULEXWLRQ RI DLG DQG PLQRU UHFRQVWUXFWLRQ  
SURMHFWV ODUJHO\ LQGHSHQGHQW RI VWDWH DQG KXPDLWDULDQ RUJD  
QLJ@`0DQ`CHFRQT O@P@L@L



SRZHU WR PDQDJH WLPH ZDV VLWXDWHG ZLWKLQ WKH FRPPXQLW\  
ERWK FRPPXQLWLHV SURYHG FDSDEOH RI DGDSWLQJ WR WKH GLYHUVH  
WLPH FRQVWUDLQWV RI WKHLU PHPEHUV +RZHYHU RQFH WKDW SRZHU  
ZDV DSSURSULDWHG E\ WKH VWDWH DQG 1\*2V WKDW IXQGHHG WKH LU  
ULJDWLRQ SURJUDP DQG LPSRVHG WKHLU RZQ WHPSRUDO UHJLPH  
WHQVLRQ LQFUHDVHG IRU HPSOR\HG UHVHWWOHUV WR WKH SRLQW RI  
EHFRPLQJ XQPDQDJHDEOH 7KXV WKRXJK WKHUH ZDV FHUWDLQO\  
D WHQVLRQ SULRU @P€€0SQÀ E@HH SQÀ

'RZQLQJ 7KHRGRUH ( DQG &DUPHQ \*DUFLD 'RZQLQJ  
5RXWLQH DQG 'LVVRQDQW &XOWXUHV \$ 7KHRU\ DERXW WKH 3V\FKR  
6RFLR &XOWXUDO 'LVUXSWLRQV RI ,QYROXQWDU\ 'LVSODFHPHQW DQG  
:D\ WR 0LWLJDWH WKHP ZLWKRXW ,QALFWLQJ (YHQ 0RUH 'DPDJH  
In 'HYHORSPHQW DQG 'LVS RVVHV VLRQ 7KH &ULVLV RI )RUFHG  
'LVSODFHPHQW DQG 5HVHWWOHPHQW \$QWKRQ\ 20LYHU 6PLWK HG 3S  
6DQWD )H 10 6FKRRO IRU \$GYDQFHG 5HVHDUFK 3UHVV

)DDV \$ -

'LVDVWHU 5HVHWWOHPHQW 2UJDQL]DWLRQV 1\*2V DQG WKH  
&XOWXUH RI &RRSHUDWLYH /DERU LQ WKH (FXDGRULDQ \$QGHV  
'LVDVWHU\ ,PSDFW RQ /LYHOLKRQV DQG &XOWXUH \$QGHV LYDO /RVVHV  
2SSRUWXQLWLHV DQG 0LWLJDWLRQ 0LFKHQ &RPSDQLRQ HG 3S  
%RFD 5DWRQ )/ &5 & 3UHVV

\$OO WKH <HDUV &RPELQH 7KH ([SDQVLRQ DQG &RQWUDFWLRQ  
RI 7LPH DQG 0HPRU\ LQ L&DQVWHUW DQGHV RQVH

9&DQPHU@EUca>WC p %XL@G V@QD@)ELP\_HppA • Ip d@@ @C@Tq@EH'G 3`@%:0K 5°L HB// 0 `ê V à 'LVDVU