



azakaw



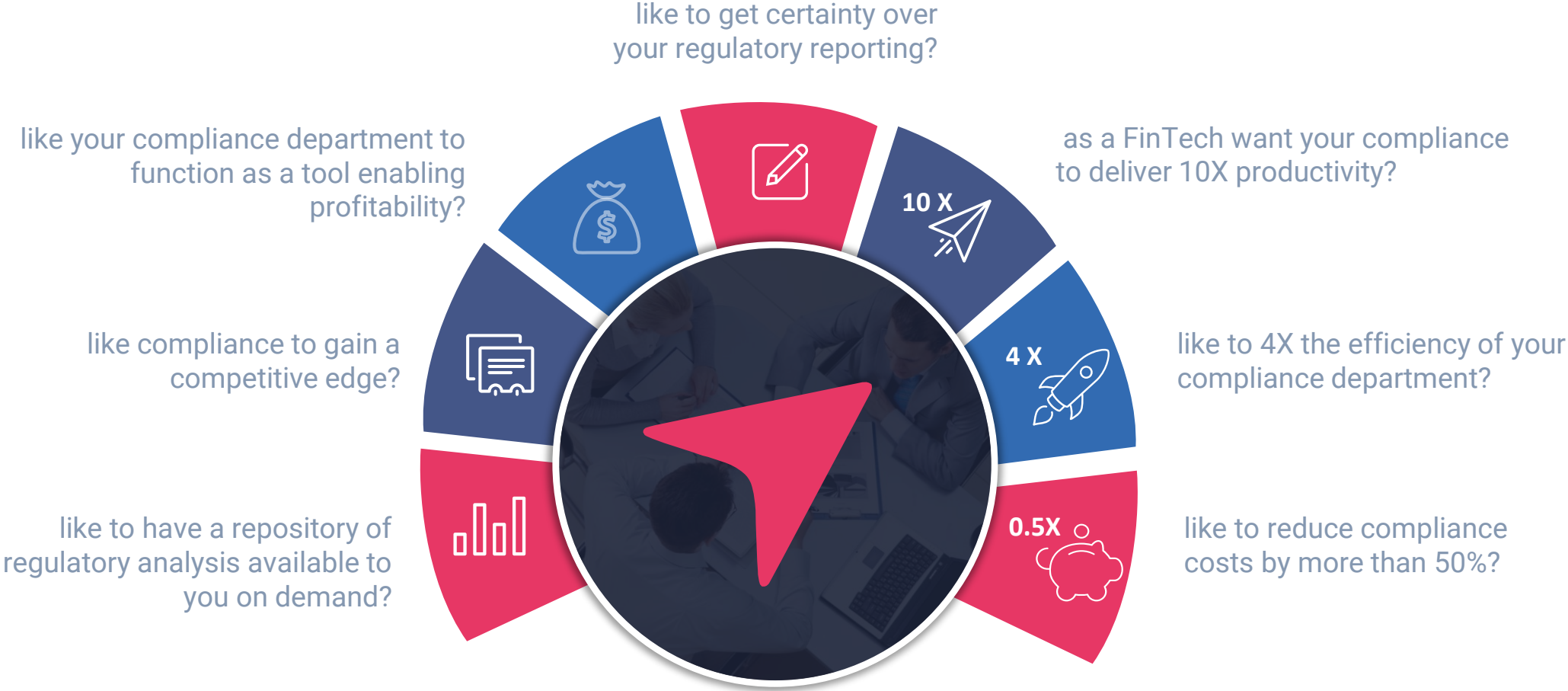
Empowering Compliance

Our Vision

Empowering compliance to
create a stable and
accountable financial system



Would you



Imagine This

A single platform where you
can access and execute



Regulations that
apply to you



Suspicious transaction
identification and reporting



Customer
data



Customizable
regulatory reporting



Customer AML
analysis



Value add
management reporting



FATCA/CRS
reporting

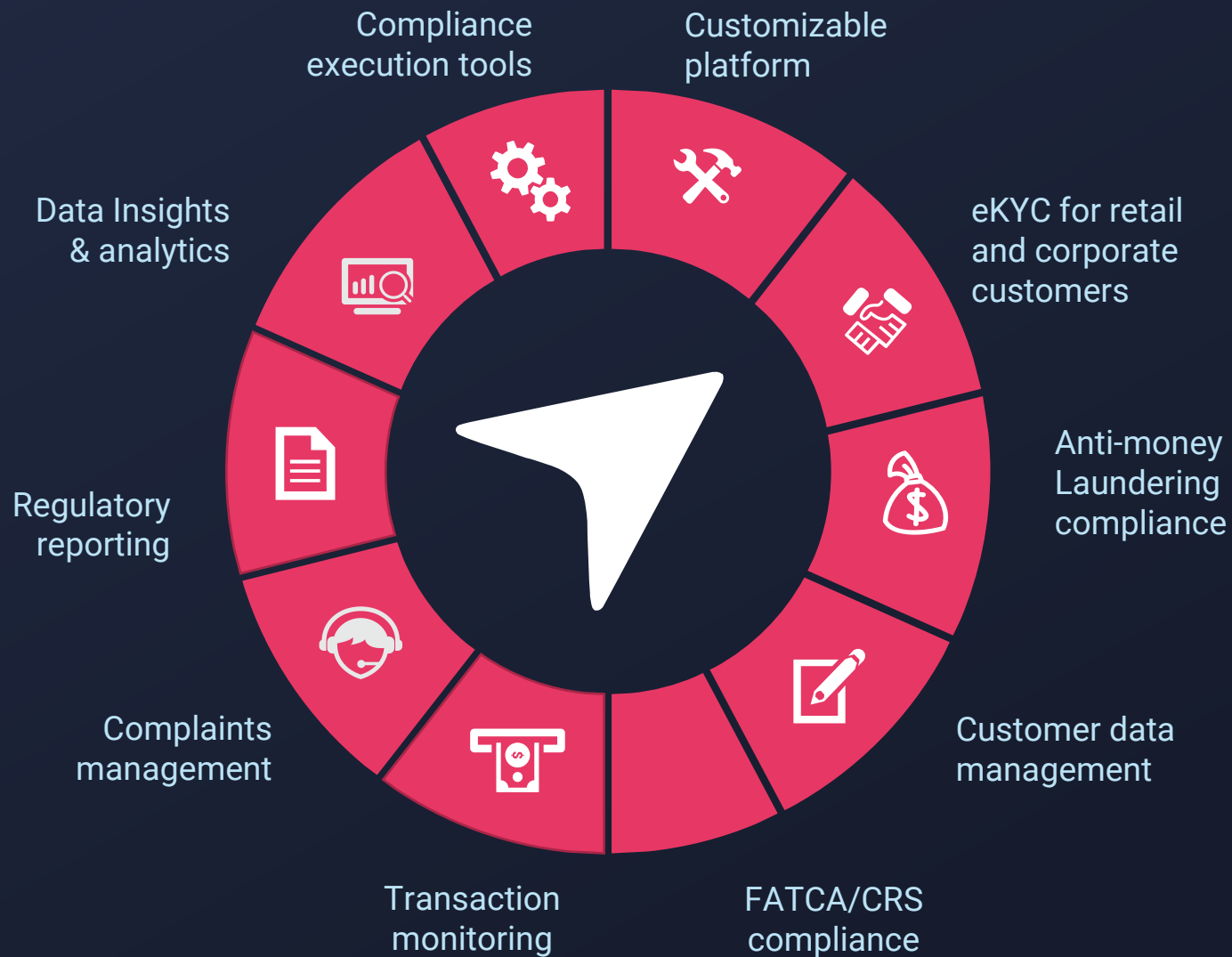


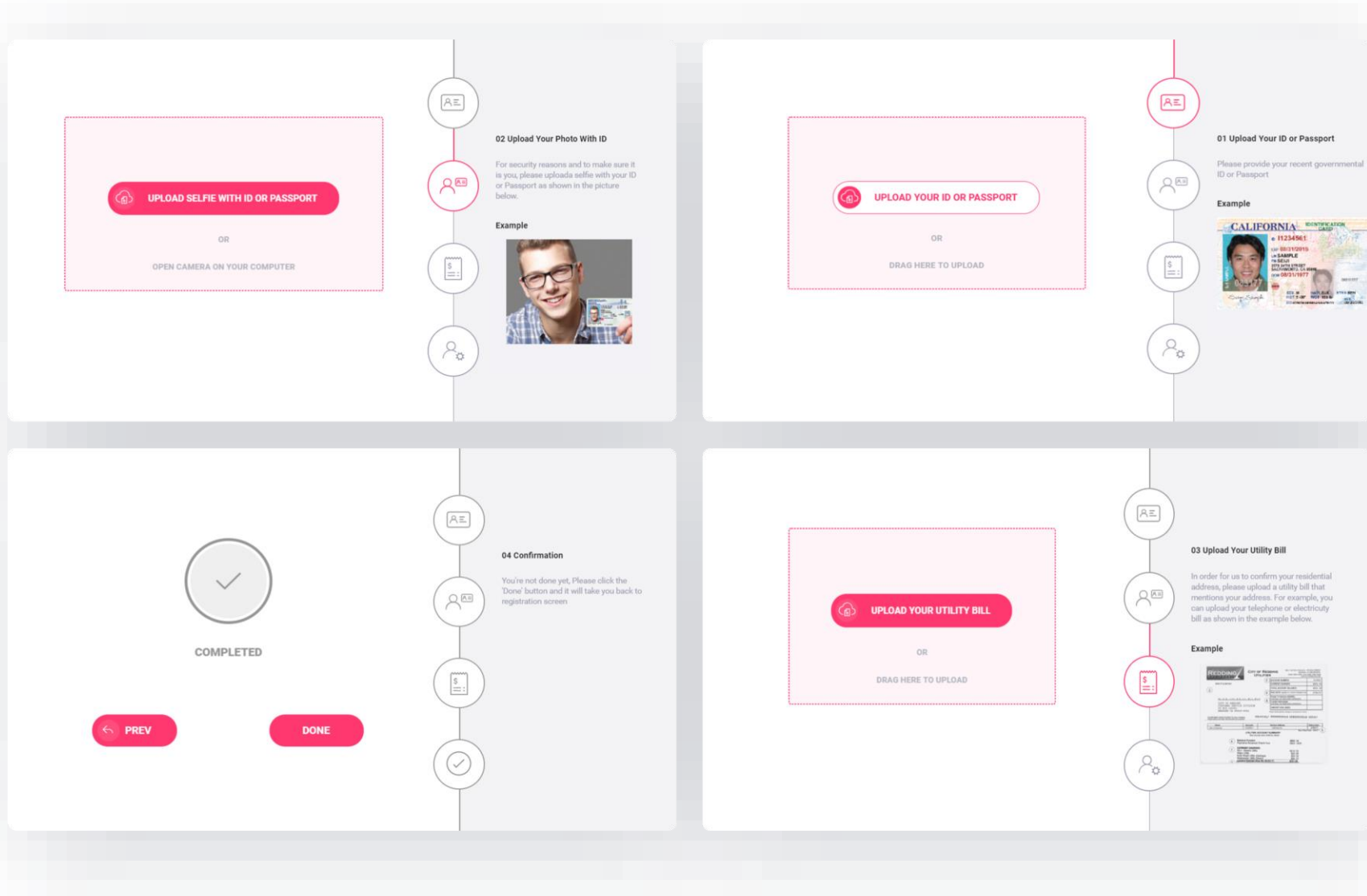
On demand audit
records of all actions




Customer
complaints

azakaw delivers








Abdullah

- Home
- My Information**
- Personal information
- Employment status
- Family information
- Tax status
- Objectives and requirements
- Finances and experience
- Risk appetite
- Classifications
- Profile

PERSONAL INFORMATION

 Upload Document

In order to make the registration process easier, you can upload identification documents. Our system will process the information and populate the relevant fields.
Upload Your Documents (pdf, doc, docx)

General

Gender

Male Female

NATIONALITY

Saudi Arabia

DATE OF BIRTH

03.03.1985

PASSPORT ID

H364379

EXPIRY DATE


14.04.2020

Contact

PRIMARY E-MAIL

abdullahalsalem@mymail.com

SECONDARY E-MAIL



Jehanzeb

KNOW YOUR CUSTOMER n² IS PROCESSING

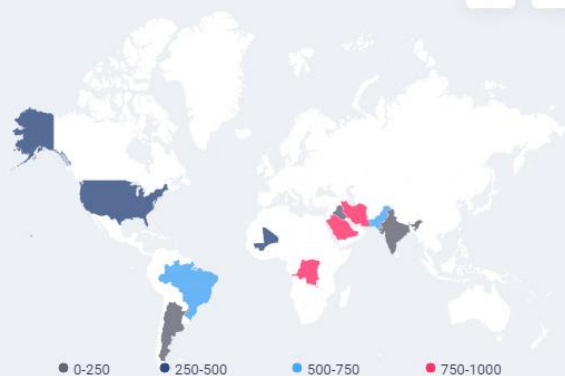
Stored in BC 2401

English

RISK PROFILE last week

Domicile

Business Line



● 0-250
 ● 250-500
 ● 500-750
 ● 750-1000

SANCTIONS SCREENING REQUIRE ATTENTION 25 last week

Customer	% Match	Status	Action
William James	70%	12 hours	DETAIL
Dean Moriarty	77%	12 hours	DETAIL
Abdullah Al Suwaidi	10%	24 hours	DETAIL
Tarek Al Mukarram	90%	24 hours	DETAIL

CUSTOMER DATA RENEWALS LFL last week

323

DOCUMENTS

397 customers
out of 4117

7 days

459

DOCUMENTS

544 customers
out of 4117

30 days


687

DOCUMENTS

267 customers
out of 4117

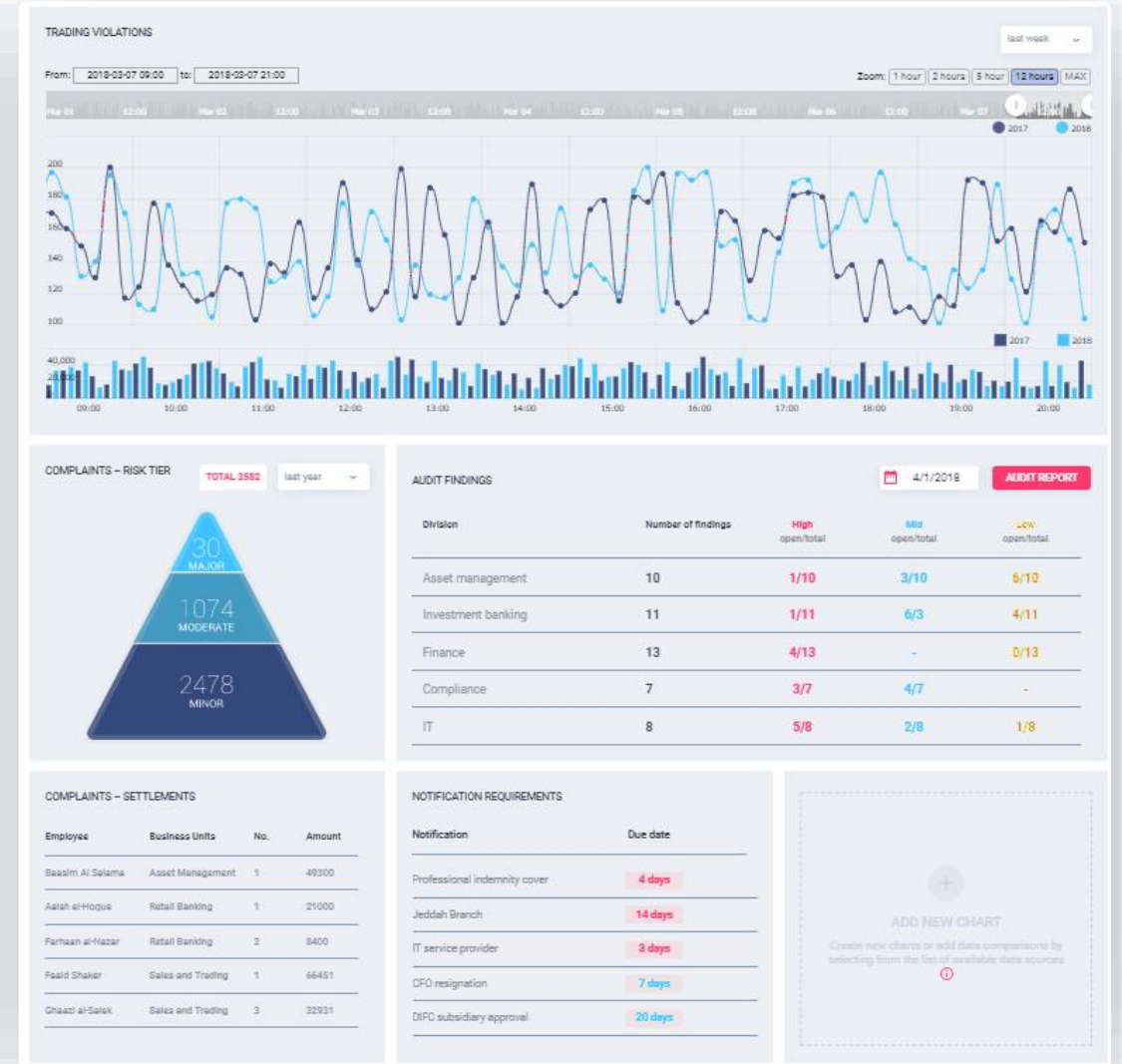
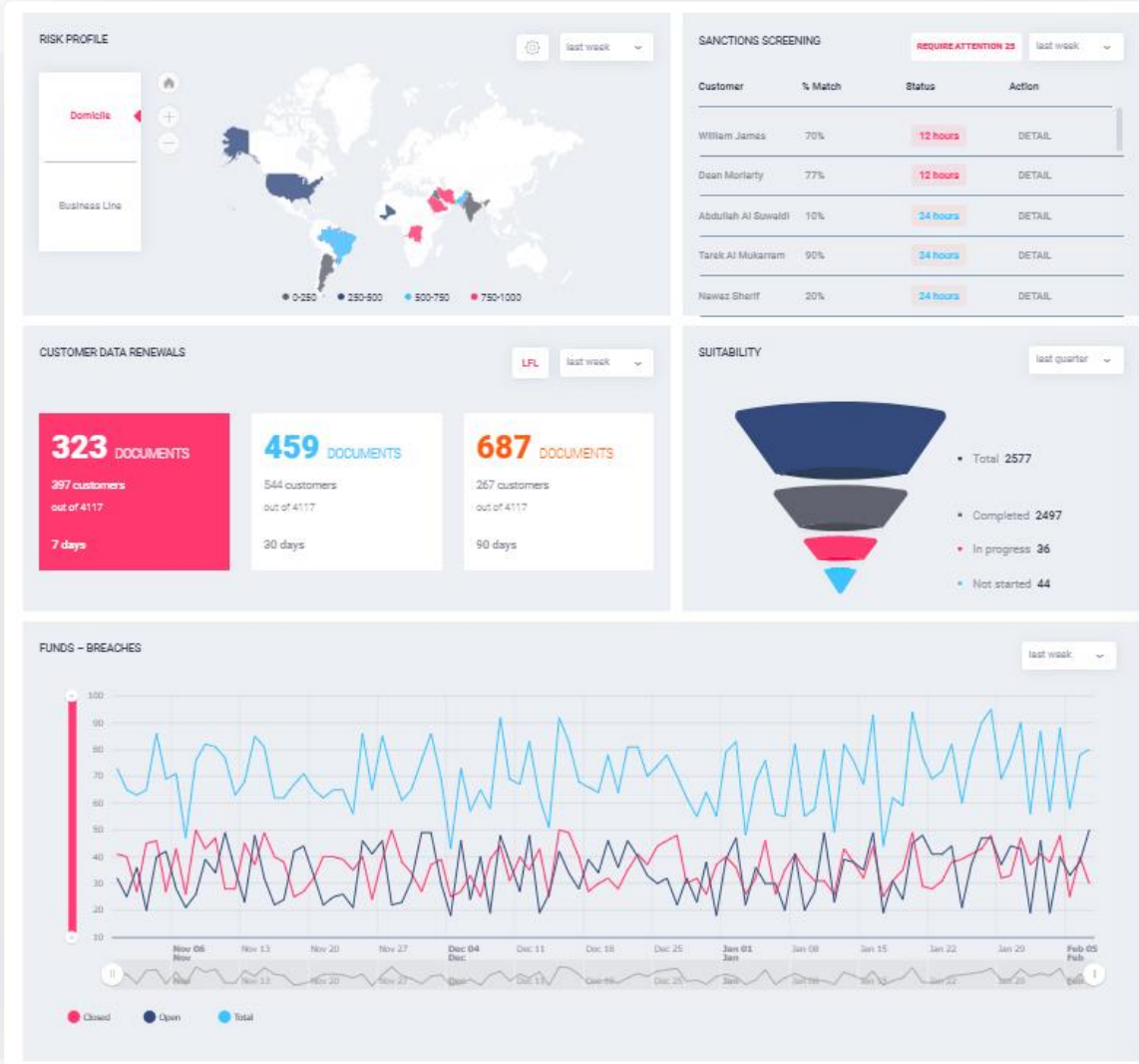
90 days

SUITABILITY last quarter



- Total 2577
- Completed 2497
- In progress 36
- Not started 44

- 📊 Dashboard
- 📊 KYC
- 📊 Authorizations
- 💰 Funds
- 🛡️ Surveillance
- 📄 Complaints Handling
- 👤 Profile
- ⚙️ Settings
- ➡️ Log Out



عربي
🔔
🔍

مخزن في BC 9513

← الصناديق الإستثمارية
n² دار الجيزير

الإسترداد
12

الخروقات
1

الإشتراكات
77

مالكي الوحدات
2590

التحذيرات والخروقات (مزيد من المعلومات) [معلومات أكثر](#)

الرقم التعريفي للمساهمة	نوع المساهمة	التجاوزات	التفاصيل	تاريخ تحديد المساهمة	إجراءات تصحيحية	الحالة	الموعد النهائي
0350	محتبر	7.5%	طلب شراء أكثر من 10٪ من الأهمية	11 ديسمبر 2017	تم إشعار مدير الصندوق لخفض الإفراض	مفتوح	15 ديسمبر 2017
0351	حرق	9%	والخفاض في صفاتي قيمة الأصول بسبب انخفاض المحفظة، وارتفعت نسبة الإفراض من 8٪ إلى 10.3٪	11 ديسمبر 2017	تم إشعار مدير الصندوق لخفض الإفراض	مرفوض	13 ديسمبر 2017
0353	محتبر	11%	طلب شراء أكثر من 10٪ من الأهمية	10 ديسمبر 2017	تم إشعار مدير الصندوق لخفض الإفراض	معلق	12 ديسمبر 2017
0357	حرق	77 بند	طلب شراء أكثر من 10٪ من الأهمية	10 ديسمبر 2017	تم إشعار مدير الصندوق لخفض الإفراض	مفتوح	15 ديسمبر 2017
0365	حرق	قناة 1% فئة ب 1.5%	تم تحميل المساهم في القناة (1) 1.5٪	11 ديسمبر 2017	تم إشعار مدير الصندوق لخفض الإفراض	مفتوح	16 ديسمبر 2017

الحيازات الكبيرة (مزيد من المعلومات) [معلومات أكثر](#)

Jehanzeb

- عداي قلا ةحول
- كل يوم فرعاً
- صيخ ارتلا
- ةيرام ثتسلل! في دانصل
- ةب قارملا
- يواهلش لال عم لم اع تلال
- ةي صخش لال فدل ملال
- تادادع لال
- ج و رخلال



Authorization Status: **APPROVED**

Renewal Deadline: **31.12.2017**

Renewal Process: **IN PROGRESS**

Regulatory Permissions: **Approved on June 3, 2017**

REGULATORY CAPITAL

TIER 1

SAR 40M

TIER 2

SAR 17.6M

MINIMUM CAPITAL

SAR 40M

CAPITAL BREACHES

1

POLICIES AND PROCEDURES

Document Name	Created	Updated	Renewal	Ackn. Status	Action
Risk Management Policy	12 Mar 2015	10 Mar 2017	20 days	79/91	DETAILS
Business Continuity Policy	12 Mar 2015	10 Mar 2017	20 days	84/91	DETAILS
Code of Conduct	12 Mar 2015	27 Jan 2018	-	84/91	DETAILS
Compliance manual	12 Mar 2015	10 Mar 2017	20 days	90/91	DETAILS
Anti-money Laundering Policy	12 Mar 2015	10 Mar 2017	20 days	91/91	DETAILS

NOTIFICATION REQUIREMENTS

Notification	Due date
Professional indemnity cover	4 days
Jeddah Branch	14 days
IT service provider	3 days
CFO resignation	7 days
DIFC subsidiary approval	20 days

AUDIT FINDINGS 4/1/2018 **AUDIT REPORT**

Division	Number of findings	High open/total	Mid open/total	Low open/total
Asset management	10	1/10	3/10	6/10
Investment banking	11	1/11	6/3	4/11
Finance	13	4/13	-	0/13
Compliance	7	3/7	4/7	-
IT	8	5/8	2/8	1/8

SECURITIES ADVERTISEMENTS

Total	Approved	In progress	Not started
53	44	3	6

Approval Time

Shortest 1 DAY | Longest 11 DAYS | Average 4 DAYS

Pending

- Alaan Cement - Investment Banking.pdf
- Spring Water - Investment Banking.pdf
- Jeddah REIT - Fund Management.pdf
- Saudi Equity Fund - Fund Management .pdf
- FX Trading - Sales and Trading .pdf

OUTSOURCING Total 29 Approved 18 Pending 9 Replace 5

MATERIAL AGREEMENTS

TOTAL 13

NON-MATERIAL AGREEMENTS

TOTAL 16

Good Acceptable Replace

MANAGEMENT ARRANGEMENTS

```

graph TD
    MA[Mahmood Abdi, CEO] --> RS[Rida Al Salim, Director]
    MA --> IS[Ishaq El Salih, Director]
    MA --> MU[Muzna El-Tawil, Director]
    MA --> NS[Nabell El-Saad, Director]
    RS --> BS[Baasim Al Salama, Head of Investment Banking]
    RS --> AB[Abdulla Abunayan, Head of Sales]
    RS --> RZ[Rayyaan Al Zahra, Head of HR]
    IS --> HM[Haitham Moradi, Head of Asset Management]
    IS --> FS[Faaid El Shaker, Head of Legal]
    MU --> UN[Unais Hana, CFO]
    MU --> AJ[Ahmed Jarallah, Head of Compliance]
    NS --> SS[Saabiq Al Saad, Head of Private Banking]
    NS --> ZM[Zuhair El Mahdi, COO]
    
```

Trading Surveillance

71 4117 total

ABC Surveillance

80

COB Surveillance

52

Resolved

82 4117 total

TRADING Employee **Division** Customer last year

TOTAL

1218 RB

2803 AM

1716 S&T

NOTIFICATIONS 5737

701 pending

62
196
443

2010 closed

521
636
853

3026 escalated

635
1971
420

■ Retail Banking
 ■ Asset management
 ■ Sales and Trading

CONDUCT OF BUSINESS last quarter

Completed	Pending	Breach/Complaints Correlation
14	73	8

ANTI BRIBERY & CORRUPTION Entertainment Gifts last month

RISK

14

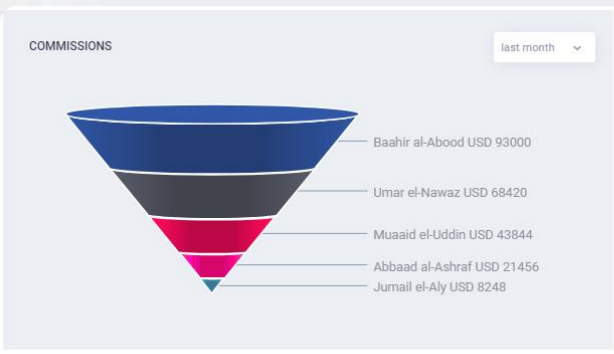
TOTAL 729

498 217

■ High ■ Medium ■ Low

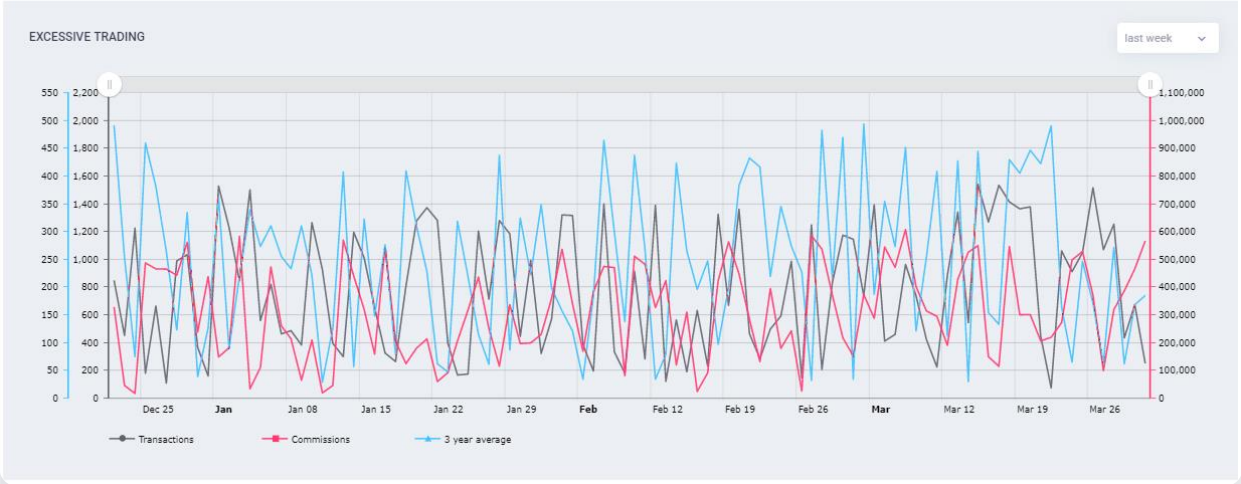
TREND ANALYSIS

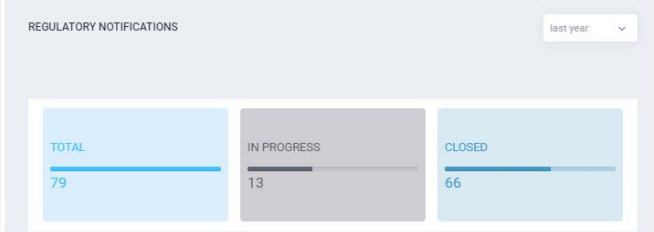
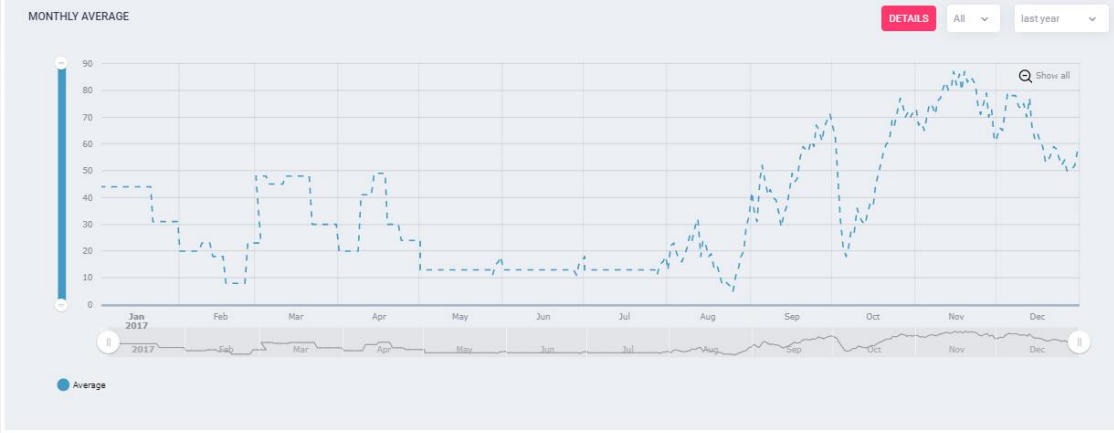
Category	Entertainment	Gifts	OBI
Retail banking	287	93	85
Asset management	178	106	79
Sales and Trading	264	125	75



OUTSIDE BUSINESS INTERESTS NUMBER OF RECEIVED 14 last month

Name	Title	Status
RIDA AL SALIM	Director	Approved
ISHAQQ EL SALIH	Director	Approved
MAHMOOD ABDI	CEO	Approved
MUZNA EL-TAWIL	Director	Approved
NARFI I FI-SAAD	Director	Approved





COMPLAINTS - SETTLEMENTS

Employee	Business Units	No.	Amount
Baasim Al Salerna	Asset Management	1	49300
Aaish el-Hoque	Retail Banking	1	21000
Farhaan al-Nazar	Retail Banking	2	8400
Faaid Shaker	Sales and Trading	1	66451
Ghaazi al-Salek	Sales and Trading	3	32931



Thank You!

azakaw

