Annex 2

Examples of Exceptional Reporting Matters

	Management Company	UCITS
Monitoring Compliance with:		
- marketing restrictions	√	√
- investment limits		√
- valuation issues		√
- investment performance		√
- compensation payments	√	√
- money laundering requirements	√	√
- market timing	√	√
- late trading	√	√
Monitoring capital		
- breaches of capital requirement	√	√
Internal Audit		
- significant issues identified by internal auditor	√	√
Risk management		
- deviations from thresholds	√	√
- failed trades		√
Financial Control	√	
- unsettled positions		√