



Authorized Persons Report

Fourth Issue – Third Quarter 2018

Data and Statistics Unit's

Research Department

Strategy & International Affairs Deputy's



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Table(I): Indicators of Workforce at Authorized Person

#	Authorized Person	Quarter 3 2017		Quarter 4 2017		Quarter 1 2018		Quarter 2 2018		Quarter 3 2018	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
1	The Family Office International Investment Company	6	0%	7	29%	5	80%	8	100%	15	100%
2	Value Capital	NA	NA	NA	NA	NA	NA	NA	NA	1	100%
3	Alinma Investment Company	104	91%	105	92%	107	93%	108	94%	108	94%
4	AlBilad Investment Company	114	89%	117	86%	126	85%	121	88%	120	87%
5	Al Rajhi Capital	240	88%	238	89%	234	88%	233	86%	242	86%
6	Riyad Capital Company	286	86%	288	86%	294	86%	292	86%	291	86%
7	Arab National Investment Company	154	82%	151	83%	148	84%	147	85%	147	85%
8	SAMBA Capital & Investment Management Company	189	83%	183	84%	184	84%	180	84%	173	84%
9	Aljazira Capital Company	209	83%	200	82%	196	82%	194	82%	187	83%
10	Saudi Fransi Capital	241	80%	239	80%	239	82%	238	82%	237	82%
11	Alawwal INVEST Company	56	80%	55	82%	53	79%	53	79%	51	80%
12	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	128	77%	124	77%	127	76%	123	78%	126	79%
13	HSBC Saudi Arabia	291	77%	282	76%	293	78%	284	77%	300	79%
14	Mulkia Investment Company	25	72%	27	74%	27	85%	28	86%	32	78%
15	NCB Capital Company	287	79%	289	79%	292	80%	290	81%	278	78%
16	Ashmore Investment Saudi Arabia Company	20	75%	20	80%	19	79%	18	78%	18	78%
17	Ehata Financial Company	7	86%	8	88%	7	71%	8	75%	8	75%
18	FALCOM Financial Services	86	73%	80	73%	82	74%	81	74%	77	75%
19	Gulf One Capital Company	16	69%	14	64%	14	64%	13	69%	16	75%
20	Watani Wealth Management Company	8	13%	10	40%	10	40%	12	58%	16	75%
21	GIB Capital	43	67%	49	67%	50	72%	52	75%	50	74%
22	Al Wasatah Al Maliah Company	34	74%	34	74%	33	73%	33	76%	33	73%
23	Standard Chartered Capital Saudi Arabia	12	67%	12	67%	12	67%	13	69%	11	73%
24	Alkhabeer Capital	75	72%	77	73%	74	72%	75	73%	72	72%
25	Derayah Financial Corporation Company	98	68%	100	69%	97	69%	98	70%	105	72%
26	Osool & Bakheet Investment Company	50	66%	46	65%	44	66%	45	69%	47	72%
27	Saudi Portfolio Securities Company	6	67%	7	71%	7	71%	7	71%	7	71%
28	Bait Al Mal Al Khaleeji Company	19	68%	16	63%	16	69%	17	71%	17	71%
29	Alpha Capital	NA	NA	NA	NA	17	82%	19	68%	24	71%
30	J.P. Morgan Saudi Arabia Company	26	81%	29	76%	28	71%	29	72%	30	70%
31	Middle East Financial Investment Company	52	69%	51	69%	53	70%	51	71%	50	70%

Table(I): Indicators of Workforce at Authorized Person

#	Authorized Person	Quarter 3 2017		Quarter 4 2017		Quarter 1 2018		Quarter 2 2018		Quarter 3 2018	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
32	AlKhair Capital Saudi Arabia Company	61	70%	58	74%	60	70%	60	68%	64	70%
33	Itqan Capital Company	23	43%	22	55%	22	59%	22	64%	30	70%
34	Nomw Capital	20	60%	20	60%	21	67%	23	70%	22	68%
35	WatheeQ Financial Services Company	NA	NA	NA	NA	3	100%	1	100%	9	67%
36	Goldman Sachs Saudi Arabia Company	14	64%	16	63%	18	67%	19	68%	21	67%
37	Deutsche Securities Saudi Arabia Company	41	63%	41	66%	41	66%	40	63%	35	66%
38	Jadwa Investment Company	123	67%	121	68%	119	66%	117	66%	114	65%
39	The Northern Trust Company of Saudi Arabia	17	53%	17	53%	16	56%	15	60%	17	65%
40	Emirates NBD Capital KSA	19	47%	21	48%	18	56%	20	55%	22	64%
41	Credit Suisse Saudi Arabia Company	30	60%	40	55%	39	69%	38	66%	35	63%
42	Arbah Capital Company	36	58%	40	63%	42	62%	43	63%	46	63%
43	Adeem Financial Company	19	74%	19	74%	19	68%	18	61%	19	63%
44	Musharaka Capital Company	30	60%	32	59%	35	60%	34	62%	37	62%
45	Audi Capital Company	43	60%	44	61%	39	59%	37	59%	39	62%
46	Citigroup Saudi Arabia	7	14%	8	50%	9	78%	11	55%	13	62%
47	Tharwat For Financial Securities	17	65%	18	67%	19	63%	20	60%	23	61%
48	MaCeem Capital	20	55%	17	53%	20	55%	18	61%	15	60%
49	Merrill Lynch KSA Company	22	55%	20	60%	21	62%	20	60%	20	60%
50	Saudi Economic and Development Securities Company	76	54%	77	52%	80	55%	80	58%	85	60%
51	First Abu Dhabi Investment Saudi Company	NA	NA	NA	NA	1	100%	7	57%	10	60%
52	Malaz Capital Company	33	52%	39	56%	39	59%	31	58%	29	59%
53	Global Investment House KSA	19	58%	19	58%	18	56%	16	50%	17	59%
54	Al Nefae Investment Group	43	44%	48	52%	48	48%	48	48%	46	59%
55	Muscat Capital	23	52%	25	52%	26	54%	20	65%	24	58%
56	Alawwal Capital Company	38	58%	40	60%	38	58%	38	58%	37	57%
57	United Financial House Company	12	75%	11	73%	7	57%	7	57%	7	57%
58	The Investor Company For Securities	29	41%	27	56%	37	57%	36	56%	28	54%
59	Swicorp Company	49	57%	44	55%	46	57%	44	55%	41	54%
60	Saudi Kuwaiti Finance House Company	36	47%	32	50%	35	51%	35	54%	34	53%
61	Morgan Stanley Saudi Arabia Company	27	56%	26	58%	27	56%	27	56%	25	52%

Table(I): Indicators of Workforce at Authorized Person

#	Authorized Person	Quarter 3 2017		Quarter 4 2017		Quarter 1 2018		Quarter 2 2018		Quarter 3 2018	
		Number	Sauzation %	Number	Sauzation %	Number	Sauzation %	Number	Sauzation %	Number	Sauzation %
62	KASB Capital Group	34	47%	35	49%	39	51%	39	51%	37	51%
63	AIDukheil Financial Group	20	45%	20	45%	17	47%	20	60%	14	50%
64	House of Investment & Financial Capital	7	29%	6	33%	7	57%	9	56%	8	50%
65	Societe Generale Saudi Arabia	10	50%	11	45%	12	50%	11	55%	12	50%
66	Ithraa Capital Company	26	54%	21	52%	18	50%	19	53%	18	50%
67	SaudiMed Investment Company	27	48%	26	50%	25	48%	24	50%	24	50%
68	Gulf Investors Asset Management Company	22	64%	20	55%	17	53%	15	47%	14	50%
69	Aloula Geojit Capital Company	28	46%	29	48%	35	57%	29	45%	26	50%
70	Mizuho Saudi Arabia Company	10	20%	10	20%	10	30%	11	36%	10	50%
71	Sidra Capital Company	35	40%	35	43%	36	47%	37	49%	39	49%
72	Blominvest Saudi Arabia Company	40	53%	40	50%	40	48%	40	48%	40	48%
73	UBS Saudi Arabia Company	15	47%	15	47%	15	47%	16	50%	15	47%
74	EFG-Hermes-KSA	49	41%	51	43%	50	44%	49	45%	49	47%
75	Team One Company	15	40%	15	40%	15	47%	16	44%	15	47%
76	Investcorp Saudi Arabia Financial Investment Company	12	50%	11	45%	21	43%	20	40%	19	47%
77	Vision Capital Group	20	35%	19	37%	20	35%	17	35%	17	41%
78	KKR Saudi Limited Company	6	33%	5	40%	5	40%	5	40%	5	40%
79	Nomura Saudi Arabia Company	8	38%	8	38%	8	38%	8	38%	8	38%
80	Shuaa Capital Saudi Arabia Company	18	39%	18	39%	14	43%	14	36%	17	35%
81	House of National Consulting Company	23	43%	23	48%	11	45%	10	40%	9	33%
82	BNP Pariba Investment Company KSA	17	29%	17	35%	17	35%	17	35%	15	33%
83	Ithmar Saudi Financial Consultancy Services	11	45%	11	45%	11	45%	9	33%	9	33%
84	Anfaal Capital Company	25	32%	23	30%	23	30%	22	32%	19	32%
85	BMG Financial Group	20	25%	19	26%	18	22%	18	28%	18	28%
86	Lazard Saudi Arabia Limited Company	8	25%	8	25%	8	25%	8	25%	8	25%
87	Amwal for Security Advising Ltd.	16	25%	17	24%	16	25%	16	25%	16	25%
88	Macquarie Capital Saudi Arabia LLC	NA	NA	5	20%	5	20%	7	14%	7	14%
89	Saudi Venture Capital Investment Company	10	20%	10	20%	10	20%	9	11%	9	11%
90	Greenstone Saudi Arabia LLC	NA	NA	NA	NA	2	50%	2	50%	1	0%
91	Black Rock	NA	NA	NA	NA	NA	NA	NA	NA	1	0%
92	FIM Partners KSA	NA	NA	NA	NA	NA	NA	NA	NA	1	0%

Table(I): Indicators of Workforce at Authorized Person

#	Authorized Person	Quarter 3 2017		Quarter 4 2017		Quarter 1 2018		Quarter 2 2018		Quarter 3 2018	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
93	Watan Investment & Securities Company	12	83%	14	79%	9	89%	NA	NA	NA	NA
TOTAL*		4,379	4,379	4,342	71%	4,385	72%	4,332	72%	4,353	72%

NA :Not licensed at the time

* Total in Q1, Q2 and Q3 2017 includes trading values for 2 companies which are no longer authorized (Rana Investment Company- Gulf Investors Asset Management Company)

Table(2): Capital Adequacy For APs Licensed in Dealing, Managing or/and Custody

#	Authorized Person	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
1	Credit Suisse Saudi Arabia Company	17.04	20.75	17.75	16.65	16.82
2	BNP Pariba Investment Company KSA	5.93	5	4.07	4.04	13.35
3	UBS Saudi Arabia Company	9.96	12.41	11.13	11.47	12.03
4	Emirates NBD Capital KSA	7.09	6.9	11.85	11.62	11.62
5	Standard Chartered Capital Saudi Arabia	13.58	13.11	12.68	11.7	10.82
6	Deutsche Securities Saudi Arabia Company	11.85	11.37	2.73	10.11	9.87
7	The Northern Trust Company of Saudi Arabia	8.58	8.42	9.43	8.69	8.76
8	GIB Capital	6.22	4.73	6.19	5.7	6.58
9	SAMBA Capital & Investment Management Company	6.77	4.77	5.64	5.51	6.32
10	Investcorp Saudi Arabia Financial Investment Company	6.04	6.11	6.06	5.89	6.21
11	Alawwal INVEST Company	6.18	5.79	5.07	5.31	5.9
12	Merrill Lynch KSA Company	5.07	10.33	4.85	4.16	5.9
13	J.P. Morgan Saudi Arabia Company	8.19	7.35	9.13	5.92	5.73
14	Watani Wealth Management Company	NA	NA	NA	NA	4.91
15	Morgan Stanley Saudi Arabia Company	4.36	4.5	4.66	4.66	4.33
16	Gulf Investors Asset Management Company	3.9	4.31	4.56	4.43	4.31
17	Nomw Capital	2.96	4.76	4.8	5.12	4.25
18	Al Wasatah Al Maliah Company	3.83	3.94	1.15	3.87	3.83
19	Arab National Investment Company	4.47	3.86	3.87	3.68	3.63
20	Ashmore Investment Saudi Arabia Company	2.51	2.32	3.37	3.05	2.9
21	Riyad Capital Company	3.68	3.61	3.55	2.36	2.87
22	Saudi Fransi Capital	2.73	2.84	2.47	2.53	2.72
23	Goldman Sachs Saudi Arabia Company	6.47	4.98	2.96	2.75	2.49
24	Muscat Capital	3.68	2.24	2.48	2.38	2.47
25	Ithraa Capital Company	2.55	2.93	3.41	2.9	2.46
26	Mulkia Investment Company	2.44	1.35	1.34	2.32	2.37
27	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	1.99	2.64	2.27	2.12	2.35
28	Global Investment House KSA	1.77	1.75	2.21	2.18	2.25
29	Saudi Kuwaiti Finance House Company	2.17	1.72	1.79	2.26	2.24
30	Osool & Bakheet Investment Company	2.36	2.14	2.37	2.21	2.11
31	Bait Al Mal Al Khaleeji Company	2.16	2.23	2.45	2.19	2.1
32	NCB Capital Company	1.89	1.98	1.7	2.07	2.08
33	Aljazira Capital Company	1.94	1.81	2.01	1.77	2.06
34	Al Nefaie Investment Group	1.89	2.59	2.02	2.06	2.05
35	Al Rajhi Capital	2.02	1.71	1.94	1.95	2.03
36	Alawwal Capital Company	2.65	2.72	2.79	2.13	2.01
37	Musharaka Capital Company	2.07	1.72	1.91	1.87	1.99
38	Arbah Capital Company	2.74	2.17	2.22	2.13	1.97
39	EFG-Hermes-KSA	1.43	3.07	1.44	2.25	1.93
40	Tharwat For Financial Securities	1.48	1.69	1.95	2.12	1.9
41	Sidra Capital Company	1.74	1.78	1.64	1.76	1.9
42	Jadwa Investment Company	1.82	1.82	1.92	1.87	1.86
43	HSBC Saudi Arabia	2.18	1.98	2.24	1.91	1.86
44	Blominvest Saudi Arabia Company	2.11	2.09	1.83	1.81	1.82

Table(2): Capital Adequacy For APs Licensed in Dealing, Managing or/and Custody

#	Authorized Person	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
45	Alpha Capital	NA	NA	NA	1.8	1.82
46	Derayah Financial Corporation Company	1.6	1.74	1.76	1.62	1.75
47	Saudi Economic and Development Securities Company	1.85	1.67	1.74	1.86	1.73
48	AlKhair Capital Saudi Arabia Company	1.95	1.75	1.55	1.77	1.7
49	Itqan Capital Company	1.73	1.78	1.76	1.7	1.68
50	AlBilad Investment Company	1.79	1.65	1.56	1.61	1.67
51	Gulf One Capital Company	1.4	1.42	1.23	1.19	1.66
52	Alinma Investment Company	1.31	1.85	1.16	1.75	1.54
53	Anfaal Capital Company	1.74	3.32	1.93	1.67	1.42
54	FALCOM Financial Services	1.49	1.83	1.74	1.5	1.4
55	Malaz Capital Company	1.23	1.28	1.5	1.45	1.34
56	Vision Capital Group	NA	NA	NA	NA	1.32
57	Swicorp Company	1.45	1.43	1.54	1.43	1.32
58	SaudiMed Investment Company	2.48	1.22	1.34	1.29	1.28
59	United Financial House Company	1.59	1.49	1.38	1.37	1.27
60	Middle East Financial Investment Company	1.62	1.66	1.06	1.42	1.27
61	Saudi Venture Capital Investment Company	1.34	1.25	1.26	1.26	1.25
62	KASB Capital Group	1.41	1.43	1.26	1.26	1.24
63	Shuaa Capital Saudi Arabia Company	1.21	1.35	1.61	1.51	1.24
64	MaCeen Capital	1.2	1.21	1.23	1.23	1.19
65	Audi Capital Company	1.26	1.16	1.13	1.17	1.18
66	Adeem Financial Company	1.35	1.31	1.2	1.15	1.15
67	Aloula Geojit Capital Company	1.23	1.19	1.15	1.08	1.12
68	The Investor Company For Securities	0.86	0.91	1.17	1.13	1.1
69	Alkhabeer Capital	1.08	1.01	1.03	1.01	1.02

NA :Not licensed at the time

Table(3):Trading values Per Broker (AP Licensed in Dealing as an Agent)

(Million Riyal)

#	Authorized Person	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
1	Al Rajhi Capital	70,832	97,004	98,481	96,835	81,454
2	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	27,779	47,950	48,937	45,088	43,895
3	Aljazira Capital Company	34,421	51,004	57,036	55,420	39,900
4	NCB Capital Company	39,475	57,082	46,835	48,447	30,011
5	HSBC Saudi Arabia	24,060	28,893	32,469	32,566	22,386
6	SAMBA Capital & Investment Management Company	24,359	29,814	32,358	32,276	21,856
7	Saudi Fransi Capital	23,899	27,894	29,161	29,209	19,323
8	Riyad Capital Company	18,004	24,037	23,726	27,589	16,671
9	Arab National Investment Company	16,830	19,355	20,706	22,355	14,446
10	Derayah Financial Corporation Company	11,426	14,218	15,647	14,891	10,776
11	AlBilad Investment Company	6,102	12,685	11,123	10,921	8,673
12	Alinma Investment Company	6,272	8,760	8,769	9,066	7,261
13	Merrill Lynch KSA Company	3,967	4,668	5,722	7,733	6,190
14	FALCOM Financial Services	3,192	5,452	4,680	8,228	4,961
15	EFG-Hermes-KSA	2,194	3,739	4,799	5,076	4,910
16	Alawwal INVEST Company	3,348	5,433	7,719	6,306	4,241
17	Muscat Capital	3,129	4,101	3,857	4,079	3,800
18	Morgan Stanley Saudi Arabia Company	4,802	2,923	3,625	4,631	3,284
19	Aloula Geojit Capital Company	3,548	4,099	6,389	3,811	2,166
20	J.P. Morgan Saudi Arabia Company	5,798	75	640	1,946	1,748
21	Al Nefae Investment Group	827	711	2,970	2,022	1,603
22	Jadwa Investment Company	1,238	1,412	1,210	1,064	1,278
23	Arbah Capital Company	563	1,342	1,207	981	918
24	Deutsche Securities Saudi Arabia Company	1,527	1,980	2,151	2,565	857
25	Audi Capital Company	275	257	325	477	611
26	Osool & Bakheet Investment Company	2,202	1,569	599	812	554
27	Goldman Sachs Saudi Arabia Company	NA	NA	0	119	276
28	Emirates NBD Capital KSA	288	423	2,237	264	209
29	Credit Suisse Saudi Arabia Company	401	625	412	274	166
30	AlKhair Capital Saudi Arabia Company	976	941	769	1,552	28
TOTAL		341,734.88	458,443.05	474,559.93	476,601.81	354,454

NA :Not licensed at the time

Table(4): Asset Under Management (AUM) Per AP (Public, Private Funds and Discretionary Portfolio Management (DPM))

(Million Riyal)

#	Authorized Person*	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018
1	NCB Capital Company	129,161.60	136,876.99	145,446.48	141,466.88
2	Alinma Investment Company	34,937.17	36,990.54	36,747.09	36,713.37
3	Al Rajhi Capital	27,412.47	30,512.38	37,584.76	36,272.92
4	SAMBA Capital & Investment Management Company	33,727.97	35,502.37	34,324.34	32,958.15
5	Riyad Capital Company	25,246.14	21,605.22	24,123.11	27,483.32
6	Jadwa Investment Company	24,064.96	26,558.16	26,370.02	25,659.96
7	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	5,185.60	5,685.81	14,374.74	22,254.46
8	HSBC Saudi Arabia	11,714.83	12,510.93	11,303.95	11,901.96
9	AlJazira Capital Company	14,264.65	12,425.82	12,142.83	11,150.31
10	AlBilad Investment Company	8,029.05	7,552.65	8,004.37	10,141.31
11	Saudi Fransi Capital	8,877.46	8,375.60	7,886.23	8,815.39
12	Arab National Investment Company	6,933.25	6,612.24	6,236.21	5,777.62
13	Blominvest Saudi Arabia Company	4,584.27	4,543.31	4,613.27	4,453.37
14	Alkhabeer Capital	4,094.38	4,243.77	4,137.11	4,040.08
15	Muscat Capital	3,824.49	4,202.93	4,048.25	3,561.20
16	The Investor Company For Securities	3,600.50	3,496.41	3,479.47	3,469.08
17	Middle East Financial Investment Company	2,712.59	3,294.23	3,548.96	3,451.59
18	Ashmore Investment Saudi Arabia Company	2,212.41	2,819.06	3,216.40	3,378.01
19	Saudi Economic and Development Securities Company	1,579.20	1,672.29	3,173.00	3,116.40
20	Derayah Financial Corporation Company	1,548.65	2,535.62	2,699.03	3,011.61
21	GIB Capital	0.00	155.21	488.20	2,790.85
22	Malaz Capital Company	2,406.51	2,516.29	2,475.98	2,654.97
23	Alawwal INVEST Company	2,845.72	2,697.48	2,346.50	2,202.90
24	Sidra Capital Company	1,677.48	1,923.56	2,141.32	2,140.44
25	Morgan Stanley Saudi Arabia Company	2,522.89	1,601.38	1,737.86	1,695.45
26	FALCOM Financial Services	1,396.66	1,247.01	1,598.98	1,692.18
27	Shuaa Capital Saudi Arabia Company	1,367.87	1,533.00	1,495.50	1,495.50
28	Tharwat For Financial Securities	1,506.34	1,239.25	1,259.48	1,396.21
29	SaudiMed Investment Company	2,287.10	2,287.10	1,416.28	1,362.61
30	Swicorp Company	250.19	229.69	229.69	1,343.40
31	Mulkia Investment Company	958.75	1,044.52	1,327.32	1,265.13
32	Adeem Financial Company	422.96	526.20	1,165.36	1,179.79
33	Alawwal Capital Company	1,501.27	1,417.75	1,330.88	1,169.93
34	KASB Capital Group	1,123.16	1,182.60	1,149.63	1,087.08
35	Audi Capital Company	655.78	721.19	919.79	1,043.36
36	Nomw Capital	908.16	895.19	899.90	1,021.40
37	Osool & Bakheet Investment Company	1,016.98	929.00	1,006.38	972.90
38	Musharaka Capital Company	916.93	916.18	888.73	899.02
39	Investcorp Saudi Arabia Financial Investment Company	282.85	714.10	714.10	714.10
40	Global Investment House KSA	564.23	547.97	583.15	571.52
41	Emirates NBD Capital KSA	1,981.10	519.68	519.20	519.91
42	MaCeem Capital	508.76	513.45	510.70	504.82
43	AlKhair Capital Saudi Arabia Company	7,805.02	229.75	333.65	438.02
44	Al Wasatah Al Maliah Company	467.60	408.12	394.67	391.12

Table(4): Asset Under Management (AUM) Per AP (Public, Private Funds and Discretionary Portfolio Management (DPM))

(Million Riyal)

#	Authorized Person*	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018
45	Gulf Investors Asset Management Company	411.18	322.50	322.50	322.50
46	United Financial House Company	284.00	284.00	284.00	284.00
47	Saudi Kuwaiti Finance House Company	46.68	68.31	223.27	234.29
48	Itqan Capital Company	217.55	209.75	226.33	214.36
49	EFG-Hermes-KSA	306.77	357.43	238.15	200.54
50	Arbah Capital Company	158.49	140.53	160.75	189.15
51	Alpha Capital	0.00	0.00	0.00	179.98
52	Bait Al Mal Al Khaleeji Company	196.81	196.29	135.94	126.31
53	Goldman Sachs Saudi Arabia Company	202.50	94.24	94.24	93.46
54	Aloula Geojit Capital Company	45.14	44.22	39.66	38.80
55	UBS Saudi Arabia Company	29.06	34.04	30.50	28.85
56	Al Nefae Investment Group	24.83	22.68	23.17	23.24
57	Deutsche Securities Saudi Arabia Company	40.13	0.38	0.50	5.55
58	Watani Wealth Management Company	0.00	0.00	0.00	0.00
59	Ithraa Capital Company	0.00	0.00	0.00	0.00
60	Anfaal Capital Company	0.00	0.00	0.00	0.00
61	BNP Pariba Investment Company KSA	0.00	0.00	0.00	0.00
62	Gulf One Capital Company	0.00	0.00	0.00	0.00
63	Rana Investment Co.	0.00	0.00	0.00	0.00
64	Credit Suisse Saudi Arabia Company	33.75	33.75	33.75	0.00
65	The Northern Trust Company of Saudi Arabia	0.00	0.00	0.00	0.00
66	Saudi Venture Capital Investment Company	0.00	0.00	0.00	0.00
67	Vision Capital Group	0.00	0.00	0.00	0.00
TOTAL		391,082.85	395,820.10	422,205.61	431,570.62

*Licensed in Managing

Table(5): Complaints rate Deposited to CMA against APs
(Percentage of deposited complaints over number of clients)

#	Authorized Person	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
1	Swicorp Company	0.000%	1.923%	0.000%	0.000%	13.462%
2	MaCeen Capital	1.563%	1.563%	0.000%	1.563%	7.813%
3	Middle East Financial Investment Company	0.000%	0.226%	0.000%	0.000%	2.034%
4	Tharwat For Financial Securities	0.000%	0.000%	0.000%	0.000%	1.613%
5	Gulf Investors Asset Management Company	0.395%	0.000%	0.000%	0.000%	1.581%
6	Muscat Capital	0.000%	0.249%	0.000%	0.000%	0.499%
7	Al Nefae Investment Group	0.000%	0.000%	0.000%	0.103%	0.103%
8	Musharaka Capital Company	1.500%	9.500%	0.200%	0.200%	0.100%
9	Arab National Investment Company	0.102%	0.095%	0.066%	0.066%	0.080%
10	KASB Capital Group	0.038%	0.151%	0.189%	0.075%	0.038%
11	Jadwa Investment Company	0.000%	0.000%	0.136%	0.000%	0.034%
12	Derayah Financial Corporation Company	0.008%	0.017%	0.033%	0.008%	0.033%
13	Aljazira Capital Company	0.002%	0.007%	0.007%	0.010%	0.015%
14	FALCOM Financial Services	0.014%	0.014%	0.000%	0.000%	0.014%
15	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	0.003%	0.017%	0.006%	0.003%	0.011%
16	HSBC Saudi Arabia	0.000%	0.005%	0.000%	0.005%	0.005%
17	SAMBA Capital & Investment Management Company	0.001%	0.002%	0.003%	0.002%	0.004%
18	Saudi Fransi Capital	0.000%	0.002%	0.001%	0.000%	0.003%
19	NCB Capital Company	0.001%	0.001%	0.002%	0.001%	0.003%
20	Riyad Capital Company	0.001%	0.002%	0.001%	0.002%	0.003%
21	Alinma Investment Company	0.000%	0.003%	0.000%	0.001%	0.002%
22	Al Rajhi Capital	0.000%	0.001%	0.001%	0.001%	0.001%
23	Alawwal INVEST Company	0.000%	0.001%	0.006%	0.000%	0.001%
24	AlBilad Investment Company	0.001%	0.001%	0.001%	0.000%	0.001%
25	Saudi Economic and Development Securities Company	0.000%	0.000%	0.002%	0.000%	0.000%
26	Amwal for Security Advising Ltd.	0.000%	0.000%	0.000%	0.000%	0.000%
27	House of Investment & Financial Capital	0.000%	0.000%	0.000%	0.000%	0.000%
28	Deutsche Securities Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
29	Standard Chartered Capital Saudi Arabia	0.000%	0.000%	0.000%	0.000%	0.000%
30	Emirates NBD Capital KSA	0.000%	0.000%	0.000%	0.000%	0.000%
31	Aloula Geojit Capital Company	0.000%	0.403%	0.000%	0.000%	0.000%
32	SaudiMed Investment Company	0.000%	0.000%	0.000%	0.000%	0.000%
33	Alkhabeer Capital	0.255%	0.000%	0.000%	0.255%	0.000%
34	AlKhair Capital Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
35	Team One Company	0.000%	0.000%	0.000%	0.000%	0.000%
36	EFG-Hermes-KSA	0.000%	0.000%	0.000%	0.000%	0.000%
37	Saudi Portfolio Securities Company	0.000%	0.000%	0.000%	0.000%	0.000%
38	The Investor Company For Securities	0.000%	0.353%	0.707%	0.530%	0.000%
39	Malaz Capital Company	0.000%	0.000%	0.000%	20.000%	0.000%
40	Nomw Capital	0.000%	0.000%	0.000%	0.000%	0.000%
41	Al Wasatah Al Maliah Company	0.000%	0.000%	0.000%	0.000%	0.000%
42	Watani Wealth Management Company	0.000%	0.000%	0.000%	0.000%	0.000%
43	Investcorp Saudi Arabia Financial Investment Company	0.000%	0.000%	0.000%	0.000%	0.000%
44	Itqan Capital Company	0.000%	0.000%	0.000%	0.000%	0.000%
45	Ithraa Capital Company	0.000%	0.000%	0.000%	0.000%	0.000%
46	Ithmar Saudi Financial Consultancy Services	0.000%	0.000%	0.000%	0.000%	0.000%
47	Ehata Financial Company	0.000%	0.000%	0.000%	0.000%	0.000%
48	Adeem Financial Company	0.000%	0.000%	0.000%	0.000%	0.000%
49	Arbah Capital Company	0.000%	0.000%	0.000%	0.000%	0.000%

Table(5): Complaints rate Deposited to CMA against APs
(Percentage of deposited complaints over number of clients)

#	Authorized Person	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
50	Ashmore Investment Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
51	Osool & Bakheet Investment Company	0.500%	0.000%	0.000%	0.048%	0.000%
52	Anfaal Capital Company	0.000%	0.000%	0.000%	7.143%	0.000%
53	Blominvest Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
54	BNP Pariba Investment Company KSA	0.000%	0.000%	0.000%	0.000%	0.000%
55	United Financial House Company	0.000%	0.000%	0.000%	0.000%	0.000%
56	Global Investment House KSA	0.000%	0.000%	0.000%	0.000%	0.000%
57	House of National Consulting Company	0.000%	0.000%	0.000%	0.000%	0.000%
58	Saudi Kuwaiti Finance House Company	0.000%	0.000%	0.000%	0.000%	0.000%
59	Bait Al Mal Al Khaleeji Company	0.000%	0.000%	0.000%	0.000%	0.000%
60	Gulf One Capital Company	0.000%	0.000%	0.000%	0.000%	0.000%
61	Goldman Sachs Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
62	GIB Capital	0.000%	0.000%	0.000%	0.000%	0.000%
63	J.P. Morgan Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
64	Sidra Capital Company	0.000%	0.000%	0.000%	0.000%	0.000%
65	Societe Generale Saudi Arabia	0.000%	0.000%	0.000%	0.000%	0.000%
66	Citigroup Saudi Arabia	0.000%	0.000%	0.000%	0.000%	0.000%
67	Shuaa Capital Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
68	Audi Capital Company	0.000%	0.000%	0.000%	0.000%	0.000%
69	Credit Suisse Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
70	KKR Saudi Limited Company	0.000%	0.000%	0.000%	0.000%	0.000%
71	Lazard Saudi Arabia Limited Company	0.000%	0.000%	0.000%	0.000%	0.000%
72	Macquarie Capital Saudi Arabia LLC	NA	0.000%	0.000%	0.000%	0.000%
73	The Family Office International Investment Company	0.000%	0.000%	0.000%	0.000%	0.000%
74	Mulkia Investment Company	1.361%	3.401%	0.000%	0.000%	0.000%
75	Morgan Stanley Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
76	Merrill Lynch KSA Company	0.000%	0.000%	0.000%	0.000%	0.000%
77	Mizuho Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
78	The Northern Trust Company of Saudi Arabia	0.000%	0.000%	0.000%	0.000%	0.000%
79	Nomura Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
80	Watan Investment & Securities Company	0.000%	0.000%	0.000%	0.000%	0.000%
81	UBS Saudi Arabia Company	0.000%	0.000%	0.000%	0.000%	0.000%
82	Saudi Venture Capital Investment Company	0.000%	0.000%	0.000%	0.000%	0.000%
83	AIDukheil Financial Group	0.000%	0.000%	0.000%	0.000%	0.000%
84	BMG Financial Group	0.000%	0.000%	0.000%	0.000%	0.000%
85	Vision Capital Group	0.000%	0.000%	0.000%	0.000%	0.000%
86	Rana Investment Co.	0.000%	0.000%	0.000%	0.000%	0.000%
87	Alawwal Capital Company	0.379%	1.136%	0.000%	0.758%	0.000%

NA :Not licensed at the time

Table(6): Processed / Settled Complaints Against APs as a Percentage of Total Complaints Filed with CMA*

#	Authorized Person	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
1	Alinma Investment Company	0.00%	100.00%	0.00%	100.00%	100.00%
2	AlBilad Investment Company	75.00%	50.00%	0.00%	0.00%	100.00%
3	Al Rajhi Capital	80.00%	95.00%	76.00%	96.15%	100.00%
4	Saudi Fransi Capital	0.00%	100.00%	100.00%	100.00%	100.00%
5	Middle East Financial Investment Company	0.00%	0.00%	0.00%	0.00%	100.00%
6	Derayah Financial Corporation Company	100.00%	100.00%	100.00%	100.00%	100.00%
7	SAMBA Capital & Investment Management Company	100.00%	100.00%	89.00%	100.00%	100.00%
8	Swicorp Company	0.00%	0.00%	0.00%	0.00%	100.00%
9	Muscat Capital	0.00%	100.00%	0.00%	0.00%	100.00%
10	Musharaka Capital Company	100.00%	100.00%	50.00%	100.00%	100.00%
11	Al Nefae Investment Group	0.00%	0.00%	0.00%	0.00%	100.00%
12	NCB Capital Company	83.00%	66.70%	80.00%	87.50%	90.91%
13	Riyad Capital Company	86.00%	100.00%	91.00%	85.71%	87.50%
14	Gulf Investors Asset Management Company	100.00%	0.00%	0.00%	0.00%	66.67%
15	AlJazira Capital Company	100.00%	100.00%	75.00%	100.00%	50.00%
16	Arab National Investment Company	70.00%	50.00%	100.00%	50.00%	50.00%
17	MaCeen Capital	0.00%	0.00%	0.00%	0.00%	25.00%
18	Saudi Economic and Development Securities Company	0.00%	0.00%	0.00%	0.00%	0.00%
19	Amwal for Security Advising Ltd.	0.00%	0.00%	0.00%	0.00%	0.00%
20	House of Investment & Financial Capital	0.00%	0.00%	0.00%	0.00%	0.00%
21	Deutsche Securities Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
22	Standard Chartered Capital Saudi Arabia	0.00%	0.00%	0.00%	0.00%	0.00%
23	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	0.00%	0.00%	0.00%	100.00%	0.00%
24	Emirates NBD Capital KSA	0.00%	0.00%	0.00%	0.00%	0.00%
25	Alawwal Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
26	Alawwal INVEST Company	0.00%	0.00%	100.00%	0.00%	0.00%
27	Aloula Geojit Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
28	SaudiMed Investment Company	0.00%	0.00%	0.00%	0.00%	0.00%
29	Alkhabeer Capital	0.00%	0.00%	0.00%	100.00%	0.00%
30	AlKhair Capital Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
31	Team One Company	0.00%	0.00%	0.00%	0.00%	0.00%
32	EFG-Hermes-KSA	0.00%	0.00%	0.00%	0.00%	0.00%
33	Saudi Portfolio Securities Company	0.00%	0.00%	0.00%	0.00%	0.00%
34	The Investor Company For Securities	0.00%	0.00%	50.00%	0.00%	0.00%
35	Malaz Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
36	Nomw Capital	0.00%	0.00%	0.00%	0.00%	0.00%
37	Al Wasatah Al Maliah Company	0.00%	0.00%	0.00%	0.00%	0.00%
38	Watani Wealth Management Company	0.00%	0.00%	0.00%	0.00%	0.00%
39	Investcorp Saudi Arabia Financial Investment Company	0.00%	0.00%	0.00%	0.00%	0.00%
40	HSBC Saudi Arabia	0.00%	0.00%	0.00%	80.00%	0.00%
41	Itqan Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
42	Ithraa Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
43	Ithmar Saudi Financial Consultancy Services	0.00%	0.00%	0.00%	0.00%	0.00%
44	Ehata Financial Company	0.00%	0.00%	0.00%	0.00%	0.00%
45	Adeem Financial Company	0.00%	0.00%	0.00%	0.00%	0.00%
46	Arbah Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
47	Ashmore Investment Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%

Table(6): Processed / Settled Complaints Against APs as a Percentage of Total Complaints Filed with CMA*

#	Authorized Person	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
48	Osool & Bakheet Investment Company	57.00%	0.00%	0.00%	0.00%	0.00%
49	Anfaal Capital Company	0.00%	0.00%	0.00%	100.00%	0.00%
50	Blominvest Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
51	BNP Pariba Investment Company KSA	0.00%	0.00%	0.00%	0.00%	0.00%
52	United Financial House Company	0.00%	0.00%	0.00%	0.00%	0.00%
53	Global Investment House KSA	0.00%	0.00%	0.00%	0.00%	0.00%
54	House of National Consulting Company	0.00%	0.00%	0.00%	0.00%	0.00%
55	Saudi Kuwaiti Finance House Company	0.00%	0.00%	0.00%	0.00%	0.00%
56	Bait Al Mal Al Khaleeji Company	0.00%	0.00%	0.00%	0.00%	0.00%
57	Tharwat For Financial Securities	0.00%	0.00%	0.00%	0.00%	0.00%
58	Jadwa Investment Company	0.00%	0.00%	0.00%	0.00%	0.00%
59	Gulf One Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
60	Goldman Sachs Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
61	GIB Capital	0.00%	0.00%	0.00%	0.00%	0.00%
62	J.P. Morgan Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
63	Sidra Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
64	Societe Generale Saudi Arabia	0.00%	0.00%	0.00%	0.00%	0.00%
65	Citigroup Saudi Arabia	0.00%	0.00%	0.00%	0.00%	0.00%
66	Shuaa Capital Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
67	Audi Capital Company	0.00%	0.00%	0.00%	0.00%	0.00%
68	FALCOM Financial Services	0.00%	100.00%	0.00%	0.00%	0.00%
69	Credit Suisse Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
70	KASB Capital Group	0.00%	100.00%	0.00%	0.00%	0.00%
71	KKR Saudi Limited Company	0.00%	0.00%	0.00%	0.00%	0.00%
72	Lazard Saudi Arabia Limited Company	0.00%	0.00%	0.00%	0.00%	0.00%
73	Macquarie Capital Saudi Arabia LLC	NA	0.00%	0.00%	0.00%	0.00%
74	The Family Office International Investment Company	0.00%	0.00%	0.00%	0.00%	0.00%
75	Mulkia Investment Company	100.00%	100.00%	0.00%	0.00%	0.00%
76	Morgan Stanley Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
77	Merrill Lynch KSA Company	0.00%	0.00%	0.00%	0.00%	0.00%
78	Mizuho Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
79	The Northern Trust Company of Saudi Arabia	0.00%	0.00%	0.00%	0.00%	0.00%
80	Nomura Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
81	Watan Investment & Securities Company	0.00%	0.00%	0.00%	0.00%	0.00%
82	UBS Saudi Arabia Company	0.00%	0.00%	0.00%	0.00%	0.00%
83	Saudi Venture Capital Investment Company	0.00%	0.00%	0.00%	0.00%	0.00%
84	AlDukheil Financial Group	0.00%	0.00%	0.00%	0.00%	0.00%
85	BMG Financial Group	0.00%	0.00%	0.00%	0.00%	0.00%
86	Vision Capital Group	0.00%	0.00%	0.00%	0.00%	0.00%

*Number of settled complaints over number of deposited complaints

NA :Not licensed at the time

Table(7):The Availability Rate of the Connection Service Between APs and Tadawul

#	Authorized Person*	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
1	Osool & Bakheet Investment Company	99.73%	99.90%	100.00%	100.00%	100.00%
2	Alawwal Capital Company	100.00%	99.74%	100.00%	100.00%	100.00%
3	Riyad Capital Company	100.00%	100.00%	100.00%	100.00%	100.00%
4	HSBC Saudi Arabia	99.99%	99.99%	100.00%	99.96%	100.00%
5	Arbah Capital Company	99.89%	100.00%	100.00%	100.00%	100.00%
6	Jadwa Investment Company	99.96%	99.96%	100.00%	100.00%	100.00%
7	Derayah Financial Corporation Company	100.00%	100.00%	100.00%	99.99%	100.00%
8	Deutsche Securities Saudi Arabia Company	100.00%	100.00%	100.00%	100.00%	100.00%
9	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	100.00%	100.00%	100.00%	100.00%	100.00%
10	Emirates NBD Capital KSA	99.95%	99.99%	100.00%	100.00%	100.00%
11	Aloula Geojit Capital Company	100.00%	100.00%	100.00%	100.00%	100.00%
12	AlBilad Investment Company	100.00%	100.00%	100.00%	100.00%	100.00%
13	AlKhair Capital Saudi Arabia Company	100.00%	99.92%	100.00%	99.97%	100.00%
14	EFG-Hermes-KSA	100.00%	100.00%	100.00%	100.00%	100.00%
15	SAMBA Capital & Investment Management Company	99.69%	100.00%	100.00%	100.00%	100.00%
16	Credit Suisse Saudi Arabia Company	100.00%	99.90%	100.00%	100.00%	100.00%
17	Audi Capital Company	99.99%	100.00%	99.99%	100.00%	100.00%
18	FALCOM Financial Services	100.00%	100.00%	100.00%	100.00%	100.00%
19	Al Nefae Investment Group	83.00%	99.00%	100.00%	100.00%	100.00%
20	Muscat Capital	100.00%	99.90%	100.00%	100.00%	100.00%
21	AlJazira Capital Company	100.00%	100.00%	99.97%	99.97%	99.99%
22	Morgan Stanley Saudi Arabia Company	99.98%	100.00%	100.00%	100.00%	99.99%
23	Al Rajhi Capital	100.00%	100.00%	100.00%	100.00%	99.98%
24	NCB Capital Company	100.00%	99.93%	99.97%	100.00%	99.95%
25	Merrill Lynch KSA Company	100.00%	100.00%	100.00%	99.99%	99.94%
26	J.P. Morgan Saudi Arabia Company	100.00%	100.00%	100.00%	99.38%	99.93%
27	Saudi Fransi Capital	99.77%	99.99%	100.00%	100.00%	99.90%
28	Arab National Investment Company	99.92%	100.00%	100.00%	100.00%	99.90%
29	Goldman Sachs Saudi Arabia Company	NA	NA	NA	99.73%	99.90%
30	Alinma Investment Company	99.99%	99.00%	99.00%	99.92%	99.80%

*AP Licensed in Dealing as an Agent

NA :Not licensed at the time

Table(8):The Availability Rate OfThe Connection Service APs and Their Clients

#	Authorized Person*	Quarter 3 2017	Quarter 4 2017	Quarter 1 2018	Quarter 2 2018	Quarter 3 2018
1	Riyad Capital Company	100.00%	100.00%	99.76%	100.00%	100.00%
2	Saudi Fransi Capital	100.00%	100.00%	100.00%	100.00%	100.00%
3	HSBC Saudi Arabia	100.00%	99.99%	100.00%	100.00%	100.00%
4	Arbah Capital Company	99.89%	99.60%	100.00%	99.38%	100.00%
5	Jadwa Investment Company	100.00%	100.00%	100.00%	100.00%	100.00%
6	Derayah Financial Corporation Company	99.10%	100.00%	100.00%	100.00%	100.00%
7	Emirates NBD Capital KSA	99.99%	99.99%	100.00%	100.00%	100.00%
8	Aloula Geojit Capital Company	100.00%	100.00%	99.87%	99.92%	100.00%
9	AlBilad Investment Company	100.00%	100.00%	100.00%	100.00%	100.00%
10	EFG-Hermes-KSA	100.00%	100.00%	100.00%	100.00%	100.00%
11	SAMBA Capital & Investment Management Company	100.00%	99.90%	100.00%	100.00%	100.00%
12	FALCOM Financial Services	100.00%	100.00%	100.00%	100.00%	100.00%
13	Al Nefae Investment Group	80.00%	99.00%	99.59%	100.00%	100.00%
14	Muscat Capital	100.00%	99.90%	100.00%	100.00%	100.00%
15	NCB Capital Company	100.00%	99.93%	99.97%	100.00%	99.95%
16	Aljazira Capital Company	99.77%	100.00%	100.00%	99.93%	99.95%
17	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	99.32%	100.00%	100.00%	100.00%	99.92%
18	Osool & Bakheet Investment Company	99.45%	99.86%	99.18%	99.07%	99.91%
19	Alinma Investment Company	99.99%	98.00%	96.00%	99.69%	99.90%
20	Arab National Investment Company	99.84%	100.00%	100.00%	99.47%	99.70%
21	AlKhair Capital Saudi Arabia Company	100.00%	92.97%	97.34%	100.00%	99.66%
22	Al Rajhi Capital	100.00%	100.00%	99.96%	100.00%	99.63%
23	Deutsche Securities Saudi Arabia Company	100.00%	100.00%	100.00%	100.00%	99.38%
24	Alawwal Capital Company	99.80%	100.00%	100.00%	99.98%	99.32%

*AP Licensed in Dealing as an Agent

Table(9): Number of Public and Private Funds per AP

#	Authorized Person*	Quarter 1 2018			Quarter 2 2018			Quarter 3 2018		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
1	NCB Capital Company	26	48	74	26	48	74	26	47	73
2	Jadwa Investment Company	7	34	41	7	34	41	7	34	41
3	Riyad Capital Company	31	2	33	31	3	34	30	5	35
4	HSBC Saudi Arabia	19	7	26	19	7	26	19	3	22
5	SAMBA Capital & Investment Management Company	19	2	21	19	2	21	19	1	20
6	Alinma Investment Company	6	13	19	6	13	19	6	13	19
7	Blominvest Saudi Arabia Company	4	13	17	5	13	18	5	13	18
8	Saudi Fransi Capital	12	3	15	12	3	15	13	3	16
9	Middle East Financial Investment Company	5	12	17	5	12	17	5	11	16
10	Alawwal INVEST Company	15	0	15	15	0	15	15	0	15
11	Al Rajhi Capital	14	0	14	14	0	14	14	0	14
12	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	7	6	13	7	7	14	7	7	14
13	AlJazira Capital Company	13	1	14	13	1	14	13	1	14
14	Alkhabeer Capital	4	13	17	0	13	13	0	13	13
15	AlBilad Investment Company	7	6	13	8	6	14	8	5	13
16	Alawwal Capital Company	5	8	13	5	8	13	5	6	11
17	Arab National Investment Company	10	3	13	9	3	12	8	2	10
18	Itqan Capital Company	1	10	11	1	10	11	1	9	10
19	Saudi Economic and Development Securities Company	1	8	9	2	8	10	2	8	10
20	AlKhair Capital Saudi Arabia Company	0	3	3	4	4	8	4	6	10
21	Derayah Financial Corporation Company	3	6	9	3	6	9	3	6	9
22	KASB Capital Group	8	3	11	7	3	10	6	3	9
23	Ashmore Investment Saudi Arabia Company	3	4	7	3	4	7	3	5	8
24	Osool & Bakheet Investment Company	5	1	6	5	1	6	5	1	6
25	FALCOM Financial Services	5	1	6	5	1	6	5	1	6
26	Swicorp Company	0	4	4	0	4	4	1	5	6
27	The Investor Company For Securities	1	5	6	1	5	6	1	4	5
28	Al Wasatah Al Maliah Company	2	4	6	2	4	6	2	3	5
29	Malaz Capital Company	0	4	4	0	5	5	0	5	5
30	Shuaa Capital Saudi Arabia Company	0	5	5	0	5	5	0	5	5
31	Muscat Capital	3	2	5	3	2	5	3	2	5
32	Mulkia Investment Company	3	2	5	3	2	5	3	2	5
33	Adeem Financial Company	0	5	5	0	5	5	0	5	5
34	Saudi Kuwaiti Finance House Company	3	1	4	3	2	5	3	2	5
35	UBS Saudi Arabia Company	0	5	5	0	5	5		5	5
36	GIB Capital	2	2	4	2	3	5	2	3	5

Table(9): Number of Public and Private Funds per AP

#	Authorized Person*	Quarter 1 2018			Quarter 2 2018			Quarter 3 2018		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
37	Sidra Capital Company	0	5	5	0	5	5	0	4	4
38	Audi Capital Company	3	0	3	3	1	4	3	1	4
39	MaCeen Capital	0	5	5	0	5	5	0	4	4
40	SaudiMed Investment Company	0	4	4	0	4	4	0	4	4
41	Arbah Capital Company	2	1	3	3	1	4	3	1	4
42	Gulf Investors Asset Management Company	0	3	3	0	3	3	0	3	3
43	Aloula Geojit Capital Company	2	1	3	2	1	3	2	1	3
44	Nomw Capital	0	3	3	0	3	3	0	3	3
45	Investcorp Saudi Arabia Financial Investment Company	0	3	3	0	3	3	0	3	3
46	Bait Al Mal Al Khaleeji Company	2	1	3	2	1	3	2	1	3
47	EFG-Hermes-KSA	2	1	3	2	1	3	2	0	2
48	Tharwat For Financial Securities	1	2	3	1	2	3	1	1	2
49	Musharaka Capital Company	2	0	2	2	0	2	2	0	2
50	Morgan Stanley Saudi Arabia Company	1	0	1	1	1	2	1	1	2
51	Al Nefae Investment Group	2	0	2	2	0	2	2	0	2
52	Emirates NBD Capital KSA	0	1	1	0	2	2	0	2	2
53	Goldman Sachs Saudi Arabia Company	0	1	1	0	1	1	0	1	1
54	United Financial House Company	0	1	1	0	1	1	0	1	1
55	Global Investment House KSA	1	0	1	1	0	1	1	0	1
56	Alpha Capital	0	0	0	0	0	0	1	0	1
57	Anfaal Capital Company	0	1	1	0	1	1	0	0	0
58	Credit Suisse Saudi Arabia Company	0	2	2	0	2	2	0	0	0
59	Deutsche Securities Saudi Arabia Company	0	0	0	0	0	0	0	0	0
60	Ithraa Capital Company	0	0	0	0	0	0	0	0	0
61	BNP Pariba Investment Company KSA	0	0	0	0	0	0	0	0	0
62	Gulf One Capital Company	0	0	0	0	0	0	0	0	0
63	The Northern Trust Company of Saudi Arabia	0	0	0	0	0	0	0	0	0
64	Saudi Venture Capital Investment Company	0	0	0	0	0	0	0	0	0
65	Rana Investment Co.	0	0	0	0	0	0	0	0	0
66	Watani Wealth Management Company	0	0	0	0	0	0	0	0	0
67	Vision Capital Group	0	0	0	0	0	0	0	0	0
Total		262	281	543	264	290	554	264	275	539

*AP Licensed in Investment Fund Management

NA :Not licensed at the time