

Self-check List

The general agency shall check the status of how its institute and sales institutes observing offshore fund related statutory laws and regulations, and self-discipline regulations for (1) the latest year, or (2) the period up to date from the previous application for self-check (depends on the shorter period).

*Dates of applicant's offshore fund placement and sale applied in the latest year (Association document receipt date):_____

| | Check items | Applicant's self-assessment | | | | |
|---|---|-----------------------------|-----------|----------------|---|-------------------------------------|
| | | Normal | Irregular | Not applicable | Status of irregularities | Remarks |
| 1 | Does procrastination occur to the items required to be applied (declared) as regulated in article 12, 13, 51 of Regulations Governing Offshore Funds ? | | | | 1. Please state the fact occurrence time, application/declaration time, and the reason for procrastination 2. Please explain if there is any doubt about the definition of the fact occurrence time. | Please fill in the attached table 1 |
| 2 | Does procrastination occur to the items required to be announced as regulated in article 12, 13, 14, 17, 36, 37, 39 and 45 of Regulations Governing Offshore Funds? | | | | 1. Please state the fact occurrence time, announcement time, and the reason for procrastination. 2. Please explain if there is any doubt about the definition of fact occurrence time | Please fill in the attached table 1 |
| 3 | Is the advertising promotion behavior of offshore funds in compliance with article 50 of Regulations Governing Offshore Funds or the Association's self-discipline regulations? | | | | (Please state the occurrence time and explain the status) | |

| | Check items | Applicant's self-assessment | | | | |
|---|--|-----------------------------|-----------|----------------|--|---------|
| | | Normal | Irregular | Not applicable | Status of irregularities | Remarks |
| 4 | Is the sales institute's advertising promotion behavior of the offshore funds represented by the applicant in compliance with article 50 of Regulations Governing Offshore Funds or Association's self-discipline regulations? | | | | 1. Please state the occurrence time and explain the status 2. The general agency's self-check range is limited to the data provided by the sales institute based on paragraph 2 of article 51 of Regulations Governing Offshore Funds | |
| 5 | Do the general agency and its sales institutes have any records as regulated in article 40 of Regulations Governing Offshore Funds for the offshore funds represented by the applicant? | | | | (Please state the occurrence time and explain the status) | |

| | Check items | Applicant's self-assessment | | | | |
|---|---|-----------------------------|-----------|----------------|---|---------|
| | | Normal | Irregular | Not applicable | Status of irregularities | Remarks |
| 6 | Do the general agency and its sales institutes have any records of violation against statutory laws and regulations or the Association's self-discipline regulations resulting from placement and sales of the offshore funds represented by the applicant? | | | | (Please state the occurrence time and explain the status) | |
| | Association's review opinions | | | | | |
| | FSC's overall review opinions | | | | | |

Notes:

1. The Association only reviews the change of sales institutes, procrastination of the declaration of advertising behavior, and compliance status with paragraph 3 through 6 of the self-discipline regulations.
2. Out of the application (declaration) and announcement items regulated in article 12 of Regulations Governing Offshore Funds, the "fact occurrence date" referred to in the matter required to be informed by the offshore fund institute to the applicant is the "date determined (resolved) by the offshore fund institute (e.g. board meeting or shareholders' meeting resolution date). In the case required to be approved by the competent authorities of the registration place, the arrival date of approval or punishment shall prevail"
3. If the general agency is a securities investment consulting enterprise without the audit division supervisor or legal division supervisor, the re-check can be made by the internal audit personnel and, in this case, the internal audit personnel shall sign or seal it to take responsibility.

Tabulated by: (Contact Tel. No.:)

Audit division supervisor (or the legal division supervisor):

Responsible person:

Table 1: Status of the items required to be applied (declared) and/or announced as regulated in Regulations Governing Offshore Funds

| Regulation | Status of application (declaration) and/or announcement made in the latest year | | | | |
|---------------------------|---|----------------------|--------------------------------|-------------------|------------------------|
| | Item | Fact occurrence date | Application (declaration) date | Announcement date | Procrastination or not |
| Paragraph 1 of article 12 | | | | | |
| Paragraph 4 of article 12 | | | | | |
| Article 13 | | | | | |
| Article 14 | | | | | |
| Article 17 | | | | | |
| Article 36 | | | | | |
| Article 37 | | | | | |
| Article 39 | | | | | |
| Article 45 | | | | | |
| Article 51 | | | | | |