

Equity Funds							
	Date Breach Identified	Position as of	Fund	Breach	Breach initiation	Breach Initiation	Justification
Jan							
1	01.03.2022	01.02.2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم اصلاح التجاوز في خلال الثلاثة اشهر القادمة تنتهي في (02/04/2022)
2	01.04.2022	01.03.2022	Riyad Income Fund (17)	T&C (Invest in equities outside the index and equities listed in the parallel stock market (Nomu) not exceeding 10%.)	Passive	تغير وتعديل اوزان المؤشر السنوي	Close / adjust position(s) with 5 days
3	01.04.2022	01.03.2022	Riyad Balanced Income Fund (25)	T&C (Invest in equities outside the index and equities listed in the parallel stock market (Nomu) not exceeding 10%.)	Passive	تغير وتعديل اوزان المؤشر السنوي	Close / adjust position(s) with 5 days
4	01.09.2022	01.06.2022	Riyad Blue Chip Equity Fund (27)	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	12-Jan-22
5	01.12.2022	01.11.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive		
6	18/1/2022	17/1/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close / adjust position(s) with 5 days
7	20/1/2022	19/1/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (19/07/2022)
8	24/1/2022	23/1/2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close / adjust position(s) with 5 days
9	26/1/2022	25/1/2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Active	The breach happened while building positions in the new fund	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (25/07/2022)
10	26/1/2022	25/1/2022	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 اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (25/07/2022)
11	26/1/2022	25/1/2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Active	The breach happened while building positions in the new fund	Close / adjust position(s) with 5 days
12	26/1/2022	25/1/2022	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	Close / adjust position(s) with 5 days
13	31/01/2022	30/01/2022	Riyad Saudi Equity Fund (14)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	تغير وتعديل اوزان المؤشر السنوي	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (19/07/2022)
Feb							
14	02/03/2022	02.02.2022	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	Close / adjust position(s) with 5 days
15	02/06/2022	02.03.2022	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	Close / adjust position(s) with 5 days
16	02/07/2022	02.06.2022	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	Close / adjust position(s) with 5 days
16	13/2/2022	02.10.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close / adjust position(s) with 5 days
17	16/2/2022	15/2/2022	Riyad Saudi Equity Sharia Fund (16)	IFRs 41f "not more than (25%) of the public fund's net asset value may be invested in deferent parties belonging to the same group, including all investments in securities issued by them, money market transactions with them and bank deposits to them")	Passive	Market movements	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (19/07/2022)
18	20/2/2022	17/2/2022	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	Close / adjust position(s) with 5 days
19	20/2/2022	17/2/2022	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	Close / adjust position(s) with 5 days
20	20/2/2022	17/2/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close / adjust position(s) with 5 days
21	20/2/2022	17/2/2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close / adjust position(s) with 5 days
22	21/2/2022	20/2/2022	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	Close / adjust position(s) with 5 days

23	21/2/2022	20/2/2022	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	Close / adjust position(s) with 5 days
24	21/2/2022	20/2/2022	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	Close / adjust position(s) with 5 days
25	21/2/2022	20/2/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم تصحيح هذا التجاوز خلال ستة أشهر (21/08/2022)
26	23/2/2022	21/2/2022	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	Close / adjust position(s) with 5 days
27	23/2/2022	21/2/2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close / adjust position(s) with 5 days
Mar							
28	03/01/2022	28/2/2022	Riyad Saudi Equity Sharia Fund (16)	IFRS 41f "not more than (25% of the public fund's net asset value may be invested in deferent parties belonging to the same group, including all investments in securities issued by them, money market transactions with them and bank deposits to them")	Passive	Market movements	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (19/07/2022)
29	03/03/2022	03.02.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (03/09/2022)
30	03/06/2022	03.03.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	180 days to correct passive breach
31	03/06/2022	03.03.2022	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 اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (04/09/2022)
32	03/06/2022	03.03.2022	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 اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (04/09/2022)
33	03/06/2022	03.03.2022	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 اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (04/09/2022)
34	03/06/2022	03.03.2022	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 اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (04/09/2022)
35	03/06/2022	03.03.2022	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 اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (04/09/2022)
36	03/07/2022	03.06.2022	Riyad Saudi Equity Sharia Fund (16)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (04/09/2022)
37	17/3/2022	16/3/2022	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	90 days to correct passive breach
38	17/3/2022	16/3/2022	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	90 days to correct passive breach
39	20/3/2022	17/3/2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	180 days to correct passive breach
40	21/3/2022	20/3/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج ستة أشهر لتصحيح (21/09/2022)
41	24/03/2022	23/03/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	180 days to correct passive breach
42	24/03/2022	23/03/2022	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 اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (24/09/2022)
43	24/03/2022	23/03/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (24/09/2022)
44	24/03/2022	23/03/2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سيتم اصلاح التجاوز في خلال ستة اشهر القادمة تنتهي في (24/09/2022)
45	31/03/2022	30/03/2022	Riyad Saudi Equity Sharia Fund (16)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج ستة أشهر لتصحيح (31/10/2022)
46	31/03/2022	30/03/2022	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	نحتاج ستة أشهر لتصحيح (31/09/2022)
47	31/03/2022	30/03/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج ستة أشهر لتصحيح (31/09/2022)

48	31/03/2022	30/03/2022	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	نحتاج سنة أشهر لتصحيح (31/09/2022)
April							
49	05/04/2022	04.04.2022	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	نحتاج سنة أشهر لتصحيح (05/10/2022)
50	06/04/2022	05.04.2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج تصحيح بمئة أشهر (06/10/2022)
51	07/04/2022	06.04.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج سنة أشهر لتصحيح (07/10/2022)
52	07/04/2022	06.04.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج سنة أشهر لتصحيح (07/10/2022)
53	07/04/2022	06.04.2022	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	نحتاج سنة أشهر لتصحيح (07/10/2022)
54	11/04/2022	10.04.2022	Riyad Emaar Fund (24)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close passive breach within 6 months
55	12/04/2022	11.04.2022	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	نحتاج لسنة أشهر لتصحيح هذا التجاوز (12/10/2022)
56	12/04/2022	11.04.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
57	13/04/2022	12.04.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج سنة أشهر لتصحيح (07/10/2022)
58	13/04/2022	12.04.2022	Riyad Blue Chip Equity Fund (27)	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	نحتاج سنة أشهر لتصحيح (07/10/2022)
59	14/4/2022	13/4/2022	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	نحتاج سنة أشهر لتصحيح (14/10/2022)
60	17/4/2022	14/4/2022	Riyad Blue Chip Equity Fund (27)	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	Passive breach to be corrected in 6 months
61	17/4/2022	14/4/2022	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	نحتاج سنة أشهر لتصحيح (17/10/2022)
62	17/4/2022	14/4/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج سنة أشهر لتصحيح (17/10/2022)
63	19/4/2022	18/4/2022	Riyad Saudi Equity Sharia Fund (16)	IFRs 41f "not more than (25%) of the public fund's net asset value may be invested in deferent parties belonging to the same group, including all investments in securities issued by them, money market transactions with them and bank deposits to them")	Passive	Market movements	نحتاج سنة أشهر لتصحيح (21/10/2022)
64	21/4/2022	20/4/2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	نحتاج سنة أشهر لتصحيح (21/10/2022)
65	21/4/2022	20/4/2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	نحتاج سنة أشهر لتصحيح (21/10/2022)
66	21/4/2022	20/4/2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	نحتاج سنة أشهر لتصحيح (21/10/2022)
67	21/4/2022	20/4/2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	نحتاج سنة أشهر لتصحيح (21/10/2022)
68	24/4/2022	21/4/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج سنة أشهر لتصحيح (24/10/2022)
69	26/4/2022	25/4/2022	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	نحتاج سنة أشهر لتصحيح (26/10/2022)
70	26/4/2022	25/4/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج سنة أشهر لتصحيح (26/10/2022)
71	27/4/2022	26/4/2022	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	نحتاج سنة أشهر لتصحيح (26/10/2022)

72	27/4/2022	26/4/2022	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	تحتاج لسنة الشهر للتصحيح (27/010/2022)
73	28/4/2022	27/4/2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Close passive breach within 6 months
74	28/4/2022	27/4/2022	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	تحتاج لسنة الشهر للتصحيح (27/010/2022)
May							
75	05/12/2022	05.11.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	تحتاج لسنة الشهر للتصحيح (27/010/2022)
76	05/12/2022	05.11.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	تحتاج لسنة الشهر للتصحيح (27/010/2022)
77	17/05/2022	16.05.2022	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	Passive breach to be corrected in 6 months
78	17/05/2022	16.05.2022	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	Passive breach to be corrected in 6 months
79	17/05/2022	16.05.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
80	19/05/2022	18/05/2022	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	Passive breach to be corrected in 6 months
81	19/05/2022	18/05/2022	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	Passive breach to be corrected in 6 months
82	19/05/2022	18/05/2022	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	Passive breach to be corrected in 6 months
83	24/05/2022	23/05/2022	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	Passive breach to be corrected in 6 months
84	26/05/2022	25/05/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	تحتاج سنة الشهر للتصحيح (26/11/2022)
85	30/05/2022	29/05/2022	Riyad Blue Chip Equity Fund (27)	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	Passive breach to be corrected within 6 months 29 Nov 2022
86	30/05/2022	29/05/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سبتم التصحيح خلال سنة أشهر (30/11/2022)
87	31/05/2022	30/05/2022	Riyad Saudi Equity Fund (14)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	Close / adjust position(s) with 5 days
88	31/05/2022	30/05/2022	Riyad Saudi Equity Fund (14)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	Close / adjust position(s) with 5 days
June							
89	06/01/2022	31/05/2022	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	Passive breach to be corrected in 6 months
90	06/02/2022	06.01.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected within 6 months 29 Nov 2022
91	06/05/2022	06.02.2022	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	Passive breach to be corrected in 6 months
92	06/06/2022	06.05.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
93	07/06/2022	06.06.2022	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	Passive breach to be corrected in 6 months
94	08/06/2022	07.06.2022	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	Passive breach to be corrected in 6 months
95	13/06/2022	12.06.2022	Riyad Saudi Equity Sharia Fund (16)	IFRs 41f "not more than (25%) of the public fund's net asset value may be invested in deferent parties belonging to the same group, including all investments in securities issued by them, money market transactions with them and bank deposits to them")	Passive	Market movements	Passive breach to be corrected in 6 months

96	13/06/2022	12.06.2022	Riyad Blue Chip Equity Fund (27)	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	Passive breach to be corrected in 6 months
97	13/06/2022	12.06.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	سبتم التصحيح خلال سنة أشهر (30/11/2022)
98	14/06/2022	13.06.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
99	16/06/2022	15.06.2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
100	19/06/2022	16.06.2022	Riyad Saudi Equity Sharia Fund (16)	IFRs 41f "not more than (25%) of the public fund's net asset value may be invested in deferent parties belonging to the same group, including all investments in securities issued by them, money market transactions with them and bank deposits to them")	Passive	Market movements	سبتم التصحيح خلال سنة أشهر (30/11/2022)
101	19/06/2022	16.06.2022	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	Passive breach to be corrected in 6 months
102	19/06/2022	16.06.2022	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	Passive breach to be corrected in 6 months
103	19/06/2022	16.06.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
104	21/6/2022	20/06/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
105	21/6/2022	20/06/2022	Riyad Emaar Fund (24)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
106	23/06/2022	22/06/2022	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	نحتاج سنة أشهر للتصحيح
107	23/06/2022	22/06/2022	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	نحتاج سنة أشهر للتصحيح
108	23/06/2022	22/06/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected in 6 months
109	28/06/2022	27/06/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	passive	Market movements	نحتاج سنة أشهر للتصحيح
110	29/06/2022	28/06/2022	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	نحتاج سنة أشهر للتصحيح
111	30/07/2022	30.06.2022	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	نحتاج سنة أشهر للتصحيح
July							
112	07/04/2022	07.03.2022	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	نحتاج سنة أشهر للتصحيح
113	07/05/2022	07.04.2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	passive	Market movements	نحتاج سنة أشهر للتصحيح
114	14/07/2022	13/07/2022	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	نحتاج سنة أشهر للتصحيح
115	14/07/2022	13/07/2022	Riyad Balanced Income Fund (25)	Invest in equities outside the index and equities listed in the parallel stock market (Nomu) not exceeding 10%	passive	Market movements	نحتاج سنة أشهر للتصحيح
116	19/07/2022	18/07/2022	Riyad Small and Medium CapFund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	passive	Market movements	نحتاج سنة أشهر للتصحيح
117	20/07/2022	19/07/2022	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	نحتاج سنة أشهر للتصحيح
118	24/07/2022	21/07/2022	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	نحتاج سنة أشهر للتصحيح
119	25/07/2022	24/07/2022	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	Passive breach to be rectified in 6 months
120	28/07/2022	27/07/2022	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	نحتاج سنة أشهر للتصحيح

120	31/7/2022	28/7/2022	Riyad Saudi Equity Fund (14)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	نحتاج 6 أشهر للتصحيح
August							
121	03/08/2022	02.08.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	Passive breach to be corrected within 6 months
122	09/08/2022	08.08.2022	Riyad Saudi Equity Fund (14)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	نحتاج 6 أشهر للتصحيح
123	09/08/2022	08.08.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	سحوبات	نحتاج 6 أشهر للتصحيح
124	14/08/2022	08.11.2022	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	نحتاج 6 أشهر للتصحيح
125	16/08/2022	15/8/2022	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	نحتاج 6 أشهر للتصحيح
126	18/08/2022	17/8/2022	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	نحتاج 6 أشهر للتصحيح
127	24/08/2022	23/08/2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
128	25/08/2022	24/08/2022	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	نحتاج 6 أشهر للتصحيح
129	30-08-2022	29-08-2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.		Market movements	نحتاج 6 أشهر للتصحيح
130	09/01/2022	30-08-2022	Riyad Opportunity Fund (79)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.		Market movements	نحتاج 6 أشهر للتصحيح
September							
131	09/07/2022	09.06.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
132	13/9/2022	09.12.2022	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	نحتاج 6 أشهر للتصحيح
133	25/9/2022	21/9/2022	Riyad Small and Medium Cap Fund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
134	26/9/2022	25/9/2022	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	نحتاج 6 أشهر للتصحيح
135	10/02/2022	29/9/2022	Riyad Small and Medium Cap Fund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
October							
136	03/10/2022	02.10.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
137	05/10/2022	04.10.2022	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	نحتاج 6 أشهر للتصحيح
138	24/10/2022	23.10.2022	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	نحتاج 6 أشهر للتصحيح
139	24/10/2022	23.10.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
140	24/10/2022	23.10.2022	Riyad Blue Chip Equity Fund (27)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
141	30/10/2022	27.10.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
142	30/10/2022	27.10.2022	Riyad Small and Medium Cap Fund (49)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
143	01/11/2022	31.10.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
November							
144	03/11/2022	02.11.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح
145	24/11/2022	22.11.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	نحتاج 6 أشهر للتصحيح

146	24/11/2022	22.11.2022	Riyad Blue Chip Equity Fund (27)	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	تحتاج 6 أشهر للتصحيح
147	01/12/2022	30.11.2022	Riyad Income Fund (17)	More than 10% or (% of market capitalization) of NAV invested in a class of securities by single issuer.	Passive	Market movements	تحتاج 6 أشهر للتصحيح
December							
148	05/12/2022	04.12.2022	Riyad Saudi Equity Sharia Fund (16)	IFRS 41f "not more than (25%) of the public fund's net asset value may be invested in deferent parties belonging to the same group, including all investments in securities issued by them, money market transactions with them and bank deposits to them")	Passive	Market movements	سيتم التصحيح خلال سنة أشهر (30/11/2022)
149	13/12/2022	12.12.2022	Riyad Small and Medium Cap Fund (49)	T&C (Invest in equities outside the index and equities listed in the parallel stock market (Nomu) not exceeding 10%.)	Passive	Market movements	سيتم التصحيح خلال سنة أشهر (30/11/2022)
150	13/12/2022	12.12.2022	Riyad Emaar Fund (24)	T&C (Invest in equities outside the index and equities listed in the parallel stock market (Nomu) not exceeding 10%.)	Passive	Market movements	سيتم التصحيح خلال سنة أشهر (30/11/2022)
151	18-12-2022	15-12-2022	Riyad Emaar Fund (24)	T&C (Invest in equities outside the index and equities listed in the parallel stock market (Nomu) not exceeding 10%.)	passive	Market movements	سيتم التصحيح خلال سنة أشهر (30/11/2022)
152	25/12/2022	22.12.2022	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 سنة أشهر (30/11/2022)
153	01/01/2023	29-12-2022	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 سنة أشهر (01/07/2023)
Money Market Funds							
1	17/02/2022	16/02/2022	Riyad SAR Trade (15)	T&C / Investment should not exceed 20% from fund NAV	Passive	حدوث عدة سحب حركات متتالية بمبالغ كبيرة من عملاء مختلفين	حدوث المفترقات تعوض ما تم سحبه مع عدم حدوث سحبوات إضافية في فترة التصحيح
2	17/04/2022	14/04/2022	Riyad USD Trade Fund (03)	T&C_1 / Investment should not exceed 25% from fund NAV	Passive	حدوث عدة سحب حركات متتالية في الصندوق مما أدى إلى انخفاض حجمه وبالتالي انخفاض الحد المسموح به للاستثمار مع جهة واحدة، حيث أن جميع العمليات المرهونة مع بنك KFH كانت قبل هذه السحوبات.	اما في حال حدوث المفترقات بمبالغ تعوض ما تم سحبه، او اعتباراً من تاريخ 20/10/2022 استحقاق أول وديعة مع بنك AUB) وافتراض عدم حدوث سحبوات إضافية
3	25/04/2022	24/04/2022	Riyad USD Trade Fund (03)	T&C_1 / Investment should not exceed 25% from fund NAV	Passive	حدوث عدة سحب حركات متتالية في الصندوق مما أدى إلى انخفاض حجمه وبالتالي انخفاض الحد المسموح به للاستثمار مع جهة واحدة، حيث أن جميع العمليات المرهونة مع بنك KFH كانت قبل هذه السحوبات.	اما في حال حدوث المفترقات بمبالغ تعوض ما تم سحبه، او اعتباراً من تاريخ 09/06/2022 استحقاق أول وديعة مع بنك KFH) وافتراض عدم حدوث سحبوات إضافية
4	26/04/2022	25/04/2022	Riyad USD Trade Fund (03)	less than 10% of NAV in cash or with maturity or remaining maturity of at most 7 days	Passive	حدوث سحب كبير في الصندوق مما أدى إلى انخفاض حجمه وانخفاض السيولة عن معدل الـ 10% خلال الـ 7 أيام.	اما في حال حدوث المفترقات بمبالغ تعوض ما تم سحبه، او بقرين استحقاق الوديعة اعتباراً من تاريخ 08/05/2022.
5	29-05-2022	25-05-2022	Riyad SAR Trade (15)	less than 10% of NAV in cash or with maturity or remaining maturity of at most 7 days	Passive	حدوث عدة سحب حركات متتالية بمبالغ كبيرة من عملاء مختلفين مما أدى لانخفاض السيولة المتوفرة دون مستوى 10%.	في تاريخ 26/05/2022 وافتراض عدم حدوث سحبوات إضافية.
6	21/07/2022	21/07/2022	Riyad USD Trade Fund (03)	T&C_1 / Investment should not exceed 25% from fund NAV	Passive	حدوث سحب كبير في الصندوق مما أدى إلى انخفاض حجمه	اما في حال حدوث المفترقات بمبالغ تعوض ما تم سحبه، او اعتباراً من تاريخ 15/08/2022 استحقاق أول وديعة مع بنك SAIB) وافتراض عدم حدوث سحبوات إضافية.
7	29/08/2022	28/08/2022	Riyad USD Trade Fund (03)	T&C / Investment should not exceed 20% from fund NAV	Passive	حدوث سحب كبير في الصندوق مما أدى إلى انخفاض حجمه	حدوث المفترقات تعوض ما تم سحبه مع عدم حدوث سحبوات إضافية في فترة التصحيح.
Fund of Funds							
Jan							
1	01/09/2022	01/02/2022	Riyad Al Mutahafedh Fund (33)	5% of its assets as cash & cash equivalent	Active	FUND RESTRUCTURING, CLOSE POSITION IN 60 Days	Close / adjust position(s) with 10 days
2	01/09/2022	01/06/2022	Riyad Al Mutawazen Fund (32)	FOF Asset Allocation	Active	FUND RESTRUCTURING, CLOSE POSITION IN 60 Days	Close / adjust position(s) with 10 days
3	17/1/2022	16/1/2022	Riyad Al Mutahafedh ShariaFund (43)	Can't exceed 50% of FOF net asset value in a single investment fund	Passive	Redemption	Close / adjust position(s) with 10 days
Feb							
4	44620	44616	Riyad Al Mutahafedh Sharia Fund (43)	A fund of funds shall invest in a minimum of (3) investment funds. The minimum investments in each such investment funds shall be 5% of the fund of funds' net asset value, this percentage does not apply to the fund's investments in additional investment funds.	Passive	Market Movments	Close / adjust position(s) with 10 days
Mar							
5	14/3/2022	03/10/2022	Riyad Al Shuja'a Sharia Fund (41)	A fund of funds may retain up to 5% of its assets as cash and cash equivalents	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
6	14/3/2022	03/10/2022	Riyad Al Jarei Sharia Fund (40)	A fund of funds may retain up to 5% of its assets as cash and cash equivalents	Active	FUND Rebalancing	Close / adjust position(s) with 10 days

7	14/3/2022	03/10/2022	Riyad Al Shuja'a Fund (31)	A fund of funds may retain up to 5% of its assets as cash and cash equivalents	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
8	14/3/2022	03/10/2022	Riyad Al Jarei Fund (30)	A fund of funds may retain up to 5% of its assets as cash and cash equivalents	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
9	14/3/2022	03/10/2022	Riyad Al Mutahafedh ShariaFund (43)	A fund of funds shall invest in a minimum of (3) investment funds. The minimum investments in each such investment funds shall be 5% of the fund of funds' net asset value, this percentage does not apply to the fund's investments in additional investment funds.	Passive	Market Movments	Close / adjust position(s) with 10 days
10	17/3/2022	16/3/2022	Riyad Al Jarei Sharia Fund (40)	Can't exceed 50% of FOF net asset value in a single investment fund	Passive	Market Movments	Close / adjust position(s) with 10 days
11	28/03/2022	24/03/2022	Riyad Al Mutawazen Fund (32)	FOF Asset Allocation	Passive	Market Movments	Close / adjust position(s) within 30 days
12	30/03/2022	28/03/2022	Riyad Al Jarei Sharia Fund (40)	Can't exceed 50% of FOF net asset value in a single investment fund	Passive	Market Movments	Close / adjust position(s) within 30 days
April							
13	19/4/2022	20/4/2022	Riyad Al Shuja'a Fund (31)	A fund of funds may retain up to 5% of its assets as cash and cash equivalents	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
14	21/04/2022	20/04/2022	Riyad Al Mutawazen Fund (32)	FOF Asset Allocation	Passive	Market Movments	Close / adjust position(s) within 30 days
May							
15	05/11/2022	05/10/2022	Riyad Al Mutawazen Fund (32)	Can't exceed 50% of FOF net asset value in a single investment fund	Passive	Market Movments	Close / adjust position(s) with 10 days
16	23/5/2022	22/5/2022	Riyad Al Mutahafedh ShariaFund (43)	A fund of funds shall invest in a minimum of (3) investment funds. The minimum investments in each such investment funds shall be 5% of the fund of funds' net asset value, this percentage does not apply to the fund's investments in additional investment funds.	Passive	Market Movments	Close / adjust position(s) with 10 days
June							
17	08/06/2022	07/06/2022	Riyad Al Jarei Fund (30)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
18	08/06/2022	07/06/2022	Riyad Al Shuja'a Fund (31)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
19	08/06/2022	07/06/2022	Riyad Al Mutawazen Fund (32)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
20	08/06/2022	07/06/2022	Riyad Al Mutahafedh Fund (33)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
21	15/06/2022	14/06/2022	Riyad Al Mutahafedh ShariaFund (43)	A fund of funds shall invest in a minimum of (3) investment funds. The minimum investments in each such investment funds shall be 5% of the fund of funds' net asset value, this percentage does not apply to the fund's investments in additional investment funds.	Passive	Market Movments	Close / adjust position(s) with 10 days
September							
25	29/09/2022	27/09/2022	Riyad Al Jarei Fund (30)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
October							
26	03/10/2022	02/10/2022	Riyad Al Mutahafedh ShariaFund (43)	A fund of funds shall invest in a minimum of (3) investment funds. The minimum investments in each such investment funds shall be 5% of the fund of funds' net asset value, this percentage does not apply to the	Passive	Market Movments	Close / adjust position(s) with 10 days
November							
27	16/11/2022	15/11/2022	Riyad Al Mutawazen Sharia Fund (42)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
28	16/11/2022	15/11/2022	Riyad Al Mutahafedh Sharia Fund (43)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
29	22/11/2022	21/11/2022	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
30	22/11/2022	21/11/2022	Riyad Al Mutahafedh Sharia Fund (43)	A fund of funds shall invest in a minimum of (3) investment funds. The minimum investments in each such investment funds shall be 5% of the fund of funds' net asset value, this percentage does not apply to the fund's investments in additional investment funds.	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
31	01/12/2022	30/11/2022	Riyad Al Mutawazen Sharia Fund (42)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days
32	01/12/2022	30/11/2022	Riyad Al Jarei Sharia Fund (40)	5% of its assets as cash & cash equivalent	Active	FUND Rebalancing	Close / adjust position(s) with 10 days