

ON-GOING COMPLIANCE FORM FOR PRICING ERRORS

	Details
1. Fund(s) affected by pricing error	
2. Domicile of the Fund(s)	
3. Home regulator (if not SFC)	
4. Description of the error (overvalued/undervalued)	
5. Magnitude of error (% NAV)	
6. Duration of the error (time period)	
7. Detailed reasons for pricing error	
8. Parties responsible	
9. How the error was discovered? When?	
10. Total no. of subscribing investors during the period*	
11. Total no. of HK investors having subscribed during the period*	
12. Total no. of redeeming investors during the period*	
13. Total no. of HK investors having redeemed during the period*	
14. Compensation required? (Y/N)	
<ul style="list-style-type: none"> • Amount of compensation paid to investors and of which, amount paid to HK investors • Who pays for the compensation 	
<ul style="list-style-type: none"> • Amount of compensation paid to the Fund • Who pays for the compensation 	
15. Calculation of compensation attached? (Y/N)	
16. Copy of trustee/custodian's written consent to compensation attached? (Y/N)	
17. Bilingual Notice to investors attached? (Y/N)	

18. Any internal investigation & measures to prevent similar incident? (Y/N)	
<ul style="list-style-type: none"> • Actions taken, or to be taken to deal with or improve internal controls 	
<ul style="list-style-type: none"> • Are there any misconduct/disciplinary issues concerning the responsible entity and staff? 	
19. Investigation by other regulatory bodies (if any)	
20. Other issues (if any)	

***If the error involves both over-valuation and under-valuation, please state separately the total number of investors having subscribed/redeemed during the period of over-valuation and the total number of investors during the period of under-valuation.**