

Fees and Description for Activities licensed by the SCA

	Activity	Activity Description	Application Fees	Licensing Fees
1	Brokerage - Trading Broker	Financial activity regarding the brokerage in the securities trading transactions through receiving and entering purchase or selling orders of the securities to execute the same in the market without clearing and settlement transactions.	1000	5000
2	Brokerage - Trading and Clearing Broker	Financial activity regarding the brokerage in the securities trading transactions through receiving and entering trading orders of the securities to execute the same in the market and making the clearing and settlement transactions related thereto.	1000	5000
3	Trading in international markets	A financial activity that deals with mediating foreign securities trading operations, including derivative contracts and commodity contracts, by receiving and entering orders for trading foreign securities listed on a foreign market licensed by a counterpart regulatory authority for their implementation in the foreign market	5000	20000
4	Financial Products Dealer	A financial activity concerned with buying and selling securities listed or not listed in the market for his own account and bearing the risks of that and selling those securities	5000	50000
5	Brokerage commodities in	It includes companies which act as intermediaries in the buying and selling of commodities, options contracts or futures contracts, on the country's commodities markets licensed by the Authority. Commodities include agricultural products, minerals, other natural resources and indices, currencies or other financial products (not including securities) approved by the Authority for which contracts to purchase and sell specific quantities, on a specified date or during a specified time period at a price agreed upon, are available.	2000	15000
6	Financial Consultation	It is a Financial activity regarding the following: Providing the financial recommendation: regarding the opinions based on economic and financial research, studies and analyses concerning feasibility and determining the anticipated current or future values of the Securities, Commodities, commodity contracts and companies to be provided to clients or published to the public in any means of publication and communication, which are concluded with the recommendation to purchase, sell, or maintain the security. And \ or Financial Analysis: Regarding compiling the data and information of the company's financial statements, and examining such data and information in a detailed and accurate manner to illustrate the elements of the statements and the extent of correlation among them or show the changes that occur therein during a period or multiple periods of time, and compare them with the sector where the company operates; and then, interpret the results reached and look into the reasons thereof in order to conduct a comprehensive evaluation of the company and determine the level of its performance and therefore be able to make a decision. And\ or Financial Planning: regarding a comprehensive assessment of the current and future financial position of a person through the use of variables known in the present time in order to forecast the future cash flows to help the client develop a detailed strategy or a financial plan	1000	5000

		associated with investment in securities, commodities, commodities contracts, derivatives contracts, or currencies to achieve the client's financial goals		
7	Custody	Including the financial institutions working in the field of securities, whose mission is to provide electronic programs and technical systems necessary for the custody activity of securities in accordance with the conditions and specifications set by the Market and approved by the Authority. The activity includes providing an internal control system to ensure the compliance with regulations and decisions issued and follow-up internal management in the field of securities Where the activity includes the receipt of interest and profits and the right to subscribe and attend meetings of the General Assemblies, voting on behalf of shareholders after taking their consent when attending these meetings – arranging for the transfer of securities by the market on behalf of Investors – operating lien or freezing at the request of the Investor or his representative - lien on the securities based on a court order in force unless there is another legal objection	3000	500000
8	Securities and Commodities market	Includes the specialized institutions that organize the services and operations of the securities markets, including the regulation and supervision of securities trading, the listing of shares, bonds and other securities, the licensing of authorized brokers and supervision of their activities, the imposition of control procedures on trading in the market and the inspection of brokerage companies and others involved in transactions related to securities and those legal entities take the form of public institutions or public shareholding companies.	1000	5000
9	Management Services for Investment Funds	Including the legal entities licensed by the Commission to carry out supporting activities of the investment manager of the various funds, which includes real estate investment funds, stock funds, commodity funds and precious metal funds whether closed or open. The management services of these funds are to keep records of investors, preparing the necessary reports for the communication to investors, communication and disclosure to the Authority and the owners of the units of the funds including data protection as well as control	3000	5000
10	Consulting in the issuance of securities	A financial activity regarding managing the issuance of securities, marketing the securities, providing the financial consultancies related to the offering, and coordinating with the Authority, the offering transactions parties, and the in-kind shares evaluator on behalf of the Issuer. The Financial Advisor also shall have the right to cover the remaining unsubscribed securities in the offering in case of the agreement on the same and arrange with other financial advisors according to the nature of the issuance..	3000	5000
11	Consulting in listing of securities	A financial activity regarding providing advice and care to the Issuer and ascertaining that the Issuer meets the requirements for the listing, in addition to its continuous compliance with such requirements.	3000	5000
12	Promotion	A financial activity regarding communicating with any person in any way and by any means to invite or encourage the same to buy or subscribe in a financial product.	3000	10000
13	Portfolios Management	It includes entities to practice managing financial products for the account of others on their behalf according to their objectives and investment policy and based on the discretion of the portfolio manager without the intervention of the client (Discretionary)	5000	75000

		or based on a decision taken by the client himself (non-Discretionary) in accordance with the agreement concluded between them.		
14	Clearing services for commodities contracts	Including the specialized establishments licensed by the Authority whose role is to calculate the net rights and obligations of the Clearing House members.	10000	200000
15	Central Clearing Services for Securities	It includes entities licensed by the Securities Authority for the role of representation of the counterparty for all trades (Novation) in the market in consideration for a specific commission while ensuring the execution all trades concluded in the market, and determining the net rights and liabilities of the central clearing members for such trades, and determining their legal statuses arising from the trading operations.	10000	200000
16	Central Depository Services for Securities	Depositing securities, registering and maintaining ownerships and any restrictions thereon, transferring their ownership through transfer among the investors' accounts, and updating the owners' register in accordance with the provisions hereof	5000	20000
17	Managing investments of Mutual Funds	It includes entities to practice managing and / or establishing investment funds in accordance with the fund offering document and its investment policy	5000	75000
18	Private joint stock companies shares registration services	A financial activity regarding recording the ownership of the Private joint stock companies and all the disposals in the same including the transfer of ownership or register any restrictions on disposing of the same	5000	10000
19	Issuing of Covered warrants	The activity by which the company issues securities of equal value that give their holders the right, without obligation, to buy or sell a specific number of Underlying Assets at a specified price within a specific period	NA	3000
20	Credit Rating	A periodic measure to determine and assess the ability of the rated entity to meet its financial liabilities, and potential risks that may affect it, and to evaluate the financial products and potential risks of acquiring them by the investor.	NA	20000
21	General Clearing for Securities	It includes entities to practice a financial activity related to clearing and settlement operations for the accounts of the contracting party and the accounts of that entity's clients.	5000	50000
22	Trading non-regulated derivative contracts and currencies in the spot market	A financial activity concerned with mediating in securities trading operations by receiving trading orders related to non-regulated derivative contracts (OTC Derivatives) or currencies in the spot market (Forex Spot Market) and executing them and conducting clearing and settlement operations related to their implementation.	5000	300000
23	Introducing	It includes entities to practice a financial activity for inviting any person in any way or means to enter into an agreement with a licensed entity or a body licensed by a regulatory authority similar to the Authority to provide him with a financial service.	5000	10000
24	Depositing of Depository certificate	It is a financial activity, practiced by a commercial bank, investment bank or a branch of a foreign bank licensed by the Central Bank. The activity is specialized in issuance, cancellation, and registration of the depository certificates and any rights related thereto. Depository certificates are financial instruments issued against Foreign Securities and is subject to listing and trading on a Market.	NA	50000
25	Agents of depositing the depository certificates	It is a financial activity specialized in the implementation of duties and responsibilities of the Depository Bank based on the agreement between it and the Depository Bank. This activity is practiced by a Custodian, a commercial bank, investment bank or a branch of a foreign bank licensed by the Central	NA	50000

		Bank. The activity is specialized in acting on behalf of the depository bank on issuance, cancellation, and registration of the depository certificates and any rights related thereto. Depository certificates are financial instruments issued against Foreign Securities and is subject to listing and trading on a Market.		
26	Operating a Crowdfunding Platform	It is the activity under which the company operates an electronic system programmed to display crowdfunding requests to enable the Crowdfund Requester to obtain funds from investors for the purpose of financing his project through the platform in exchange for shares in the capital of a company that will be established or a company established to implement this project.	5000	20000
27	Family business Investment Management	a financial activity related to the establishment and management of family investment funds.	3000	20000
28	Managing a profit-sharing investment account	A financial activity that specializes in investing the client's financial amounts in assets, including currencies, in accordance with the provisions of Islamic Sharia for the purpose of making a profit.	10000	500000