

EXECUTIVE SUMMARY SIGNIFICANT ANNOUNCEMENTS

COVERAGE: **CAPITAL MARKET AUTHORITY**

LOCATION: **SAUDI ARABIA**

ISSUE: **NOVEMBER, 2021**



INTRODUCTION & SUMMARY

During the month of October 2021, Saudi Arabian Capital Market Authority issued a total 07 Announcements on different matters. These are predominantly announcements in the areas of Saudi Capital Market.

ANNOUNCEMENTS

07



DETAILS OF ANNOUNCEMENTS

Key announcements by CMA during the month of October, 2021 are summarized below:

CMA Announces the Approval of Public Offering of "Saudi Fransi Capital Fixed Income Fund" dated October 13, 2021

The CMA has approved the public offer, by "Saudi Fransi Capital Company", of "Saudi Fransi Capital Fixed Income Fund".

- An Investment decision without reading the Terms and Conditions carefully and fully reviewing its content may involve high risk. CMA advise the investors to carefully read the Terms and Conditions which includes detailed information on the Fund, investment strategy and risk factors, and carefully study it to be able to assess the feasibility of taking into consideration the associated risks
- The CMA's approval of the fund should never be considered as a recommendation to subscribe in the fund. Said approval merely means that the legal requirements as per the Capital Market Law and its Implementing Regulations have been met

The Market Authority Licenses Sabeen Investment Company to Conduct Managing Investments Activity in the Securities Business and its Completion of the Commencements of Business Requirements dated October 17, 2021

In accordance to the Capital Market Law issued by Royal Decree No. (M/30) dated 02/06/1424H and its Implementing Regulations, the Capital Market Authority announces that Sabeen Investment Company has completed the commencements of business requirements to conduct Managing Investments activity in the Securities Business licensed as per CMA resolution dated 04/11/1442H corresponding to 14/06/2021G

CMA Announces the Approval of Public Offering of "Alistithmar Capital Freestyle Saudi Equity Fund" dated October 17, 2021

The CMA has approved the public offer, by "Alistithmar Capital Company", of "Alistithmar Capital Freestyle Saudi Equity Fund".

- CMA advise that an Investment decision without reading the Terms and Conditions and fully reviewing its content may involve high risk. CMA advises the investors to carefully read the Terms and Conditions which includes detailed information on the Fund, investment strategy and risk factors, and carefully study it to be able to assess the feasibility of taking into consideration the associated risks
- The CMA's approval of the fund should never be considered as a recommendation to subscribe in the fund. The CMA's approval of the fund merely means that the legal requirements as per the Capital Market Law and its Implementing Regulations have been met

CMA Announces the Approval of Public Offering of "Riyad Opportunities Fund" dated October 24, 2021

The CMA has issued its resolution to approving the public offer, by "Riyad Capital Company", of "Riyad Opportunities Fund"

- An Investment decision without reading the Terms and Conditions carefully or fully reviewing its content may involve high risk. CMA advise the investors to must carefully read the Terms and Conditions which includes detailed information on the Fund, investment strategy and risk factors
- The CMA's approval of the fund should never be considered as a recommendation to subscribe in the fund, The CMA's approval of the fund merely means that the legal requirements as per the Capital Market Law and its Implementing Regulations have been met

The Family Office International Investment Company has completed the business commencement requirements to conduct Managing Investments & Operating Funds Activity in the Securities Business dated October 25, 2021

In accordance to the Capital Market Law issued by Royal Decree No. (M/30) dated 02/06/1424H and its Implementing Regulations, the Capital Market Authority announces that The Family Office International Company has completed the business commencement requirements to conduct Managing Investments & Operating Funds activity in the Securities Business.

The Capital Market Authority Licenses Dirham Capital Company to Conduct Arranging Activity in Securities Business and its Completion of the Commencement of Business Requirements October 25, 2021

According to the Capital Market Law issued by Royal Decree No. (M/30) dated 02/06/1424H and its Implementing Regulations, the Capital Market Authority announces that Dirham Capital Company has completed the commencement of business requirements to conduct Arranging activity in the Securities Business licensed as per CMA resolution dated 09/08/1442H corresponding to 22/03/2021G.

Announcement for a Case of Carrying out Securities Business by Unauthorised Person October 31, 2021

The CMA would like to inform citizens and investors in the capital market that the account (@rabeH saudi), through social media network (Twitter) on the Internet, is an unauthorized person to carry out securities business in the Kingdom, and that the CMA is in the process of completing the regulatory procedures in this regard.

The CMA calls on all participants and investors in the Saudi Stock Exchange to limit their dealings in securities to capital market institutions authorized by the CMA to carry out securities business. CMA further advises them not to deal with unauthorized persons, whether they were of natural or legal persons, and must ensure that the persons with whom they deal have obtained the CMA's authorization, or visit the CMA's website on WWW.CMA.ORG.SA to view the list of the authorized capital market institutions.

If any person who has entered into any agreement or contract with an unauthorized person is entitled to file a claim, to the Committee for the Resolution of Securities Disputes to the agreement or contract and recover any rescind money or other property paid or transferred by such person under the agreement or contract, pursuant to paragraph (b) of Article (60) of the Capital Market Law, and such claim is preceded by a complaint to the CMA via the link given in this announcement.

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