[](http://plaza/comms/Logos/CBI-Master_cmyk-small.jpg)

**Compliance Form**

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| **Details** | **Response** |
| 1. Fund/Sub-Fund(s) affected by error/breach. |  |
| 1. Description of error/breach, including details of error/breach and parties responsible. |  |
| 1. Impact of error/breach on NAV (% of NAV). |  |
| 1. Duration of error/breach (time period), including date the issue occurred, date it was detected and date it was rectified. |  |
| 1. Total number of shareholders/unit holders affected, including details of subscriptions/redemptions impacted by error/breach. |  |
| 1. Is Compensation required? | Yes or No |
| 6a. Amount of compensation paid to shareholders/unit holders who have redeemed.  Who pays for the compensation?  Has the compensation been paid? |  |
| 6b. Amount of compensation paid to shareholders/unit holders in the form of additional shares/units.  Who pays for the compensation?  Has the compensation been paid? |  |
| 6c. Amount of compensation paid into the Fund/Sub-Fund(s).  Who pays for the compensation?  Has the compensation been paid? |  |
| **Total Amount of Compensation** = 6a + 6b + 6c |  |
| 1. Provide a copy of the calculation of compensation. |  |
| 1. Provide a copy of depositary’s written review/assessment/feedback of/on compensation. Also, provide a copy of any depositary report(s) on error/breach. |  |
| 1. If not rectified, detail the actions that are planned to rectify the error/breach, including details on the expected timeframe to complete these actions. |  |
| 1. Provide a copy of any incident reports or other supporting documentation. |  |
| 1. What internal investigation took place and what measures/controls are being put in place to prevent similar incident?   Are there any misconduct/disciplinary issues concerning the responsible entity and staff?  Set out the actions taken or to be taken to deal with or improve internal controls. |  |
| 1. Have/are any other regulatory bodies being notified of this matter?   If yes, please provide details. |  |
| 1. Are there any other issues related to this matter that you wish to bring to the attention of the Central Bank of Ireland? |  |
| 1. Has the Depositary received written confirmation from the Board of Directors/Fund Management Company that this matter has been fully rectified and that all investors have been treated fairly? | Yes or No |
| 1. Is the Depositary satisfied that this matter has been fully rectified and that all investors have been treated fairly? | Yes or No |
| 1. Is any sub-fund impacted by this matter a “UCITS Master Fund” or a “UCITS Feeder Fund”?   If yes, please provide details. |  |
| 1. Are any of the sub-funds impacted by this error/breach distributed on a cross border basis to non-qualified (retail) investors in Switzerland?   If yes, please indicate the name of the sub-fund(s) affected. |  |
| 1. Have you or are you reporting this matter to any other Competent Authority? Please identify all such Competent Authorities. Please provide date of reporting/planned reporting. |  |
| 1. Name, Telephone Number and Email Address of contact with whom the Central Bank of Ireland can engage with in respect of this report. |  |

**If any field is Not Applicable (“N/A”) please mark as such - Do not leave blank**