

Institutions Under Supervision of CMA Report

24th Issue - Third Quarter 2023



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Introduction

The Capital Market Authority (CMA) is pleased to present the quarterly report of the Institutions under Supervision of CMA, as part of its continuous endeavor to provide data to all who deal in the Capital market, enhance confidence therein and raise the level of transparency and disclosure.

This report aims to provide detailed data related to the entities associated with the Saudi financial market. It includes various data on financial market institutions, infrastructure institutions, credit rating agencies, as well as authorized FinTech companies.

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
1	Joa Capital Company	5	100%	5	100%	4	100%	4	100%
2	Razeen Financial Company	7	100%	6	100%	6	100%	7	100%
3	Rawasi Advanced Investment Company	4	100%	5	80%	4	100%	4	100%
4	Jadara Investment Company	4	100%	4	100%	4	100%	4	100%
5	Dirham Capital	13	69%	9	67%	7	86%	6	100%
6	Sadeed Financial Company	4	100%	5	100%	5	80%	5	100%
7	Merak Capital Company	17	100%	19	100%	39	72%	20	100%
8	Alinma Investment Company	162	94%	169	95%	168	96%	173	95%
9	Manafa Capital	14	93%	16	94%	22	86%	14	93%
10	Mekyal Financial Technologies Company	لا ينطبق	لا ينطبق	لا ينطبق	لا ينطبق	لا ينطبق	لا ينطبق	12	92%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
11	Edraj Capital	0	0%	5	80%	12	92%	11	91%
12	Al Rajhi Capital	253	91%	258	89%	257	96%	251	88%
13	Riyad Capital Company	290	89%	296	89%	303	83%	304	88%
14	SNB Capital	371	88%	362	88%	362	78%	378	88%
15	Sabeen Investment Company	8	88%	8	88%	8	88%	8	88%
16	AlBilad Investment Company	175	89%	176	88%	182	85%	184	88%
17	Tamra Capital Company	14	86%	12	83%	18	78%	16	88%
18	Dom Capital Financial Company	6	83%	13	92%	19	89%	23	87%
19	Portfolios Investment Company	7	86%	8	75%	7	86%	7	86%
20	Adeem Financial Company	16	81%	14	86%	14	79%	14	86%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
21	Team One Company	10	70%	9	67%	7	71%	7	86%
22	Derayah Financial Corporation Company	197	86%	197	86%	186	78%	192	85%
23	Saudi Fransi Capital	219	85%	219	85%	203	77%	187	85%
24	ANB Capital Company	160	85%	163	85%	166	81%	162	85%
25	DERB AL-TAJAR Finance	5	80%	6	83%	6	83%	6	83%
26	Miyar Capital	18	89%	20	80%	24	83%	24	83%
27	Mulkia Investment Company	33	73%	28	82%	29	79%	30	83%
28	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	140	83%	139	83%	138	79%	130	82%
29	Bait Al Mal Al Khaleeji Company	13	62%	11	64%	18	94%	22	82%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
30) Yaqeen Capital	103	80%	99	80%	98	84%	95	81%
31	Alkhabeer Capital	97	76%	102	78%	108	58%	110	81%
32	GIB Capital	83	82%	89	82%	88	72%	91	80%
33	AlJazira Capital Company	180	81%	182	81%	186	88%	186	80%
34	Value Capital Partners Company	15	73%	14	79%	17	82%	20	80%
35	Standard Chartered Capital Saudi Arabia	13	77%	15	80%	15	80%	15	80%
36	AlKhizanah Capital Company	5	80%	5	80%	5	80%	5	80%
37	Marifa Capital	17	76%	18	78%	20	80%	20	80%
38	Al Nefae Investment Group	35	69%	35	74%	30	70%	34	79%
39	The Northern Trust Company of Saudi Arabia	21	76%	23	78%	20	65%	24	79%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
40	Alpha Capital	56	82%	56	80%	61	80%	62	79%
41	The Family Office International Investment Company	37	84%	34	76%	31	65%	33	79%
42	Saudi Economic and Development Securities Company (SEDCO Capital)	96	77%	101	78%	97	73%	103	79%
43	AlKhair Capital Saudi Arabia Company	97	81%	96	81%	93	84%	88	78%
44	Alawwal INVEST Company	192	85%	212	83%	210	77%	218	78%
45	Arch Capital	19	84%	20	85%	19	68%	18	78%
46	Seedra Investment Company	9	78%	7	86%	8	63%	9	78%
47	Nomw Capital	32	78%	30	77%	32	75%	31	77%
48	Afaq company	11	82%	8	88%	9	89%	13	77%
49	Arbah Capital Company	46	67%	48	71%	54	65%	51	76%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
50	London and The Middle East Capital Company	11	91%	17	71%	19	63%	21	76%
51	Jadwa Investment Company	139	73%	144	75%	149	79%	148	76%
52	Malaz Capital Company	31	65%	32	69%	56	79%	37	76%
53	Sadu Capital Company	3	100%	4	100%	5	80%	4	75%
54	Middle East Financial Investment Company	42	79%	44	77%	40	68%	43	74%
55	Tharwat For Financial Securities	32	81%	34	79%	31	77%	27	74%
56	Watani Wealth Management Company	38	76%	39	77%	41	71%	42	74%
57	Asyaf Investment Company	25	80%	31	81%	37	70%	34	74%
58	Sidra Capital Company	61	70%	61	72%	62	42%	60	73%
59	Osool & Bakheet Investment Company	55	73%	56	73%	54	74%	56	73%

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		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
60	Rasana Capital Company	21	71%	22	68%	22	82%	26	73%
61	Awaed Alasool Financial Company	1	0%	27	70%	32	72%	37	73%
62	Middle East Bridge Investment Company	9	67%	10	70%	10	70%	11	73%
63	Goldman Sachs Saudi Arabia Company	23	74%	24	75%	23	61%	22	73%
64	Tharawat Tuwaiq Financial Company	0%	0%	0	0%	10	60%	11	73%
65	Emkan Alarabiya	9	67%	9	67%	14	86%	14	71%
66	Impact Capital Company	14	79%	18	78%	13	77%	14	71%
67	Gulf Investors Asset Management Company	7	71%	7	71%	7	71%	7	71%
68	Citigroup Saudi Arabia	25	72%	23	74%	24	63%	24	71%
69	Tatimah Capital	11	73%	10	80%	20	85%	17	71%

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		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
70	J.P. Morgan Saudi Arabia Company	50	74%	53	70%	50	68%	47	70%
71	Bayt Alnomow Capital Company	6	50%	5	60%	5	80%	10	70%
72	Credit Suisse Saudi Arabia Company	33	70%	32	69%	32	69%	30	70%
73	Itqan Capital Company	22	64%	21	67%	28	75%	26	69%
74	Alawwal Capital Company	29	69%	28	68%	28	68%	29	69%
75	Ashmore Investment Saudi Arabia Company	22	68%	22	68%	21	67%	22	68%
76	KASB Capital	26	65%	26	69%	25	88%	28	68%
77	Al Wasatah Al Maliah Company	33	70%	34	71%	34	71%	33	67%
78	Anfaal Capital Company	9	67%	9	67%	9	67%	9	67%
79	Nitaq Capital Company	4	50%	4	50%	3	67%	3	67%

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		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
80	BNY Mellon Saudi Financial Company	9	67%	9	67%	11	64%	9	67%
81	Esnad Financial Company	11	55%	10	70%	10	60%	12	67%
82	Ehata Financial Company	8	75%	9	67%	10	50%	12	67%
83	Musharaka Capital Company	50	74%	58	71%	62	85%	65	66%
84	Audi Capital Company	31	71%	31	74%	29	69%	26	65%
85	First Abu Dhabi Investment Saudi Company	18	78%	18	78%	21	71%	23	65%
86	Black Rock	15	60%	17	59%	16	50%	17	65%
87	BNP Pariba Investment Company KSA	16	50%	16	50%	14	50%	14	64%
88	HSBC Saudi Arabia	287	66%	271	60%	301	68%	263	64%
89	AlDukheil Financial Group	22	64%	19	58%	23	35%	25	64%

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		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
90	Al Ertiqra Financial Company	8	63%	9	67%	10	50%	11	64%
91	Raz Amwal Investment	9	56%	12	67%	12	42%	11	64%
92	Forsah Capital	7	71%	9	78%	8	63%	8	63%
93	Ejada Capital	10	40%	16	56%	17	47%	16	63%
94	Deutsche Securities Saudi Arabia Company	26	62%	26	62%	26	65%	26	62%
95	Rekaz National Capital	18	61%	18	61%	18	72%	18	61%
96	Mashora Capital	7	86%	6	100%	8	88%	10	60%
97	Saudi Kuwaiti Finance House Company	28	68%	32	63%	29	62%	30	60%
98	Awan Saudi Capital	3	67%	5	60%	5	60%	5	60%
99	Blominvest Saudi Arabia Company	62	61%	60	62%	59	51%	64	59%

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#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
100	Merrill Lynch KSA Company	21	62%	20	65%	21	62%	22	59%
101	SaudiMed Investment Company	16	44%	17	53%	18	50%	19	58%
102	Valuable Capital Financial Company	3	67%	41	66%	20	65%	42	57%
103	Credit Agricole CIB Arabia Financial Company	12	58%	14	57%	14	57%	14	57%
104	Shuaa Capital Saudi Arabia Company	17	53%	17	47%	15	40%	14	57%
105	Aloula Geojit Capital Company	9	56%	9	56%	9	56%	9	56%
106	Emirates NBD Capital KSA	28	54%	27	52%	25	52%	27	56%
107	Kamco Investment Company	19	47%	22	55%	21	57%	20	55%
108	Lazard Saudi Arabia Limited Company	8	38%	11	45%	10	50%	11	55%
109	UBS Saudi Arabia Company	16	50%	15	47%	13	54%	13	54%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
110	EFG-Hermes-KSA	42	50%	40	53%	39	77%	41	54%
111	Watheeq Financial Services Company	15	67%	18	61%	18	72%	17	53%
112	Morgan Stanley Saudi Arabia Company	30	50%	29	52%	29	55%	29	52%
113	Areeb Capital	17	41%	17	41%	22	59%	18	50%
114	99Hlala Capital Company	5	60%	5	60%	4	50%	4	50%
115	Amwal Financial	7	43%	7	43%	9	44%	8	50%
116	Greenstone Saudi Arabia LLC	6	50%	8	38%	9	44%	8	50%
117	Investcorp Saudi Arabia Financial Investment Company	17	47%	17	47%	17	47%	17	47%
118	BMG Financial Group	14	43%	16	50%	14	64%	15	47%
119	Haykala Advisors and Managers	10	40%	10	40%	9	67%	11	45%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
120	Natixis Saudi Arabia Investment Company	10	50%	11	45%	11	36%	11	45%
121	GFH Capital Saudi Arabia	15	40%	17	41%	13	31%	20	45%
122	SICO Financial Saudi Company	32	56%	35	54%	34	53%	32	44%
123	KKR Saudi Limited Company	2	50%	4	75%	5	60%	7	43%
124	Narmo Capital	6	50%	8	38%	7	43%	7	43%
125	Tanmia Capital Company	11	45%	11	45%	5	40%	7	43%
126	State Street Saudi Arabia Financial Solution Company	10	50%	10	50%	8	63%	10	40%
127	Societe Generale Saudi Arabia	11	45%	11	45%	11	45%	10	40%
128	Saudi Venture Capital Investment Company	10	40%	10	30%	10	20%	11	36%
129	Arcapita Capital Company	17	41%	16	44%	16	50%	14	36%

1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 4		Quarter 1		Quarter 2		Quarter 3	
		2022		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
130	Ithmar Saudi Financial Consultancy Services	9	56%	9	56%	11	45%	9	33%
131	Mizuho Saudi Arabia Company	9	44%	9	44%	8	38%	6	33%
132	SMBC Advisory Services Saudi Arabia	6	33%	7	29%	7	14%	6	33%
133	FIM Partners KSA	6	33%	6	33%	7	29%	7	29%
134	Moelis & Company Saudi Limited	5	20%	7	29%	5	0%	8	25%
135	Swicorp Company	15	27%	12	25%	12	33%	13	23%
136	MMC Financial Company	1	0%	5	0%	6	0%	6	17%
Total¹		5,184	77%	5,350	77%	5,524	75%	5,531	77%

NA: Not licensed at the time

1- Total includes companies that was authorized at the time and now is no longer authorized

2- Indicators of Workforce of Credit Rating Agencies

#	Credit Rating Agency Name	Quarter 4			Quarter 1			Quarter 2			Quarter 3		
		2022			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
1	Financial Analytics Company	7	1	88%	9	1	80%	8	1	78%	8	1	78%
2	Fitch Australia PTY Ltd	2	1	33%	2	1	67%	2	1	67%	2	1	67%
3	SIMAH Rating Agency	30	4	50%	25	4	55%	26	3	52%	28	4	56%
4	Moody's Investors Services Middle East Limited	2	2	50%	2	2	50%	2	2	50%	2	2	50%
5	S&P Global Ratings Europe Limited	12	3	7%	12	3	7%	12	3	7%	13	3	13%
Total		53	11	44%	50	11	48%	50	10	48%	53	11	48%

3- Indicators at Market Infrastructure Institutions

#	Market Infrastructure Institution Name	Quarter 4			Quarter 1			Quarter 2			Quarter 3		
		2022			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
1	Securities Depository Center Company (Edaa)	57	8	95%	58	9	96%	54	9	97%	55	9	94%
2	Saudi Stock Exchange (Tadawul)	58	22	91%	56	19	91%	57	20	91%	53	22	92%
3	Securities Clearing Center Company (Muqassa)	26	8	82%	26	9	80%	28	10	79%	27	11	79%
Total		141	38	91%	140	37	91%	139	39	91%	135	42	90%

4- Indicators of Workforce at Financial Technology Companies

#	Fintech Company Name	Quarter 4			Quarter 1			Quarter 2			Quarter 3		
		2022			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
1	Sahem Financial Company	NA	NA	NA	7	0	1	7	0	1	7	1	1
2	Makassb Company	NA	NA	NA	2	1	1	2	1	1	4	1	1
3	Drahim Company	NA	NA	NA	NA	NA	NA	8	1	1	8	1	1
4	Trh Capital	NA	NA	NA	NA	NA	NA	NA	NA	NA	2	1	1
5	Villa Finance Company	NA	NA	NA	NA	NA	NA	NA	NA	NA	6	1	1
6	Sukuk Capital Company	14	7	0.95	18	8	0.96	19	8	0.962963	32	13	0.98
7	Manafa Capital Company	12	2	0.93	10	2	0.92	10	2	0.916667	10	2	0.92
8	Abyan Capital	6	1	0.86	8	1	0.89	7	1	0.875	9	0	0.89
9	Rehan Capital Company	NA	NA	NA	7	2	0.78	6	3	0.888889	5	4	0.89
10	Aseel Capital	12	10	0.86	12	13	0.88	14	13	0.851852	16	13	0.83

4- Indicators of Workforce at Financial Technology Companies

#	Fintech Company Name	Quarter 4			Quarter 1			Quarter 2			Quarter 3		
		2022			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
11	Malaa Financial Technology for Securities Business	NA	NA	NA	7	0	100%	7	0	100%	7	1	100%
12	Dinar Investments Company	NA	NA	NA	2	1	100%	2	1	100%	4	1	100%
13	Afaq Company	NA	NA	NA	NA	NA	NA	8	1	100%	8	1	100%
14	Tahaluf Capital	NA	NA	NA	NA	NA	NA	NA	NA	NA	2	1	100%
15	Rakeez Capital Company	NA	NA	NA	NA	NA	NA	NA	NA	NA	6	1	100%
16	Maysan Financial Technology Company	14	7	95%	18	8	96%	19	8	96%	32	13	98%
17	Mudaraba Capital Company	12	2	93%	10	2	92%	10	2	92%	10	2	92%
18	Awaed Alasool Financial Company	6	1	86%	8	1	89%	7	1	88%	9	0	89%
19	Smart Savings Company	NA	NA	NA	7	2	78%	6	3	89%	5	4	89%

4- Indicators of Workforce at Financial Technology Companies

#	Fintech Company Name	Quarter 4			Quarter 1			Quarter 2			Quarter 3		
		2022			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
20	Madkhol Company	12	10	86%	12	13	88%	14	13	85%	16	13	83%
21	Tarmeez Capital Company	8	2	80%	9	2	82%	10	2	83%	10	2	83%
Total		111	44	80%	160	62	76%	189	61	74%	216	67	78%

NA: Not licensed at the time

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
1	State Street Saudi Arabia Financial Solution Company	19.84	21.07	18.88	356.41%	359.17%
2	BNY Mellon Saudi Financial Company	14.40	13.92	11.29	217.39%	240.88%
3	Credit Suisse Saudi Arabia Company	14.57	11.92	13.47	225.31%	219.73%
4	FAB Capital	10.89	9.90	12.09	194.50%	215.28%
5	UBS Saudi Arabia Company	12.28	12.79	13.95	201.28%	211.47%
6	Deutsche Securities Saudi Arabia Company	12.15	12.00	12.30	190.59%	183.55%
7	BNP Pariba Investment Company KSA	14.90	14.41	13.69	211.51%	154.19%
8	Goldman Sachs Saudi Arabia Company	9.69	5.92	5.75	118.18%	126.32%
9	Emirates NBD Capital KSA	7.21	7.10	7.88	109.36%	110.40%
10	Citygroup Saudi Arabia	9.29	7.70	6.85	106.40%	105.93%

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
11	Al Wasatah Al Maliah Company	6.11	6.09	7.33	103.04%	104.64%
12	Morgan Stanley Saudi Arabia Company	4.47	4.81	5.39	109.28%	103.93%
13	The Northern Trust Company of Saudi Arabia	5.38	5.93	6.78	22.47%	92.79%
14	J.P. Morgan Saudi Arabia Company	8.57	8.53	8.94	132.11%	91.08%
15	Natixis Saudi Arabia Investment Company	4.39	4.93	3.83	93.12%	81.64%
16	EFG-Hermes-KSA	7.17	2.33	5.52	79.96%	76.73%
17	Awaed Alosool Capital	NA	NA	4.95	92.01%	72.56%
18	Gulf Investors Asset Management Company	5.68	6.18	6.36	73.00%	71.54%
19	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	2.14	2.28	2.33	85.98%	70.19%
20	Saudi Kuwaiti Finance House Company	3.56	3.23	3.23	67.81%	68.92%

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
21	Investcorp Saudi Arabia Financial Investment Company	5.86	6.12	5.02	10.58%	65.18%
22	HSBC Saudi Arabia	3.36	3.98	4.63	45.77%	55.84%
23	Gulf International Investment Company	3.46	0.93	0.96	403.60%	51.38%
24	Tatimah Capital	1.63	1.47	1.08	60.17%	49.89%
25	GIB Capital	4.39	3.96	4.76	52.79%	49.26%
26	BLME Capital Company	NA	NA	NA	57.28%	45.90%
27	Merrill Lynch KSA Company	5.27	3.80	3.74	45.59%	44.39%
28	Black Rock	3.61	2.96	1.92	42.43%	43.27%
29	KASB Capital	1.15	1.25	1.25	40.52%	41.47%
30	ANB Capital Company	3.20	3.24	3.75	45.00%	40.72%

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
31	Malaz Capital Company	3.60	3.81	3.54	34.83%	39.78%
32	AlBilad Investment Company	2.57	2.73	2.77	39.12%	39.76%
33	Riyad Capital Company	3.39	3.34	3.76	37.45%	38.61%
34	Kamco Investment Company	3.09	3.23	3.13	25.54%	36.51%
35	Saudi Fransi Capital	1.75	1.85	2.07	33.90%	36.49%
36	Al Rajhi Capital	2.21	2.22	2.61	36.19%	34.16%
37) Yaqeen Capital	1.92	2.27	2.42	21.56%	32.94%
38	Credit Agricole CIB Arabia Financial Company	3.44	2.48	2.83	35.83%	32.93%
39	Asyaf Investment Company	NA	NA	NA	NA	31.44%
40	SICO Financial Saudi Company	3.03	3.67	3.01	39.63%	28.74%

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
41	Alawwal INVEST Company	2.29	2.10	2.02	28.70%	28.11%
42	Alinma Investment Company	2.33	2.26	2.66	28.31%	27.77%
43	Arcapita Capital Company	6.44	4.53	3.50	43.29%	27.54%
44	Blominvest Saudi Arabia Company	2.07	2.23	2.44	27.64%	26.95%
45	Saudi Economic and Development Securities Company (SEDCO Capital)	1.37	1.26	1.51	27.31%	25.73%
46	SNB Capital	1.70	1.64	1.62	26.10%	25.30%
47	Mulkia Investment Company	1.90	1.54	1.85	13.57%	24.74%
48	Watani Wealth Management Company	1.36	2.12	2.15	23.92%	22.88%
49	Audi Capital Company	2.43	2.45	2.42	21.81%	21.55%
50	Nomw Capital	1.48	1.54	2.32	26.16%	21.24%

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
51	AlKhair Capital Saudi Arabia Company	1.48	1.42	1.50	23.30%	21.19%
52	Jadwa Investment Company	1.28	2.14	2.33	18.61%	21.17%
53	Arbah Capital Company	1.16	1.17	1.31	20.98%	20.57%
54	Sidra Capital Company	1.95	1.62	1.46	19.79%	19.98%
55	Ashmore Investment Saudi Arabia Company	2.13	1.90	2.38	34.34%	19.86%
56	Derayah Financial Corporation Company	1.68	1.41	1.45	16.10%	19.12%
57	Dom Capital Financial Company	NA	NA	10.55	96.67%	17.98%
58	Osool & Bakheet Investment Company	1.51	1.80	1.82	27.11%	17.41%
59	AlJazira Capital Company	1.83	1.45	1.47	18.00%	16.26%
60	Ejada Capital Company	NA	NA	NA	326.53%	16.08%

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
61	Alpha Capital	1.52	1.03	2.09	23.07%	15.37%
62	Tharwat For Financial Securities	2.70	1.89	1.27	13.51%	15.33%
63	Alawwal Capital Company	2.69	2.23	2.36	15.77%	15.04%
64	Miyar Capital	3.30	2.50	3.05	14.21%	15.04%
65	The Family Office International Investment Company	1.63	1.40	1.35	14.16%	13.97%
66	Itqan Capital Company	2.05	1.38	1.52	15.09%	13.96%
67	Areeb Capital	0.89	1.70	1.99	21.74%	13.86%
68	Arch Capital	4.89	3.97	1.61	12.15%	13.69%
69	Al Nefaie Investment Group	1.70	1.67	1.76	12.73%	12.60%
70	Middle East Financial Investment Company	1.22	1.18	1.20	12.68%	12.53%

5- Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023 ¹	Quarter 3 2023
71	Alkhabeer Capital	1.16	1.08	1.18	12.57%	12.40%
72	Musharaka Capital Company	1.53	1.29	1.49	12.53%	12.10%
73	Shuaa Capital Saudi Arabia Company	1.31	1.26	1.22	12.65%	11.75%
74	Rasana Capital	3.69	2.10	1.72	16.02%	11.64%
75	GFH Capital Saudi Arabia	3.74	2.74	3.37	9.62%	10.76%
76	Bait Al Mal Al Khaleeji Company	1.77	1.49	1.34	13.49%	10.55%
77	Standard Chartered Capital Saudi Arabia	8.65	8.53	7.44	8.75%	8.47%
78	Dirham Capital Company	1.07	0.72	0.49	8.36%	8.25%
79	Adeem Financial Company	0.66	0.61	0.45	4.25%	4.08%

NA: Not licensed at the time

1-Starting from the second quarter of 2023 and based on the updated capital adequacy rules, the capital adequacy ratio is displayed as a percentage instead of the previously calculated multiple.

6- Trading Values Per Broker (Capital Market Institutions Licensed in Dealing s an Agent)

#	Capital Market Institutions	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)
1	Al Rajhi Capital	97,057.69	794.16	97,851.85	119,935.65	901.55	120,837.20	139,250.27	1,727.06	140,977.32
2	SNB Capital	93,187.51	285.29	93,472.79	115,523.27	448.22	115,971.49	135,756.52	529.13	136,285.64
3	Derayah Financial Corporation Company	47,029.97	335.45	47,365.42	57,923.32	434.24	58,357.56	72,829.78	592.49	73,422.28
4	Riyad Capital Company	25,938.85	205.93	26,144.78	35,655.40	184.49	35,839.88	44,278.94	245.33	44,524.27
5	Merrill Lynch KSA Company	21,724.30	757.52	22,481.82	30,475.42	118.06	30,593.48	42,139.17	73.18	42,212.35
6	AlJazira Capital Company	30,799.29	331.66	31,130.95	40,846.09	433.59	41,279.68	41,185.36	536.63	41,721.99
7	Goldman Sachs Saudi Arabia Company	26,131.51	23.24	26,154.75	24,593.51	44.88	24,638.39	35,366.26	60.38	35,426.64
8	Morgan Stanley Saudi Arabia Company	24,468.87	27.98	24,496.85	20,462.65	7.85	20,470.50	28,830.42	26.38	28,856.81

6- Trading Values Per Broker (Capital Market Institutions Licensed in Dealing s an Agent)

#	Capital Market Institutions	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)
9	J.P. Morgan Saudi Arabia Company	22,664.34	19.89	22,684.23	25,517.98	47.71	25,565.69	26,596.26	65.12	26,661.38
10	Saudi Fransi Capital	21,757.59	111.47	21,869.06	23,996.57	192.55	24,189.12	25,724.22	221.11	25,945.34
11	HSBC Saudi Arabia	15,624.21	22.58	15,646.79	17,564.90	31.57	17,596.47	25,454.86	57.68	25,512.53
12	ANB Capital Company	16,371.03	80.17	16,451.20	19,673.89	219.57	19,893.46	21,544.13	151.56	21,695.68
13	EFG-Hermes-KSA	17,383.06	50.79	17,433.84	19,272.46	85.75	19,358.21	21,642.44	36.53	21,678.98
14	Alawwal INVEST Company	16,183.71	87.75	16,271.46	17,663.03	146.48	17,809.51	19,707.72	160.54	19,868.26
15	Alinma Investment Company	14,323.65	65.13	14,388.79	18,668.55	76.93	18,745.48	19,370.61	140.28	19,510.89
16	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	14,217.96	94.53	14,312.49	20,235.85	89.42	20,325.27	17,136.45	265.69	17,402.14

6- Trading Values Per Broker (Capital Market Institutions Licensed in Dealing s an Agent)

#	Capital Market Institutions	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)
17	AlBilad Investment Company	10,621.66	58.43	10,680.09	13,234.85	79.72	13,314.57	13,431.41	99.24	13,530.65
18	AlKhair Capital Saudi Arabia Company	5,200.18	29.51	5,229.69	7,338.08	48.94	7,387.03	6,568.45	83.12	6,651.57
19) Yaqeen Capital	3,316.10	73.98	3,390.08	4,174.59	75.70	4,250.30	4,123.38	47.25	4,170.63
20	Citygroup Saudi Arabia	2,107.46	0.00	2,107.46	3,257.37	5.40	3,262.76	3,376.57	2.29	3,378.86
21	GIB Capital	1,732.30	5.89	1,738.20	3,206.73	62.67	3,269.41	3,361.91	13.49	3,375.40
22	Al Nefae Investment Group	3,253.02	51.62	3,304.64	3,247.96	31.26	3,279.22	2,917.58	70.02	2,987.60
23	Emirates NBD Capital KSA	3,301.97	3.80	3,305.78	2,857.22	8.93	2,866.14	2,660.39	2.53	2,662.92
24	Jadwa Investment Company	816.07	38.99	855.06	1,521.43	17.53	1,538.96	1,836.26	12.48	1,848.74
25	Alkhabeer Capital	21.58	0.01	21.59	486.82	1.29	488.11	1,164.62	36.82	1,201.44

6- Trading Values Per Broker (Capital Market Institutions Licensed in Dealing s an Agent)

#	Capital Market Institutions	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)	Main Market (Million Riyals)	Nomu Market (Million Riyals)	Total (Million Riyals)
26	Arbah Capital Company	775.77	11.84	787.61	1,199.07	15.51	1,214.57	1,156.15	31.10	1,187.25
27	SICO Financial Saudi Company	798.52	0.02	798.54	941.74	0.75	942.49	1,119.70	3.19	1,122.88
28	Musharaka Capital Company	NA	NA	NA	0.00	0.00	0.00	235.03	0.01	235.04
29	Osool & Bakheet Investment Company	183.26	9.34	192.60	137.06	13.70	150.76	125.44	19.79	145.23
30	Credit Suisse Saudi Arabia Company	2,331.37	0.03	2,331.40	291.21	0.08	291.29	36.47	0.00	36.47
31	Deutsche Securities Saudi Arabia Company	106.76	0.00	106.76	121.58	0.00	121.58	11.11	0.00	11.11
TOTAL		539,430	3,577	543,007	650,024	3,824	653,849	758,938	5,310	764,248

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
1	SNB Capital	265,104.7	249,314.9	243,808.3	271,217.7	237,461.8
2	Riyad Capital Company	86,859.6	79,860.2	80,780.2	83,953.6	84,674.3
3	Alinma Investment Company	63,346.8	63,366.7	64,396.1	70,867.6	69,822.6
4	Al Rajhi Capital	55,864.8	52,650.9	57,469.0	60,692.4	64,959.0
5	Jadwa Investment Company	44,226.9	48,462.1	51,108.7	57,059.1	53,434.1
6	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	28,996.9	25,169.5	24,893.3	27,365.8	30,772.0
7	Alawwal INVEST Company	18,009.3	15,502.9	20,417.8	20,924.3	23,085.4
8	Saudi Fransi Capital	24,828.1	24,418.6	32,277.7	25,268.6	22,134.0
9	AlKhair Capital Saudi Arabia Company	17,003.7	17,207.6	18,595.9	19,354.0	18,434.3

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
10	AlBilad Investment Company	14,025.9	13,870.5	14,956.1	18,344.5	16,285.9
11	ANB Capital Company	16,048.5	16,383.6	16,802.9	17,210.5	16,255.0
12	AlJazira Capital Company	9,589.0	9,758.1	10,633.0	12,072.1	13,854.1
13	Blominvest Saudi Arabia Company	10,733.7	11,046.5	11,031.5	12,273.8	13,271.1
14	Morgan Stanley Saudi Arabia Company	6,256.6	10,005.3	10,364.5	11,077.2	11,971.8
15	Alkhabeer Capital	8,166.0	8,524.1	8,618.1	9,069.9	8,737.1
16	Alpha Capital	9,226.7	7,841.5	7,909.5	8,228.3	8,610.2
17	Derayah Financial Corporation Company	6,690.8	6,007.6	7,074.1	7,808.7	7,725.1

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
18	Ashmore Investment Saudi Arabia Company	6,937.2	6,809.4	6,803.9	11,891.8	7,568.8
19	GIB Capital	6,464.9	5,967.9	5,889.8	6,467.7	6,519.3
20	SICO Financial Saudi Company	3,800.2	3,799.6	3,311.0	3,477.2	6,086.3
21	State Street Saudi Arabia Financial Solution Company	NA	7,513.3	7,903.5	4,766.5	5,240.5
22	Tharwat For Financial Securities	4,349.2	3,509.8	5,008.0	5,064.1	5,093.8
23	Saudi Economic and Development Securities Company (SEDCO Capital)	4,733.5	4,716.2	4,707.1	4,383.9	4,791.3
24	Emirates NBD Capital KSA	4,355.7	4,433.8	4,657.5	5,557.2	4,010.3
25	Itqan Capital Company	2,945.9	3,341.0	3,540.2	3,692.1	4,005.3

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
26	Miyar Capital	2,601.1	2,981.4	3,015.8	3,508.5	3,581.4
27	Middle East Financial Investment Company	2,883.0	3,269.7	3,226.4	3,221.1	3,249.8
28	Malaz Capital Company	2,605.2	2,931.5	2,958.3	2,944.2	3,010.2
29	Nomw Capital	1,800.1	1,848.4	1,892.6	2,051.5	2,934.9
30	Mulkia Investment Company	5,840.5	5,807.0	5,920.9	4,164.8	2,924.8
31	Artal Capital	1,889.1	1,665.6	1,963.9	2,393.7	2,434.8
32	Areeb Capital	369.8	813.9	2,360.6	2,337.0	2,337.0
33	Adeem Financial Company	2,620.9	2,711.2	2,667.5	2,647.6	2,227.0
34	Musharaka Capital Company	1,756.4	1,800.2	2,348.1	2,270.6	2,221.5
35	Sidra Capital Company	1,649.1	1,724.8	1,849.5	1,891.4	1,992.3

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
36	FIM Partners KSA	1,132.2	1,162.9	1,204.6	1,576.8	1,450.8
37	Osool & Bakheet Investment Company	1,238.6	1,194.6	1,335.3	1,162.4	1,342.7
38) Yaqeen Capital	2,836.8	1,860.6	1,567.1	1,505.0	1,317.9
39	Arbah Capital Company	1,083.3	808.7	696.1	992.1	1,192.3
40	Alawwal Capital Company	856.7	954.5	1,038.6	1,007.5	1,003.4
41	Arcapita Capital Company	NA	612.1	618.1	612.1	937.5
42	Shuaa Capital Saudi Arabia Company	800.3	800.3	800.3	932.9	911.7
43	Impact Capital Company	3,704.8	3,098.0	3,294.5	1,009.8	907.4
44	Kamco Investment Company	951.5	884.8	894.8	973.3	905.5

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
45	Saudi Kuwaiti Finance House Company	730.1	571.5	853.1	885.8	768.5
46	Investcorp Saudi Arabia Financial Investment Company	739.5	628.1	739.5	599.7	599.7
47	Sabeen Investment Company	401.2	403.4	518.0	590.9	582.3
48	Al Wasatah Al Maliah Company	391.0	547.7	554.9	572.0	570.2
49	Anfaal Capital Company	550.0	550.0	550.0	550.0	550.0
50	Tamra Capital Company	NA	142.5	243.2	375.6	506.2
51	Tanmia Capital Company	90.0	328.8	353.4	467.2	465.0
52	Portfolios Investment Company	NA	345.1	396.3	438.5	448.1
53	Rasana Capital Company	NA	86.9	283.2	291.1	409.4

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
54	Raz Amwal Investment Company	NA	390.1	395.5	389.2	403.1
55	Marifa Capital	127.3	330.7	351.6	411.8	395.4
56	Audi Capital Company	344.1	306.7	328.5	341.6	328.3
57	Arch Capital	NA	89.5	89.5	89.5	294.5
58	Watani Wealth Management Company	236.6	232.3	246.0	279.5	280.8
59	KASB Capital	679.7	653.3	601.1	290.4	274.1
60	United Financial House Company	255.0	255.0	255.0	255.0	255.0
61	Merak Capital Company	168.4	166.0	238.5	253.8	253.0
62	Al Nefaie Investment Group	188.9	192.9	232.0	191.1	212.8

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
63	Seedra Investment Company	NA	51.5	53.7	158.3	161.5
64	Asyaf Investment Company	50.6	141.3	140.7	141.7	142.1
65	Rekaz National Capital	84.9	84.9	94.3	129.4	129.4
66	Gulf Investors Asset Management Company	130.1	128.4	126.2	127.6	127.3
67	Bait Al Mal Al Khaleeji Company	163.7	64.0	72.8	82.0	78.7
68	Dom Capital Financial Company	NA	NA	NA	108.8	56.8
69	Aloula Geojit Capital Company	37.6	37.6	37.6	37.6	37.6
70	Credit Suisse Saudi Arabia Company	35.6	36.2	36.6	36.7	35.6
71	Joa Capital Company	12.7	26.8	28.5	31.1	35.5

7- Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)
72	The Investor Company For Securities	34.5	34.5	34.6	34.5	34.5
73	Watheeq Financial Services Company	9.5	9.5	9.5	20.8	28.5
74	SaudiMed Investment Company	9.0	9.0	9.0	8.9	8.9
75	Dirham Capital	18.8	1.7	1.0	0.6	0.6
76	99Hlala Capital Company	142.0	142.0	142.0	142.0	0.0
TOTAL ¹		756,983.06	760,814.90	743,292.95	770,627.42	823,634.70

8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customer)

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
1	Emirates NBD Capital KSA	0.00	0.00	0.00	0.00
2	EFG-Hermes-KSA	0.00	0.00	0.00	0.00
3	Watani Wealth Management Company	0.00	0.00	0.00	0.00
4	Investcorp Saudi Arabia Financial Investment Company	0.00	0.00	0.00	0.00
5	Ashmore Investment Saudi Arabia Company	0.00	0.00	0.00	0.00
6	Goldman Sachs Saudi Arabia Company	0.00	0.00	0.00	0.00
7	GIB Capital	0.00	0.00	0.00	0.00
8	J.P. Morgan Saudi Arabia Company	0.00	0.00	0.00	0.00
9	Sidra Capital Company	0.00	0.00	0.00	0.00
10	Morgan Stanley Saudi Arabia Company	0.00	0.00	0.00	0.00

8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customer)

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
11	Merrill Lynch KSA Company	0.00	0.00	0.00	0.00
12	Blominvest Saudi Arabia Company	0.43	0.00	0.00	0.00
13	Osool & Bakheet Investment Company	3.86	0.00	0.00	0.00
14	Arbah Capital Company	8.06	0.00	0.00	0.00
15	Tamra Capital Company	NA	0.00	0.00	0.00
16	Awaed Alosool Capital	NA	0.00	0.00	0.00
17	Jadwa Investment Company	0.00	2.75	0.00	0.00
18	Audi Capital Company	0.00	14.08	0.00	0.00
19	AlKhair Capital Saudi Arabia Company	0.93	0.49	1.98	0.00
20	Nomw Capital	11.36	NA	NA	0.00
21	Rasana Capital Company	NA	NA	NA	0.00

8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customer)

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
22	Miyar Capital	NA	NA	0.00	0.00
23	Impact Capital Company	0.00	0.00	0.00	0.00
24	Merak Capital Company	0.00	0.00	0.00	0.00
25	The Family Office International Investment Company	0.00	0.00	0.00	0.00
26	Raz Amwal Investment	0.00	0.00	0.00	0.00
27	Alpha Capital	0.00	0.00	0.00	0.00
28	Alinma Investment Company	0.05	0.06	0.31	0.02
29	Alawwal INVEST Company	0.34	0.03	0.07	0.09
30	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	0.08	0.04	0.11	0.13
31	Derayah Financial Corporation Company	0.42	0.14	0.25	0.27
32	SNB Capital	0.31	0.50	0.32	0.30

8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customer)

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
33	Al Rajhi Capital	0.16	0.14	0.30	0.31
34	Saudi Fransi Capital	0.32	0.31	0.23	0.33
35	Riyad Capital Company	0.16	0.18	0.33	0.42
36	AlJazira Capital Company	0.17	0.27	0.12	0.48
37	AlBilad Investment Company	0.12	0.14	0.19	0.52
38	ANB Capital Company	0.38	0.13	0.50	0.53
39) Yaqeen Capital	1.63	0.00	2.04	1.44
40	Alkhabeer Capital	10.68	0.00	23.44	2.95
41	Mulkia Investment Company	0.00	0.00	15.27	3.77
42	Al Nefaie Investment Group	0.00	0.00	0.00	6.41
43	Citigroup Saudi Arabia	0.00	58.82	54.79	7.35
44	KASB Capital	NA	NA	10.70	10.26

8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customer)

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
45	SICO Financial Saudi Company	8.47	5.41	0.00	12.12
46	HSBC Saudi Arabia	53.87	14.60	3.65	15.96
47	Itqan Capital Company	7.52	0.00	0.00	18.35
48	Musharaka Capital Company	0.00	0.00	0.00	22.90
49	Alawwal Capital Company	51.28	12.20	54.35	34.48
50	Saudi Economic and Development Securities Company (SEDCO Capital)	0.00	0.00	7.87	57.85

NA: Not licensed at the time or have less than 50 clients

1- Complaints rate per Capital Market Institution with 50 clients or more = (number of complaints / numbers of Active clients) X (1000)

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
1	Citigroup Saudi Arabia	-	-	100%	100%	100%
2	SAMBA Capital & Investment Management Company	0%	100%	-	100%	100%
3	Mulkia Investment Company	-	-	-	100%	100%
4	Alinma Investment Company	87%	82%	100%	86%	100%
5	Alkhabeer Capital	100%	67%	-	83%	100%
6	HSBC Saudi Arabia	18%	50%	100%	0%	100%
7	Middle East Financial Investment Company	-	-	0%	0%	100%
8	Musharaka Capital Company	-	-	-	-	100%
9	Al Wasatah Al Maliah Company	-	-	-	-	100%
10	Al Nefaie Investment Group	100%	-	-	-	100%
11	AlJazira Capital Company	86%	100%	90%	75%	88%

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
12	Saudi Economic and Development Securities Company (SEDCO Capital)	-	-	-	100%	86%
13	AlBilad Investment Company	65%	93%	100%	66%	78%
14	Riyad Capital Company	84%	65%	92%	77%	78%
15	Saudi Fransi Capital	87%	88%	76%	88%	76%
16	Al Rajhi Capital	67%	88%	95%	91%	75%
17	Alawwal INVEST Company	17%	64%	100%	92%	75%
18	Derayah Financial Corporation Company	47%	83%	80%	71%	74%
19	SNB Capital	57%	86%	94%	74%	72%
20	ANB Capital Company	83%	85%	100%	79%	71%
21	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	73%	100%	100%	100%	67%

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
22	Alawwal Capital Company	100%	25%	100%	100%	67%
23) Yaqeen Capital	88%	45%	-	83%	60%
24	SICO Financial Saudi Company	0%	0%	0%	-	50%
25	Itqan Capital Company	0%	0%	-	-	50%
26	KASB Capital	17%	67%	100%	50%	17%
27	Areeb Capital	-	-	0%	100%	0%
28	Adeem Financial Company	100%	0%	-	100%	0%
29	Standard Chartered Capital Saudi Arabia	-	-	-	-	0%
30	99Hlala Capital Company	-	0%	100%	100%	-
31	AlKhair Capital Saudi Arabia Company	67%	100%	0%	100%	-
32	Ashmore Investment Saudi Arabia Company	-	-	-	100%	-

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
33	Amwal Financial	-	-	-	100%	-
34	Credit Suisse Saudi Arabia Company	-	-	-	0%	-
35	Aloula Geojit Capital Company	-	-	-	0%	-
36	Nomw Capital	-	0%	100%	-	-
37	Audi Capital Company	0%	-	100%	-	-
38	Deutsche Securities Saudi Arabia Company	-	-	100%	-	-
39	Jadwa Investment Company	-	-	100%	-	-
40	United Financial House Company	-	0%	0%	-	-
41	Swicorp Company	0%	-	0%	-	-
42	The Investor Company For Securities	0%	100%	-	-	-
43	Osool & Bakheet Investment Company	-	100%	-	-	-

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
44	Bait Al Mal Al Khaleeji Company	-	100%	-	-	-
45	Blominvest Saudi Arabia Company	-	0%	-	-	-
46	Morgan Stanley Saudi Arabia Company	-	0%	-	-	-
47	Arbah Capital Company	-	0%	-	-	-
48		0%	-	-	-	-
49	Watani Wealth Management Company	-	-	-	-	-
50	GIB Capital	-	-	-	-	-
51	Gulf Investors Asset Management Company	-	-	-	-	-
52	Emirates NBD Capital KSA	-	-	-	-	-
53	Shuaa Capital Saudi Arabia Company	-	-	-	-	-
54	Saudi Kuwaiti Finance House Company	-	-	-	-	-

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
55	AlDukheil Financial Group	-	-	-	-	-
56	SaudiMed Investment Company	-	-	-	-	-
57	Team One Company	-	-	-	-	-
58	EFG-Hermes-KSA	-	-	-	-	-
59	Saudi Portfolio Securities Company	-	-	-	-	-
60	Malaz Capital Company	-	-	-	-	-
61	Investcorp Saudi Arabia Financial Investment Company	-	-	-	-	-
62	Ithmar Saudi Financial Consultancy Services	-	-	-	-	-
63	Ehata Financial Company	-	-	-	-	-
64	Anfaal Capital Company	-	-	-	-	-
65	BNP Pariba Investment Company KSA	-	-	-	-	-

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
66	House of National Consulting Company	-	-	-	-	-
67	Tharwat For Financial Securities	-	-	-	-	-
68	Goldman Sachs Saudi Arabia Company	-	-	-	-	-
69	J.P. Morgan Saudi Arabia Company	-	-	-	-	-
70	Sidra Capital Company	-	-	-	-	-
71	Societe Generale Saudi Arabia	-	-	-	-	-
72	Kamco Investment Company	-	-	-	-	-
73	KKR Saudi Limited Company	-	-	-	-	-
74	Lazard Saudi Arabia Limited Company	-	-	-	-	-
75	Marifa Capital	-	-	-	-	100%
76	The Family Office International Investment Company	-	-	-	-	-

9- Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
77	Merrill Lynch KSA Company	-	-	-	-	-
78	Mizuho Saudi Arabia Company	-	-	-	-	-
79	The Northern Trust Company of Saudi Arabia	-	-	-	-	-
80	UBS Saudi Arabia Company	-	-	-	-	-
81	Saudi Venture Capital Investment Company	-	-	-	-	-
82	BMG Financial Group	-	-	-	-	-

1- Number of settled complaints over number of deposited complaints

(-) There are no complaints according to the definition of total complaints

10- Service Availability Rate ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
1	Audi Capital Company	100.0%	100.0%	100.0%	100.0%	100.0%
2	J.P. Morgan Saudi Arabia Company	99.5%	100.0%	100.0%	100.0%	100.0%
3	AlKhair Capital Saudi Arabia Company	99.5%	100.0%	100.0%	100.0%	100.0%
4	Goldman Sachs Saudi Arabia Company	99.5%	100.0%	100.0%	100.0%	100.0%
5	Alkhabeer Capital	100.0%	100.0%	100.0%	100.0%	100.0%
6	Merrill Lynch KSA Company	100.0%	99.9%	100.0%	100.0%	100.0%
7	AlBilad Investment Company	99.8%	99.4%	100.0%	100.0%	100.0%
8	Saudi Fransi Capital	100.0%	99.8%	98.3%	100.0%	100.0%
9	Citigroup Saudi Arabia	100.0%	99.6%	99.7%	100.0%	100.0%
10) Yaqeen Capital	99.5%	100.0%	100.0%	100.0%	100.0%
11	Emirates NBD Capital KSA	99.6%	98.9%	100.0%	100.0%	100.0%
12	SICO Financial Saudi Company	99.4%	100.0%	99.5%	100.0%	100.0%
13	HSBC Saudi Arabia	95.7%	99.3%	99.8%	99.4%	100.0%

10- Service Availability Rate ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
14	Osool & Bakheet Investment Company	99.5%	97.6%	99.8%	99.2%	100.0%
15	Morgan Stanley Saudi Arabia Company	98.3%	96.6%	99.6%	99.1%	100.0%
16	SNB Capital	100.0%	99.1%	100.0%	99.9%	100.0%
17	EFG-Hermes-KSA	100.0%	100.0%	99.9%	100.0%	100.0%
18	Jadwa Investment Company	100.0%	99.3%	99.8%	99.9%	99.9%
19	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	99.5%	99.2%	99.8%	99.9%	99.9%
20	Deutsche Securities Saudi Arabia Company	100.0%	100.0%	99.7%	100.0%	99.9%
21	Arbah Capital Company	100.0%	100.0%	100.0%	99.9%	99.8%
22	Riyad Capital Company	99.3%	100.0%	99.2%	100.0%	99.7%
23	Al Rajhi Capital	99.6%	99.9%	99.7%	99.9%	99.6%
24	Derayah Financial Corporation Company	100.0%	99.6%	100.0%	98.6%	99.5%

10- Service Availability Rate ¹

#	Capital Market Institutions	Quarter 3 2022	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023
25	GIB Capital	100.0%	100.0%	100.0%	99.9%	99.5%
26	AlJazira Capital Company	100.0%	100.0%	100.0%	100.0%	99.3%
27	Alinma Investment Company	99.9%	100.0%	99.1%	96.3%	99.3%
28	Al Nefae Investment Group	99.5%	99.1%	99.7%	100.0%	99.2%
29	Credit Suisse Saudi Arabia Company	98.6%	99.0%	99.7%	99.4%	99.1%
30	ANB Capital Company	100.0%	99.4%	98.2%	98.4%	97.8%
31	Alawwal INVEST Company	90.2%	98.5%	99.7%	100.0%	97.6%

1- Starting from Q4 2021 report, **the brokerage service availability rate indicator for the client** and **the service availability rate indicator between Tadawul and the financial market institutions** were merged into the table above, which indicates the service availability regardless of the source of the service interruption.

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
1	SNB Capital	44	121	165	44	121	165	44	122	166
2	Jadwa Investment Company	8	89	97	8	92	100	8	96	104
3	Riyad Capital Company	25	33	58	25	35	60	26	37	63
4	Al Rajhi Capital	17	27	44	24	28	52	28	30	58
5	Alinma Investment Company	12	31	43	13	37	50	14	43	57
6	Blominvest Saudi Arabia Company	4	37	41	4	44	48	4	45	49
7	Alawwal INVEST Company	25	17	42	25	17	42	25	17	42
8	GIB Capital	4	33	37	5	33	38	5	33	38
9	AlBilad Investment Company	16	16	32	16	17	33	16	21	37
10	Itqan Capital Company	2	29	31	2	30	32	2	32	34

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
11	AlJazira Capital Company	13	18	31	13	19	32	13	21	34
12	ANB Capital Company	9	17	26	11	17	28	12	19	31
13	AlKhair Capital Saudi Arabia Company	4	22	26	4	26	30	4	26	30
14	Saudi Fransi Capital	13	15	28	13	14	27	13	17	30
15	Derayah Financial Corporation Company	3	17	20	3	21	24	4	23	27
16	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	5	17	22	6	17	23	6	19	25
17	Alkhabeer Capital	4	17	21	4	17	21	4	17	21
18	Nomw Capital	0	14	14	0	16	16	0	18	18
19	Alpha Capital	2	13	15	3	12	15	4	14	18
20	Areeb Capital	0	12	12	0	16	16	0	17	17

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
21	Middle East Financial Investment Company	3	12	15	3	11	14	3	14	17
22	Musharaka Capital Company	3	10	13	3	11	14	3	14	17
23	Alawwal Capital Company	3	12	15	3	12	15	3	13	16
24	Tharwat For Financial Securities	1	13	14	1	13	14	0	13	13
25	Mulkia Investment Company	2	10	12	2	10	12	2	11	13
26	Osool & Bakheet Investment Company	5	6	11	5	7	12	5	8	13
27	Arbah Capital Company	1	9	10	1	9	10	1	10	11
28	Ashmore Investment Saudi Arabia Company	2	7	9	2	8	10	2	9	11
29	Rasana Capital Company	1	7	8	2	7	9	2	9	11
30	Saudi Economic and Development Securities Company	1	7	8	1	6	7	1	10	11

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
31	KASB Capital	6	5	11	5	5	10	5	5	10
32	Impact Capital Company	0	10	10	0	10	10	0	10	10
33) Yaqeen Capital	6	3	9	7	3	10	6	3	9
34	Malaz Capital Company	0	9	9	0	9	9	0	9	9
35	Tanmia Capital Company	0	8	8	0	8	8	0	9	9
36	Sidra Capital Company	0	7	7	0	7	7	0	9	9
37	Al Nefaie Investment Group	1	5	6	1	5	6	1	7	8
38	Bait Al Mal Al Khaleeji Company	3	3	6	3	3	6	3	4	7
39	Watheeq Financial Services Company	0	5	5	0	5	5	0	7	7
40	Saudi Kuwaiti Finance House Company	1	5	6	1	5	6	1	5	6

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
41	SICO Financial Saudi Company	3	3	6	3	3	6	3	3	6
42	Arch Capital	0	5	5	0	6	6	0	6	6
43	Artal Capital	1	4	5	1	5	6	1	5	6
44	Emirates NBD Capital KSA	0	5	5	0	5	5	0	6	6
45	Rekaz National Capital	0	5	5	0	5	5	0	5	5
46	Merak Capital Company	0	5	5	0	5	5	0	5	5
47	Asyaf Investment Company	0	4	4	0	4	4	0	5	5
48	Sabeen Investment Company	0	4	4	0	4	4	0	4	4
49	Al Wasatah Al Maliah Company	1	3	4	1	3	4	1	3	4
50	Miyar Capital	1	2	3	2	2	4	2	2	4

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
51	Adeem Financial Company	0	6	6	0	3	3	0	3	3
52	Shuaa Capital Saudi Arabia Company	0	3	3	0	3	3	0	3	3
53	Gulf Investors Asset Management Company	0	3	3	0	3	3	0	3	3
54	Tatimah Capital	NA	NA	NA	0	1	1	0	3	3
55	The Investor Company For Securities	0	2	2	0	2	2	0	2	2
56	Morgan Stanley Saudi Arabia Company	1	1	2	1	1	2	1	1	2
57	Audi Capital Company	2	0	2	2	0	2	2	0	2
58	Arcapita Capital Company	0	1	1	0	2	2	0	2	2
59	Bayt Alnomow Capital Company	0	1	1	0	1	1	0	2	2
60	Rawasi Advanced Investment Company	NA	NA	NA	0	1	1	0	2	2

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
61	99Hlala Capital Company	0	1	1	0	1	1	0	1	1
62	Aloula Geojit Capital Company	0	1	1	0	1	1	0	1	1
63	SaudiMed Investment Company	0	1	1	0	1	1	0	1	1
64	Investcorp Saudi Arabia Financial Investment Company	0	1	1	0	1	1	0	1	1
65	Anfaal Capital Company	0	1	1	0	1	1	0	1	1
66	United Financial House Company	0	1	1	0	1	1	0	1	1
67	Joa Capital Company	0	1	1	0	1	1	0	1	1
68	Seedra Investment Company	0	1	1	0	1	1	0	1	1
69	Raz Amwal Investment	0	1	1	0	1	1	0	1	1
70	Watani Wealth Management Company	1	0	1	1	0	1	1	0	1
71	Kamco Investment Company	1	0	1	1	0	1	1	0	1
72	East Bridge Capital	0	1	1	0	1	1	0	1	1

11- Number of Public and Private Funds per Capital Market Institution

#	Capital Market Institutions ¹	Quarter 1 2023			Quarter 2 2023			Quarter 3 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
73	Nitaq Capital Company	0	1	1	0	1	1	0	1	1
74	FIM Partners KSA	NA	NA	NA	0	1	1	0	1	1
75	Dom Capital Financial Company	NA	NA	NA	1	0	1	1	0	1
76	Black Rock	NA	NA	NA	NA	NA	NA	0	1	1
77	BLME Capital Company	NA	NA	NA	NA	NA	NA	0	1	1
78	Portfolios Investment Company	NA	NA	NA	NA	NA	NA	0	1	1
Total		260	816	1,076	275	853	1,128	282	922	1,204

NA: Not licensed at the time

1- CMIs Licensed in Investment Fund Management

Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)
1	The Northern Trust Company of Saudi Arabia	487,979	520,181	513,897	536,715	561,052
2	Riyad Capital Company	106,510	232,880	242,480	256,460	261,630
3	HSBC Saudi Arabia	222,333	206,453	202,961	237,543	241,761
4	AlBilad Investment Company	101,269	113,682	113,114	116,364	114,872
5	J.P. Morgan Saudi Arabia Company	86,637	84,501	85,411	93,712	90,876
6	FAB Capital	34,249	69,927	78,252	85,608	87,017
7	Nomw Capital	3,953	1,000	2,100	67,770	85,728
8	Alinma Investment Company	66,577	67,640	69,274	70,333	71,225
9	EFG-Hermes-KSA	41,712	40,686	30,158	46,462	47,659
10	AlJazira Capital Company	24,505	24,754	40,239	31,558	29,238
11	Al Nefaie Investment Group	24,067	24,561	23,804	23,804	22,936
12	Saudi Fransi Capital	11,888	12,068	16,183	16,711	19,703

Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)
13	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	16,805	15,336	15,021	15,969	15,185
14	Citigroup Saudi Arabia	13,811	13,800	13,800	14,550	14,179
15	ANB Capital Company	189,677	182,708	174,575	11,225	11,029
16	KASB Capital	7,735	7,735	7,495	7,495	5,385
17	Emirates NBD Capital KSA	790	860	934	3,964	4,049
18	State Street Saudi Arabia Financial Solution Company	367	3,263	3,556	3,577	3,727
19	Osool & Bakheet Investment Company	3,618	2,909	2,926	3,108	3,108
20	Audi Capital Company	2,446	2,358	2,206	2,497	2,475
21	Deutsche Securities Saudi Arabia Company	1,751	10,370	10,557	2,237	1,803
22	Credit Suisse Saudi Arabia Company	19,773	15,631	15,043	1,623	1,517
23	Itqan Capital Company	817	1,074	1,173	1,101	1,351

Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)
24	SNB Capital	2,800	3,542	3,060	1,248	1,222
25	Musharaka Capital Company	0	465	1,197	409	602
26	Alawwal Capital Company	555	468	426	493	356
27	Jadwa Investment Company	208	193	144	190	214
28	Goldman Sachs Saudi Arabia Company	123	129	168	201	187
29	Al Rajhi Capital	NA	NA	90	94	94
30	Morgan Stanley Saudi Arabia Company	59	52	56	59	57
31	AlKhair Capital Saudi Arabia Company	96	86	0	7	6
32	Yaqeen Capital	3,879	3,546	3,919	22	0
33	GIB Capital	8,850	7,988	9,475	0	0
34	UBS Saudi Arabia Company	408	293	280	0	0
35	Shuaa Capital Saudi Arabia Company	934	0	0	0	0

Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 3 2022 (Million Riyals)	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)
36	Saudi Economic and Development Securities Company (SEDCO Capital)	48	0	0	0	0
37	Watani Wealth Management Company	0	0	0	0	0
38	Gulf International Investment Company	0	0	0	0	0
Total		1,587,375.59	1,487,229.13	1,671,140.71	1,683,975.19	1,700,243.06

12- Number of FinTech Experimental Permit Applications

End of Period	Number of Applications for FinTech Experimental Permit	Number of Companies That Obtained FinTech Experimental Permit
First quarter 2022	10	0
Second quarter 2022	20	11
Third quarter 2022	46	3
Fourth quarter 2022	10	3
First quarter 2023	9	5
Second quarter 2023	5	8
Third quarter 2023	6	0

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