

Ongoing 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. Investment-linked assurance scheme (ILAS)	
<ul style="list-style-type: none"> • To the management company's reasonable knowledge, is/are there any investor(s) which is/are insurance company(ies) which is/are issuer(s) of SFC-authorized ILAS linked to the performance of the Fund(s)^(note 1) • Name(s) of the ILAS/ILAS issuer (if known) 	
5. Description of the error (overvalued/undervalued)	
6. Magnitude of error (% NAV)	
7. Duration of the error (time period)	
8. Detailed reasons for pricing error	
9. Parties responsible	
10. How the error was discovered? When?	
11. Total no. of subscribing investors during the period ^(notes 1 and 2)	
12. Total no. of HK investors having subscribed during the period ^(notes 1 and 2)	
13. Total no. of redeeming investors during the period ^(notes 1 and 2)	
14. Total no. of HK investors having redeemed during the period ^(notes 1 and 2)	
15. Compensation required? (Y/N) ^(note 1)	
<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 	

16. Calculation of compensation attached? (Y/N)	
17. Copy of trustee/custodian's written consent to compensation attached? (Y/N)	
18. Bilingual Notice to investors attached? (Y/N)	
19. 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? 	
20. Investigation by other regulatory bodies (if any)	
21. Other issues (if any)	

Notes

¹ If investor(s) of the Fund(s) include(s) insurance company(ies) which is/are issuer(s) of SFC-authorized ILAS linked to the performance of the Fund(s), please ensure to include those investor(s) who may be affected by their investment via such ILAS issuer(s) (if known) in your response to items 11 to 15 above. For the purposes of filing this form, the management company may regard such an ILAS issuer as ONE HK investor and should disclose this clearly in the form if it has no information concerning the end investors in HK who are investors in the Fund(s) via such an ILAS.

² 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.