

Equity Funds							
Date Breach Identified	Position as of	Fund	Breach	Breach initiation	Breach Initiation	Justification	
2023							
November							
1	30/11/2023	29/11/2023	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم التصحيح خلال ستة أشهر
December							
2	12/12/2023	11/12/2023	Riyad Saudi Equity Sharia Fund (16)	Not more than 20% of the public fund's net asset value may be invested in all classes of securities issued by any single issuer	Passive	Market movements	سيتم التصحيح خلال ستة أشهر
3	20/12/2023	19/12/2023	Riyad Saudi Equity Fund (14)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم التصحيح خلال ستة أشهر
4	26/12/2023	25/12/2023	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم التصحيح خلال ستة أشهر
Money Market Funds							
Mar							
1	15/03/2023	13/03/2023	Riyad SAR Diversified Trade Fund (20)	Investment in Money market instruments should not be below 20% from fund NAV	Passive	حدوث سحبوات متتالية مما أدى لانخفاض نسبة أدوات أسواق النقد في الصندوق	حدوث اشتراكات في الصندوق
Aug							
2	14/08/2023	12/06/2023	Riyad SAR Trade (15)	T&C (Invest in Mutual Fund market instruments should not exceed 20% from fund NAV)	Passive	حدوث سحبوات متتالية مما أدى لارتفاع النسبة الخاصة باستثمارات الصناديق الأخرى نتيجة لانخفاض حجم الصندوق.	حدوث اشتراكات في الصندوق وبافتراض عدم حدوث سحبوات اضافية.
Sep							
3	07/09/2023	10/09/2023	Riyad SAR Trade (15)	Investment should not exceed 25% from fund NAV	Passive	حدوث سحبوات متتالية مما أدى لارتفاع النسبة الخاصة باستثمارات الصناديق الأخرى نتيجة لانخفاض حجم الصندوق.	حدوث اشتراكات في الصندوق وبافتراض عدم حدوث سحبوات اضافية.
Fund Of Funds							
Feb							
1	09/02/2023	08/02/2023	Riyad Al Jarei Fund (30)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
2	09/02/2023	08/02/2023	Riyad Al Shuja`a Fund (31)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
3	09/02/2023	08/02/2023	Riyad Al Jarei Sharia Fund (40)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
4	09/02/2023	08/02/2023	Riyad Al Shuja`a Sharia Fund (41)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
5	14/02/2023	13/02/2023	Riyad Al Mutawazen Fund (32)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days

6	14/02/2023	13/02/2023	Riyad Al Mutawazen ShariaFund (42)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
April							
7	02/04/2023	30/03/2023	Riyad Al Mutahafedh Sharia Fund (43)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
8	02/04/2023	30/03/2023	Riyad Al Mutahafedh Sharia Fund (43)	T&C Asset Allocation	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
MAY							
9	10/05/2023	08/05/2023	Riyad Al Jarei Sharia Fund (40)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
10	23/05/2023	22/05/2023	Riyad Al Jarei Sharia Fund (40)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
June							
11	05/06/2023	01/06/2023	Riyad Al Jarei Fund (30)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
12	05/06/2023	01/06/2023	Riyad Al Shuja' a Fund (31)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
13	05/06/2023	01/06/2023	Riyad Al Mutawazen Fund (32)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
14	05/06/2023	01/06/2023	Riyad Al Mutahafedh Fund (33)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
15	05/06/2023	01/06/2023	Riyad Al Mutahafedh Sharia Fund (43)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
16	12/06/2023	11/06/2023	Riyad Al Shuja' a Fund (31)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
17	15/06/2023	14/06/2023	Riyad Al Mutahafedh Sharia Fund (43)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
July							
18	18/07/2023	16/07/2023	Riyad Al Jarei Fund (30)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days

19	18/07/2023	16/07/2023	Riyad Al Mutawazen Fund (32)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
Sep							
20	03/09/2023	31/08/2023	Riyad Al Mutahafedh Fund (33)	T&C Asset Allocation	Active	FUND Rebalancing	Close / adjust position(s) with 10 days