

3.6 Provide below the job description for the proposed registered person clearly outlining the

a- Mandatory Fields

uestion 3.2 is required uestion 3.2 is required uestion 3.4 is required uestion 3.5 is required	
uestion 3.6 is required uestion 3.7 is required	
3. Registrable Functions	
3.1 Please tick the functions to be carried	out by the proposed registered person
Chairman	Board Member
CEO/Managing Director	Senior Officer/Manager
Compliance Officer/Manager	AntiMoney Laundering and Anti Reporting Officer/Manager
Finance Officer/Manager	Investment Advisor
Asset Management Officer/Manager	Corporate Finance Professional
Mutual Fund Officer/Manager	Investment Portfolio Officer/Ma
Brokerage Officer/Manager	Financial Analyst
Local Shares Broker	International Shares Broker
Advisory Officer/Manager	Arranging Officer/Manager
Custody Officer/Manager	Customer Relationships Officer
Sales Representative	Customer Services Officer/Man
Head of Operations	Other
3.2 Full job title within Authorised Person	and office/ branch address:
English	

b- Business Rules

i- Residency

If you answer NO to the question

1.1 Is the proposed registered person resident in Saudi Arabia?

Then only available Registrable Functions (Section 3) are Chairman or Non-Executive Board Member. No other function can be added for an RP who does not reside in Saudi Arabia



You cannot select this function because you are not	resident in Saudi Arabia.
3. Registrable Functions	
3.1 Please tick the functions to be carried	out by the proposed registered person
*	
Chairman	Board Member
CEO/Managing Director	Senior Officer/Manager
Compliance Officer/Manager	AntiMoney Laundering and AntiTerrorism Financing Reporting Officer/Manager
Finance Officer/Manager	Investment Advisor
Asset Management Officer/Manager	Corporate Finance Professional Officer/Manager

ii- Registrable Functions

The following functions cannot be chosen together:

Chairman & CEO/Managing Director

CEO/Managing Director & Compliance Officer/Manager

CEO/Managing Director & Finance Officer/Manager

Compliance Officer/Manager & Finance Officer/Manager

AntiMoney Laundering and AntiTerrorism Financing & CEO/Managing Directory

AntiMoney Laundering and AntiTerrorism Financing & Finance Officer/Manager

Customer Relationships Officer/Manager & AntiMoney Laundering and AntiTerrorism Financing

Compliance Officer/Manager & Customer Relationships Officer/Manager



Chairman and CEO can not be chosen together. Attachment Required Attachment Required			
3. Registrable Functions			
3.1 Please tick the functions to be carried out by the proposed registered person			
*			
▼ Chairman	Board Member		
▼ CEO/Managing Director	Senior Officer/Manager		
Compliance Officer/Manager	AntiMoney Laundering and AntiTerrorism Financing Reporting Officer/Manager		
Finance Officer/Manager	Investment Advisor		
Asset Management Officer/Manager	Corporate Finance Professional Officer/Manager		
Mutual Fund Officer/Manager	Investment Portfolio Officer/Manager		
Brokerage Officer/Manager	Financial Analyst		
Local Shares Broker	☐ International Shares Broker		
Advisory Officer/Manager	Arranging Officer/Manager		
Custody Officer/Manager	Customer Relationships Officer/Manager		
Sales Representative	Customer Services Officer/Manager		
Head of Operations	Other		
Please attach Shareholders Resolution Letter			

iii- Required Attachments

In addition, the following additional attachments are required based on a Registrable function selected:

For Chairman, Shareholders Resolution attachment is required For Board Member and/or CEO/Managing Director, Chairman Approval attachment is required.

For Local Shares Broker, Tadawul attachment is required.



3.1 Please tick the functions to be carried out	by the proposed registered person	
	Board Member	
CEO/Managing Director	Senior Officer/Manager	
Compliance Officer/Manager	AntiMoney Laundering and AntiTerrorism Financing Reporting Officer/Manager	
Finance Officer/Manager	Investment Advisor	
Asset Management Officer/Manager	Corporate Finance Professional Officer/Manager	
Mutual Fund Officer/Manager	☐ Investment Portfolio Officer/Manager	
Brokerage Officer/Manager	Financial Analyst	
Local Shares Broker	International Shares Broker	
Advisory Officer/Manager	Arranging Officer/Manager	
Custody Officer/Manager	Customer Relationships Officer/Manager	
Sales Representative	Customer Services Officer/Manager	
Head of Operations	Other	
Please attach Shareholders Resolution Let	ter	
Browse		



3.1.1.4 Disciplinary and Investigations Record

Disciplinary and Investigations Record	
4.1 Refused or restricted from the right to carry on any trade, business or profession f specific license, registration or other authorisation is required by law?	for which a
4.2 Censured, disciplined or disqualified by any professional or regulatory body (included futures exchange) in relation to any trade, business or profession?	ding a stock
○ Yes ○ No	
4.3 The subject of an investigation relating to him/her (or his/her company's or firm's activities conducted by a regulatory or criminal investigatory body (i.e. police, securit regulator, stock or futures exchange, or other regulatory body)?	
⊕ Yes ® No	
4.4 Found by a court to be guilty of a criminal offence?	
○ Yes ○ No	
4.5 Judged by a court to be civilly liable for fraud, dishonesty or malfeasance?	
O Yes O No	
4.6 The subject of any disciplinary actions or proceedings that are currently pending	
○ Yes ○ No	
4.7 Disqualified by a court order from being an executive director of a corporation, or equivalent in another jurisdiction locally or internationally?	the
O Yes O No	
Please attach further documents (if any)	
Browse	
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a- Mandatory Fields



Question 4.3 is required				
Disciplinary and Investigations Record				
4.1 Refused or restricted from the right to carry on any trade, business or profession for which a specific license, registration or other authorisation is required by law?				
⊚ Yes ⊚ No				
4.2 Censured, disciplined or disqualified by any professional or regulatory body (including a stock or futures exchange) in relation to any trade, business or profession?				
© Yes ◉ No				
4.3 The subject of an investigation relating to him/her (or his/her company's or firm's) business activities conducted by a regulatory or criminal investigatory body (i.e. police, securities regulator, stock or futures exchange, or other regulatory body)?				
● Yes ◎ No				
A				
+				

3.1.1.5 Financial Status

5. Financial Status
5.1. Has the proposed registered person ever been a party to any civil litigation in the past ten years involving damages in amount in excess of SR 200,000 or equivalent?
5.2. Is the proposed registered person presently a party to any civil litigation?
⊚ Yes ③ No
5.3. Are there any judgments or court orders that he/she is currently subject to, or with which the proposed registered person has not complied?
⊚ Yes ® No
5.4. Has the proposed registered person ever been a party to a scheme of arrangement; or entered into any form of compromise with his/her creditors in the past ten years involving an amount in excess of SR 200,000 or equivalent?
○ Yes No
5.5. Has the proposed registered person ever been bankrupt, or served with a bankruptcy petition?
⊚ Yes ® No
5.6. Has the proposed registered person ever been an executive director, substantial shareholder, or involved in the management of a company or firm which was wound up other than by voluntary wind up?
◯ Yes ⑨ No
5.7. Has the proposed registered person ever been a partner of a firm which was dissolved other than with the consent of all the partners?
⊚ Yes No
Please attach further documents (if any)
Browse

a- Mandatory Fields

All questions are mandatory; in addition, answering yes to any question will prompt users to fill the reason



Question 5.1 is required Question 5.2 is required Question 5.3 is required Question 5.4 is required Question 5.5 is required Question 5.6 is required Question 5.7 is required
5. Financial Status
5.1. Has the proposed registered person ever been a party to any civil litigation in the past ten years involving damages in amount in excess of SR 200,000 or equivalent?
* © Yes © No
5.2. Is the proposed registered person presently a party to any civil litigation?
Yes No 5.3. Are there any iudaments or court orders that he/she is currently subject to. or with which the
Question 5.1 is required 5. Financial Status
5.1. Has the proposed registered person ever been a party to any civil litigation in the past ten years involving damages in amount in excess of SR 200,000 or equivalent?
● Yes ◎ No

3.1.1.6 Competency and Qualifications

6. Competency and Qualifications	
6.1 Please provide information on the proposed registered pe qualifications:	rson education and academic
Add Academic Qualification	
6.2. Please provide information on his/her professional qualif professional or industry accreditations, certifications, courses	
Add Professional Qualification	
6.3. Choose the checkbox if the proposed registered person to Market Examinations	ken any of the listed below Capital
CME-1 (Part 1)	
CNE-1 (Part 2)	
CME-2	
6.4. Please provide information on the employment history of	the proposed registered person:
Add RP Employment History	
6.5. Have any of the proposed registered person's previous e Authority (or an equivalent regulatory body in another jurisdi	
⊚ Yes ⊚ No	
< Back	Next >

a- Mandatory Fields

All Questions are mandatory; in addition, there are required attachments and data for the

Question 6.1 is required
Question 6.2 is required
Question 6.2 is required
6. Competency and Qualifications
6.1 Please provide information on the proposed registered person education and academic
qualifications:
Question 6.1 is required

Add Academic Qualification

6.2. Please provide information on his/her professional qualifications. This includes any
professional or industry accreditations, certifications, courses or programs:
Question 6.2 is required

Add Professional Qualification

6.3. Choose the checkbox if the proposed registered person taken any of the listed below Capital
Market Examinations

CME-1 (Part 1)

CME-1 (Part 2)

CME-2

6.4. Please provide information on the employment history of the proposed registered person:

Add RP Employment History

Question 6.4 is required

Academic Qualification

Qualification: *

Name Of Institution: *

Country: Saudi Arabia

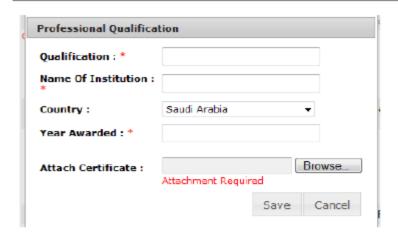
Year Awarded: *

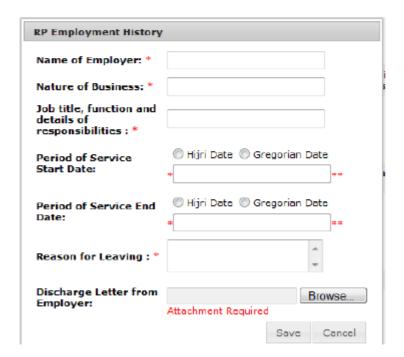
Attach Certificate: Browse...

Attachment Required

Save Cancel







b- Capital Market Examination

For CME 1 (part 1 and part 2), one attachment is required

For CME2, one attachment is required



* If the RP is a chairman or non-executive board member, the exams are not required

CME-1 (Part 1)	V		
CME-1 (Part 2)	1		
		Browse	
Attachment Red	quired		
CME-2	J		
		Browse	

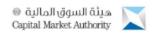


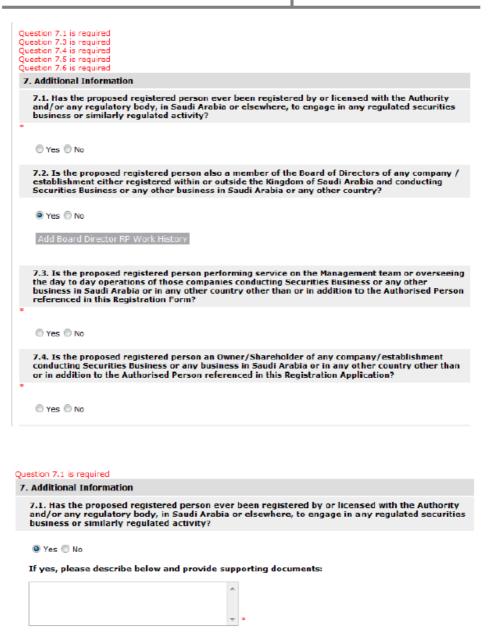
3.1.1.7 Additional Information

	Tittelle Tilgo Tittello Ti		
7. Add	itional Information		
and/	Has the proposed registered person ever b or any regulatory body, in Saudi Arabia or ness or similarly regulated activity?		
(Y	es 🔘 No		
esta	Is the proposed registered person also a m blishment either registered within or outsid Irities Business or any other business in Sai	le the Kingdom of Saudi Arabia and c	ny company / onducting
(Y	es 🔘 No		
the d	Is the proposed registered person perform day to day operations of those companies c ness in Saudi Arabia or in any other country renced in this Registration Form?	onducting Securities Business or any	other
(Y	es 🖲 No		
cond	Is the proposed registered person an Owne lucting Securities Business or any business a addition to the Authorised Person reference	in Saudi Arabia or in any other count	
O Y	es 🖲 No		
gove	Is the proposed Registered Person, (who is ernment or in a company owned and control pia or the Government of any country.	Saudi citizen or non-Saudi resident) lled by the Government of the Kingdo	employed in a m of Saudi
© Y	es 🖲 No		
	Is the proposed registered person a member orised by CMA?	er of the Investment Funds (Mutual F	unds) Board
(C) Y	es 🖲 No		
	< Back 5	ave	Next >

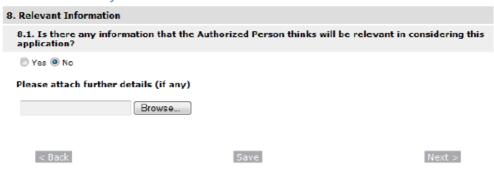
a- Mandatory Fields

All questions are mandatory; in addition, answering yes to any question will prompt users to fill the reason



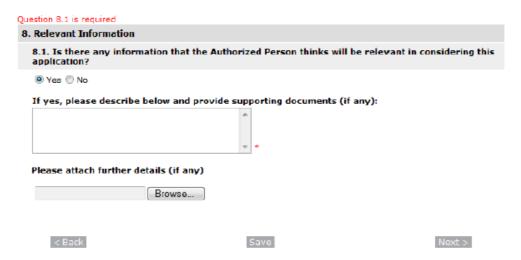


3.1.1.8 Relevant Information



a- Mandatory Fields

Answering "Yes" to 8.1, will require more details





3.1.1.9 Declaration of the Authorized Person

9. Declaration of the Authorized Person				
lacksquare 9.1 The information provided in this Application Form (including all Supporting	Documents).			
9.2 The documents evidencing Name of of proposed registered person academic and professional qualifications stated in this form (including all attachments).				
9.3 Name of Authorised Person (Firm's Name):				
Prot Verify Company				
9.4 Name of Director or Responsible Officer:				
Prod CEO Prod Comp Officer				
< Back	Next >			

a- Mandatory Fields

Question 9.1 is required
Question 9.2 is required

9. Declaration of the Authorized Person

9.1 The information provided in this Application Form (including all Supporting Documents).
Question 9.1 is required

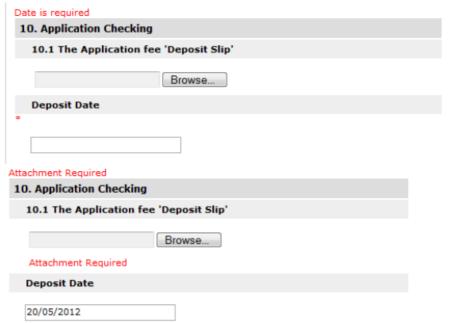
9.2 The documents evidencing Name of of proposed registered person academic and professional qualifications stated in this form (including all attachments). Question 9.2 is required

9.3 Name of Authorised Person (Firm's Name):

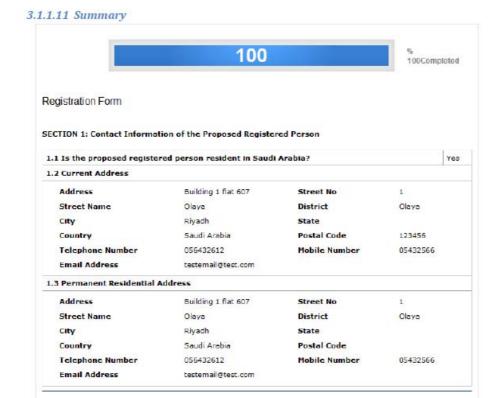
3.1.1.10 Application Checking



a- Mandatory Field







Prot Verify Company
303032
Ahmad Kamal Khaled Al Hussein
Saudi Arabia
place of issue:
4561239871
Sa Local intranet Protected Mode: Off

SECTION 2: Personal Information of the Proposed Registered Person

Local intranet | Protected Mode: Off

3.1.2 Finishing the Application

On the summary page, scroll down and click Finish. You can click back to edit any section.

NOTE: Please make sure you are all the data is correct before clicking Finish. Clicking finish will not allow you to edit the application until it is sent back by CMA.

CMA Authorization Portal Application User Manual



7.5. Is the proposed Registered Person, (who is Saudi citizen or non-Saudi resident) employed in a government or in a company owned and controlled by the Government of the Kingdom of Saudi Arabia or the Government of any country.	No
If yes, please provide details of such employment:	
7.6. Is the proposed registered person a member of the Investment Funds (Mutual Funds) Board authorised by CMA?	No
If yes, please provide details of the fund name, fund manager, and the Authorised Person's name:	

SECTION 8: Relevant Information in Considering this Application

8.1. Is there any information that the Authorized Person thinks will be relevant in considering this application?	No	
If yes, please describe below and provide supporting documents (if any):		

SECTION 9: Declaration of the Authorized Person

9.1 To be completed by the Authorized Person. I declare that I Name of Authorised Person have reviewed: 9.1 The information provided in this Application Form (including all Supporting Documents).	Yes
9.2 The documents evidencing Name of of proposed registered person academic and professional qualifications stated in this form (including all attachments).	Yes
9.3 Name of Authorised Person (Firm's Name):	Prot Verify Company
9.4 Name of Director or Responsible Officer:	Prod CEO Prod Comp Officer

SECTION 10: Application Checking

10.1 The Application fee 'Deposit Slip'	76Deposit Slip.png
Deposit Date	20/05/2012

< Back





Registration Form

Thank you for completing the e- application form request . Once clicking the finish button below your application will be available in the table "Ready to Send Forms" which is located in the main web page screen, in which you can submit the application request to send it to CMA for approval

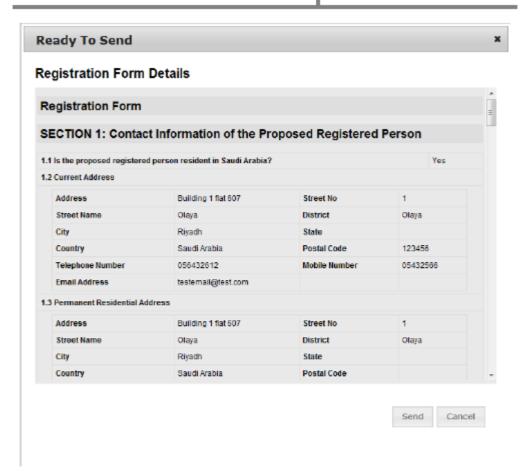
Return Home

3.1.3 Submitting the Application

Once done filling the form, go to home page under "Ready to Send" section, the form will be shown

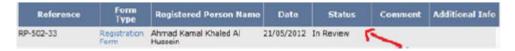


Click to open the form, the generated PDF form will be displayed, click Send



After you click Send, the form will be displayed as "Read Only" in the Pending Forms section

The status of the form will be "In Review"



Clicking the form will open a Read Only version of it.