



<p>listed securities based on net asset value is still capable of calculation through objective and reliable means?</p> <p><i>NOTE: The decision to lift a suspension in the calculation of net asset value or of subscriptions or redemptions should be notified to the CSX without delay, for dissemination.</i></p>		
<p>Directors' Details (LR9.96 (f)) Have there have been and changes to the directors of the issuer or its investment manager?</p> <p>If yes, confirm any resignation/appointment of directors has been notified to the CSX and that the Appendix 3A (Director's Declaration) has been completed and submitted to the CSX?</p> <p>Have announcements been made of change of directors on the CSX's webpage?</p>	<p>YES/NO/NA</p> <p>YES/NO/NA</p> <p>YES/NO/NA</p>	
<p>Custodian/auditor/administrator/ registrar and transfer agent/ registered address Have there have been and changes to any of the above during the review period?</p> <p>If yes, has the issuer notified the CSX of any such changes?</p>	<p>YES/NO/NA</p>	
<p>Other Disclosures (LR9.96) Have the issuer notified the CSX about any of the following changes:</p> <p>(a) any material change in the investment fund's constitution;</p> <p>(b) any change in the rights of any class of listed securities.</p> <p>(c) any change in the general character or nature of the investment fund (including if the fund becomes an umbrella or feeder fund).</p> <p>(d) the creation of any additional classes of security in the investment fund (whether such classes are listed or not).</p> <p>(e) any material change in the investment policies or objectives, investment restrictions or borrowing restrictions of the issuer;</p> <p>(f) any changes in directors of the investment fund and in directors of the investment manager.</p> <p>(g) any changes in the service providers or auditors of the investment fund.</p> <p>(h) any change in the way in which net asset value or issue or redemption prices are calculated.</p>		



<ul style="list-style-type: none"> (i) any change in the frequency of calculation of the net asset value or the frequency of subscriptions or redemptions. (j) any intention of the investment fund to extend the life of or terminate the investment fund or to compulsorily redeem all of its securities; (k) the redemption of all of its securities; (l) any change in the status of the investment fund for taxation purposes; (m) the investment fund agreeing to acquire from or dispose of an investment to a member of the investment fund family, unless such transaction has been fully disclosed in the listing document; (n) the investment fund agreeing to acquire or dispose of an asset in which a director or member of the investment fund family is materially interested, unless such transaction has been fully disclosed in the listing document; (o) unless otherwise disclosed as an investment objective or policy of the investment fund, the incurring of any material debt; (p) so far as is known to any director of the investment fund, there occurs any material change in the holdings or identity of any persons who, directly or indirectly, jointly or severally, exercise or could exercise control over the investment fund; (q) any involvement in material litigation proceedings (where the amount involved is equal to or greater than twenty per cent. of the book value of the existing net assets of the investment fund); (r) if its securities cease to be listed on another stock exchange or if it is the subject of disciplinary action by another stock exchange or any other securities regulatory body; and (s) any change in the fund's registered or principal office. 		
<p>Financial Information (LR9.94)_ Annual accounts Have the annual accounts been sent to the CSX within nine (9) months of the end of the period of which they relate?</p> <p>Confirm that the announcement has been made on the CSX website to include a copy of the annual accounts?</p> <p>Have the annual accounts been sent to every holder of its listed securities as soon as they have been published and copies available to investors or prospective investors upon request?</p> <p>Are annual financial statements include the following:</p>		



<p>(a) a detailed analysis of the fund’s portfolio of investments by type of security (equity securities, convertible securities, fixed income securities, types or categories of derivative products, currencies and other investments) and by broad industrial or commercial sector and, where appropriate, geographical area, giving the market value of each category so analysed or such other portfolio details as may be agreed by the Exchange;</p> <p>(b) a statement as at the end of the relevant financial year showing:</p> <p>(i) the interests of any director, investment manager or investment adviser in the securities of the investment fund or any subsidiary, distinguishing between beneficial and non-beneficial interests;</p> <p>(ii) details of any right to subscribe for securities of the fund granted to any director, investment manager or investment adviser of the fund, and of the exercise of any such right;</p> <p>(iii) the interests of each director of the fund in any entity which receives fees or other compensation from the fund; and</p> <p>(iv) details of any material transaction with the fund’s directors, investment manager, investment adviser, other service provider or any of their affiliates or any other party that may exert significant influence over the fund.</p> <p>(c) in the event the operating results shown by the financial statements for the period under review differ materially from any published forecast made by the fund, an explanation for the difference;</p> <p>(d) details of any emoluments or other income payable by the fund to the directors, service providers or any of their associates during the period under review; and</p> <p>(e) details of any arrangements whereby a director or any service provider has waived or agreed to waive any emoluments from the fund or any subsidiary undertaking.</p>		
<p>Interim accounts Does the issuer prepare the interim accounts? If yes, has a copy of the interim accounts been submitted to the CSX?</p>	<p>YES/NO YES/NO</p>	
<p>Audit and audit opinion (LR9.92(a),(b),(c) and(g)) Confirm that the annual financial statements were:</p> <p>(a) prepared in accordance with International Accounting</p>		



Standards, United States, United Kingdom or Canadian generally accepted accounting principles or other standards acceptable to the Exchange;	YES/NO	
(b) independently audited and reported on in accordance with International Standards on Auditing or other standards acceptable to the Exchange;	YES/NO	
(c) prepared in consolidated form if the issuer has subsidiaries.	YES/NO	
Confirm that, if the financial statements are qualified a matter affecting the issuer has been adequately explained so as to enable the investors to make properly informed assessment of the significance of the matter.	YES/NO	
<p>Closed – ended funds (LR9.99-9.100) Has there has been:</p> <p>(a) any material change in the holdings or identity of any substantial shareholderⁱ, stating the name of the person and the amount of the person’s interest.</p> <p>(b) The free float percentage of listed securities which are in hands of public fall below the minimum levels required.</p>		

ⁱ Substantial shareholder means any member who holds 10% or more of the securities.