

# Institutions Under Supervision of CMA Report

25<sup>th</sup> Issue – Fourth Quarter 2023



# Index

1. Indicators of Workforce at Capital Market Institutions	3
2. Indicators of Workforce of Credit Rating Agencies	18
3. Indicators of Workforce at Market Infrastructure Institutions	19
4. Indicators of Workforce at Financial Technology Companies	20
5. Capital Adequacy for Capital Market Institutions Licensed in Dealing, Managing or/and Custody	23
6. Trading Values Per Broker (Capital Market Institutions Licensed in Dealing as an Agent)	32
7. Assets Under Management (AUM) Per Capital Market Institution (Public, Private Funds and Discretionary Portfolio Management (DPM))	36
8. Complaints Rate Deposited to CMA against Capital Market Institutions	45
9. Processed / Settled Complaints Against Capital Market Institutions as a Percentage of Total Complaints Filed with CMA	49
10. Service Availability Rate	58
11. Number of Public and Private Funds per Capital Market Institution	61
12. Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity	70
13. Number of FinTech Experimental Permit Applications	73

## 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 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
1	Joa Capital Company	5	100%	4	100%	4	100%	4	100%
2	Razeen Financial Company	6	100%	6	100%	7	100%	9	100%
3	Jadara Investment Company	4	100%	4	100%	4	100%	4	100%
4	Dirham Capital	9	67%	7	86%	6	100%	7	100%
5	Merak Capital Company	19	100%	39	72%	20	100%	20	100%
6	Edraj Capital	5	80%	12	92%	11	91%	11	100%
7	Quencia Capital Company	NA	NA	NA	NA	NA	NA	3	100%
8	Target Partners Capital Company	NA	NA	NA	NA	NA	NA	5	100%
9	Nosoooh Financial Company	NA	NA	NA	NA	NA	NA	5	100%
10	Aditum Capital	NA	NA	NA	NA	NA	NA	1	100%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
11	Alinma Investment Company	169	95%	168	96%	173	95%	171	95%
12	Pinnacle Capital Company	NA	NA	NA	NA	NA	NA	13	92%
13	Manafa Capital	16	94%	22	86%	14	93%	12	92%
14	SNB Capital	362	88%	362	78%	378	88%	376	88%
15	Sabeen Investment Company	8	88%	8	88%	8	88%	8	88%
16	Dom Capital Financial Company	13	92%	19	89%	23	87%	24	88%
17	Miyar Capital	20	80%	24	83%	24	83%	24	88%
18	AlBilad Investment Company	176	88%	182	85%	184	88%	191	87%
19	Saudi Fransi Capital	219	85%	203	77%	187	85%	214	87%
20	Al Rajhi Capital	258	89%	257	96%	251	88%	256	87%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
21	Tamra Capital Company	12	83%	18	78%	16	88%	15	87%
22	Riyad Capital Company	296	89%	303	83%	304	88%	266	86%
23	Portfolios Investment Company	8	75%	7	86%	7	86%	7	86%
24	ANB Capital Company	163	85%	166	81%	162	85%	174	85%
25	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	139	83%	138	79%	130	82%	133	83%
26	Sadeed Financial Company	5	100%	5	80%	5	100%	6	83%
27	DERB AL-TAJAR Finance	6	83%	6	83%	6	83%	6	83%
28	Nomw Capital	30	77%	32	75%	31	77%	29	83%
29	Arbah Capital Company	48	71%	54	65%	51	76%	52	83%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
30	Derayah Financial Corporation Company	197	86%	186	78%	192	85%	190	83%
31	Alkhabeer Capital	102	78%	108	58%	110	81%	112	82%
32	Adeem Financial Company	14	86%	14	79%	14	86%	11	82%
33	GIB Capital	89	82%	88	72%	91	80%	86	81%
34	Mulkia Investment Company	28	82%	29	79%	30	83%	32	81%
35	Yaqeen Capital	99	80%	98	84%	95	81%	105	81%
36	The Family Office International Investment Company	34	76%	31	65%	33	79%	36	81%
37	AlJazira Capital Company	182	81%	186	88%	186	80%	190	81%
38	Rawasi Advanced Investment Company	5	80%	4	100%	4	100%	5	80%
39	AlKhizanah Capital Company	5	80%	5	80%	5	80%	5	80%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
40	Marifa Capital	18	78%	20	80%	20	80%	20	80%
41	Sadu Capital Company	4	100%	5	80%	4	75%	5	80%
42	Alpha Capital	56	80%	61	80%	62	79%	69	80%
43	Artal Capital	14	79%	17	82%	20	80%	24	79%
44	Standard Chartered Capital Saudi Arabia	15	80%	15	80%	15	80%	14	79%
45	Alawwal INVEST Company	212	83%	210	77%	218	78%	223	78%
46	AlKhair Capital Saudi Arabia Company	96	81%	93	84%	88	78%	88	78%
47	Arch Capital	20	85%	19	68%	18	78%	18	78%
48	London and The Middle East Capital Company	17	71%	19	63%	21	76%	21	76%
49	Team One Company	9	67%	7	71%	7	86%	8	75%



## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
50	Al Nefae Investment Group	35	74%	30	70%	34	79%	36	75%
51	The Northern Trust Company of Saudi Arabia	23	78%	20	65%	24	79%	20	75%
52	Jadwa Investment Company	144	75%	149	79%	148	76%	148	75%
53	Middle East Financial Investment Company	44	77%	40	68%	43	74%	40	75%
54	Tharwat For Financial Securities	34	79%	31	77%	27	74%	28	75%
55	Tharawat Tuwaiq Financial Company	0	0%	10	60%	11	73%	12	75%
56	Nitaq Capital Company	4	50%	3	67%	3	67%	4	75%
57	Mashora Capital	6	100%	8	88%	10	60%	8	75%
58	Sidra Capital Company	61	72%	62	42%	60	73%	63	75%
59	Malaz Capital Company	32	69%	56	79%	37	76%	39	74%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
60	Alawwal Capital Company	28	68%	28	68%	29	69%	31	74%
61	Mekyal Financial Technologies Company	NA	NA	NA	NA	12	92%	15	73%
62	Rasana Capital Company	22	68%	22	82%	26	73%	26	73%
63	Saudi Economic and Development Securities Company (SEDCO Capital)	101	78%	97	73%	103	79%	100	73%
64	Esnad Financial Company	10	70%	10	60%	12	67%	11	73%
65	Awaed Alasool Financial Company	27	70%	32	72%	37	73%	40	73%
66	Credit Suisse Saudi Arabia Company	32	69%	32	69%	30	70%	29	72%
67	Osool & Bakheet Investment Company	56	73%	54	74%	56	73%	54	72%
68	Tatimah Capital	10	80%	20	85%	17	71%	18	72%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
69	Watani Wealth Management Company	39	77%	41	71%	42	74%	43	72%
70	Asyaf Investment Company	31	81%	37	70%	34	74%	32	72%
71	Goldman Sachs Saudi Arabia Company	24	75%	23	61%	22	73%	21	71%
72	Gulf Investors Asset Management Company	7	71%	7	71%	7	71%	7	71%
73	Amwal Financial	7	43%	9	44%	8	50%	7	71%
74	Sharaka Capital Company	NA	NA	NA	NA	NA	NA	7	71%
75	Musharaka Capital Company	58	71%	62	85%	65	66%	72	71%
76	Afaq company	8	88%	9	89%	13	77%	17	71%
77	Emkan Alarabiya	9	67%	14	86%	14	71%	20	70%
78	Citigroup Saudi Arabia	23	74%	24	63%	24	71%	26	69%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
79	Bayt Alnomow Capital Company	5	60%	5	80%	10	70%	13	69%
80	Impact Capital Company	18	78%	13	77%	14	71%	16	69%
81	Bait Al Mal Al Khaleeji Company	11	64%	18	94%	22	82%	22	68%
82	Itqan Capital Company	21	67%	28	75%	26	69%	25	68%
83	Al Wasatah Al Maliah Company	34	71%	34	71%	33	67%	34	68%
84	J.P. Morgan Saudi Arabia Company	53	70%	50	68%	47	70%	43	67%
85	Middle East Bridge Investment Company	10	70%	10	70%	11	73%	9	67%
86	Ashmore Investment Saudi Arabia Company	22	68%	21	67%	22	68%	21	67%
87	Anfaal Capital Company	9	67%	9	67%	9	67%	9	67%
88	First Abu Dhabi Investment Saudi Company	18	78%	21	71%	23	65%	21	67%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
89	Al Ertiqa Financial Company	9	67%	10	50%	11	64%	12	67%
90	HSBC Saudi Arabia	271	60%	301	68%	263	64%	295	66%
91	Audi Capital Company	31	74%	29	69%	26	65%	29	66%
92	Raz Amwal Investment	12	67%	12	42%	11	64%	11	64%
93	BNY Mellon Saudi Financial Company	9	67%	11	64%	9	67%	8	63%
94	AlDukheil Financial Group	19	58%	23	35%	25	64%	24	63%
95	Forsah Capital	9	78%	8	63%	8	63%	8	63%
96	Ehata Financial Company	9	67%	10	50%	12	67%	13	62%
97	Deutsche Securities Saudi Arabia Company	26	62%	26	65%	26	62%	26	62%
98	Rekaz National Capital	18	61%	18	72%	18	61%	18	61%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
99	Merrill Lynch KSA Company	20	65%	21	62%	22	59%	23	61%
100	Areeb Capital	17	41%	22	59%	18	50%	23	61%
101	Sahm Capital Financial Company	41	66%	20	65%	42	57%	51	61%
102	Saudi Kuwaiti Finance House Company	32	63%	29	62%	30	60%	33	61%
103	Seedra Investment Company	7	86%	8	63%	9	78%	10	60%
104	BNP Pariba Investment Company KSA	16	50%	14	50%	14	64%	15	60%
105	Ejada Capital	16	56%	17	47%	16	63%	15	60%
106	Awan Saudi Capital	5	60%	5	60%	5	60%	5	60%
107	Blominvest Saudi Arabia Company	60	62%	59	51%	64	59%	67	60%
108	KASB Capital	26	69%	25	88%	28	68%	27	59%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
109	Watheeq Financial Services Company	18	61%	18	72%	17	53%	17	59%
110	Emirates NBD Capital KSA	27	52%	25	52%	27	56%	29	59%
111	Shuaa Capital Saudi Arabia Company	17	47%	15	40%	14	57%	12	58%
112	Lazard Saudi Arabia Limited Company	11	45%	10	50%	11	55%	12	58%
113	Black Rock	17	59%	16	50%	17	65%	19	58%
114	SaudiMed Investment Company	17	53%	18	50%	19	58%	19	58%
115	Credit Agricole CIB Arabia Financial Company	14	57%	14	57%	14	57%	14	57%
116	Aloula Geojit Capital Company	9	56%	9	56%	9	56%	9	56%
117	Kamco Investment Company	22	55%	21	57%	20	55%	18	56%
118	EFG-Hermes-KSA	40	53%	39	77%	41	54%	42	55%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
119	UBS Saudi Arabia Company	15	47%	13	54%	13	54%	11	55%
120	Natixis Saudi Arabia Investment Company	11	45%	11	36%	11	45%	13	54%
121	Tanmia Capital Company	11	45%	5	40%	7	43%	13	54%
122	State Street Saudi Arabia Financial Solution Company	10	50%	8	63%	10	40%	13	54%
123	Morgan Stanley Saudi Arabia Company	29	52%	29	55%	29	52%	29	52%
124	99Hlala Capital Company	5	60%	4	50%	4	50%	4	50%
125	BMG Financial Group	16	50%	14	64%	15	47%	12	50%
126	GFH Capital Saudi Arabia	17	41%	13	31%	20	45%	21	48%
127	Investcorp Saudi Arabia Financial Investment Company	17	47%	17	47%	17	47%	17	47%
128	Haykala Advisors and Managers	10	40%	9	67%	11	45%	11	45%



## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
129	KKR Saudi Limited Company	4	75%	5	60%	7	43%	7	43%
130	SMBC Advisory Services Saudi Arabia	7	29%	7	14%	6	33%	7	43%
131	Moelis & Company Saudi Limited	7	29%	5	0%	8	25%	7	43%
132	Franklin Templeton Financial Company	NA	NA	NA	NA	NA	NA	7	43%
133	Societe Generale Saudi Arabia	11	45%	11	45%	10	40%	10	40%
134	Ithmar Saudi Financial Consultancy Services	9	56%	11	45%	9	33%	10	40%
135	SICO Financial Saudi Company	35	54%	34	53%	32	44%	33	39%
136	Narmo Capital	8	38%	7	43%	7	43%	8	38%
137	Mizuho Saudi Arabia Company	9	44%	8	38%	6	33%	8	38%
138	Arcapita Capital Company	16	44%	16	50%	14	36%	14	36%

## 1- Indicators of Workforce at Capital Market Institutions

#	Capital Market Institutions	Quarter 1		Quarter 2		Quarter 3		Quarter 4	
		2023		2023		2023		2023	
		Number	Saudization %	Number	Saudization %	Number	Saudization %	Number	Saudization %
139	Greenstone Saudi Arabia LLC	8	38%	9	44%	8	50%	10	30%
140	Saudi Venture Capital Investment Company	10	30%	10	20%	11	36%	10	30%
141	FIM Partners KSA	6	33%	7	29%	7	29%	6	17%
142	MMC Financial Company	5	0%	6	0%	6	17%	9	11%
<b>Total<sup>1</sup></b>		<b>5,421</b>	<b>%77</b>	<b>5,524</b>	<b>%75</b>	<b>5,531</b>	<b>%77</b>	<b>5,689</b>	<b>%76</b>

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 1			Quarter 2			Quarter 3			Quarter 4		
		2023			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
1	Financial Analytics Company	9	1	80%	8	1	78%	8	1	78%	10	2	83%
2	SIMAH Rating Agency	25	4	55%	26	3	52%	28	4	56%	29	6	54%
3	Fitch Australia PTY Ltd	2	1	67%	2	1	67%	2	1	67%	2	2	50%
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%	13	3	13%	12	3	0%
<b>Total</b>		<b>50</b>	<b>11</b>	<b>48%</b>	<b>50</b>	<b>10</b>	<b>45%</b>	<b>53</b>	<b>11</b>	<b>48%</b>	<b>55</b>	<b>15</b>	<b>47%</b>

### 3- Indicators at Market Infrastructure Institutions

#	Market Infrastructure Institution Name	Quarter 1			Quarter 2			Quarter 3			Quarter 4		
		2023			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
1	Securities Depository Center Company (Edaa)	58	9	96%	54	9	97%	55	9	94%	57	11	94%
2	Saudi Stock Exchange (Tadawul)	56	19	91%	57	20	91%	53	22	92%	54	23	92%
3	Securities Clearing Center Company (Muqassa)	26	9	80%	28	10	79%	27	11	79%	29	13	76%
<b>Total</b>		<b>140</b>	<b>37</b>	<b>91%</b>	<b>139</b>	<b>39</b>	<b>91%</b>	<b>135</b>	<b>42</b>	<b>90%</b>	<b>140</b>	<b>47</b>	<b>89%</b>

## 4- Indicators of Workforce at Financial Technology Companies

#	Fintech Company Name	Quarter 1			Quarter 2			Quarter 3			Quarter 4		
		2023			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
1	Sahem Financial Company	7	0	100%	7	0	100%	7	1	100%	6	1	100%
2	Makassb Company	2	1	100%	2	1	100%	4	1	100%	4	1	100%
3	Drahim Company	NA	NA	NA	8	1	100%	8	1	100%	5	1	100%
4	Trh Capital	NA	NA	NA	NA	NA	NA	2	1	100%	1	0	100%
5	Villa Finance Company	NA	NA	NA	NA	NA	NA	6	1	100%	5	1	100%
6	Sukuk Capital Company	18	8	96%	19	8	96%	32	13	98%	31	12	97%
7	Rehan Capital Company	7	2	78%	6	3	89%	5	4	89%	5	4	89%
8	Dinar Investments Company	11	0	82%	12	0	75%	11	1	83%	12	6	89%
9	Afaq Company	NA	NA	NA	NA	NA	NA	12	1	77%	7	0	86%
10	Abyan Capital	8	1	89%	7	1	88%	9	0	89%	12	0	83%

## 4- Indicators of Workforce at Financial Technology Companies

#	Fintech Company Name	Quarter 1			Quarter 2			Quarter 3			Quarter 4		
		2023			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
11	Malaa Financial Technology for Securities Business	9	2	82%	10	2	83%	10	2	83%	10	2	83%
12	Aseel Capital	12	13	88%	14	13	85%	16	13	83%	17	14	77%
13	Rakeez Capital Company	9	4	85%	6	3	78%	5	2	71%	5	2	71%
14	Awaed Alasool Financial Company	15	7	59%	20	6	62%	22	8	67%	25	9	71%
15	Tahaluf Capital	NA	NA	NA	3	3	67%	6	6	75%	6	4	70%
16	Mudaraba Capital Company	9	1	80%	9	3	75%	10	3	69%	10	3	69%
17	Safqah Capital Company	NA	NA	NA	NA	NA	NA	NA	NA	NA	9	3	67%
18	Emkan Alarabiya Company	6	4	70%	6	4	70%	NA	NA	NA	11	4	67%
19	Maysan Financial Technology Company	7	5	83%	6	3	78%	5	2	71%	6	2	62%

## 4- Indicators of Workforce at Financial Technology Companies

#	Fintech Company Name	Quarter 1			Quarter 2			Quarter 3			Quarter 4		
		2023			2023			2023			2023		
		Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %	Male	Female	Saudization %
20	Smart Savings Company	NA	NA	NA	4	0	50%	4	0	50%	4	0	50%
21	Madkhol Company	7	1	38%	7	1	38%	6	1	43%	5	1	50%
22	Tarmeez Capital Company	7	5	58%	20	5	36%	26	4	37%	29	7	33%
23	Wethaq Capital Markets Platform Company	8	2	20%	11	2	38%	NA	NA	NA	5	1	0%
<b>Total</b>		<b>160</b>	<b>62</b>	<b>%76</b>	<b>189</b>	<b>61</b>	<b>%74</b>	<b>216</b>	<b>67</b>	<b>%78</b>	<b>230</b>	<b>78</b>	<b>%73</b>

NA: Not licensed at the time

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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
1	State Street Saudi Arabia Financial Solution Company	7.88	109%	110%	99%
2	BNY Mellon Saudi Financial Company	2.33	86%	70%	91%
3	UBS Saudi Arabia Company	7.33	103%	105%	90%
4	FAB Capital	8.94	132%	91%	77%
5	Credit Suisse Saudi Arabia Company	5.52	80%	77%	76%
6	Deutsche Securities Saudi Arabia Company	6.36	73%	72%	72%
7	BNP Pariba Investment Company KSA	5.02	11%	65%	65%
8	Morgan Stanley Saudi Arabia Company	3.23	68%	69%	65%
9	Goldman Sachs Saudi Arabia Company	0.96	404%	51%	50%
10	Citygroup Saudi Arabia	4.63	46%	56%	46%



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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
11	The Northern Trust Company of Saudi Arabia	3.01	40%	29%	45%
12	Natixis Saudi Arabia Investment Company	3.74	46%	44%	45%
13	Emirates NBD Capital KSA	1.92	42%	43%	45%
14	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	4.76	53%	49%	44%
15	Al Wasatah Al Maliah Company	1.08	60%	50%	40%
16	J.P. Morgan Saudi Arabia Company	1.82	27%	17%	38%
17	EFG-Hermes-KSA	2.77	39%	40%	38%
18	Gulf Investors Asset Management Company	3.76	37%	39%	38%
19	Investcorp Saudi Arabia Financial Investment Company	2.07	34%	36%	37%
20	Saudi Kuwaiti Finance House Company	2.61	36%	34%	32%

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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
21	Gulf International Investment Company	NA	57%	46%	32%
22	HSBC Saudi Arabia	3.13	26%	37%	32%
23	SICO Financial Saudi Company	2.42	22%	33%	32%
24	Merrill Lynch KSA Company	1.25	41%	41%	31%
25	Black Rock	3.75	45%	41%	31%
26	GIB Capital	10.55	97%	18%	30%
27	Tatimah Capital	2.32	26%	21%	30%
28	Osool & Bakheet Investment Company	3.54	35%	40%	29%
29	AlBilad Investment Company	2.02	29%	28%	29%
30	Riyad Capital Company	1.34	13%	11%	29%

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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
31	Saudi Fransi Capital	2.83	36%	33%	28%
32	Al Rajhi Capital	2.66	28%	28%	28%
33	BLME Capital Company	1.62	26%	25%	27%
34	Kamco Investment Company	2.44	28%	27%	25%
35	Yaqeen Capital				25%
36	KASB Capital	1.85	14%	25%	25%
37	ANB Capital Company	2.15	24%	23%	24%
38	Dom Capital Financial Company	1.51	27%	26%	24%
39	Nomw Capital	1.50	23%	21%	21%
40	Malaz Capital Company	2.42	22%	22%	20%

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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
41	Alawwal INVEST Company	3.50	43%	28%	20%
42	Bait Al Mal Al Khaleeji Company	NA	NA	31%	19%
43	Credit Agricole CIB Arabia Financial Company	1.99	22%	14%	19%
44	Alinma Investment Company	1.45	16%	19%	18%
45	SNB Capital	1.46	20%	20%	18%
46	Blominvest Saudi Arabia Company	1.31	21%	21%	18%
47	Sahm Capital Financial Company	2.33	19%	21%	18%
48	Mulkia Investment Company	3.05	14%	15%	16%
49	Watani Wealth Management Company	2.38	34%	20%	16%
50	Saudi Economic and Development Securities Company (SEDCO Capital)	1.47	18%	16%	15%

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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
51	AlKhair Capital Saudi Arabia Company	2.36	16%	15%	15%
52	Audi Capital Company	1.52	15%	14%	14%
53	Arcapita Capital Company	NA	327%	16%	13%
54	Asyaf Investment Company	1.27	14%	15%	13%
55	Areeb Capital	1.76	13%	13%	13%
56	Derayah Financial Corporation Company	1.35	14%	14%	12%
57	Sidra Capital Company	1.20	13%	13%	12%
58	Arbah Capital Company	1.49	13%	12%	12%
59	Jadwa Investment Company	1.61	12%	14%	12%
60	Miyar Capital	3.37	10%	11%	11%

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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
61	Ashmore Investment Saudi Arabia Company	1.22	13%	12%	11%
62	Alljazira Capital Company	1.72	16%	12%	10%
63	Alawwal Capital Company	1.18	13%	12%	10%
64	Itqan Capital Company	2.09	23%	15%	9%
65	Ejada Capital Company	NA	NA	NA	9%
66	Tharwat For Financial Securities	7.44	9%	8%	8%
67	Al Nefaie Investment Group	0.49	8%	8%	7%
68	The Family Office International Investment Company	4.95	92%	73%	3%
69	Middle East Financial Investment Company	0.45	4%	4%	3%
70	Musharaka Capital Company	7.88	109%	110%	99%

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

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023 <sup>1</sup>	Quarter 3 2023	Quarter 4 2023
71	Arch Capital	2.33	86%	70%	91%
72	GFH Capital Saudi Arabia	7.33	103%	105%	90%
73	Shuaa Capital Saudi Arabia Company	8.94	132%	91%	77%
74	Rasana Capital	5.52	80%	77%	76%
75	Alkhabeer Capital	6.36	73%	72%	72%
76	Alpha Capital	5.02	11%	65%	65%
77	Artal Capital	3.23	68%	69%	65%
78	Standard Chartered Capital Saudi Arabia	0.96	404%	51%	50%
79	Dirham Capital Company	4.63	46%	56%	46%
80	Awaed Alosool Capital	3.01	40%	29%	45%
81	Adeem Financial Company	3.74	46%	44%	45%

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	119,935.6	901.5	120,837.2	139,250.3	1,727.1	140,977.3	125,784.3	904.0	126,688.3
2	SNB Capital	115,523.3	448.2	115,971.5	135,756.5	529.1	136,285.6	125,310.9	441.5	125,752.3
3	Derayah Financial Corporation Company	57,923.3	434.2	58,357.6	72,829.8	592.5	73,422.3	71,276.6	465.4	71,742.0
4	Merrill Lynch KSA Company	30,475.4	118.1	30,593.5	42,139.2	73.2	42,212.3	46,950.5	46.2	46,996.7
5	Riyad Capital Company	35,655.4	184.5	35,839.9	44,278.9	245.3	44,524.3	44,743.5	121.8	44,865.3
6	AlJazira Capital Company	40,846.1	433.6	41,279.7	41,185.4	536.6	41,722.0	36,360.9	415.9	36,776.8
7	Morgan Stanley Saudi Arabia Company	20,462.6	7.9	20,470.5	28,830.4	26.4	28,856.8	33,684.1	5.4	33,689.5



## 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)
8	J.P. Morgan Saudi Arabia Company	25,518.0	47.7	25,565.7	26,596.3	65.1	26,661.4	26,745.6	25.4	26,771.0
9	Goldman Sachs Saudi Arabia Company	24,593.5	44.9	24,638.4	35,366.3	60.4	35,426.6	26,626.2	6.8	26,632.9
10	ANB Capital Company	19,673.9	219.6	19,893.5	21,544.1	151.6	21,695.7	22,673.9	110.3	22,784.2
11	HSBC Saudi Arabia	17,564.9	31.6	17,596.5	25,454.9	57.7	25,512.5	21,808.8	209.4	22,018.2
12	Saudi Fransi Capital	23,996.6	192.6	24,189.1	25,724.2	221.1	25,945.3	21,717.0	146.3	21,863.4
13	EFG-Hermes-KSA	19,272.5	85.7	19,358.2	21,642.4	36.5	21,679.0	21,250.7	21.9	21,272.6
14	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	20,235.9	89.4	20,325.3	17,136.5	265.7	17,402.1	20,278.5	85.1	20,363.6

## 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)
15	Alawwal INVEST Company	17,663.0	146.5	17,809.5	19,707.7	160.5	19,868.3	19,308.9	79.5	19,388.4
16	Alinma Investment Company	18,668.6	76.9	18,745.5	19,370.6	140.3	19,510.9	16,847.7	98.4	16,946.1
17	AlBilad Investment Company	13,234.9	79.7	13,314.6	13,431.4	99.2	13,530.6	11,840.7	70.1	11,910.8
18	Yaqeen Capital	4,174.6	75.7	4,250.3	4,123.4	47.2	4,170.6	5,270.5	50.5	5,321.0
19	AlKhair Capital Saudi Arabia Company	7,338.1	48.9	7,387.0	6,568.5	83.1	6,651.6	4,440.2	36.0	4,476.2
20	Emirates NBD Capital KSA	2,857.2	8.9	2,866.1	2,660.4	2.5	2,662.9	3,125.8	3.9	3,129.7
21	GIB Capital	3,206.7	62.7	3,269.4	3,361.9	13.5	3,375.4	2,924.2	13.0	2,937.2

## 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)
22	Citygroup Saudi Arabia	3,257.4	5.4	3,262.8	3,376.6	2.3	3,378.9	2,458.9	0.0	2,459.0
23	Al Nefae Investment Group	3,248.0	31.3	3,279.2	2,917.6	70.0	2,987.6	1,649.3	20.6	1,669.9
24	Jadwa Investment Company	1,521.4	17.5	1,539.0	1,836.3	12.5	1,848.7	1,237.7	3.5	1,241.2
25	SICO Financial Saudi Company	941.7	0.7	942.5	1,119.7	3.2	1,122.9	1,131.0	0.6	1,131.6
26	Arbah Capital Company	1,199.1	15.5	1,214.6	1,156.1	31.1	1,187.2	959.9	20.7	980.6
27	Musharaka Capital Company	0.0	-	0.0	235.0	0.0	235.0	814.2	2.5	816.7
28	Alkhabeer Capital	486.8	1.3	488.1	1,164.6	36.8	1,201.4	499.4	1.1	500.5

## 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)
29	Osool & Bakheet Investment Company	137.1	13.7	150.8	125.4	19.8	145.2	97.6	22.7	120.3
30	Deutsche Securities Saudi Arabia Company	121.6	-	121.6	11.1	-	11.1	32.0	NA	32.0
31	Credit Suisse Saudi Arabia Company	291.2	0.1	291.3	36.5	-	36.5	2.4	-	2.4
32	Sahm Capital Financial Company	NA	NA	NA	NA	NA	NA	0.1	0.0	0.1
<b>TOTAL</b>		<b>650,024</b>	<b>3,824</b>	<b>653,849</b>	<b>758,938</b>	<b>5,310</b>	<b>764,248</b>	<b>717,852</b>	<b>3,428</b>	<b>721,281</b>

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
1	SNB Capital	249,314.9	243,808.3	271,217.7	237,461.8	269,619.4
2	Riyad Capital Company	79,860.2	80,780.2	83,953.6	84,674.3	93,536.8
3	Al Rajhi Capital	52,650.9	57,469.0	60,692.4	64,959.0	75,662.8
4	Alinma Investment Company	63,366.7	64,396.1	70,867.6	69,822.6	74,029.7
5	Jadwa Investment Company	48,462.1	51,108.7	57,059.1	53,434.1	62,471.0
6	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	25,169.5	24,893.3	27,365.8	30,772.0	31,091.2
7	Alawwal INVEST Company	15,502.9	20,417.8	20,924.3	23,085.4	27,055.5
8	Saudi Fransi Capital	24,418.6	32,277.7	25,268.6	22,134.0	19,136.4
9	AlJazira Capital Company	9,758.1	10,633.0	12,072.1	13,854.1	17,304.5

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
10	ANB Capital Company	16,383.6	16,802.9	17,210.5	16,255.0	16,237.3
11	AlBilad Investment Company	13,870.5	14,956.1	18,344.5	16,285.9	16,132.2
12	AlKhair Capital Saudi Arabia Company	17,207.6	18,595.9	19,354.0	18,434.3	15,949.6
13	Morgan Stanley Saudi Arabia Company	10,005.3	10,364.5	11,077.2	11,971.8	15,171.0
14	Blominvest Saudi Arabia Company	11,046.5	11,031.5	12,273.8	13,271.1	13,325.4
15	Alpha Capital	7,841.5	7,909.5	8,228.3	8,610.2	10,281.3
16	Derayah Financial Corporation Company	6,007.6	7,074.1	7,808.7	7,725.1	9,630.4
17	Alkhabeer Capital	8,524.1	8,618.1	9,069.9	8,737.1	8,808.6
18	Ashmore Investment Saudi Arabia Company	6,809.4	6,803.9	11,891.8	7,568.8	8,134.7
19	SICO Financial Saudi Company	3,799.6	3,311.0	3,477.2	6,086.3	6,362.9

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
20	State Street Saudi Arabia Financial Solution Company	7,513.3	7,903.5	4,766.5	5,240.5	5,816.3
21	GIB Capital	5,967.9	5,889.8	6,467.7	6,519.3	5,761.6
22	Tharwat For Financial Securities	3,509.8	5,008.0	5,064.1	5,093.8	5,440.6
23	Saudi Economic and Development Securities Company (SEDCO Capital)	4,716.2	4,707.1	4,383.9	4,791.3	4,747.7
24	Itqan Capital Company	3,341.0	3,540.2	3,692.1	4,005.3	4,401.0
25	Middle East Financial Investment Company	3,269.7	3,226.4	3,221.1	3,249.8	4,105.9
26	Miyar Capital	2,981.4	3,015.8	3,508.5	3,581.4	3,438.6
27	Malaz Capital Company	2,931.5	2,958.3	2,944.2	3,010.2	3,133.0
28	Watani Wealth Management Company	232.3	246.0	279.5	280.8	3,100.6

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
29	Adeem Financial Company	2,711.2	2,667.5	2,647.6	2,227.0	3,046.1
30	Mulkia Investment Company	5,807.0	5,920.9	4,164.8	2,924.8	2,989.8
31	Areeb Capital	813.9	2,360.6	2,337.0	2,337.0	2,721.8
32	Nomw Capital	1,848.4	1,892.6	2,051.5	2,934.9	2,627.5
33	Musharaka Capital Company	1,800.2	2,348.1	2,270.6	2,221.5	2,570.0
34	Artal Capital	1,665.6	1,963.9	2,393.7	2,434.8	2,495.7
35	Sidra Capital Company	1,724.8	1,849.5	1,891.4	1,992.3	2,021.6
36	Osool & Bakheet Investment Company	1,194.6	1,335.3	1,162.4	1,342.7	1,872.6
37	FIM Partners KSA	1,162.9	1,204.6	1,576.8	1,450.8	1,732.5
38	Yaqeen Capital	1,860.6	1,567.1	1,505.0	1,317.9	1,353.6



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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
39	Arbah Capital Company	808.7	696.1	992.1	1,192.3	1,290.6
40	Rasana Capital Company	86.9	283.2	291.1	409.4	1,190.3
41	Kamco Investment Company	884.8	894.8	973.3	905.5	1,034.7
42	Alawwal Capital Company	954.5	1,038.6	1,007.5	1,003.4	985.1
43	Emirates NBD Capital KSA	4,433.8	4,657.5	5,557.2	4,010.3	945.7
44	Arcapita Capital Company	612.1	618.1	612.1	937.5	937.5
45	Impact Capital Company	3,098.0	3,294.5	1,009.8	907.4	917.3
46	Shuaa Capital Saudi Arabia Company	800.3	800.3	932.9	911.7	911.7
47	Saudi Kuwaiti Finance House Company	571.5	853.1	885.8	768.5	758.0
48	Tamra Capital Company	142.5	243.2	375.6	506.2	672.0

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
49	Merak Capital Company	166.0	238.5	253.8	253.0	628.3
50	Sabeen Investment Company	403.4	518.0	590.9	582.3	624.1
51	Arch Capital	89.5	89.5	89.5	294.5	609.5
52	Al Nefae Investment Group	192.9	232.0	191.1	212.8	582.8
53	Al Wasatah Al Maliah Company	547.7	554.9	572.0	570.2	572.2
54	Investcorp Saudi Arabia Financial Investment Company	628.1	739.5	599.7	599.7	550.8
55	Anfaal Capital Company	550.0	550.0	550.0	550.0	550.0
56	Tatimah Capital	NA	NA	NA	0.0	527.9
57	Portfolios Investment Company	345.1	396.3	438.5	448.1	521.0
58	Tanmia Capital Company	328.8	353.4	467.2	465.0	457.7

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
59	Raz Amwal Investment Company	390.1	395.5	389.2	403.1	401.4
60	Audi Capital Company	306.7	328.5	341.6	328.3	336.6
61	United Financial House Company	255.0	255.0	255.0	255.0	255.0
62	GFH Capital Saudi Arabia	NA	NA	NA	NA	225.0
63	Seedra Investment Company	51.5	53.7	158.3	161.5	158.3
64	Rekaz National Capital	84.9	94.3	129.4	129.4	147.3
65	99Hlala Capital Company	142.0	142.0	142.0	0.0	142.0
66	Marifa Capital	330.7	351.6	411.8	395.4	132.8
67	Gulf Investors Asset Management Company	128.4	126.2	127.6	127.3	132.3
68	Asyaf Investment Company	141.3	140.7	141.7	142.1	127.4

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
69	Bait Al Mal Al Khaleeji Company	64.0	72.8	82.0	78.7	122.5
70	KASB Capital	653.3	601.1	290.4	274.1	109.1
71	Bayt Alnomow Capital Company	NA	NA	NA	NA	98.7
72	Dom Capital Financial Company	NA	NA	108.8	65.5	64.2
73	Watheeq Financial Services Company	9.5	9.5	20.8	28.5	51.2
74	Aloula Geojit Capital Company	37.6	37.6	37.6	37.6	37.6
75	Credit Suisse Saudi Arabia Company	36.2	36.6	36.7	35.6	36.3
76	Joa Capital Company	26.8	28.5	31.1	35.5	34.8
77	The Investor Company For Securities	34.5	34.6	34.5	34.5	34.5
78	Tharawat Tuwaiq Financial Company	NA	NA	NA	NA	19.9

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

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter 3 2023 (Million Riyals)	Quarter 4 2023 (Million Riyals)
79	SaudiMed Investment Company	9.0	9.0	8.9	8.9	8.9
	<b>TOTAL <sup>1</sup></b>	<b>743,400.87</b>	<b>770,627.42</b>	<b>823,623.70</b>	<b>790,168.22</b>	<b>871,259.83</b>

## 8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customers)

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

## 8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customers)

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
12	Osool & Bakheet Investment Company	-	-	-	-
13	Arbah Capital Company	-	-	-	-
14	Audi Capital Company	14.08	-	-	-
15	Miyar Capital	NA	-	-	-
16	Impact Capital Company	-	-	-	-
17	Merak Capital Company	-	-	-	-
18	The Family Office International Investment Company	-	-	-	-
19	Raz Amwal Investment	-	-	-	-
20	Alpha Capital	-	-	-	-
21	Alkhabeer Capital	-	23.44	2.95	-
22	Citigroup Saudi Arabia	58.82	54.79	7.35	-

## 8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customers)

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
23	Itqan Capital Company	-	-	18.35	-
24	Musharaka Capital Company	-	-	22.90	-
25	Saudi Economic and Development Securities Company (SEDCO Capital)	-	7.87	57.85	-
26	Tharwat For Financial Securities	-	-	NA	-
27	Alawwal INVEST Company	0.03	0.07	0.09	0.03
28	Tamra Capital Company	-	-	-	0.06
29	Alinma Investment Company	0.06	0.31	0.02	0.07
30	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	0.04	0.11	0.13	0.12
31	Saudi Fransi Capital	0.31	0.23	0.33	0.16
32	Rasana Capital Company	NA	NA	-	0.19
33	ANB Capital Company	0.13	0.50	0.53	0.21



## 8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customers)

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
34	Riyad Capital Company	0.18	0.33	0.42	0.22
35	SNB Capital	0.50	0.32	0.30	0.23
36	AlBilad Investment Company	0.14	0.19	0.52	0.23
37	Derayah Financial Corporation Company	0.14	0.25	0.27	0.24
38	Awaed Alosool Capital	-	-	-	0.25
39	Jadwa Investment Company	2.75	-	-	0.68
40	AlKhair Capital Saudi Arabia Company	0.49	1.98	-	0.70
41	Al Rajhi Capital	0.14	0.30	0.31	0.90
42	AlJazira Capital Company	0.27	0.12	0.48	0.99
43	Blominvest Saudi Arabia Company	-	-	-	1.20
44	Yaqeen Capital	-	2.04	1.44	1.48
45	Al Nefaie Investment Group	-	-	6.41	3.38
46	Mulkia Investment Company	-	15.27	3.77	3.64
47	SICO Financial Saudi Company	5.41	-	12.12	5.56

## 8- Complaints Rate Deposited to CMA against Capital Market Institutions

(Number of Complaints Per 1000 Customers)

#	Capital Market Institutions	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
48	HSBC Saudi Arabia	14.60	3.65	15.96	5.99
49	KASB Capital	NA	10.70	10.26	18.93
50	Alawwal Capital Company	12.20	54.35	34.48	28.17
51	Middle East Financial Investment Company	NA	NA	NA	41.10

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 <sup>1</sup>

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
1	Alinma Investment Company	82%	100%	86%	100%	100%
2	Al Nefaie Investment Group	-	-	-	100%	100%
3	Alawwal Capital Company	25%	100%	100%	67%	100%
4	SICO Financial Saudi Company	0%	0%	-	50%	100%
5	Blominvest Saudi Arabia Company	0%	-	-	-	100%
6	AlDukheil Financial Group	-	-	-	-	100%
7	State Street Saudi Arabia Financial Solution Company	-	-	-	-	90%
8	AlJazira Capital Company	100%	90%	75%	88%	87%
9	Tamra Capital Company	-	-	-	-	83 %
10	SNB Capital	86%	94%	74%	72%	77%
11	Yaqeen Capital	45%	-	83%	60%	75%

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

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
12	Riyad Capital Company	65%	92%	77%	78%	74%
13	Saudi Fransi Capital	88%	76%	88%	76%	71%
14	Derayah Financial Corporation Company	83%	80%	71%	74%	66%
15	AlBilad Investment Company	93%	100%	66%	78%	63%
16	Al Rajhi Capital	88%	95%	91%	75%	57%
17	ANB Capital Company	85%	100%	79%	71%	50%
18	The Investor Company for Securities	100%	-	-	-	50%
19	Alawwal INVEST Company	64%	100%	92%	75%	40%
20	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	100%	100%	100%	67%	40%
21	Middle East Financial Investment Company	-	0%	0%	100%	33%

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

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
22	Dirham Capital	-	-	-	-	33%
23	KASB Capital	67%	100%	50%	17%	18%
24	Mulkia Investment Company	-	-	100%	100%	0%
25	HSBC Saudi Arabia	50%	100%	0%	100%	0%
26	AlKhair Capital Saudi Arabia Company	100%	0%	100%	-	0%
27	Jadwa Investment Company	-	100%	-	-	0%
28	Saudi Kuwaiti Finance House Company	-	-	-	-	0%
29	Marifa Capital	-	-	-	100%	0%
30	Rasana Capital Company	-	-	-	-	0%
31	Citigroup Saudi Arabia	-	100%	100%	100%	-
32	SAMBA Capital & Investment Management Company	100%	-	100%	100%	-

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

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
33	Alkhabeer Capital	67%	-	83%	100%	-
34	Musharaka Capital Company	-	-	-	100%	-
35	Al Wasatah Al Maliah Company	-	-	-	100%	-
36	Saudi Economic and Development Securities Company (SEDCO Capital)	-	-	100%	86%	-
37	Itqan Capital Company	0%	-	-	50%	-
38	Areeb Capital	-	0%	100%	0%	-
39	Adeem Financial Company	0%	-	100%	0%	-
40	Standard Chartered Capital Saudi Arabia	-	-	-	0%	-
41	99Hlala Capital Company	0%	100%	100%	-	-
42	Ashmore Investment Saudi Arabia Company	-	-	100%	-	-
43	Amwal Financial	-	-	100%	-	-

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

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
44	Credit Suisse Saudi Arabia Company	-	-	0%	-	-
45	Aloula Geojit Capital Company	-	-	0%	-	-
46	Nomw Capital	0%	100%	-	-	-
47	Audi Capital Company	-	100%	-	-	-
48	Deutsche Securities Saudi Arabia Company	-	100%	-	-	-
49	United Financial House Company	0%	0%	-	-	-
50	Swicorp Company	-	0%	-	-	-
51	Osool & Bakheet Investment Company	100%	-	-	-	-
52	Bait Al Mal Al Khaleeji Company	100%	-	-	-	-
53	Morgan Stanley Saudi Arabia Company	0%	-	-	-	-
54	Arbah Capital Company	0%	-	-	-	-

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

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
55	Gulf One Capital Company	-	-	-	-	-
56	Watani Wealth Management Company	-	-	-	-	-
57	GIB Capital	-	-	-	-	-
58	Gulf Investors Asset Management Company	-	-	-	-	-
59	Emirates NBD Capital KSA	-	-	-	-	-
60	Shuaa Capital Saudi Arabia Company	-	-	-	-	-
61	SaudiMed Investment Company	-	-	-	-	-
62	Team One Company	-	-	-	-	-
63	EFG-Hermes-KSA	-	-	-	-	-
64	Saudi Portfolio Securities Company	-	-	-	-	-
65	Malaz Capital Company	-	-	-	-	-



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

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
66	Investcorp Saudi Arabia Financial Investment Company	-	-	-	-	-
67	Ithmar Saudi Financial Consultancy Services	-	-	-	-	-
68	Ehata Financial Company	-	-	-	-	-
69	Anfaal Capital Company	-	-	-	-	-
70	BNP Pariba Investment Company KSA	-	-	-	-	-
71	House of National Consulting Company	-	-	-	-	-
72	Tharwat For Financial Securities	-	-	-	-	-
73	Goldman Sachs Saudi Arabia Company	-	-	-	-	-
74	J.P. Morgan Saudi Arabia Company	-	-	-	-	-
75	Sidra Capital Company	-	-	-	-	-
76	Societe Generale Saudi Arabia	-	-	-	-	-

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

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
77	Kamco Investment Company	-	-	-	-	-
78	KKR Saudi Limited Company	-	-	-	-	-
79	Lazard Saudi Arabia Limited Company	-	-	-	-	-
80	The Family Office International Investment Company	-	-	-	-	-
81	Merrill Lynch KSA Company	-	-	-	-	-
82	Mizuho Saudi Arabia Company	-	-	-	-	-
83	The Northern Trust Company of Saudi Arabia	-	-	-	-	-
84	UBS Saudi Arabia Company	-	-	-	-	-
85	Saudi Venture Capital Investment Company	-	-	-	-	-
86	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 <sup>1</sup>

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
1	Audi Capital Company	100%	100%	100%	100%	100%
2	J.P. Morgan Saudi Arabia Company	100%	100%	100%	100%	100%
3	Goldman Sachs Saudi Arabia Company	100%	100%	100%	100%	100%
4	Alkhabeer Capital	100%	100%	100%	100%	100%
5	Citigroup Saudi Arabia	100%	100%	100%	100%	100%
6	Yaqeen Capital	100%	100%	100%	100%	100%
7	Emirates NBD Capital KSA	99%	100%	100%	100%	100%
8	HSBC Saudi Arabia	99%	100%	99%	100%	100%
9	SNB Capital	99%	100%	100%	100%	100%
10	EFG-Hermes-KSA	100%	100%	100%	100%	100%
11	Jadwa Investment Company	99%	100%	100%	100%	100%

## 10- Service Availability Rate <sup>1</sup>

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
12	Arbah Capital Company	100%	100%	100%	100%	100%
13	GIB Capital	100%	100%	100%	99%	100%
14	Credit Suisse Saudi Arabia Company	99%	100%	99%	99%	100%
15	AlJazira Capital Company	100%	100%	100%	99%	100%
16	Riyad Capital Company	100%	99%	100%	100%	100%
17	Sahm Capital Financial Company	NA	NA	NA	NA	100%
18	AlBilad Investment Company	99%	100%	100%	100%	100%
19	Deutsche Securities Saudi Arabia Company	100%	100%	100%	100%	100%
20	SICO Financial Saudi Company	100%	100%	100%	100%	100%
21	Morgan Stanley Saudi Arabia Company	97%	100%	99%	100%	100%
22	Musharaka Capital Company	NA	NA	NA	NA	100%
23	Merrill Lynch KSA Company	100%	100%	100%	100%	100%

## 10- Service Availability Rate <sup>1</sup>

#	Capital Market Institutions	Quarter 4 2022	Quarter 1 2023	Quarter 2 2023	Quarter 3 2023	Quarter 4 2023
24	Al Nefae Investment Group	99%	100%	100%	99%	99%
25	ANB Capital Company	99%	98%	98%	98%	99%
26	Alinma Investment Company	100%	99%	96%	99%	99%
27	AlKhair Capital Saudi Arabia Company	100%	100%	100%	100%	99%
28	Derayah Financial Corporation Company	100%	100%	99%	99%	99%
29	Alawwal INVEST Company	98%	100%	100%	98%	99%
30	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	99%	100%	100%	100%	98%
31	Saudi Fransi Capital	100%	98%	100%	100%	98%
32	Al Rajhi Capital	100%	100%	100%	100%	98%
33	Osool & Bakheet Investment Company	98%	100%	99%	100%	96%

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 <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
1	SNB Capital	44	121	165	44	122	166	44	131	175
2	Jadwa Investment Company	8	92	100	8	96	104	8	101	109
3	Al Rajhi Capital	24	28	52	28	30	58	32	33	65
4	Riyad Capital Company	25	35	60	26	37	63	26	38	64
5	Alinma Investment Company	13	37	50	14	43	57	15	47	62
6	Blominvest Saudi Arabia Company	4	44	48	4	45	49	4	47	51
7	Alawwal INVEST Company	25	17	42	25	17	42	25	19	44
8	AlBilad Investment Company	16	17	33	16	21	37	17	23	40
9	GIB Capital	5	33	38	5	33	38	5	34	39
10	Itqan Capital Company	2	30	32	2	32	34	2	34	36

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

#	Capital Market Institutions <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
11	AlJazira Capital Company	13	19	32	13	21	34	13	22	35
12	ANB Capital Company	11	17	28	12	19	31	12	19	31
13	AlKhair Capital Saudi Arabia Company	4	26	30	4	26	30	4	26	30
14	Derayah Financial Corporation Company	3	21	24	4	23	27	4	26	30
15	Saudi Fransi Capital	13	14	27	13	17	30	13	16	29
16	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	6	17	23	6	19	25	7	19	26
17	Musharaka Capital Company	3	11	14	3	14	17	3	19	22
18	Alkhabeer Capital	4	17	21	4	17	21	4	17	21
19	Areeb Capital	0	16	16	0	17	17	0	20	20
20	Nomw Capital	0	16	16	0	18	18	0	18	18

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

#	Capital Market Institutions <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
21	Alpha Capital	3	12	15	4	14	18	4	13	17
22	Middle East Financial Investment Company	3	11	14	3	14	17	3	14	17
23	Osool & Bakheet Investment Company	5	7	12	5	8	13	5	10	15
24	Alawwal Capital Company	3	12	15	3	13	16	3	11	14
25	Saudi Economic and Development Securities Company	1	6	7	1	10	11	1	13	14
26	Rasana Capital Company	2	7	9	2	9	11	2	11	13
27	Mulkia Investment Company	2	10	12	2	11	13	2	10	12
28	Ashmore Investment Saudi Arabia Company	2	8	10	2	9	11	2	10	12
29	Tanmia Capital Company	0	8	8	0	9	9	0	12	12
30	Tharwat For Financial Securities	1	13	14	0	13	13	0	11	11



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

#	Capital Market Institutions <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
31	Arbah Capital Company	1	9	10	1	10	11	1	10	11
32	Al Nefae Investment Group	1	5	6	1	7	8	1	10	11
33	Malaz Capital Company	0	9	9	0	9	9	0	10	10
34	Sidra Capital Company	0	7	7	0	9	9	0	10	10
35	Impact Capital Company	0	10	10	0	10	10	0	9	9
36	Yaqeen Capital	7	3	10	6	3	9	6	3	9
37	Bait Al Mal Al Khaleeji Company	3	3	6	3	4	7	3	6	9
38	Asyaf Investment Company	0	4	4	0	5	5	0	9	9
39	KASB Capital	5	5	10	5	5	10	5	3	8
40	Saudi Kuwaiti Finance House Company	1	5	6	1	5	6	1	6	7

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

#	Capital Market Institutions <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
41	SICO Financial Saudi Company	3	3	6	3	3	6	4	3	7
42	Rekaz National Capital	0	5	5	0	5	5	0	7	7
43	Tatimah Capital	0	1	1	0	3	3	0	7	7
44	Watheeq Financial Services Company	0	5	5	0	7	7	0	6	6
45	Arch Capital	0	6	6	0	6	6	0	6	6
46	Artal Capital	1	5	6	1	5	6	1	5	6
47	Emirates NBD Capital KSA	0	5	5	0	6	6	0	5	5
48	Merak Capital Company	0	5	5	0	5	5	0	5	5
49	Sabeen Investment Company	0	4	4	0	4	4	0	5	5
50	Al Wasatah Al Maliah Company	1	3	4	1	3	4	1	3	4

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

#	Capital Market Institutions <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
51	Miyar Capital	2	2	4	2	2	4	2	2	4
52	Adeem Financial Company	0	3	3	0	3	3	0	3	3
53	Shuaa Capital Saudi Arabia Company	0	3	3	0	3	3	0	3	3
54	Gulf Investors Asset Management Company	0	3	3	0	3	3	0	3	3
55	GFH Capital Saudi Arabia	NA	NA	NA	NA	NA	NA	0	3	3
56	The Investor Company For Securities	0	2	2	0	2	2	0	2	2
57	Morgan Stanley Saudi Arabia Company	1	1	2	1	1	2	1	1	2
58	Audi Capital Company	2	0	2	2	0	2	2	0	2
59	Arcapita Capital Company	0	2	2	0	2	2	0	2	2
60	Bayt Alnomow Capital Company	0	1	1	0	2	2	0	2	2

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

#	Capital Market Institutions <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
61	Rawasi Advanced Investment Company	0	1	1	0	2	2	0	2	2
62	BLME Capital Company	NA	NA	NA	0	1	1	0	2	2
63	Awaed Alasool Financial Company	NA	NA	NA	NA	NA	NA	0	2	2
64	99Hlala Capital Company	0	1	1	0	1	1	0	1	1
65	Aloula Geojit Capital Company	0	1	1	0	1	1	0	1	1
66	SaudiMed Investment Company	0	1	1	0	1	1	0	1	1
67	Investcorp Saudi Arabia Financial Investment Company	0	1	1	0	1	1	0	1	1
68	Anfaal Capital Company	0	1	1	0	1	1	0	1	1
69	United Financial House Company	0	1	1	0	1	1	0	1	1
70	Joa Capital Company	0	1	1	0	1	1	0	1	1
71	Seedra Investment Company	0	1	1	0	1	1	0	1	1
72	Raz Amwal Investment	0	1	1	0	1	1	0	1	1

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

#	Capital Market Institutions <sup>1</sup>	Quarter 2 2023			Quarter 3 2023			Quarter 4 2023		
		Public	Private	Total	Public	Private	Total	Public	Private	Total
73	Watani Wealth Management Company	1	0	1	1	0	1	1	0	1
74	Kamco Investment Company	1	0	1	1	0	1	1	0	1
75	East Bridge Capital	0	1	1	0	1	1	0	1	1
76	Nitaq Capital Company	0	1	1	0	1	1	0	1	1
77	FIM Partners KSA	0	1	1	0	1	1	0	1	1
78	Dom Capital Financial Company	1	0	1	1	0	1	1	0	1
79	Black Rock	NA	NA	NA	0	1	1	0	1	1
80	Portfolios Investment Company	NA	NA	NA	0	1	1	0	1	1
81	Tharawat Tuwaiq Financial Company	NA	NA	NA	NA	NA	NA	0	1	1
82	HSBC Saudi Arabia	NA	NA	NA	0	0	0	0	0	0
<b>Total</b>		<b>276</b>	<b>854</b>	<b>1,130</b>	<b>283</b>	<b>926</b>	<b>1,209</b>	<b>291</b>	<b>994</b>	<b>1,285</b>

NA: Not licensed at the time

1- CMI's Licensed in Investment Fund Management

## 12- Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)	Quarter4 2023 (Million Riyals)
1	The Northern Trust Company of Saudi Arabia	520,181	513,897	536,715	561,052	547,893
2	Riyad Capital Company	232,880	242,480	256,460	261,630	274,000
3	HSBC Saudi Arabia	206,453	202,961	237,543	241,761	243,557
4	AlBilad Investment Company	113,682	113,114	116,364	114,872	120,569
5	J.P. Morgan Saudi Arabia Company	84,501	85,411	93,712	90,876	100,999
6	FAB Capital	69,927	78,252	85,608	87,017	98,487
7	Nomw Capital	1,000	2,100	67,770	85,728	87,587
8	Alinma Investment Company	67,640	69,274	70,333	71,225	75,206
9	EFG-Hermes-KSA	40,686	30,158	46,462	47,659	51,303
10	AlJazira Capital Company	24,754	40,239	31,558	29,238	28,106
11	Saudi Fransi Capital	12,068	16,183	16,711	19,703	24,072
12	Al Nefae Investment Group	24,561	23,804	23,804	22,936	22,936

## 12- Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)	Quarter4 2023 (Million Riyals)
13	Alistithmar Capital for Financial Securities and Brokerage Company (Alistithmar Capital)	15,336	15,021	15,969	15,185	15,611
14	Citigroup Saudi Arabia	13,800	13,800	14,550	14,179	15,274
15	Emirates NBD Capital KSA	860	934	3,964	4,049	10,208
16	KASB Capital	7,735	7,495	7,495	5,385	5,385
17	State Street Saudi Arabia Financial Solution Company	3,263	3,556	3,577	3,727	4,110
18	SNB Capital	3,542	3,060	1,248	1,222	3,523
19	ANB Capital Company	182,708	174,575	11,225	11,029	3,347
20	Audi Capital Company	2,358	2,206	2,497	2,475	2,557
21	Deutsche Securities Saudi Arabia Company	10,370	10,557	2,237	1,803	2,051
22	Credit Suisse Saudi Arabia Company	15,631	15,043	1,623	1,517	1,648
23	Itqan Capital Company	1,074	1,173	1,101	1,351	1,330
24	Musharaka Capital Company	465	1,197	409	602	1,144

## 12- Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)	Quarter4 2023 (Million Riyals)
25	Osool & Bakheet Investment Company	2,909	2,926	3,108	3,108	774
26	Goldman Sachs Saudi Arabia Company	129	168	201	187	436
27	Alawwal Capital Company	468	426	493	356	353
28	Saudi Kuwaiti Finance House Company	NA	NA	NA	NA	331
29	Jadwa Investment Company	193	144	190	214	256
30	Al Rajhi Capital	NA	90	94	94	94
31	Yaqeen Capital	3,546	3,919	22	22	23
32	AlKhair Capital Saudi Arabia Company	86	-	7	6	7
33	Morgan Stanley Saudi Arabia Company	52	56	59	57	-
34	GIB Capital	7,988	9,475	-	-	-
35	UBS Saudi Arabia Company	293	280	-	-	-



## 12- Assets Under Custodial Activity at Capital Market Institutions Licensed for Custodial Activity

#	Capital Market Institutions	Quarter 4 2022 (Million Riyals)	Quarter 1 2023 (Million Riyals)	Quarter 2 2023 (Million Riyals)	Quarter3 2023 (Million Riyals)	Quarter4 2023 (Million Riyals)
36	Shuaa Capital Saudi Arabia Company	-	-	-	-	-
37	Saudi Economic and Development Securities Company (SEDCO Capital)	-	-	-	-	-
38	Watani Wealth Management Company	-	-	-	-	-
39	Gulf International Investment Company	-	-	-	-	-
<b>Total</b>		<b>1,671,141</b>	<b>1,683,975</b>	<b>1,653,110</b>	<b>1,700,265</b>	<b>1,743,179</b>

### 13- 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	14	5
Second quarter 2023	7	8
Third quarter 2023	7	0
Fourth quarter 2023	46	1

For Inquiries and More Information:

Data Management Office

PO Box 87171

Riyadh 11642

1111-245-800

Call Center:

+966112053000

Email: [info@cma.org.sa](mailto:info@cma.org.sa)

