

Exemptions or waivers of annual report requirements in the Securities and Futures (Open-ended Fund Companies) Rules (“OFC Rules”) (granted under rule 151(3) of the OFC Rules) and the Code on Open-ended Fund Companies (the “OFC Code”)

Last update: 7 March 2024

Name of the OFC or sub-fund (CE number)	Date of grant of the exemptions or waivers	Relevant financial period	Particulars of the exemptions or waivers granted	Conditions	Remarks
Kingbridge Capital Multi-Strategy Fund OFC (the “OFC”) (BRW799) - Kingbridge Capital Opportunity I Fund (BRW800) - Kingbridge Capital Opportunity II Fund (BRW801) - Kingbridge Capital Opportunity III Fund (BRW802) (collectively, the “Sub-funds”)	9 January 2023	9 December 2021 – 31 March 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules. (2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	
Hamon Capital Partners OFC (the “OFC”) BRP691	20 February 2023	10 September 2021 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Vered Investment Fund OFC (the “OFC”) (BRS525)	22 February 2023	25 October 2021 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the	The exemption and waiver are granted on the following conditions:	

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<ul style="list-style-type: none"> - Vered Equity Stable Return Fund (BRS526) - Vered Global Fixed Income Premium Fund (BRS527) - Vered Multi Strategy Fund (BRS528) (collectively, the "Sub-funds") 			<p>relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.</p> <p>(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.</p>	For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	
Pacific Hawk Global Fund OFC (the "OFC") (BOR317)	3 March 2023	From 1 January 2021 until the OFC no longer meets one or more of the conditions of the exemption	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	<p>The exemption is granted on the following conditions:</p> <p>For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.</p>	
<p>Solomon Capital Fund OFC (the "OFC")(BRR272)</p> <ul style="list-style-type: none"> - Solomon Capital Absolute Return Strategies Fund (BRR273) (the "Sub-fund") 	9 March 2023	29 September 2021 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	<p>The exemption and waiver are granted on the following conditions:</p> <p>For the relevant financial period, the OFC and the Sub-fund (1) had not been launched; and (2) had no investor.</p>	

Name of the OFC or sub-fund (CE number)	Date of grant of the exemptions or waivers	Relevant financial period	Particulars of the exemptions or waivers granted	Conditions	Remarks
			(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the Sub-fund of the OFC in the financial report under 9.6 of the OFC Code.		
Victory Privilege Fund OFC (the "OFC") (BRT100) - Winner Global Fund (BRT101) - Victory Greater China Growth Fund (BRT102) - Victory Bond Connect Fund (BRT103) - Victory Strategic Fund (BRT104) - Victory Equity Long Fund (BRT105) (collectively, the "Sub-funds")	10 March 2023	3 November 2021 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules. (2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	
ASM Fund OFC (the "OFC") (BRY682) - ASM Global Opportunity Fund I (BRY683) (the "Sub-fund")	13 March 2023	31 December 2021 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-fund (1) had not been launched; and (2) had no investor.	

Name of the OFC or sub-fund (CE number)	Date of grant of the exemptions or waivers	Relevant financial period	Particulars of the exemptions or waivers granted	Conditions	Remarks
			(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the Sub-fund of the OFC in the financial report under 9.6 of the OFC Code.		
CAM Capital OFC (the "OFC") (BRZ059) - CAM Capital Growth Sub-Fund 1 (BRZ060) - CAM Capital Growth Sub-Fund 2 (BRZ061) - CAM Capital Growth Sub-Fund 3 (BRZ062) (collectively, the "Sub-funds")	29 March 2023	5 January 2022 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules. (2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	
Guoyuan International Investment Series OFC (the "OFC") (BSM511) - Guoyuan China Economy Transition Fund (BSM512) - Guoyuan China SOE Fixed Income Fund (BSM513) - Guoyuan Flexible Allocation Fund (BSM514)	11 April 2023	9 June 2022 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules. (2) Waived the requirement to show the respective financial	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	

Name of the OFC or sub-fund (CE number)	Date of grant of the exemptions or waivers	Relevant financial period	Particulars of the exemptions or waivers granted	Conditions	Remarks
(collectively, the "Sub-funds")			positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.		
iFREE Capital Market OFC (the "OFC") (BRT227) - iFREE Growth & Income Fund (BRT228) (the "Sub-fund")	12 April 2023	3 November 2021 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules. (2) Waived the requirement to show the respective financial positions and results of the OFC and those of the Sub-fund of the OFC in the financial report under 9.6 of the OFC Code.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-fund (1) had not been launched; and (2) had no investor.	
AI OFC (the "OFC") (BQM217) - Basic Logic Fund (BQV741) - ESG Fund (BQV742) - Bitex Fund (BQV744) (collectively, the "Sub-funds")	18 April 2023	24 March 2021 to 31 March 2023	Waived the requirement to show the respective financial positions and results of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code in respect of the Sub-Funds.	The waiver is granted on the following conditions: For the relevant financial period, the Sub-funds (1) had not been launched; and (2) had no investor.	
Canfield Multi Asset Fund OFC (the "OFC") (BSM092)	19 April 2023	7 June 2022 to 31 December 2022	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the	The exemption and waiver are granted on the following conditions:	

Name of the OFC or sub-fund (CE number)	Date of grant of the exemptions or waivers	Relevant financial period	Particulars of the exemptions or waivers granted	Conditions	Remarks
<ul style="list-style-type: none"> - Canfield Strategic Fund (BSM093) - Canfield Opportunity Fund (BSM094) - Village Telecom & Tech Fund (BSM095) - Essential Smart Energy Fund (BSM096) (collectively, the "Sub-funds")			<p>OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.</p> <p>(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.</p>	For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	
Masan Capital OFC (the "OFC") (BSQ874) <ul style="list-style-type: none"> - Masan Hong Kong Equity Fund (BSQ875) - Masan Growth Opportunities Fund (BSQ876) - Masan Special Opportunities Fund (BSQ877) (collectively, the "Sub-funds")	17 May 2023	29 June 2022 to 31 December 2023	<p>(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.</p> <p>(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.</p>	<p>The exemption and waiver are granted on the following conditions:</p> <p>For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.</p>	<p>(1) <i>Exemption in respect of the OFC for the financial year ending 31 December 2023 lapsed on 7 June 2023.</i></p> <p>(2) <i>Waiver in respect of the OFC and Masan Hong Kong Equity Fund for the financial year ending 31 December 2023 lapsed on 7 June 2023.</i></p>

Name of the OFC or sub-fund (CE number)	Date of grant of the exemptions or waivers	Relevant financial period	Particulars of the exemptions or waivers granted	Conditions	Remarks
<p>LF Multi Strategy OFC (the "OFC") (BRV825)</p> <p>- LFX Property Development Fund (BRV827)</p> <p>- LF Emerging Industries Fund (BRV828)</p> <p>(collectively, the "Sub-funds")</p>	23 May 2023	26 November 2021 to 31 December 2022	<p>(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.</p> <p>(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.</p>	<p>The exemption and waiver are granted on the following conditions:</p> <p>For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.</p>	
<p>Rui Da International Open-ended Fund Company (the "OFC") (BRV713)</p> <p>- Rui Da International No.5 (BRV714)</p> <p>- Rui Da International No.6 (BRV715)</p> <p>(collectively, the "Sub-funds")</p>	14 August 2023	24 November 2021 to 31 March 2023	<p>(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.</p> <p>(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.</p>	<p>The exemption and waiver are granted on the following conditions:</p> <p>For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.</p>	

Name of the OFC or sub-fund (CE number)	Date of grant of the exemptions or waivers	Relevant financial period	Particulars of the exemptions or waivers granted	Conditions	Remarks
Taikang Premier Investment OFC (the "OFC") (BRH817) - Taikang Stable Growth Fund (BRH818) (the "Sub-fund")	13 September 2023	12 July 2021 to 31 December 2022	Waived the requirement to show the respective financial positions and results of the Sub-fund of the OFC in the financial report under 9.6 of the OFC Code.	The waiver is granted on the following conditions: For the relevant financial period, the Sub-fund (1) had not been launched; and (2) had no investor.	
HuaAn Investment Fund II OFC (the "OFC") (BSP587) - HuaAn US Innovation Dynamic Equity Fund (BSP588) (the "Sub-fund")	18 October 2023	15 June 2022 to 30 June 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules. (2) Waived the requirement to show the respective financial positions and results of the OFC and those of the Sub-fund of the OFC in the financial report under 9.6 of the OFC Code.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-fund (1) had not been launched; and (2) had no investor.	
PIMCO Funds: Hong Kong OFC (the "OFC") (BSQ813) - PIMCO Asia Bond Fund (BSQ814) - PIMCO Income Fund (BSQ815) (collectively, the "Sub-funds")	19 October 2023	29 September 2022 to 31 December 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	

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			(2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.		
BOCHK Asset Management OFC (the "OFC") (BSU954) - BOCHK Macro Aggressive Portfolio (BSU955) - BOCHK Macro Balanced Portfolio (BSU956) - BOCHK Macro Conservative Portfolio (BSU957) (collectively, the "Sub-funds")	21 November 2023	16 August 2022 to 30 June 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules. (2) Waived the requirement to show the respective financial positions and results of the OFC and those of the individual sub-fund(s) of the OFC in the financial report under 9.6 of the OFC Code.	The exemption and waiver are granted on the following conditions: For the relevant financial period, the OFC and the Sub-funds (1) had not been launched; and (2) had no investor.	
Hover4pi Fund I OFC (the "OFC") (BSL505)	20 December 2023	27 May 2022 to 31 October 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	

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Checkmate Open-ended Fund Company (the "OFC") (BSF471) - Checkmate Asia Credit Opportunity Fund (BSF472) - Checkmate Astrapto Special Situations Fund (BSZ899) (collectively, the "Sub-funds")	5 January 2024	11 March 2022 to 10 September 2023	Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Avengers Strategy OFC (the "OFC") (BSD960)	18 January 2024	1 January 2023 to 31 December 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Zijing Asset Management OFC (the "OFC") (BSI351) - Zijing Pre-IPO Fund I (BSI352) - Zijing Equity Fund (BTZ214) (collectively, the "Sub-funds")	31 January 2024	3 May 2022 to 30 September 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Hectoron Supply Chain Finance Credit OFC (the "OFC") (BSR899)	31 January 2024	18 July 2022 to 31 December 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the	The exemption is granted on the following conditions:	

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			relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Victory Privilege Fund OFC (the "OFC") (BRT100) - Winner Global Fund (BRT101) - Victory Greater China Growth Fund (BRT102) - Victory Bond Connect Fund (BRT103) - Victory EMC BTC Cycle Fund (BRT104) - Victory Money Market Fund (BRT105)	6 March 2024	1 January 2023 to 31 December 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
QX Asset Management OFC (the "OFC") (BTT150) - QX Global Quantitative Managed Futures Fund (BTT151)	6 March 2024	31 May 2023 to 31 December 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Wiseview OFC (the "OFC") (BTV377) - Wiseview MCF Sub-Fund (BTV378)	6 March 2024	27 June 2023 to 31 December 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to	The exemption is granted on the following conditions:	

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			publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Canfield Multi Asset Fund OFC (the "OFC") (BSM092) - Canfield Strategic Fund (BSM093) - Canfield Fixed Income Fund (BSM094) - Village Telecom & Tech Fund (BSM095) - Essential Smart Energy Fund (BSM096)	7 March 2024	1 January 2023 to 31 December 2023	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	
Hamon Capital Partners OFC (the "OFC") (BRP691)	7 March 2024	From 1 January 2023 to the date when the OFC no longer meets one or more of the conditions of the exemption	(1) Exempted the directors of the OFC from the requirement to prepare an annual report for the relevant financial period and the OFC from the requirement to publish the annual report and provide, on request, a copy of the report free of charge to any shareholder under rule 151 of the OFC Rules.	The exemption is granted on the following conditions: For the relevant financial period, the OFC (1) had not been launched; and (2) had no investor.	