



3.1.1.3 Registrable Function

Contact Information
Personal Information
Registrable Functions
Disciplinary and Investigations Record
Financial Status
Competency and Qualifications
Additional Information
Relevant Information
Declaration of the Authorized Person
Application Checking
Summary

27

27 Completed

Registration Form

3. Registrable Functions

3.1 Please tick the functions to be carried out by the proposed registered person

- | | |
|---|---|
| <input type="checkbox"/> Chairman | <input type="checkbox"/> Board Member |
| <input type="checkbox"/> CEO/Managing Director | <input type="checkbox"/> Senior Officer/Manager |
| <input type="checkbox"/> Compliance Officer/Manager | <input type="checkbox"/> Anti-Money Laundering and Anti-Terrorism Financing Reporting Officer/Manager |
| <input type="checkbox"/> Finance Officer/Manager | <input type="checkbox"/> Investment Advisor |
| <input type="checkbox"/> Asset Management Officer/Manager | <input type="checkbox"/> Corporate Finance Professional Officer/Manager |
| <input type="checkbox"/> Mutual Fund Officer/Manager | <input type="checkbox"/> Investment Portfolio Officer/Manager |
| <input type="checkbox"/> Brokerage Officer/Manager | <input type="checkbox"/> Financial Analyst |
| <input type="checkbox"/> Local Shares Broker | <input type="checkbox"/> International Shares Broker |
| <input type="checkbox"/> Advisory Officer/Manager | <input type="checkbox"/> Arranging Officer/Manager |
| <input type="checkbox"/> Custody Officer/Manager | <input type="checkbox"/> Customer Relationship Officer/Manager |
| <input type="checkbox"/> Sales Representative | <input type="checkbox"/> Customer Services Officer/Manager |
| <input type="checkbox"/> Head of Operations | <input type="checkbox"/> Other |

3.2 Full job title within Authorised Person and office/ branch address:

English
Arabic

3.3 Please tick the type of activity under which is the job to be undertaken by the proposed registered person:

- ☐ All Activities
- ☐ Dealing as:
- ☐ Agent
 - ☐ Principle
 - ☐ Underwriter
- ☐ Managing
- ☐ Investment fund Management
 - ☐ Portfolio Management
- ☐ Arranging
- ☐ Custody
- ☐ Advising

3.4 Please indicate if the position is a full time position or a part time position and how much time will be allocated to the role:

☒ Full ☐ Part

3.5 Time To Be Allocated to the Role

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

a- Mandatory Fields



Question 3.2 is required
Question 3.2 is required
Question 3.4 is required
Question 3.5 is required
Question 3.6 is required
Question 3.7 is required

3. Registrable Functions

3.1 Please tick the functions to be carried out by the proposed registered person

- | | |
|---|--|
| <input type="checkbox"/> Chairman | <input type="checkbox"/> Board Member |
| <input type="checkbox"/> CEO/Managing Director | <input type="checkbox"/> Senior Officer/Manager |
| <input type="checkbox"/> Compliance Officer/Manager | <input type="checkbox"/> AntiMoney Laundering and AntiT
Reporting Officer/Manager |
| <input type="checkbox"/> Finance Officer/Manager | <input type="checkbox"/> Investment Advisor |
| <input type="checkbox"/> Asset Management Officer/Manager | <input type="checkbox"/> Corporate Finance Professional |
| <input type="checkbox"/> Mutual Fund Officer/Manager | <input type="checkbox"/> Investment Portfolio Officer/Mar |
| <input type="checkbox"/> Brokerage Officer/Manager | <input type="checkbox"/> Financial Analyst |
| <input type="checkbox"/> Local Shares Broker | <input type="checkbox"/> International Shares Broker |
| <input type="checkbox"/> Advisory Officer/Manager | <input type="checkbox"/> Arranging Officer/Manager |
| <input type="checkbox"/> Custody Officer/Manager | <input type="checkbox"/> Customer Relationships Officer/ |
| <input type="checkbox"/> Sales Representative | <input type="checkbox"/> Customer Services Officer/Manz |
| <input type="checkbox"/> Head of Operations | <input type="checkbox"/> 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

*

- | | |
|---|---|
| <input type="checkbox"/> Chairman | <input type="checkbox"/> Board Member |
| <input type="checkbox"/> CEO/Managing Director | <input type="checkbox"/> Senior Officer/Manager |
| <input type="checkbox"/> Compliance Officer/Manager | <input type="checkbox"/> AntiMoney Laundering and AntiTerrorism Financing Reporting Officer/Manager |
| <input checked="" type="checkbox"/> Finance Officer/Manager | <input type="checkbox"/> Investment Advisor |
| <input type="checkbox"/> Asset Management Officer/Manager | <input type="checkbox"/> 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 Director

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

*

- | | |
|---|---|
| <input checked="" type="checkbox"/> Chairman | <input type="checkbox"/> Board Member |
| <input checked="" type="checkbox"/> CEO/Managing Director | <input type="checkbox"/> Senior Officer/Manager |
| <input type="checkbox"/> Compliance Officer/Manager | <input type="checkbox"/> AntiMoney Laundering and AntiTerrorism Financing Reporting Officer/Manager |
| <input type="checkbox"/> Finance Officer/Manager | <input type="checkbox"/> Investment Advisor |
| <input type="checkbox"/> Asset Management Officer/Manager | <input type="checkbox"/> Corporate Finance Professional Officer/Manager |
| <input type="checkbox"/> Mutual Fund Officer/Manager | <input type="checkbox"/> Investment Portfolio Officer/Manager |
| <input type="checkbox"/> Brokerage Officer/Manager | <input type="checkbox"/> Financial Analyst |
| <input type="checkbox"/> Local Shares Broker | <input type="checkbox"/> International Shares Broker |
| <input type="checkbox"/> Advisory Officer/Manager | <input type="checkbox"/> Arranging Officer/Manager |
| <input type="checkbox"/> Custody Officer/Manager | <input type="checkbox"/> Customer Relationships Officer/Manager |
| <input type="checkbox"/> Sales Representative | <input type="checkbox"/> Customer Services Officer/Manager |
| <input type="checkbox"/> Head of Operations | <input type="checkbox"/> 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.



Attachment Required

3. Registrable Functions

3.1 Please tick the functions to be carried out by the proposed registered person

- | | |
|---|---|
| <input checked="" type="checkbox"/> Chairman | <input type="checkbox"/> Board Member |
| <input type="checkbox"/> CEO/Managing Director | <input type="checkbox"/> Senior Officer/Manager |
| <input type="checkbox"/> Compliance Officer/Manager | <input type="checkbox"/> AntiMoney Laundering and AntiTerrorism Financing Reporting Officer/Manager |
| <input type="checkbox"/> Finance Officer/Manager | <input type="checkbox"/> Investment Advisor |
| <input type="checkbox"/> Asset Management Officer/Manager | <input type="checkbox"/> Corporate Finance Professional Officer/Manager |
| <input type="checkbox"/> Mutual Fund Officer/Manager | <input type="checkbox"/> Investment Portfolio Officer/Manager |
| <input type="checkbox"/> Brokerage Officer/Manager | <input type="checkbox"/> Financial Analyst |
| <input type="checkbox"/> Local Shares Broker | <input type="checkbox"/> International Shares Broker |
| <input type="checkbox"/> Advisory Officer/Manager | <input type="checkbox"/> Arranging Officer/Manager |
| <input type="checkbox"/> Custody Officer/Manager | <input type="checkbox"/> Customer Relationships Officer/Manager |
| <input type="checkbox"/> Sales Representative | <input type="checkbox"/> Customer Services Officer/Manager |
| <input type="checkbox"/> Head of Operations | <input type="checkbox"/> Other |

Please attach Shareholders Resolution Letter

Browse...

Attachment Required



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 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

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?

☐ Yes ☒ 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 the equivalent in another jurisdiction locally or internationally?

☐ Yes ☒ No

Please attach further documents (if any)

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



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?

☐ Yes ☒ No

5.2. Is the proposed registered person presently a party to any civil litigation?

☐ Yes ☒ 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 ☒ 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)

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 judgments 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 person education and academic qualifications:

Add Academic Qualification

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

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

6.5. Have any of the proposed registered person's previous employers been regulated by the Authority (or an equivalent regulatory body in another jurisdiction)?

☐ Yes ☐ No

< Back

Save

Next >

a- Mandatory Fields

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

Question 5.1 is required
Question 5.2 is required
Question 5.4 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:

Question 6.4 is required

Add RP Employment History

Academic Qualification

Qualification : *

Name Of Institution : *

Country :

Saudi Arabia ▼

Year Awarded : *

Attach Certificate :

Browse...

Attachment Required

Save

Cancel



Professional Qualification

Qualification : *

Name Of Institution : *

Country : Saudi Arabia ▼

Year Awarded : *

Attach Certificate :
Attachment Required

RP Employment History

Name of Employer: *

Nature of Business: *

Job title, function and details of responsibilities : *

Period of Service Start Date: ☐ Hijri Date ☐ Gregorian Date
↔ ↔

Period of Service End Date: ☐ Hijri Date ☐ Gregorian Date
* **

Reason for Leaving : *

Discharge Letter from Employer:
Attachment Required

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

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) ☒

Attachment Required

CME-2 ☒

Attachment Required



3.1.1.7 Additional Information

7. Additional Information

7.1. Has the proposed registered person ever been registered by or licensed with the Authority and/or any regulatory body, in Saudi Arabia or elsewhere, to engage in any regulated securities business or similarly regulated activity?

☐ Yes ☐ No

7.2. Is the proposed registered person also a member of the Board of Directors of any company / establishment either registered within or outside the Kingdom of Saudi Arabia and conducting Securities Business or any other business in Saudi Arabia or any other country?

☐ Yes ☐ No

7.3. Is the proposed registered person performing service on the Management team or overseeing the day to day operations of those companies conducting Securities Business or any other business in Saudi Arabia or in any other country other than or in addition to the Authorised Person referenced in this Registration Form?

☐ Yes ☐ No

7.4. Is the proposed registered person an Owner/Shareholder of any company/establishment conducting Securities Business or any business in Saudi Arabia or in any other country other than or in addition to the Authorised Person referenced in this Registration Application?

☐ Yes ☐ No

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.

☐ Yes ☐ No

7.6. Is the proposed registered person a member of the Investment Funds (Mutual Funds) Board authorised by CMA?

☐ Yes ☐ No

< Back

Save

Next >

a- Mandatory Fields

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



Question 7.1 is required
Question 7.3 is required
Question 7.4 is required
Question 7.5 is required
Question 7.6 is required

7. Additional Information

7.1. Has the proposed registered person ever been registered by or licensed with the Authority and/or any regulatory body, in Saudi Arabia or elsewhere, to engage in any regulated securities business or similarly regulated activity?

☐ Yes ☐ No

7.2. Is the proposed registered person also a member of the Board of Directors of any company / establishment either registered within or outside the Kingdom of Saudi Arabia and conducting Securities Business or any other business in Saudi Arabia or any other country?

☒ Yes ☐ No

Add Board Director RP Work History

7.3. Is the proposed registered person performing service on the Management team or overseeing the day to day operations of those companies conducting Securities Business or any other business in Saudi Arabia or in any other country other than or in addition to the Authorised Person referenced in this Registration Form?

☐ Yes ☐ No

7.4. Is the proposed registered person an Owner/Shareholder of any company/establishment conducting Securities Business or any business in Saudi Arabia or in any other country other than or in addition to the Authorised Person referenced in this Registration Application?

☐ Yes ☐ No

Question 7.1 is required

7. Additional Information

7.1. Has the proposed registered person ever been registered by or licensed with the Authority and/or any regulatory body, in Saudi Arabia or elsewhere, to engage in any regulated securities business or similarly regulated activity?

☒ Yes ☐ No

If yes, please describe below and provide supporting documents:



3.1.1.8 Relevant Information

8. Relevant Information

8.1. Is there any information that the Authorized Person thinks will be relevant in considering this application?

☐ Yes ☒ No

Please attach further details (if any)

a- Mandatory Fields

Answering "Yes" to 8.1, will require more details

Question 8.1 is required

8. Relevant Information

8.1. Is there any information that the Authorized Person thinks will be relevant in considering this application?

☒ Yes ☐ No

If yes, please describe below and provide supporting documents (if any):

Please attach further details (if any)



3.1.1.9 Declaration of the Authorized Person

9. Declaration of the Authorized Person

☐ 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):

Prod Verify Company

9.4 Name of Director or Responsible Officer:

Prod CEO
Prod Comp Officer

< Back

Save

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

10. Application Checking

10.1 The Application fee 'Deposit Slip'

Deposit Date

a- Mandatory Field

Date is required

10. Application Checking

10.1 The Application fee 'Deposit Slip'

Deposit Date

*

Attachment Required

10. Application Checking

10.1 The Application fee 'Deposit Slip'

Attachment Required

Deposit Date



3.1.1.11 Summary

100

%
100 Completed

Registration Form

SECTION 1: Contact Information of the Proposed Registered Person

1.1 Is the proposed registered person resident in Saudi Arabia?				Yes
1.2 Current Address				
Address	Building 1 flat 607	Street No	1	
Street Name	Olaya	District	Olaya	
City	Riyadh	State		
Country	Saudi Arabia	Postal Code	123456	
Telephone Number	056432612	Mobile Number	05432566	
Email Address	testemail@test.com			
1.3 Permanent Residential Address				
Address	Building 1 flat 607	Street No	1	
Street Name	Olaya	District	Olaya	
City	Riyadh	State		
Country	Saudi Arabia	Postal Code		
Telephone Number	056432612	Mobile Number	05432566	
Email Address	testemail@test.com			

SECTION 2: Personal Information of the Proposed Registered Person

2.1 Full name of Authorised Person (Firm's Name)	Prot Verify Company
2.2 License Number	303032
2.3 Proposed Registered Person's Name	Ahmad Kamal Khaled Al Hussein
Nationality	Saudi Arabia
If applicable, list all other nationalities, passport numbers and place of issue:	
2.5 National Identification Number for Saudi	4561239871

Local intranet | Protected Mode: Off

EN

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

هيئة السوق المالية
Capital Market Authority



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):	Prod 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



Finish



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

All Requests	
Ready to Send Forms	
Registration Form for Ahmad Kamal Khaled Al Hussein	

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



Ready To Send ✕

Registration Form Details

Registration Form

SECTION 1: Contact Information of the Proposed Registered Person

1.1 Is the proposed registered person resident in Saudi Arabia? Yes

1.2 Current Address

Address	Building 1 flat 607	Street No	1
Street Name	Olaya	District	Olaya
City	Riyadh	State	
Country	Saudi Arabia	Postal Code	123456
Telephone Number	056432612	Mobile Number	05432566
Email Address	testemail@test.com		

1.3 Permanent Residential Address

Address	Building 1 flat 607	Street No	1
Street Name	Olaya	District	Olaya
City	Riyadh	State	
Country	Saudi Arabia	Postal Code	

Send Cancel

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"

Reference	Form Type	Registered Person Name	Date	Status	Comment	Additional Info
RP-502-33	Registration Form	Ahmad Kamal Khaled Al Hussein	21/05/2012	In Review		

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