

Resolution No. (116) of 2021

Regarding

Amending Form 2 (Report indicating Securities Investment Portfolios of the Licensed Person)

Having Perused:

- Law No. (7) of 2010 Regarding the Establishment of the Capital Markets Authority and Regulating Securities Activities and its Executive Bylaws, and their amendments; and
- CMA Board of Commissioners Resolution passed in its meeting No. (35) of 2021 held on 06/10/2021.

The Following Was Resolved

Article (1)

Form 2 (Report indicating Securities Investment Portfolios of the Licensed Person) of Appendix 2 (Securities Investment Portfolios Forms) of Module Seven (Clients' Funds and Clients' Assets) of the Executive Bylaws of Law No. (7) of 2010 Regarding the Establishment of the Capital Markets Authority and Regulating Securities Activities and their amendments is hereby amended pursuant to Annex (1) attached to this Resolution.

Article (2)

The concerned bodies shall execute this Resolution, each within its jurisdiction. This Resolution shall come into force from the date of its issuance, and it shall be published in the Official Gazette.

Prof. Ahmad A. Al-Melhem

Issued on: 10/10/2021

Annex (1)
Form No. 2

Report Indicating Securities Investment Portfolios of the Licensed Person

(Add name of the Licensed Person)

Quarter.....Year.....

Report date:

#	Investment Portfolio No.	Client's name	Civil/Commercial register No.	Client's type Normal or company person	Statement of the authorizations granted by the client to other persons	Client's Nationality	Investment Portfolio management methods			Date of portfolio establishment	Market value of Investment Portfolio		No. of transactions executed during this period	Investment Portfolio status (Active /Suspended)	Portfolio recorded mortgage	
							Investment Portfolio managed by the company	Investment Portfolio managed by the Client	Custody Investment Portfolio		Cash	Securities			Mortgage degree	Mortgage creditor

This report shall be sent to the Markets Surveillance Department in the Capital Markets Authority no later than ten Business Days at the end of each quarter.