



Authorized Persons Report

Fifth Issue –Fourth Quarter of 2018

Data and Statistics Unit's

Research Department

Strategy & International Affairs Deputy's



هيئة السوق المالية
Capital Market Authority



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Table (I): Indicators of Workforce at Authorized Person

| # | Authorized Person | Quarter 4 2017 | | Quarter 1 2018 | | Quarter 2 2018 | | Quarter 3 2018 | | Quarter 4 2018 | |
|----|--|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|
| | | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % |
| 1 | Impact Capital Company | NA | NA | NA | NA | NA | NA | NA | NA | 3 | 100% |
| 2 | Value Capital Partners Company | NA | NA | NA | NA | NA | NA | NA | NA | 4 | 100% |
| 3 | The Family Office International Investment Company | 7 | 29% | 5 | 80% | 8 | 100% | 15 | 100% | 14 | 100% |
| 4 | Merak Capital Company | NA | NA | NA | NA | NA | NA | NA | NA | 5 | 100% |
| 5 | Alinma Investment Company | 105 | 92% | 107 | 93% | 108 | 94% | 108 | 94% | 111 | 94% |
| 6 | Al Rajhi Capital | 238 | 89% | 234 | 88% | 233 | 86% | 242 | 86% | 238 | 87% |
| 7 | AlBilad Investment Company | 117 | 86% | 126 | 85% | 121 | 88% | 120 | 87% | 119 | 86% |
| 8 | Riyad Capital Company | 288 | 86% | 294 | 86% | 292 | 86% | 291 | 86% | 291 | 86% |
| 9 | Arab National Investment Company | 151 | 83% | 148 | 84% | 147 | 85% | 147 | 85% | 147 | 85% |
| 10 | SAMBA Capital & Investment Management Company | 183 | 84% | 184 | 84% | 180 | 84% | 173 | 84% | 174 | 84% |
| 11 | AlJazira Capital Company | 200 | 82% | 196 | 82% | 194 | 82% | 187 | 83% | 185 | 82% |
| 12 | Mulkia Investment Company | 27 | 74% | 27 | 85% | 28 | 86% | 32 | 78% | 32 | 81% |
| 13 | Watani Wealth Management Company | 10 | 40% | 10 | 40% | 12 | 58% | 16 | 75% | 21 | 81% |
| 14 | Saudi Fransi Capital | 239 | 80% | 239 | 82% | 238 | 82% | 237 | 82% | 247 | 81% |
| 15 | NCB Capital Company | 289 | 79% | 292 | 80% | 290 | 81% | 278 | 78% | 285 | 80% |
| 16 | HSBC Saudi Arabia | 282 | 76% | 293 | 78% | 284 | 77% | 300 | 79% | 296 | 80% |
| 17 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 124 | 77% | 127 | 76% | 123 | 78% | 126 | 79% | 122 | 80% |
| 18 | Alawwal INVEST Company | 55 | 82% | 53 | 79% | 53 | 79% | 51 | 80% | 51 | 78% |
| 19 | Ehata Financial Company | 8 | 88% | 7 | 71% | 8 | 75% | 8 | 75% | 9 | 78% |
| 20 | Ashmore Investment Saudi Arabia Company | 20 | 80% | 19 | 79% | 18 | 78% | 18 | 78% | 18 | 78% |
| 21 | Nomw Capital | 20 | 60% | 21 | 67% | 23 | 70% | 22 | 68% | 21 | 76% |
| 22 | Gulf One Capital Company | 14 | 64% | 14 | 64% | 13 | 69% | 16 | 75% | 12 | 75% |
| 23 | Goldman Sachs Saudi Arabia Company | 16 | 63% | 18 | 67% | 19 | 68% | 21 | 67% | 20 | 75% |
| 24 | FALCOM Financial Services | 80 | 73% | 82 | 74% | 81 | 74% | 77 | 75% | 68 | 75% |

Table (I): Indicators of Workforce at Authorized Person

| # | Authorized Person | Quarter 4 2017 | | Quarter 1 2018 | | Quarter 2 2018 | | Quarter 3 2018 | | Quarter 4 2018 | |
|----|--|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|
| | | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % |
| 25 | Watheeq Financial Services Company | NA | NA | 3 | 100% | 1 | 100% | 9 | 67% | 8 | 75% |
| 26 | Alkhabeer Capital | 77 | 73% | 74 | 72% | 75 | 73% | 72 | 72% | 78 | 74% |
| 27 | GIB Capital | 49 | 67% | 50 | 72% | 52 | 75% | 50 | 74% | 48 | 73% |
| 28 | Standard Chartered Capital Saudi Arabia | 12 | 67% | 12 | 67% | 13 | 69% | 11 | 73% | 11 | 73% |
| 29 | Al Wasatah Al Maliah Company | 34 | 74% | 33 | 73% | 33 | 76% | 33 | 73% | 33 | 73% |
| 30 | AlKhair Capital Saudi Arabia Company | 58 | 74% | 60 | 70% | 60 | 68% | 64 | 70% | 62 | 73% |
| 31 | Derayah Financial Corporation Company | 100 | 69% | 97 | 69% | 98 | 70% | 105 | 72% | 109 | 72% |
| 32 | Osool & Bakheet Investment Company | 46 | 65% | 44 | 66% | 45 | 69% | 47 | 72% | 46 | 72% |
| 33 | Saudi Portfolio Securities Company | 7 | 71% | 7 | 71% | 7 | 71% | 7 | 71% | 7 | 71% |
| 34 | J.P. Morgan Saudi Arabia Company | 29 | 76% | 28 | 71% | 29 | 72% | 30 | 70% | 28 | 71% |
| 35 | Middle East Financial Investment Company | 51 | 69% | 53 | 70% | 51 | 71% | 50 | 70% | 52 | 71% |
| 36 | Alpha Capital | NA | NA | 17 | 82% | 19 | 68% | 24 | 71% | 24 | 71% |
| 37 | House of Investment & Financial Capital | 6 | 33% | 7 | 57% | 9 | 56% | 8 | 50% | 10 | 70% |
| 38 | Bait Al Mal Al Khaleeji Company | 16 | 63% | 16 | 69% | 17 | 71% | 17 | 71% | 16 | 69% |
| 39 | NEO Merchants Capital | NA | NA | NA | NA | NA | NA | NA | NA | 3 | 67% |
| 40 | Value Capital | NA | NA | NA | NA | NA | NA | 1 | 100% | 6 | 67% |
| 41 | The Northern Trust Company of Saudi Arabia | 17 | 53% | 16 | 56% | 15 | 60% | 17 | 65% | 18 | 67% |
| 42 | Jadwa Investment Company | 121 | 68% | 119 | 66% | 117 | 66% | 114 | 65% | 113 | 66% |
| 43 | Adeem Financial Company | 19 | 74% | 19 | 68% | 18 | 61% | 19 | 63% | 20 | 65% |
| 44 | Deutsche Securities Saudi Arabia Company | 41 | 66% | 41 | 66% | 40 | 63% | 35 | 66% | 34 | 65% |
| 45 | Itqan Capital Company | 22 | 55% | 22 | 59% | 22 | 64% | 30 | 70% | 28 | 64% |
| 46 | AIDukheil Financial Group | 20 | 45% | 17 | 47% | 20 | 60% | 14 | 50% | 14 | 64% |
| 47 | Musharaka Capital Company | 32 | 59% | 35 | 60% | 34 | 62% | 37 | 62% | 38 | 63% |
| 48 | Tharwat For Financial Securities | 18 | 67% | 19 | 63% | 20 | 60% | 23 | 61% | 24 | 63% |
| 49 | Emirates NBD Capital KSA | 21 | 48% | 18 | 56% | 20 | 55% | 22 | 64% | 21 | 62% |

Table (I): Indicators of Workforce at Authorized Person

| # | Authorized Person | Quarter 4 2017 | | Quarter 1 2018 | | Quarter 2 2018 | | Quarter 3 2018 | | Quarter 4 2018 | |
|----|--|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|
| | | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % |
| 50 | Credit Suisse Saudi Arabia Company | 40 | 55% | 39 | 69% | 38 | 66% | 35 | 63% | 34 | 62% |
| 51 | Audi Capital Company | 44 | 61% | 39 | 59% | 37 | 59% | 39 | 62% | 39 | 62% |
| 52 | MaCeem Capital | 17 | 53% | 20 | 55% | 18 | 61% | 15 | 60% | 13 | 62% |
| 53 | Arbah Capital Company | 40 | 63% | 42 | 62% | 43 | 63% | 46 | 63% | 46 | 61% |
| 54 | Saudi Kuwaiti Finance House Company | 32 | 50% | 35 | 51% | 35 | 54% | 34 | 53% | 33 | 61% |
| 55 | Saudi Economic and Development Securities Company | 77 | 52% | 80 | 55% | 80 | 58% | 85 | 60% | 88 | 60% |
| 56 | First Abu Dhabi Investment Saudi Company | NA | NA | 1 | 100% | 7 | 57% | 10 | 60% | 10 | 60% |
| 57 | Citigroup Saudi Arabia | 8 | 50% | 9 | 78% | 11 | 55% | 13 | 62% | 15 | 60% |
| 58 | Merrill Lynch KSA Company | 20 | 60% | 21 | 62% | 20 | 60% | 20 | 60% | 19 | 58% |
| 59 | United Financial House Company | 11 | 73% | 7 | 57% | 7 | 57% | 7 | 57% | 7 | 57% |
| 60 | Alawwal Capital Company | 40 | 60% | 38 | 58% | 38 | 58% | 37 | 57% | 37 | 57% |
| 61 | The Investor Company For Securities | 27 | 56% | 37 | 57% | 36 | 56% | 28 | 54% | 23 | 57% |
| 62 | Muscat Capital | 25 | 52% | 26 | 54% | 20 | 65% | 24 | 58% | 23 | 57% |
| 63 | Morgan Stanley Saudi Arabia Company | 26 | 58% | 27 | 56% | 27 | 56% | 25 | 52% | 25 | 56% |
| 64 | Swicorp Company | 44 | 55% | 46 | 57% | 44 | 55% | 41 | 54% | 38 | 55% |
| 65 | Mizuho Saudi Arabia Company | 10 | 20% | 10 | 30% | 11 | 36% | 10 | 50% | 11 | 55% |
| 66 | KASB Capital | 35 | 49% | 39 | 51% | 39 | 51% | 37 | 51% | 37 | 54% |
| 67 | Aloula Geojit Capital Company | 29 | 48% | 35 | 57% | 29 | 45% | 26 | 50% | 13 | 54% |
| 68 | Global Investment House KSA | 19 | 58% | 18 | 56% | 16 | 50% | 17 | 59% | 17 | 53% |
| 69 | Malaz Capital Company | 39 | 56% | 39 | 59% | 31 | 58% | 29 | 59% | 25 | 52% |
| 70 | SaudiMed Investment Company | 26 | 50% | 25 | 48% | 24 | 50% | 24 | 50% | 18 | 50% |
| 71 | Gulf Investors Asset Management Company | 20 | 55% | 17 | 53% | 15 | 47% | 14 | 50% | 14 | 50% |
| 72 | Investcorp Saudi Arabia Financial Investment Company | 11 | 45% | 21 | 43% | 20 | 40% | 19 | 47% | 18 | 50% |
| 73 | Ithraa Capital Company | 21 | 52% | 18 | 50% | 19 | 53% | 18 | 50% | 18 | 50% |
| 74 | FIM Partners KSA | NA | NA | NA | NA | NA | NA | 1 | 0% | 4 | 50% |

Table (I): Indicators of Workforce at Authorized Person

| # | Authorized Person | Quarter 4 2017 | | Quarter 1 2018 | | Quarter 2 2018 | | Quarter 3 2018 | | Quarter 4 2018 | |
|--------------|---|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|
| | | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % | Number | Saudization % |
| 75 | BNP Pariba Investment Company KSA | 17 | 35% | 17 | 35% | 17 | 35% | 15 | 33% | 14 | 50% |
| 76 | Greenstone Saudi Arabia LLC | NA | NA | 2 | 50% | 2 | 50% | 1 | 0% | 2 | 50% |
| 77 | Societe Generale Saudi Arabia | 11 | 45% | 12 | 50% | 11 | 55% | 12 | 50% | 12 | 50% |
| 78 | Sidra Capital Company | 35 | 43% | 36 | 47% | 37 | 49% | 39 | 49% | 37 | 49% |
| 79 | Al Nefae Investment Group | 48 | 52% | 48 | 48% | 48 | 48% | 46 | 59% | 31 | 48% |
| 80 | Blominvest Saudi Arabia Company | 40 | 50% | 40 | 48% | 40 | 48% | 40 | 48% | 40 | 48% |
| 81 | UBS Saudi Arabia Company | 15 | 47% | 15 | 47% | 16 | 50% | 15 | 47% | 15 | 47% |
| 82 | Team One Company | 15 | 40% | 15 | 47% | 16 | 44% | 15 | 47% | 13 | 46% |
| 83 | EFG-Hermes-KSA | 51 | 43% | 50 | 44% | 49 | 45% | 49 | 47% | 46 | 46% |
| 84 | Anfaal Capital Company | 23 | 30% | 23 | 30% | 22 | 32% | 19 | 32% | 18 | 44% |
| 85 | Vision Capital Group | 19 | 37% | 20 | 35% | 17 | 35% | 17 | 41% | 17 | 41% |
| 86 | House of National Consulting Company | 23 | 48% | 11 | 45% | 10 | 40% | 9 | 33% | 10 | 40% |
| 87 | KKR Saudi Limited Company | 5 | 40% | 5 | 40% | 5 | 40% | 5 | 40% | 5 | 40% |
| 88 | Nomura Saudi Arabia Company | 8 | 38% | 8 | 38% | 8 | 38% | 8 | 38% | 8 | 38% |
| 89 | Ithmar Saudi Financial Consultancy Services | 11 | 45% | 11 | 45% | 9 | 33% | 9 | 33% | 9 | 33% |
| 90 | Shuaa Capital Saudi Arabia Company | 18 | 39% | 14 | 43% | 14 | 36% | 17 | 35% | 18 | 33% |
| 91 | Lazard Saudi Arabia Limited Company | 8 | 25% | 8 | 25% | 8 | 25% | 8 | 25% | 7 | 29% |
| 92 | BMG Financial Group | 19 | 26% | 18 | 22% | 18 | 28% | 18 | 28% | 18 | 28% |
| 93 | Amwal for Security Advising Ltd. | 17 | 24% | 16 | 25% | 16 | 25% | 16 | 25% | 16 | 25% |
| 94 | Macquarie Capital Saudi Arabia LLC | 5 | 20% | 5 | 20% | 7 | 14% | 7 | 14% | 5 | 20% |
| 95 | Black Rock | NA | NA | NA | NA | NA | NA | 1 | 0% | 6 | 17% |
| 96 | Saudi Venture Capital Investment Company | 10 | 20% | 10 | 20% | 9 | 11% | 9 | 11% | 9 | 11% |
| 97 | Watan Investment & Securities Company | 14 | 79% | 9 | 89% | NA | NA | NA | NA | NA | NA |
| TOTAL | | 4,342 | %71 | 4,385 | %72 | 4,332 | %72 | 4,353 | %72 | 4,325 | %73 |

NA :Not Applicable

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

| # | Authorized Person | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 1 | Credit Suisse Saudi Arabia Company | 20.75 | 17.75 | 16.65 | 16.82 | 17.06 |
| 2 | BNP Pariba Investment Company KSA | 5.00 | 4.07 | 4.04 | 13.35 | 13.43 |
| 3 | Emirates NBD Capital KSA | 6.90 | 11.85 | 11.62 | 11.62 | 11.36 |
| 4 | Merrill Lynch KSA Company | 10.33 | 4.85 | 4.16 | 5.90 | 9.67 |
| 5 | Deutsche Securities Saudi Arabia Company | 11.37 | 2.73 | 10.11 | 9.87 | 9.50 |
| 6 | Standard Chartered Capital Saudi Arabia | 13.11 | 12.68 | 11.70 | 10.82 | 8.92 |
| 7 | The Northern Trust Company of Saudi Arabia | 8.42 | 9.43 | 8.69 | 8.76 | 7.87 |
| 8 | UBS Saudi Arabia Company | 12.41 | 11.13 | 11.47 | 12.03 | 7.31 |
| 9 | J.P. Morgan Saudi Arabia Company | 7.35 | 9.13 | 5.92 | 5.73 | 7.15 |
| 10 | Investcorp Saudi Arabia Financial Investment Company | 6.11 | 6.06 | 5.89 | 6.21 | 6.26 |
| 11 | Alawwal INVEST Company | 5.79 | 5.07 | 5.31 | 5.90 | 5.29 |
| 12 | SAMBA Capital & Investment Management Company | 4.77 | 5.64 | 5.51 | 6.32 | 5.28 |
| 13 | GIB Capital | 4.73 | 6.19 | 5.70 | 6.58 | 5.22 |
| 14 | Gulf Investors Asset Management Company | 4.31 | 4.56 | 4.43 | 4.31 | 4.59 |
| 15 | Morgan Stanley Saudi Arabia Company | 4.5 | 4.66 | 4.66 | 4.33 | 4.40 |
| 16 | Al Wasatah Al Maliah Company | 3.94 | 1.15 | 3.87 | 3.83 | 3.83 |
| 17 | Arab National Investment Company | 3.86 | 3.87 | 3.68 | 3.63 | 3.80 |
| 18 | Muscat Capital | 2.24 | 2.48 | 2.38 | 2.47 | 3.40 |
| 19 | Nomw Capital | 4.76 | 4.80 | 5.12 | 4.25 | 3.22 |
| 20 | Riyad Capital Company | 3.61 | 3.55 | 2.36 | 2.87 | 3.05 |
| 21 | EFG-Hermes-KSA | 3.07 | 1.44 | 2.25 | 1.93 | 3.03 |
| 22 | Saudi Fransi Capital | 2.84 | 2.47 | 2.53 | 2.72 | 3.01 |
| 23 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 2.64 | 2.27 | 2.12 | 2.35 | 2.75 |
| 24 | Mulkia Investment Company | 1.35 | 1.34 | 2.32 | 2.37 | 2.64 |

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

| # | Authorized Person | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|---|-------------------|-------------------|-------------------|-------------------|-------------------|
| 25 | Ashmore Investment Saudi Arabia Company | 2.32 | 3.37 | 3.05 | 2.90 | 2.57 |
| 26 | Watani Wealth Management Company | NA | NA | NA | 4.91 | 2.57 |
| 27 | Al Nefae Investment Group | 2.59 | 2.02 | 2.06 | 2.05 | 2.43 |
| 28 | Saudi Economic and Development Securities Company | 1.67 | 1.74 | 1.86 | 1.73 | 2.42 |
| 29 | Osool & Bakheet Investment Company | 2.14 | 2.37 | 2.21 | 2.11 | 2.37 |
| 30 | Global Investment House KSA | 1.75 | 2.21 | 2.18 | 2.25 | 2.34 |
| 31 | Bait Al Mal Al Khaleeji Company | 2.23 | 2.45 | 2.19 | 2.10 | 2.29 |
| 32 | Saudi Kuwaiti Finance House Company | 1.72 | 1.79 | 2.26 | 2.24 | 2.24 |
| 33 | Tharwat For Financial Securities | 1.69 | 1.95 | 2.12 | 1.90 | 2.09 |
| 34 | Al Rajhi Capital | 1.71 | 1.94 | 1.95 | 2.03 | 2.06 |
| 35 | Goldman Sachs Saudi Arabia Company | 4.98 | 2.96 | 2.75 | 2.49 | 2.05 |
| 36 | Arbah Capital Company | 2.17 | 2.22 | 2.13 | 1.97 | 2.05 |
| 37 | HSBC Saudi Arabia | 1.98 | 2.24 | 1.91 | 1.86 | 1.95 |
| 38 | Alawwal Capital Company | 2.72 | 2.79 | 2.13 | 2.01 | 1.93 |
| 39 | AlKhair Capital Saudi Arabia Company | 1.75 | 1.55 | 1.77 | 1.70 | 1.90 |
| 40 | AlJazira Capital Company | 1.81 | 2.01 | 1.77 | 2.06 | 1.90 |
| 41 | Blominvest Saudi Arabia Company | 2.09 | 1.83 | 1.81 | 1.82 | 1.89 |
| 42 | Jadwa Investment Company | 1.82 | 1.92 | 1.87 | 1.86 | 1.86 |
| 43 | Ithraa Capital Company | 2.93 | 3.41 | 2.90 | 2.46 | 1.85 |
| 44 | Shuaa Capital Saudi Arabia Company | 1.35 | 1.61 | 1.51 | 1.24 | 1.81 |
| 45 | Alinma Investment Company | 1.85 | 1.16 | 1.75 | 1.54 | 1.81 |
| 46 | NCB Capital Company | 1.98 | 1.70 | 2.07 | 2.08 | 1.77 |
| 47 | AlBilad Investment Company | 1.65 | 1.56 | 1.61 | 1.67 | 1.76 |
| 48 | Derayah Financial Corporation Company | 1.74 | 1.76 | 1.62 | 1.75 | 1.74 |
| 49 | Sidra Capital Company | 1.78 | 1.64 | 1.76 | 1.90 | 1.72 |
| 50 | Alpha Capital | NA | NA | 1.80 | 1.82 | 1.70 |

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

| # | Authorized Person | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 51 | FALCOM Financial Services | 1.83 | 1.74 | 1.50 | 1.40 | 1.68 |
| 52 | Musharaka Capital Company | 1.72 | 1.91 | 1.87 | 1.99 | 1.65 |
| 53 | Gulf One Capital Company | 1.42 | 1.23 | 1.19 | 1.66 | 1.64 |
| 54 | Itqan Capital Company | 1.78 | 1.76 | 1.70 | 1.68 | 1.61 |
| 55 | Malaz Capital Company | 1.28 | 1.50 | 1.45 | 1.34 | 1.30 |
| 56 | Middle East Financial Investment Company | 1.66 | 1.06 | 1.42 | 1.27 | 1.27 |
| 57 | SaudiMed Investment Company | 1.22 | 1.34 | 1.29 | 1.28 | 1.26 |
| 58 | Swicorp Company | 1.43 | 1.54 | 1.43 | 1.32 | 1.25 |
| 59 | Vision Capital Group | NA | NA | NA | 1.32 | 1.24 |
| 60 | Saudi Venture Capital Investment Company | 1.25 | 1.26 | 1.26 | 1.25 | 1.22 |
| 61 | Audi Capital Company | 1.16 | 1.13 | 1.17 | 1.18 | 1.22 |
| 62 | United Financial House Company | 1.49 | 1.38 | 1.37 | 1.27 | 1.21 |
| 63 | Anfaal Capital Company | 3.32 | 1.93 | 1.67 | 1.42 | 1.20 |
| 64 | MaCeem Capital | 1.21 | 1.23 | 1.23 | 1.19 | 1.17 |
| 65 | KASB Capital | 1.43 | 1.26 | 1.26 | 1.24 | 1.14 |
| 66 | The Investor Company For Securities | 0.91 | 1.17 | 1.13 | 1.10 | 1.08 |
| 67 | Adeem Financial Company | 1.31 | 1.2 | 1.15 | 1.15 | 1.08 |
| 68 | Alkhabeer Capital | 1.01 | 1.03 | 1.01 | 1.02 | 1.02 |
| 69 | Aloula Geojit Capital Company | 1.19 | 1.15 | 1.08 | 1.12 | 0.90 |

NA :Not Applicable

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

(Million Riyal)

| # | Authorized Person | Quarter 4 2018 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 1 | Al Rajhi Capital | 97,004 | 98,481 | 96,835 | 81,454 | 76,130 |
| 2 | NCB Capital Company | 57,082 | 46,835 | 48,447 | 30,011 | 57,580 |
| 3 | AlJazira Capital Company | 51,004 | 57,036 | 55,420 | 39,900 | 48,556 |
| 4 | SAMBA Capital & Investment Management Company | 29,814 | 32,358 | 32,276 | 21,856 | 30,709 |
| 5 | HSBC Saudi Arabia | 28,893 | 32,469 | 32,566 | 22,386 | 29,756 |
| 6 | Saudi Fransi Capital | 27,894 | 29,161 | 29,209 | 19,323 | 29,603 |
| 7 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 47,950 | 48,937 | 45,088 | 43,895 | 29,006 |
| 8 | Riyad Capital Company | 24,037 | 23,726 | 27,589 | 16,671 | 25,455 |
| 9 | Arab National Investment Company | 19,355 | 20,706 | 22,355 | 14,446 | 20,138 |
| 10 | Derayah Financial Corporation Company | 14,218 | 15,647 | 14,891 | 10,776 | 19,968 |
| 11 | Alinma Investment Company | 8,760 | 8,769 | 9,066 | 7,261 | 10,953 |
| 12 | AlBilad Investment Company | 12,685 | 11,123 | 10,921 | 8,673 | 9,552 |
| 13 | Merrill Lynch KSA Company | 4,668 | 5,722 | 7,733 | 6,190 | 9,236 |
| 14 | EFG-Hermes-KSA | 3,739 | 4,799 | 5,076 | 4,910 | 8,086 |
| 15 | FALCOM Financial Services | 5,452 | 4,680 | 8,228 | 4,961 | 7,618 |
| 16 | Alawwal INVEST Company | 5,433 | 7,719 | 6,306 | 4,241 | 4,618 |
| 17 | Morgan Stanley Saudi Arabia Company | 2,923 | 3,625 | 4,631 | 3,284 | 4,037 |
| 18 | Jadwa Investment Company | 1,412 | 1,210 | 1,064 | 1,278 | 2,959 |
| 19 | Muscat Capital | 4,101 | 3,857 | 4,079 | 3,800 | 2,948 |
| 20 | Al Nefae Investment Group | 711 | 2,970 | 2,022 | 1,603 | 2,144 |
| 21 | Arbah Capital Company | 1,342 | 1,207 | 981 | 918 | 1,210 |
| 22 | J.P. Morgan Saudi Arabia Company | 75 | 640 | 1,946 | 1,748 | 1,022 |
| 23 | Deutsche Securities Saudi Arabia Company | 1,980 | 2,151 | 2,565 | 857 | 1,004 |
| 24 | Audi Capital Company | 257 | 325 | 477 | 611 | 923 |
| 25 | Goldman Sachs Saudi Arabia Company | NA | 0 | 119 | 276 | 911 |
| 26 | AlKhair Capital Saudi Arabia Company | 941 | 769 | 1,552 | 28 | 840 |
| 27 | Osool & Bakheet Investment Company | 1,569 | 599 | 812 | 554 | 658 |
| 28 | Emirates NBD Capital KSA | 423 | 2,237 | 264 | 209 | 276 |
| 29 | Credit Suisse Saudi Arabia Company | 625 | 412 | 274 | 166 | 117 |

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

| | | | | | | (Million Riyal) |
|--------------|-------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| # | Authorized Person | Quarter 4 2018 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
| 30 | Aloula Geojit Capital Company | 4,099 | 6,389 | 3,811 | 2,166 | 105 |
| 31 | GIB Capital | NA | NA | NA | NA | 8 |
| TOTAL | | 458,443 | 474,559 | 476,602 | 354,454 | 436,127 |

NA :Not Applicable

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

| | | | | | | (Million Riyal) |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| # | Authorized Person* | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
| 1 | NCB Capital Company | 129,161.60 | 136,876.99 | 145,446.48 | 141,466.88 | 149,302.99 |
| 2 | Al Rajhi Capital | 27,412.47 | 30,512.38 | 37,584.76 | 36,272.92 | 43,098.05 |
| 3 | Alinma Investment Company | 34,937.17 | 36,990.54 | 36,747.09 | 36,713.37 | 38,134.82 |
| 4 | Riyad Capital Company | 25,246.14 | 21,605.22 | 24,123.11 | 27,483.32 | 32,062.37 |
| 5 | SAMBA Capital & Investment Management Company | 33,727.97 | 35,502.37 | 34,324.34 | 32,958.15 | 31,262.27 |
| 6 | Jadwa Investment Company | 24,064.96 | 26,558.16 | 26,370.02 | 25,659.96 | 25,449.78 |
| 7 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 5,185.60 | 5,685.81 | 14,374.74 | 22,254.46 | 14,330.18 |
| 8 | AlBilad Investment Company | 8,029.05 | 7,552.65 | 8,004.37 | 10,141.31 | 12,252.81 |
| 9 | AlJazira Capital Company | 14,264.65 | 12,425.82 | 12,142.83 | 11,150.31 | 11,921.51 |
| 10 | HSBC Saudi Arabia | 11,714.83 | 12,510.93 | 11,303.95 | 11,901.96 | 11,756.95 |
| 11 | Saudi Fransi Capital | 8,877.46 | 8,375.60 | 7,886.23 | 8,815.39 | 9,417.35 |
| 12 | AlKhair Capital Saudi Arabia Company | 7,805.02 | 229.75 | 333.65 | 438.02 | 6,350.43 |
| 13 | Arab National Investment Company | 6,933.25 | 6,612.24 | 6,236.21 | 5,777.62 | 5,254.91 |
| 14 | Blominvest Saudi Arabia Company | 4,584.27 | 4,543.31 | 4,613.27 | 4,453.37 | 4,450.88 |
| 15 | Muscat Capital | 3,824.49 | 4,202.93 | 4,048.25 | 3,561.20 | 4,450.26 |
| 16 | Derayah Financial Corporation Company | 1,548.65 | 2,535.62 | 2,699.03 | 3,011.61 | 4,092.76 |
| 17 | Middle East Financial Investment Company | 2,712.59 | 3,294.23 | 3,548.96 | 3,451.59 | 3,794.82 |
| 18 | GIB Capital | 0.00 | 155.21 | 488.20 | 2,790.85 | 3,552.32 |
| 19 | The Investor Company For Securities | 3,600.50 | 3,496.41 | 3,479.47 | 3,469.08 | 3,388.14 |
| 20 | Ashmore Investment Saudi Arabia Company | 2,212.41 | 2,819.06 | 3,216.40 | 3,378.01 | 3,041.65 |
| 21 | Saudi Economic and Development Securities Company | 1,579.20 | 1,672.29 | 3,173.00 | 3,116.40 | 2,910.06 |
| 22 | Alkhabeer Capital | 4,094.38 | 4,243.77 | 4,137.11 | 4,040.08 | 2,627.80 |
| 23 | Alawwal INVEST Company | 2,845.72 | 2,697.48 | 2,346.50 | 2,202.90 | 2,583.28 |
| 24 | Malaz Capital Company | 2,406.51 | 2,516.29 | 2,475.98 | 2,654.97 | 2,487.14 |
| 25 | Sidra Capital Company | 1,677.48 | 1,923.56 | 2,141.32 | 2,140.44 | 2,199.80 |
| 26 | Adeem Financial Company | 422.96 | 526.20 | 1,165.36 | 1,179.79 | 1,985.82 |
| 27 | Morgan Stanley Saudi Arabia Company | 2,522.89 | 1,601.38 | 1,737.86 | 1,695.45 | 1,660.33 |

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

| | | | | | | (Million Riyal) |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| # | Authorized Person* | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
| 28 | Shuaa Capital Saudi Arabia Company | 1,367.87 | 1,533.00 | 1,495.50 | 1,495.50 | 1,495.50 |
| 29 | Alawwal Capital Company | 1,501.27 | 1,417.75 | 1,330.88 | 1,169.93 | 1,465.39 |
| 30 | Tharwat For Financial Securities | 1,506.34 | 1,239.25 | 1,259.48 | 1,396.21 | 1,464.29 |
| 31 | FALCOM Financial Services | 1,396.66 | 1,247.01 | 1,598.98 | 1,692.18 | 1,450.89 |
| 32 | Swicorp Company | 250.19 | 229.69 | 229.69 | 1,343.40 | 1,424.90 |
| 33 | SaudiMed Investment Company | 2,287.10 | 2,287.10 | 1,416.28 | 1,362.61 | 1,362.61 |
| 34 | Mulkia Investment Company | 958.75 | 1,044.52 | 1,327.32 | 1,265.13 | 1,222.72 |
| 35 | KASB Capital | 1,123.16 | 1,182.60 | 1,149.63 | 1,087.08 | 1,141.20 |
| 36 | Audi Capital Company | 655.78 | 721.19 | 919.79 | 1,043.36 | 1,060.05 |
| 37 | Nomw Capital | 908.16 | 895.19 | 899.90 | 1,021.40 | 1,025.37 |
| 38 | Osool & Bakheet Investment Company | 1,016.98 | 929.00 | 1,006.38 | 972.90 | 942.25 |
| 39 | Musharaka Capital Company | 916.93 | 916.18 | 888.73 | 899.02 | 898.74 |
| 40 | Investcorp Saudi Arabia Financial Investment Company | 282.85 | 714.10 | 714.10 | 714.10 | 690.11 |
| 41 | Global Investment House KSA | 564.23 | 547.97 | 583.15 | 571.52 | 569.05 |
| 42 | Itqan Capital Company | 217.55 | 209.75 | 226.33 | 214.36 | 553.22 |
| 43 | Anfaal Capital Company | 0.00 | 0.00 | 0.00 | 0.00 | 550.00 |
| 44 | Emirates NBD Capital KSA | 1,981.10 | 519.68 | 519.20 | 519.91 | 498.87 |
| 45 | Saudi Kuwaiti Finance House Company | 46.68 | 68.31 | 223.27 | 234.29 | 436.96 |
| 46 | Al Wasatah Al Maliah Company | 467.60 | 408.12 | 394.67 | 391.12 | 403.26 |
| 47 | Gulf Investors Asset Management Company | 411.18 | 322.50 | 322.50 | 322.50 | 322.50 |
| 48 | MaCeem Capital | 508.76 | 513.45 | 510.70 | 504.82 | 273.00 |
| 49 | United Financial House Company | 284.00 | 284.00 | 284.00 | 284.00 | 255.00 |
| 50 | Alpha Capital | 0.00 | 0.00 | 0.00 | 179.98 | 246.58 |
| 51 | Arbah Capital Company | 158.49 | 140.53 | 160.75 | 189.15 | 201.41 |
| 52 | EFG-Hermes-KSA | 306.77 | 357.43 | 238.15 | 200.54 | 184.95 |
| 53 | Bait Al Mal Al Khaleeji Company | 196.81 | 196.29 | 135.94 | 126.31 | 173.13 |
| 54 | Goldman Sachs Saudi Arabia Company | 202.50 | 94.24 | 94.24 | 93.46 | 92.64 |
| 55 | Al Nefae Investment Group | 24.83 | 22.68 | 23.17 | 23.24 | 36.36 |

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

| | | | | | | (Million Riyal) |
|--------------|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| # | Authorized Person* | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
| 56 | UBS Saudi Arabia Company | 29.06 | 34.04 | 30.50 | 28.85 | 28.88 |
| 57 | Deutsche Securities Saudi Arabia Company | 40.13 | 0.38 | 0.50 | 5.55 | 15.00 |
| 58 | Aloula Geojit Capital Company | 45.14 | 44.22 | 39.66 | 38.80 | 0.00 |
| 59 | Credit Suisse Saudi Arabia Company | 33.75 | 33.75 | 33.75 | 0.00 | 0.00 |
| TOTAL | | 391,082.84 | 395,820.12 | 422,205.63 | 431,570.63 | 454,304.35 |

*Licensed in Managing

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

| # | Authorized Person | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 1 | Middle East Financial Investment Company | 0.23% | 0.00% | 0.00% | 2.03% | 15.86% |
| 2 | Itqan Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 15.38% |
| 3 | Al Wasatah Al Maliah Company | 0.00% | 0.00% | 0.00% | 0.00% | 2.94% |
| 4 | Gulf Investors Asset Management Company | 0.00% | 0.00% | 0.00% | 1.58% | 1.09% |
| 5 | Adeem Financial Company | 0.00% | 0.00% | 0.00% | 0.00% | 1.00% |
| 6 | Saudi Economic and Development Securities Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.94% |
| 7 | Swicorp Company | 1.92% | 0.00% | 0.00% | 13.46% | 0.92% |
| 8 | Aloula Geojit Capital Company | 0.40% | 0.00% | 0.00% | 0.00% | 0.79% |
| 9 | Alawwal Capital Company | 1.14% | 0.00% | 0.76% | 0.00% | 0.71% |
| 10 | Alkhabeer Capital | 0.00% | 0.00% | 0.26% | 0.00% | 0.46% |
| 11 | Emirates NBD Capital KSA | 0.00% | 0.00% | 0.00% | 0.00% | 0.45% |
| 12 | The Investor Company For Securities | 0.35% | 0.71% | 0.53% | 0.00% | 0.35% |
| 13 | Arbah Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.23% |
| 14 | Al Nefaie Investment Group | 0.00% | 0.00% | 0.10% | 0.10% | 0.20% |
| 15 | KASB Capital | 0.15% | 0.19% | 0.08% | 0.04% | 0.15% |
| 16 | Arab National Investment Company | 0.10% | 0.07% | 0.07% | 0.08% | 0.06% |
| 17 | Derayah Financial Corporation Company | 0.02% | 0.03% | 0.01% | 0.03% | 0.04% |
| 18 | HSBC Saudi Arabia | 0.01% | 0.00% | 0.01% | 0.01% | 0.02% |
| 19 | Saudi Fransi Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.02% |
| 20 | Aljazira Capital Company | 0.01% | 0.01% | 0.01% | 0.02% | 0.01% |
| 21 | Alawwal INVEST Company | 0.00% | 0.01% | 0.00% | 0.00% | 0.01% |
| 22 | Alinma Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 23 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 0.02% | 0.01% | 0.00% | 0.01% | 0.00% |
| 24 | SAMBA Capital & Investment Management Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 25 | NCB Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 26 | Riyad Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 27 | AlBilad Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 28 | Al Rajhi Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 29 | MaCeem Capital | 1.56% | 0.00% | 1.56% | 7.81% | 0.00% |
| 30 | Tharwat For Financial Securities | 0.00% | 0.00% | 0.00% | 1.61% | 0.00% |

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

| # | Authorized Person | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 31 | Muscat Capital | 0.25% | 0.00% | 0.00% | 0.50% | 0.00% |
| 32 | Musharaka Capital Company | 9.50% | 0.20% | 0.20% | 0.10% | 0.00% |
| 33 | Jadwa Investment Company | 0.00% | 0.14% | 0.00% | 0.03% | 0.00% |
| 34 | FALCOM Financial Services | 0.01% | 0.00% | 0.00% | 0.01% | 0.00% |
| 35 | Amwal for Security Advising Ltd. | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 36 | House of Investment & Financial Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 37 | Deutsche Securities Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 38 | Standard Chartered Capital Saudi Arabia | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 39 | SaudiMed Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 40 | AlKhair Capital Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 41 | Team One Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 42 | EFG-Hermes-KSA | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 43 | Saudi Portfolio Securities Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 44 | Malaz Capital Company | 0.00% | 0.00% | 20.00% | 0.00% | 0.00% |
| 45 | Nomw Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 46 | Watani Wealth Management Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 47 | Investcorp Saudi Arabia Financial Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 48 | Ithraa Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 49 | Ithmar Saudi Financial Consultancy Services | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 50 | Ehata Financial Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 51 | Ashmore Investment Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 52 | Osool & Bakheet Investment Company | 0.00% | 0.00% | 0.05% | 0.00% | 0.00% |
| 53 | Anfaal Capital Company | 0.00% | 0.00% | 7.14% | 0.00% | 0.00% |
| 54 | Blominvest Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 55 | BNP Pariba Investment Company KSA | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 56 | United Financial House Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 57 | Global Investment House KSA | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 58 | House of National Consulting Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 59 | Saudi Kuwaiti Finance House Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 60 | Bait Al Mal Al Khaleeji Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 61 | Gulf One Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |

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

| # | Authorized Person | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 62 | Goldman Sachs Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 63 | GIB Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 64 | J.P. Morgan Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 65 | Sidra Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 66 | Societe Generale Saudi Arabia | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 67 | Citigroup Saudi Arabia | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 68 | Shuaa Capital Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 69 | Audi Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 70 | Credit Suisse Saudi Arabia Company | 0.00% | 0.00% | 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 | 0.00% | 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 | 3.40% | 0.00% | 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 | BMG Financial Group | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 85 | Vision Capital Group | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 86 | AIDukheil Financial Group | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |

NA :Not Applicable

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

| # | Authorized Person | Quarter 4 2017 | Quarter 1 2017 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|----------------|----------------|----------------|----------------|----------------|
| 1 | Saudi Economic and Development Securities Company | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| 2 | Emirates NBD Capital KSA | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| 3 | Alinma Investment Company | 100.00% | 0.00% | 100.00% | 100.00% | 100.00% |
| 4 | Alawwal Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| 5 | Alawwal INVEST Company | 0.00% | 100.00% | 0.00% | 0.00% | 100.00% |
| 6 | Aloula Geojit Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| 7 | AlBilad Investment Company | 50.00% | 0.00% | 0.00% | 100.00% | 100.00% |
| 8 | Alkhabeer Capital | 0.00% | 0.00% | 100.00% | 0.00% | 100.00% |
| 9 | Arab National Investment Company | 50.00% | 100.00% | 50.00% | 50.00% | 100.00% |
| 10 | The Investor Company For Securities | 0.00% | 50.00% | 0.00% | 0.00% | 100.00% |
| 11 | Gulf Investors Asset Management Company | 0.00% | 0.00% | 0.00% | 66.67% | 100.00% |
| 12 | Al Wasatah Al Maliah Company | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| 13 | Derayah Financial Corporation Company | 100.00% | 75.00% | 100.00% | 100.00% | 100.00% |
| 14 | SAMBA Capital & Investment Management Company | 100.00% | 89.00% | 100.00% | 100.00% | 100.00% |
| 15 | Swicorp Company | 0.00% | 0.00% | 0.00% | 100.00% | 100.00% |
| 16 | Al Nefae Investment Group | 0.00% | 0.00% | 0.00% | 100.00% | 100.00% |
| 17 | Al Rajhi Capital | 95.00% | 76.00% | 96.15% | 100.00% | 94.00% |
| 18 | Middle East Financial Investment Company | 0.00% | 0.00% | 0.00% | 100.00% | 83.00% |
| 19 | NCB Capital Company | 66.70% | 80.00% | 87.50% | 90.91% | 82.00% |
| 20 | Riyad Capital Company | 100.00% | 91.00% | 85.71% | 87.50% | 80.00% |
| 21 | AlJazira Capital Company | 100.00% | 75.00% | 100.00% | 50.00% | 75.00% |
| 22 | Saudi Fransi Capital | 100.00% | 100.00% | 100.00% | 100.00% | 67.00% |
| 23 | HSBC Saudi Arabia | 0.00% | 0.00% | 80.00% | 0.00% | 45.00% |
| 24 | Amwal for Security Advising Ltd. | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 25 | House of Investment & Financial Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 26 | Deutsche Securities Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 27 | Standard Chartered Capital Saudi Arabia | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 28 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% |
| 29 | SaudiMed Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 30 | AlKhair Capital 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 4 2017 | Quarter 1 2017 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 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 | Malaz Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 35 | Nomw Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 36 | Watani Wealth Management Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 37 | Investcorp Saudi Arabia Financial Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 38 | Itqan Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 39 | Ithraa Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 40 | Ithmar Saudi Financial Consultancy Services | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 41 | Ehata Financial Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 42 | Adeem Financial Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 43 | Arbah Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 44 | Ashmore Investment Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 45 | Osool & Bakheet Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 46 | Anfaal Capital Company | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% |
| 47 | Blominvest Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 48 | BNP Pariba Investment Company KSA | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 49 | United Financial House Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 50 | Global Investment House KSA | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 51 | House of National Consulting Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 52 | Saudi Kuwaiti Finance House Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 53 | Bait Al Mal Al Khaleeji Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 54 | Tharwat For Financial Securities | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 55 | Jadwa Investment Company | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 56 | Gulf One Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 57 | Goldman Sachs Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 58 | GIB Capital | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 59 | J.P. Morgan Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 60 | Sidra Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 61 | Societe Generale Saudi Arabia | 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 4 2017 | Quarter 1 2017 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 62 | Citigroup Saudi Arabia | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 63 | Shuaa Capital Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 64 | Audi Capital Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 65 | FALCOM Financial Services | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 66 | Credit Suisse Saudi Arabia Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 67 | KASB Capital | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 68 | KKR Saudi Limited Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 69 | Lazard Saudi Arabia Limited Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 70 | Macquarie Capital Saudi Arabia LLC | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 71 | Muscat Capital | 100.00% | 0.00% | 0.00% | 100.00% | 0.00% |
| 72 | Musharaka Capital Company | 100.00% | 50.00% | 100.00% | 100.00% | 0.00% |
| 73 | The Family Office International Investment Company | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| 74 | MaCeem Capital | 0.00% | 0.00% | 0.00% | 25.00% | 0.00% |
| 75 | Mulkia Investment Company | 100.00% | 0.00% | 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 | AIDukheil 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 Applicable

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

| # | Authorized Person* | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 1 | Osool & Bakheet Investment Company | 99.90% | 100.00% | 100.00% | 100.00% | 100.00% |
| 2 | Aljazira Capital Company | 100.00% | 99.97% | 99.97% | 99.99% | 100.00% |
| 3 | Al Rajhi Capital | 100.00% | 100.00% | 100.00% | 99.98% | 100.00% |
| 4 | Riyad Capital Company | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 5 | Saudi Fransi Capital | 99.99% | 100.00% | 100.00% | 99.90% | 100.00% |
| 6 | Arbah Capital Company | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 7 | Jadwa Investment Company | 99.96% | 100.00% | 100.00% | 100.00% | 100.00% |
| 8 | Derayah Financial Corporation Company | 100.00% | 100.00% | 99.99% | 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 | 99.99% | 100.00% | 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 | 99.92% | 100.00% | 99.97% | 100.00% | 100.00% |
| 14 | EFG-Hermes-KSA | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 15 | SAMBA Capital & Investment Management Company | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 16 | Credit Suisse Saudi Arabia Company | 99.90% | 100.00% | 100.00% | 100.00% | 100.00% |
| 17 | Morgan Stanley Saudi Arabia Company | 100.00% | 100.00% | 100.00% | 99.99% | 100.00% |
| 18 | Merrill Lynch KSA Company | 100.00% | 100.00% | 99.99% | 99.94% | 100.00% |
| 19 | FALCOM Financial Services | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 20 | Al Nefae Investment Group | 99.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 21 | Muscat Capital | 99.90% | 100.00% | 100.00% | 100.00% | 100.00% |
| 22 | Audi Capital Company | 100.00% | 99.99% | 100.00% | 100.00% | 100.00% |
| 23 | GIB Capital | NA | NA | NA | NA | 99.99% |
| 24 | HSBC Saudi Arabia | 99.99% | 100.00% | 99.96% | 100.00% | 99.91% |
| 25 | J.P. Morgan Saudi Arabia Company | 100.00% | 100.00% | 99.38% | 99.93% | 99.90% |
| 26 | Deutsche Securities Saudi Arabia Company | 100.00% | 100.00% | 100.00% | 100.00% | 99.85% |
| 27 | Alinma Investment Company | 99.00% | 99.00% | 99.92% | 99.80% | 99.80% |
| 28 | Arab National Investment Company | 100.00% | 100.00% | 100.00% | 99.90% | 99.79% |
| 29 | NCB Capital Company | 99.93% | 99.97% | 100.00% | 99.95% | 99.73% |
| 30 | Goldman Sachs Saudi Arabia Company | NA | NA | 99.73% | 99.90% | 99.73% |

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

| # | Authorized Person* | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|-------------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| 31 | Alawwal Capital Company | 99.74% | 100.00% | 100.00% | 100.00% | 99.04% |
| 32 | The Investor Company For Securities | 0.00% | 97.80% | NA | NA | NA |

*AP Licensed in Dealing as an Agent

NA :Not Applicable

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

| # | Authorized Person* | Quarter 4 2017 | Quarter 1 2018 | Quarter 2 2018 | Quarter 3 2018 | Quarter 4 2018 |
|----|--|-------------------|-------------------|-------------------|-------------------|-------------------|
| 1 | Osool & Bakheet Investment Company | 99.86% | 99.18% | 99.07% | 99.91% | 100.00% |
| 2 | Aljazira Capital Company | 100.00% | 100.00% | 99.93% | 99.95% | 100.00% |
| 3 | Al Rajhi Capital | 100.00% | 99.96% | 100.00% | 99.63% | 100.00% |
| 4 | Riyad Capital Company | 100.00% | 99.76% | 100.00% | 100.00% | 100.00% |
| 5 | Arab National Investment Company | 100.00% | 100.00% | 99.47% | 99.70% | 100.00% |
| 6 | HSBC Saudi Arabia | 99.99% | 100.00% | 100.00% | 100.00% | 100.00% |
| 7 | Jadwa Investment Company | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 8 | Emirates NBD Capital KSA | 99.99% | 100.00% | 100.00% | 100.00% | 100.00% |
| 9 | Aloula Geojit Capital Company | 100.00% | 99.87% | 99.92% | 100.00% | 100.00% |
| 10 | AlBilad Investment Company | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 11 | EFG-Hermes-KSA | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 12 | SAMBA Capital & Investment Management Company | 99.90% | 100.00% | 100.00% | 100.00% | 100.00% |
| 13 | FALCOM Financial Services | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| 14 | Muscat Capital | 99.90% | 100.00% | 100.00% | 100.00% | 100.00% |
| 15 | Arbah Capital Company | 99.60% | 100.00% | 99.38% | 100.00% | 99.92% |
| 16 | Alinma Investment Company | 98.00% | 96.00% | 99.69% | 99.90% | 99.90% |
| 17 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 100.00% | 100.00% | 100.00% | 99.92% | 99.82% |
| 18 | Al Nefae Investment Group | 99.00% | 99.59% | 100.00% | 100.00% | 99.80% |
| 19 | NCB Capital Company | 99.93% | 99.97% | 100.00% | 99.95% | 99.73% |
| 20 | Derayah Financial Corporation Company | 100.00% | 100.00% | 100.00% | 100.00% | 99.69% |
| 21 | AlKhair Capital Saudi Arabia Company | 92.97% | 97.34% | 100.00% | 99.66% | 99.66% |
| 22 | Deutsche Securities Saudi Arabia Company | 100.00% | 100.00% | 100.00% | 99.38% | 99.56% |
| 23 | Saudi Fransi Capital | 100.00% | 100.00% | 100.00% | 100.00% | 99.23% |
| 24 | Alawwal Capital Company | 100.00% | 100.00% | 99.98% | 99.32% | 97.18% |

*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 | | | Quarter 4 2018 | | |
|----|--|-------------------|---------|-------|-------------------|---------|-------|-------------------|---------|-------|-------------------|---------|-------|
| | | Public | Private | Total | Public | Private | Total | Public | Private | Total | Public | Private | Total |
| 1 | NCB Capital Company | 26 | 48 | 74 | 26 | 48 | 74 | 26 | 47 | 73 | 26 | 59 | 85 |
| 2 | Jadwa Investment Company | 7 | 34 | 41 | 7 | 34 | 41 | 7 | 34 | 41 | 7 | 34 | 41 |
| 3 | Riyad Capital Company | 31 | 2 | 33 | 31 | 3 | 34 | 30 | 5 | 35 | 30 | 4 | 34 |
| 4 | HSBC Saudi Arabia | 19 | 7 | 26 | 19 | 7 | 26 | 19 | 3 | 22 | 19 | 4 | 23 |
| 5 | Alinma Investment Company | 6 | 13 | 19 | 6 | 13 | 19 | 6 | 13 | 19 | 7 | 13 | 20 |
| 6 | SAMBA Capital & Investment Management Company | 19 | 2 | 21 | 19 | 2 | 21 | 19 | 1 | 20 | 19 | 1 | 20 |
| 7 | Blominvest Saudi Arabia Company | 4 | 13 | 17 | 5 | 13 | 18 | 5 | 13 | 18 | 5 | 13 | 18 |
| 8 | Saudi Fransi Capital | 12 | 3 | 15 | 12 | 3 | 15 | 13 | 3 | 16 | 13 | 4 | 17 |
| 9 | Middle East Financial Investment Company | 5 | 12 | 17 | 5 | 12 | 17 | 5 | 11 | 16 | 5 | 12 | 17 |
| 10 | Aljazira Capital Company | 13 | 1 | 14 | 13 | 1 | 14 | 13 | 1 | 14 | 13 | 1 | 14 |
| 11 | Al Rajhi Capital | 14 | 0 | 14 | 14 | 0 | 14 | 14 | 0 | 14 | 14 | 0 | 14 |
| 12 | AlBilad Investment Company | 7 | 6 | 13 | 8 | 6 | 14 | 8 | 5 | 13 | 8 | 5 | 13 |
| 13 | Alkhabeer Capital | 4 | 13 | 17 | 0 | 13 | 13 | 0 | 13 | 13 | 0 | 13 | 13 |
| 14 | Alawwal Capital Company | 5 | 8 | 13 | 5 | 8 | 13 | 5 | 6 | 11 | 5 | 7 | 12 |
| 15 | AlKhair Capital Saudi Arabia Company | 0 | 3 | 3 | 4 | 4 | 8 | 4 | 6 | 10 | 4 | 7 | 11 |
| 16 | Itqan Capital Company | 1 | 10 | 11 | 1 | 10 | 11 | 1 | 9 | 10 | 1 | 10 | 11 |
| 17 | Derayah Financial Corporation Company | 3 | 6 | 9 | 3 | 6 | 9 | 3 | 6 | 9 | 3 | 8 | 11 |
| 18 | Saudi Economic and Development Securities Company | 1 | 8 | 9 | 2 | 8 | 10 | 2 | 8 | 10 | 2 | 8 | 10 |
| 19 | Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital) | 7 | 6 | 13 | 7 | 7 | 14 | 7 | 7 | 14 | 4 | 6 | 10 |
| 20 | Arab National Investment Company | 10 | 3 | 13 | 9 | 3 | 12 | 8 | 2 | 10 | 8 | 2 | 10 |
| 21 | KASB Capital | 8 | 3 | 11 | 7 | 3 | 10 | 6 | 3 | 9 | 6 | 3 | 9 |
| 22 | Alawwal INVEST Company | 15 | 0 | 15 | 15 | 0 | 15 | 15 | 0 | 15 | 7 | 0 | 7 |
| 23 | GIB Capital | 2 | 2 | 4 | 2 | 3 | 5 | 2 | 3 | 5 | 2 | 5 | 7 |
| 24 | FALCOM Financial Services | 5 | 1 | 6 | 5 | 1 | 6 | 5 | 1 | 6 | 5 | 2 | 7 |
| 25 | Adeem Financial Company | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 6 | 6 |
| 26 | Ashmore Investment Saudi Arabia Company | 3 | 4 | 7 | 3 | 4 | 7 | 3 | 5 | 8 | 2 | 4 | 6 |
| 27 | Osool & Bakheet Investment Company | 5 | 1 | 6 | 5 | 1 | 6 | 5 | 1 | 6 | 5 | 1 | 6 |

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

| # | Authorized Person* | Quarter 1 2018 | | | Quarter 2 2018 | | | Quarter 3 2018 | | | Quarter 4 2018 | | |
|----|--|-------------------|---------|-------|-------------------|---------|-------|-------------------|---------|-------|-------------------|---------|-------|
| | | Public | Private | Total | Public | Private | Total | Public | Private | Total | Public | Private | Total |
| 28 | Malaz Capital Company | 0 | 4 | 4 | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 5 | 5 |
| 29 | Al Wasatah Al Maliah Company | 2 | 4 | 6 | 2 | 4 | 6 | 2 | 3 | 5 | 2 | 3 | 5 |
| 30 | Saudi Kuwaiti Finance House Company | 3 | 1 | 4 | 3 | 2 | 5 | 3 | 2 | 5 | 3 | 2 | 5 |
| 31 | Shuaa Capital Saudi Arabia Company | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 5 | 5 |
| 32 | Mulkiya Investment Company | 3 | 2 | 5 | 3 | 2 | 5 | 3 | 2 | 5 | 3 | 2 | 5 |
| 33 | UBS Saudi Arabia Company | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 5 | 5 |
| 34 | SaudiMed Investment Company | 0 | 4 | 4 | 0 | 4 | 4 | 0 | 4 | 4 | 0 | 4 | 4 |
| 35 | The Investor Company For Securities | 1 | 5 | 6 | 1 | 5 | 6 | 1 | 4 | 5 | 0 | 4 | 4 |
| 36 | Arbah Capital Company | 2 | 1 | 3 | 3 | 1 | 4 | 3 | 1 | 4 | 3 | 1 | 4 |
| 37 | Sidra Capital Company | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 4 | 4 | 0 | 4 | 4 |
| 38 | Swicorp Company | 0 | 4 | 4 | 0 | 4 | 4 | 1 | 5 | 6 | 1 | 3 | 4 |
| 39 | Muscat Capital | 3 | 2 | 5 | 3 | 2 | 5 | 3 | 2 | 5 | 2 | 2 | 4 |
| 40 | Gulf Investors Asset Management Company | 0 | 3 | 3 | 0 | 3 | 3 | 0 | 3 | 3 | 0 | 3 | 3 |
| 41 | Nomw Capital | 0 | 3 | 3 | 0 | 3 | 3 | 0 | 3 | 3 | 0 | 3 | 3 |
| 42 | Bait Al Mal Al Khaleeji Company | 2 | 1 | 3 | 2 | 1 | 3 | 2 | 1 | 3 | 2 | 1 | 3 |
| 43 | Audi Capital Company | 3 | 0 | 3 | 3 | 1 | 4 | 3 | 1 | 4 | 2 | 1 | 3 |
| 44 | MaCeem Capital | 0 | 5 | 5 | 0 | 5 | 5 | 0 | 4 | 4 | 0 | 3 | 3 |
| 45 | Al Nefae Investment Group | 2 | 0 | 2 | 2 | 0 | 2 | 2 | 0 | 2 | 2 | 1 | 3 |
| 46 | Emirates NBD Capital KSA | 0 | 1 | 1 | 0 | 2 | 2 | 0 | 2 | 2 | 0 | 2 | 2 |
| 47 | EFG-Hermes-KSA | 2 | 1 | 3 | 2 | 1 | 3 | 2 | 0 | 2 | 2 | 0 | 2 |
| 48 | Investcorp Saudi Arabia Financial Investment Company | 0 | 3 | 3 | 0 | 3 | 3 | 0 | 3 | 3 | 0 | 2 | 2 |
| 49 | Alpha Capital | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 1 | 2 | 0 | 2 |
| 50 | Tharwat For Financial Securities | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 1 | 2 | 1 | 1 | 2 |
| 51 | Musharaka Capital Company | 2 | 0 | 2 | 2 | 0 | 2 | 2 | 0 | 2 | 2 | 0 | 2 |
| 52 | Morgan Stanley Saudi Arabia Company | 1 | 0 | 1 | 1 | 1 | 2 | 1 | 1 | 2 | 1 | 1 | 2 |
| 53 | Anfaal Capital Company | 0 | 1 | 1 | 0 | 1 | 1 | 0 | 0 | 0 | 0 | 1 | 1 |
| 54 | United Financial House Company | 0 | 1 | 1 | 0 | 1 | 1 | 0 | 1 | 1 | 0 | 1 | 1 |
| 55 | Global Investment House KSA | 1 | 0 | 1 | 1 | 0 | 1 | 1 | 0 | 1 | 1 | 0 | 1 |

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

| # | Authorized Person* | Quarter 1 2018 | | | Quarter 2 2018 | | | Quarter 3 2018 | | | Quarter 4 2018 | | |
|-------|------------------------------------|-------------------|---------|-------|-------------------|---------|-------|-------------------|---------|-------|-------------------|---------|-------|
| | | Public | Private | Total | Public | Private | Total | Public | Private | Total | Public | Private | Total |
| 56 | Goldman Sachs Saudi Arabia Company | 0 | 1 | 1 | 0 | 1 | 1 | 0 | 1 | 1 | 0 | 1 | 1 |
| 57 | Aloula Geojit Capital Company | 2 | 1 | 3 | 2 | 1 | 3 | 2 | 1 | 3 | 0 | 0 | 0 |
| 58 | Credit Suisse Saudi Arabia Company | 0 | 2 | 2 | 0 | 2 | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | | 262 | 281 | 543 | 264 | 290 | 554 | 264 | 275 | 539 | 249 | 293 | 542 |

*AP Licensed in Investment Fund Management

NA :Not licensed at the time