

December 13, 2012

To: Honorable Judge Sean H. Lane

Address:

US Bankruptcy Court  
Southern District of New York  
One Bowling Green  
New York, New York, 10004  
United States of America  
Tel: (212) 284-4045  
Attention; HONORABLE JUDGE SEAN H. LANE Chambers

**Subject: Arcapita bankruptcy chapter 11, case no. 12-11076 (SHL)**

1. Mr. Alsohaibi replies to Arcapita Bank B.S.C. (Lawyers) DEBTORS' OPPOSITION TO MOTION OF CAPTAIN HANI ALSOHAIBI TO DISMISS THE CHAPTER 11 CASES.
2. Supporting Documentation for hearing dated December 18, 2012.

Mr. Hani Alsohaibi built his motion on several factors that will confirm to the honorable bankruptcy court a foundation to the dismissal of Arcapita bank B.S.C. chapter 11 case.

1. According to Arcapita Bank B.S.C lawyer opposition point no. 2 quoted as follows, {Prior to the Petition Date, Alsohaibi signed several investment contracts with Arcapita Bank in Jeddah, Saudi Arabia}.
  - a. Alsohaibi replies as follows: this confirms that Arcapita has been working in Saudi Arabia without having any legal license from any Saudi Government Authority, by quoting this; it is now clear evidence of their illegal operation conducted in Saudi Arabia. This is against the laws of Saudi Arabia Governing Authorities as well as CMA (Capital Market Authority of Saudi Arabia) and Saudi Monetary Agency. No banking institution can operate, conduct business, sign any contracts, solicit business, provide marketing advice or give any service of any type without the legal registration with the Saudi Governing Authorities.
2. Under the Bankruptcy Law an entity must stop all investments and marketing and solicitation of new investments and signing contracts. If the entity still persists and continues to solicit new investments and marketing strategies, it will be considered as deception against the bankruptcy court laws. According to Arcapita Bank B.S.C lawyer opposition point no. 4 quoted as follows, {Alsohaibi also claims that Arcapita Bank is continuing to operate "illegally" as its sale force is still working within Saudi Arabia, despite the fact that Arcapita Bank stopped soliciting investments as of the Petition Date}.
  - a. Alsohaibi replies: The following is an email document dated December 12, 2012 from Arcapit's Director Mr. Akram Ajehani, (attachment A and B), stating that the new Investment Placement executive is Mr. Mohamed A. Sharif, who's intentions are to visit Jeddah Saudi Arabia for the investor business relationship going forward. He confirms that Mr. Mohamed will be contacting me shortly for a personal meeting and a general update.

3. According to the quote from Arcapita Lawyers, point 4, {Accordingly, Alsohaibi alleges that Arcapita Bank has not obtained a license and has been operating “illegally” within Saudi Arabia}.
  - a. Alsohaibi replies: This indication by Arcapita lawyers that Arcapita is Licensed in Saudi Arabia, thus we wish for them to prove to the honorable judge of the bankruptcy court by submitting the Approved License by SMA Saudi Capital Authority and Saudi Monetary Agency Stamped and Authenticated by the Saudi Embassy in Washington DC, if they fail to provide this document, this is 100% construed as providing misleading information to the court and yet again prove that all Arcapita Banks B.S.C activities are illegal and non supported in Saudi Arabia.
  
4. According to Arcapita Bank B.S.C lawyer opposition point no. 5 quoted as follows, {Alsohaibi goes on to allege, again without evidence, that Saudi law provides that any company or its executives that operate without licensing will be penalized by Saudi authorities and may not be protected from enforcement by Saudi Regulators by the jurisdiction of the bankruptcy Court. Notably, Alsohaibi does not allege that any private right of action exists under the alleged Saudi laws nor does he allege the sanctions to which a violator may be subject}.
  - a. Alsohaibi replies: Mr. Alsohaibi would like to advise the Arcapita Bank B.S.C. Lawyers to contact the Saudi Arabia Embassy in Washington D.C. for clarification on this point, since they are apparently ill informed on who has the right to conduct business in the Kingdom Saudi Arabia.
  
5. According to Arcapita Bank B.S.C lawyer opposition point no. 6 quoted as follows, {the Debtors have not been notified of any investigation and are not aware of any investigation}.
  - a. Alsohaibi replies: Mr. Alsohaibi is providing original documents specifying that **Arcapita Management Team and Lawyers** have been notified and advised that they are under investigation by CMA (Capital Market Authority of Saudi Arabia), supporting document (Attachment C). The document will show that they have been contacted by CMA (Capital Market Authority of Saudi Arabia), Mr. Alajami who is conducting Arcapita Bank B.S.C investigation. This information is declared by Arcapita own director Mr. Akram Aljehani, yet Arcapita Bank B.S.C Lawyers have failed to disclose official and accurate information vital to the decision making to the bankruptcy court and had again provided misleading information to the honorable judge.
  
6. According to Arcapita Bank B.S.C lawyer opposition point no. 8 and 9, (refer to the Arcapita bank B.S.C. lawyers statement).
  - a. Alsohaibi replies: Mr. Alsohaibi states that it is obvious for an entity to maintain chapter 11 status, it would be detrimental to its existence to follow the rules and regulation set forth by the bankruptcy law abstracted in document no (Attachment D).
  
7. We have been advised by the listed government authorities that Arcapita is not authorized to conduct any business activity in Saudi Arabia. We hereby provide a list of all authorized banking institutions in the kingdom of Saudi Arabia by SMA (Saudi Market Authority and the Saudi Monetary Agency) the ultimate government body to license the banking institutions in Saudi Arabia, (attachment E). This confirms and guaranties that Arcapita Bank is not licensed or authorized or ever been licensed to conduct business of any nature as well as they are forbidden to practice any banking services in Saudi Arabia. These are some of the activities that are forbidden to be practiced in Saudi Arabia per the governing rules of the Kingdom of Saudi Arabia. CMA, (Capital Market Authority of Saudi Arabia) and SMA, (Saudi Monetary Agency of Saudi Arabia) have also declared the same forbidden activities and have actually expended the list to include additional points that would require several more pages to write. We kindly urge the Honorable Bankruptcy Court to advise the Arcapita Bank B.S.C. lawyers to

acquire the regulatory laws of the kingdom of Saudi Arabia from the Saudi Arabia Embassy in Washington D.C. for any further clarifications.

- a. Exercise any activities related to Stock,
- b. Supplying Products,
- c. Supplying Services related to Stock,
- d. Dealing in Securities to Purchase or to Sell,
- e. Security management,
- f. Providing labors in connection the act of securities,
- g. Providing consultancies to finance actions of the companies,
- h. Act in any way for the implementations of a deal related to the securities,
- i. To provide as advice on the benefits of securities,
- j. To provide risk of dealing in securities,
- k. Exercise of the dealing right that result from the securities and the like,
- l. Signing of Investment Contracts,
- m. Solicit or Conducting Business,
- n. Give Marketing Advice,
- o. Give Any Banking Institution Service Of Any Type,
- p. Selling Investment Portfolios,
- q. Accepting Payment For Investment Contracts,
- r. Operating an Office.

8. Mr. Alsohaibi has contacted several government bodies including the Saudi Monetary Agency, Saudi Market Authority, Ministry of Trade, Governor Office of His Royal Highness The Honorable Prince Mishal Bin Majed Bin Abdulaziz, to verify the legal position and status of Arcapita Bank in Saudi Arabia. We have been notified that all Arcapita Bank activities in Saudi Arabia are illegal and are currently under investigation by the following Record number provided to us by some of the Government authorities. [\(attachment F\)](#). Case number: 34202401969.
9. Mr. Alsohaibi has also been advised that SMA (Saudi Monetary Agency) is also investigating Arcapita Bank B.S.C. and has provided the following investigation case number, [\(attachment G\)](#). SMA (Saudi Monetary Agency), Case Number:340020002074
10. Mr. Alsohaibi raised cases against Arcapita bank B.S.C. in the kingdom of Saudi Arabia for their illegal activities and business dealings in Saudi Arabia with the following Saudi Arabia government authorities;
  - a. SMA, Saudi Monetary Agency; case number: 43002002074
  - b. CMA, Capital Market Authority; case number: 70907, responsible authorized person for which the investigation is under process is Mr. Naif Alajmy of the banking Institutions Department. Mr. Alajmy that Arcapita investigation case has been divided in to 2 parts:
    - i. Government Liabilities; which deals with laws broken against the government legislations.
    - ii. Citizen Liabilities; Mr. Alsohaibi private rights.
  - c. Governor Office in Jeddah Saudi Arabia, His Royal Highness case number: 34202401969
  - d. Ministry of Trade. Foreign Entities Division.
  - e. Saudi Arabia Chamber.
  - f. Saudi Arabia Ministry of Finance.
  - g. Saudi Interior Ministry Illegal Operations Division.

11. Brief Attachment Description:

- **Attachment A and B:** Arcapita Bank B.S.C is still active in Saudi Arabia. A fare well letter dated December 10, 2012, is hereby provided by Mr. Akram Aljehani has advise me that he is leaving his post and thus he is introducing Mr. Mohamed Sharif who will be in charge of investments in Jeddah Saudi Arabia. This proves that Arcapita is still active in solicitation of business in Saudi Arabia up to date. A recent official email dated December 12, 2012, stating that the new Investment Placement is Mr. Mohamed A. Sharif of Arcapita Bank B.S.C. intentions to visit Jeddah Saudi Arabia for business.
- **Attachment C:** Mr. Akram Aljehani confirms the investigation by the CMA Capital Market Authority of Saudi Arabia and advising the lawyer for Arcapita that they are under investigation by CMA.
- **Attachment D:** bankruptcy law Abstract.
- **Attachment E:** CMA, (Capital Market Authority of Saudi Arabia) list of approved and authorized banking institutions in Saudi Arabia. This is received and translated to English for the benefits of the Honorable court. The email is also highlighting the law with dealing and conducting business in Saudi Arabia without a license.
- **Attachment F:** Saudi Arabia Governor Office Case Number.
- **Attachment G:** SMA, (Saudi Monetary Agency) Case Number.

**Translation of pertinent documents pertaining to the case from Arabic to English language;**

Honorable Bankruptcy Court, please be advised, for the courts references and decision making facility, that all Arabic documents presented in this current Arcapita Bank B.S.C. Case for Dismissal of their Bankruptcy Protection, I hereby confirm that I have legally and officially translated the documents from Arabic Language to English Language and had them legalized and stamped by the Saudi Arabian Notary Public Office, thus authenticating the translation which is authorized, approved and governed by the Saudi Arabian Government rules and regulations.

Arcapita Bank B.S.C is a global banking institution, thus Arcapita Bank B.S.C. in return, must adhere to international law and local law for each country where Arcapita Bank B.S.C. has and is conducting and performing business activities. In conclusion, Mr. Alsohaibi has confirmed to this honorable court that Arcapita Bank B.S.C. has conducted illegal activities in Saudi Arabia and misled the Saudi investors under the impression that they were licensed banking institution; hence they (Arcapita Bank B.S.C.) acquired the investor's funds knowing that in the case they filed for bankruptcy, they can't be liable because of international bankruptcy court protection they have been granted. Knowing the fact that investors and creditors a like in Saudi Arabia will have no chance in recovering their funds. By conducting this fraudulent operation in Saudi Arabia, the bank has broken the Saudi Arabian Banking Institution Laws.

It is unjust to the investors to watch Arcapita management and owners enjoy protection that's provided by the Bankruptcy Court as well as it is unjust for the investors to lose their financial portfolios without even redeeming at least the initial investment values that have been promised by Arcapita Management. I wish for Arcapita Bank B.S.C. to stop completely all business and administrative activities and save from wasting exuberant funds and rather save all funds for payment to investor's initial investment portfolios even if it's a margin of it.

I am hoping that this case will pave the path to legitimate institutions that have shown this honorable court that they have prioritized the investors over their personal gain and proved to the court that they have paid out all initial investment prior to their own personal gain.

**I humbly ask the Honorable bankruptcy Court to accept my Motion to Dismiss the Bankruptcy case, Your honor, Arcapita Bank B.S.C. is seeking protection from all creditors local and international, thus achieving global protection from all lending banking institutions, investor's legal systems, and government authorities, thus I raise my case for their immediate dismissal. I Hani Alsohaibi a citizen and a resident of Saudi Arabia is hereby filing the motion again for dismissal of case number: chapter 11, case no. 12-11076 (SHL).**

**Possible Document NON-Submittal Compliance:**

I would like to point out to the honorable court, that Arcapita Bank B.S.C. (Lawyers) OPPOSITION are not allowing me ample time to reply to their opposition letters to this bankruptcy court and by waiting until the last minute as they have done in their current response, as this crated allot of time wasted in sending by fast letter carriers because of the distance and time frame it usually takes (4 to 5 business days) and efforts/work load and distress in preparation for my reply with supporting documents. Thus, I humbly ask the Honorable Bankruptcy Court Judge Sean H. Lane, to grant me the legal right to send directly to the court office by FAX or EMAIL any future documents that are required for the Arcapita Bank B.S.C. Bankruptcy Case Motion of Dismissal as they have done to me, when they sent to me by FAX their response which is filed and dated December 10, 2012.

Yours sincerely,



Captain Hani Alsohaibi  
P.O.Box 805  
Jeddah, 21421  
Saudi Arabia

Tel: 011 966 505 607066  
Email: hani@alsohaibi.com

From:  
Hani Alsohaibi  
P.O.Box 805  
Jeddah, 21421  
Saudi Arabia  
Tel: +966 505 607066

**SEND TO:**

**US Bankruptcy Court  
Southern District of New York  
One Bowling Green  
New York, New York, 10004**

**United States of America**

Attention; HONORABLE JUDGE SEAN H.  
LANE Chambers  
Tel: (212) 284-4045



Attachment A

December 10, 2012

**Mr. Hani Shamsan Al-Sohaibi**  
P.O. Box 801  
Jeddah 21421  
Saudi Arabia

Dear Mr. Al-Sohaibi,

I wanted to take a moment to let you know that I am leaving my position at Arcapita Bank. I wish to thank you for your support over the past years. It was a wonderful challenge to be able to help you in your endeavors. I have enjoyed working at Arcapita. I am now looking forward to the new challenges ahead in my career.

Therefore, I am delighted to introduce to you my colleague, **Mohamed Sharif**, who will be responsible for your relationship going forward, he will contact you shortly to arrange for a personal meeting and a general update. Kindly note his contact details below for your records:

**Mr. Mohamed Sharif**  
Investment Placement  
Tel: +97317218852  
Fax: +97317218006  
Email: [msharif@arcapita.com](mailto:msharif@arcapita.com)

Again I thank you for your support to me and Arcapita and hope that our paths will cross again.

Yours sincerely,

Akram A. Al-Jehani  
Director  
Investment Placement

Attachment B

<https://mailapp03.register.com/mail/message.php?index=87&mailbo...>

**From:** "Mohamed Sharif" <msharif@arcapita.com>  
**Subject:** FW: Mr. Mohamed Sharif  
**Sent date:** Wed, 12 Dec 2012 09:02AM  
**To:** "hani@alsohaibi.com"<hani@alsohaibi.com>

Dear Captin Hani,

Thank you for your email and your kind words.

I look forward to meet with you soon inshallah. I will keep you posted on my next visit to Jeddah.

Please find below my contact details. Please let me know should I can be of any help.

Regards,

Mohamed A. Sharif  
Investment Placement

Arcapita Bank B.S.C.(c) | Arcapita Building  
Bahrain Bay| P.O. Box 1406  
Manama | Kingdom of Bahrain

Tel: +973 17 218333 | Dir: +973 17 218852  
Mob: +973 39 611191 | Fax: +973 17 218006  
[msharif@arcapita.com](mailto:msharif@arcapita.com) | [www.arcapita.com](http://www.arcapita.com)

Licensed as an Islamic wholesale bank by the Central Bank of Bahrain



Date: Dec 12, 2012

Attachment C

To: HONORABLE JUDGE SEAN H. LANE


Address:  
US Bankruptcy Court  
Southern District of New York  
One Bowling Green  
New York, New York, 10004  
United States of America  
Tel: (212) 284-4045  
Attention; HONORABLE JUDGE SEAN H. LANE Chambers

**Subject: Per the request of the court,**

1. I Akram Aljehani an X employee of Arcapita Bank B.S.C. in Bahrain as per the request of the case of Hani Alsohaibi, I hereby inform the honorable court that in July 2012 in London, I received a telephone call from Mr. Alajmy of CMA (Capital Market Authority of Saudi Arabia in Riyadh) who informed me that he is from the investigation department at CMA and he was trying to investigate whether Arcapita Bank B.S.C. is in operations within the Kingdom of Saudi Arabia or not. I there for informed him during the telephone conversation to direct his investigation to the Arcapita Legal Department. I immediately informed Arcapita Lawyers Mr. Author who is the representative of the Arcapita legal department and I also informed the HR department namely Mrs. Salwa Makram.
2. As of my knowledge that Mr. Alajmy of CMA also called Mr. Bader Albader who is also a currently working as a Director at Arcapita Bank BSC who informed me that he received the same telephone call from the same person with the same investigation.

This is up to my knowledge and from the good will and facts to declare truly the current situation. For any further communications, kindly contact me at the email below.

Best regards



Akram Aljehani

Email; a\_aljehani@yahoo.co.uk

Per the Bankruptcy Court rules and regulations available on the internet, we submit to you our findings:

Bankruptcy fraud statutes typically involve concealment of assets, concealment or destruction of documents, conflicts of interest, fraudulent claims, false statements or declarations, and fee fixing or redistribution arrangements. Falsifications on bankruptcy forms often constitute perjury. Multiple filings are not in and of themselves criminal, but they may violate provisions of bankruptcy law. In the U.S., bankruptcy fraud statutes are particularly focused on the mental state of particular actions. Bankruptcy fraud is a federal crime in the United States.

All assets must be disclosed in bankruptcy schedules whether or not the debtor believes the asset has a net value. This is because once a bankruptcy petition is filed, it is for the creditors, not the debtor to decide whether a particular asset has value. The future ramifications of omitting assets from schedules can be quite serious for the offending debtor. A closed bankruptcy may be reopened by motion of a creditor or the U.S. trustee if a debtor attempts to later assert ownership of such an "unscheduled asset" after being discharged of all debt in the bankruptcy. The trustee may then seize the asset and liquidate it for the benefit of the (formerly discharged) creditors. Whether or not a concealment of such an asset should also be considered for prosecution as fraud and/or perjury would then be at the discretion of the judge and/or U.S. Trustee.

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Attachment D

ترجمة محترمة

مكتب أركان الحجاز للترجمة

ترخيص رقم ٦١٧

رقم العضوية : ١٥٨٩٠٠

Certified Translation

Arkan Al Hijaz Translation Office

Licence No. : 617

C.G. No. 158900

1790

CERTIFICATION

Arkan Al Hijaz For Translation, Jeddah  
Saudia Arabia, Which is Licensed as an  
authorized translator by virtue of License No.  
617 hereby certifies that, the translation of  
the document / documents annexed hereto  
which are stamped for identification only is a  
complete and true translation without any  
responsibility for the contents thereof.

إشهاد

يشهد مكتب /أركان الحجاز للترجمة بجدة  
بالمملكة العربية السعودية المرخص له بمزاولة  
مهنة الترجمة المعتمدة بموجب الترخيص رقم  
٦١٧ أن ترجمة الوثيقة / الوثائق المرفقة والمختومة  
لأغراض تعريفها فقط هي ترجمة صحيحة  
وكاملة دون أدنى مسئولية عن محتوياتها.

المدير العام



From: "Mr. Mohammad Al-mity" <Sofab2011@hotmail.com>  
Subject: FVV: capital Market authority reply to Mohammad El\_mity.  
Sent date: 08/28/2012 10:42:04.AM.  
To: "Mohammad Kazli" [M.Kazli@sofab.cc](mailto:M.Kazli@sofab.cc)

In line content has been blocked for your safety.

[Show content](#)

From: [sofab2011@hotmail.com](mailto:sofab2011@hotmail.com)  
To: [M.Kazli@sofab.cc](mailto:M.Kazli@sofab.cc)  
Subject: RE: Capital Market Authority to Mohammad Maity.  
Date: Mon, 28 May 2012 18:50:20 +0300.

Date: Mon, 28 May 2012 09:49:9 +0000  
From: [info@cma.org.sa](mailto:info@cma.org.sa)  
To: [Sofab2011@hotmail.com](mailto:Sofab2011@hotmail.com)  
[16374#] Subject: Inquiry .re

The esteemed Mr. Mohammad,

After greeting good,

We would like to inform you that the link below can be referred to find the list of authorized persons:

**The list of authorized persons:**

We would also like to note that the necessity to verify for the entities that you dealt with according to a license from the authority; and the bodies which are not licensed shall not be entitled to raise money or exercise any activity related to stock, including supplying products or services related to stock, such as dealing in security to purchase or to sell or securities management or providing labors in connection with the acts of securities or providing consultancies to the finance actions of the companies or to act in any way for the implementation of a deal related to the securities or to provide as advise on the benefits or risks of dealing in securities or the exercise of the dealing right that results from a security and the like; and you can also immediately report about any cases where unauthorized bodies practice any of the securities business.

We invest in confidence ...

Information center / CMA INFC  
P.O. Box: 220022, Riyadh, 11311, Saudi Arabia.  
Toll-Free: 8002451111, Fax: 00966 1 279 7006  
[WWW.Cma.Org.Sa](http://WWW.Cma.Org.Sa) twitter Facebook Youtube.  
Please consider the environment before printing this E-mail.

Original message  
From [sofab2011@hotmail.com](mailto:sofab2011@hotmail.com).  
Date:5/28/2012. 12:00:59PM.  
To:info@cma.org.sa.  
Subject: inquiry.

Subject: Inquiry.

Comment: Inquiring about a bank or a company named (Arcapita Bahrain) whether it is accredited by the Capital Market Authority or not; and in the case that it was not authorized by you or by the Saudi Arabian Monetary Agency, do you permit it to exercise its activities with investors in Saudi Arabia .

28/05/2012.

The caller's name: Mohammed Mustafa Muity.

Mobile Number: 966555897258.

Category: Investment.

Country: Kingdom of Saudi Arabia.

Disclaimer : this message and its attachment ,if and, are confidential and may contain legally privileged information .if you are not the intended recipient please contact the sender immediately and delete this message and its attachment ,if any ,from your system .you should not copy this message or disclose its contents to any other person or use it for any purpose .statements and opinions expressed in this e-mail are those of the sender .and do not necessary reflect those of capital market authority (CMA) CMA accepts no liability for damage caused by any virus transferred by this email.

From: "Mr. Mohammad Al-mity" <sofab2011@hotmail.com>  
Subject: FW: رد هيئة السوق المالية محمد معيطي  
Sent date: 08/28/2012 10:42:04 AM  
To: "محمد كازلي" <m.kazli@sofab.cc>

inline content has been blocked for your safety.

[Show content](#)

From: sofasb2011@hotmail.com  
To: m.kazli@sofab.cc  
Subject: رد هيئة السوق المالية محمد معيطي  
Date: Mon, 28 May 2012 18:50:20 +0300

Date: Mon, 28 May 2012 09:49:09 +0000  
From: info@cma.org.sa  
To: sofasb2011@hotmail.com  
Subject: Re: [16374#] إستفسار

ستاذ/ محمد المحترم

عد التحية،،

ود افادتكم بانه يمكنكم الرجوع الى الرابط ادناه للاطلاع على قائمة الاشخاص المرخص لهم :

قائمة الاشخاص المرخص لهم

كما نود التنويه الى ضرورة التثبت من حصول الجهات التي يتم التعامل معها على ترخيص من الهيئة، ولا يحق للأشخاص الغير المرخص لهم جمع لأموال أو ممارسة أي نشاط يتعلق بالأوراق المالية بما في ذلك تقديم المنتجات أو الخدمات المتعلقة بالأوراق المالية مثل التعامل في ورقة مالية ببيع أو شراء أو إدارة الأوراق المالية أو تقديم أشخاص فيما يتعلق بأعمال الأوراق المالية أو تقديم الاستشارات في أعمال تمويل الشركات أو التصرف بأي شكل من أجل تنفيذ صفقة على ورقة مالية، أو تقديم المشورة بشأن مزايا أو مخاطر التعامل في ورقة مالية أو ممارسة أي حق تعامل يترتب على ورقة مالية بنحوها، كما يمكنكم الإبلاغ فوراً عن أي حالات يمارس فيها أشخاص غير مرخص لهم أيًا من أعمال الأوراق المالية.

"تستثمر في الثقة"

CMA INFC | مركز المعلومات

P.O. Box 220022 | Riyadh 11311 | Saudi Arabia

Toll-Free: 800 245 1111 | Fax: 00966 1 279 7006  
[www.cma.org.sa](http://www.cma.org.sa) | [twitter](#) | [facebook](#) | [YouTube](#)

Please consider the environment before printing this e-mail

Attachment E-5

--Original Message--

From: sofab2011@hotmail.com

Date: 5/28/2012 12:00:59 PM

To: info@cma.org.sa

Subject: إستفسار

لموضوع: إستفسار

لتعليق: إستفسار عن بنك أو شركة ( أركابيتا البحرين) هل هي معتمدة من هيئة سوق المال السعودي أم لا وفي حالة إنه لم يكن مرخص من قبلكم أو من  
نيل مؤسسة النقد السعودي هل يسمح له بأن يمارس نشاطه مع مستثمرين داخل المملكة العربية السعودية

28/05/2012

سم المتصل: محمد مصطفى معيطي

رقم الجوال: 966555897258

لغنة: أستثمار

لبلد: المملكة العربية السعودية

هذه الرسالة و مرفقاتها (إن وجدت) تمثل وثيقة مصرية قد تحتوي على معلومات تتعج بحماية وحصانة قانونية. إذا لم تكن الشخص المعنى بهذه الرسالة يجب عليك تنبيه المرسل بخطأ وصولها إليك، و حذف الرسالة و  
مرفقاتها (إن وجدت) من الحاسب الآلي الخاص بك. ولا يجوز لك نسخ هذه الرسالة أو مرفقاتها (إن وجدت) أو أي جزء منها، أو النوح بمحتوياتها لأي شخص أو استعمالها لأي غرض. علماً بأن الإفادات و الآراء التي  
تحتويها هذه الرسالة تعبر فقط عن رأي المرسل و ليس بالضرورة رأي هيئة السوق المالية، ولا تتحمل هيئة السوق المالية أي مسؤولية عن الأضرار الناتجة عن أي فيروسات قد يحملها هذا البريد.

Disclaimer: This message and its attachment, if any, are confidential and may contain legally privileged information. If you are not the intended recipient  
please contact the sender immediately and delete this message and its attachment, if any, from your system. You should not copy this message or disclose  
its contents to any other person or use it for any purpose. Statements and opinions expressed in this e-mail are those of the sender, and do not necessarily  
reflect those of Capital Market Authority (CMA). CMA accepts no liability for damage caused by any virus transmitted by this email

Attachment E-6

--Original Message--

From: sofab2011@hotmail.com

Date: 5/28/2012 12:00:59 PM

To: info@cma.org.sa

Subject: إستفسار

لموضوع: إستفسار

لتعليق: إستفسار عن بنك أو شركة ( أركابيتا البحرين) هل هي معتمدة من هيئة سوق المال السعودي أم لا وفي حالة إنه لم يكن مرخص من قبلكم أو من قبل مؤسسة النقد السعودي هل يسمح له بأن يمارس نشاطه مع مستثمرين داخل المملكة العربية السعودية

28/05/2012

سم المتصل: محمد مصطفى معيطي

رقم الجوال: 966555897258

لغنة: أمستمار

لبلد: المملكة العربية السعودية

هذه الرسالة و مرفقاتها (إن وجدت) تمثل وثيقة سرية قد تحتوي على معلومات تتمتع بحماية وحصانة قانونية. إذا لم تكن الشخص المعني بهذه الرسالة يجب عليك تنبيه المرسل بخلط وصولها إليك، و حذف الرسالة و مرفقاتها (إن وجدت) من الحاسب الآلي الخاص بك. ولا يجوز لك نسخ هذه الرسالة أو مرفقاتها (إن وجدت) أو أي جزء منها، أو الیوح بمحتوياتها لأي شخص أو استعمالها لأي غرض. علماً بأن الإفادات و الآراء التي تحويها هذه الرسالة تعبر فقط عن رأي المرسل و ليس بالضرورة رأي هيئة السوق المالية، ولا تتحمل هيئة السوق المالية أي مسئولية عن الأضرار الناتجة عن أي فيروسات قد يحملها هذا البريد.

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From "mr. Mohammad Al-mity" <sofab2011@hotmail.com>  
Subject: FW: رد هيئة السوق المالية محمد معيطي  
Sent date: 08/28/2012 10:42:04 AM  
To: "محمد كازلي" <m.kazli@sofab.cc>

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From: sofasb2011@hotmail.com  
To: m.kazli@sofab.cc  
Subject: رد هيئة السوق المالية محمد معيطي  
Date: Mon, 28 May 2012 18:50:20 +0300

Date: Mon, 28 May 2012 09:49:09 +0000  
From: info@cma.org.sa  
To: sofasb2011@hotmail.com  
Subject: Re: [16374#] إستفسار

ستاذ/ محمد المحترم

عد التحية ،،

ود افادتكم بانه يمكنكم الرجوع الى الرابط ادناه للاطلاع على قائمة الاشخاص المرخص لهم :

[قائمة الاشخاص المرخص لهم](#)

كما نود التنويه الى ضرورة التثبت من حصول الجهات التي يتم التعامل معها على ترخيص من الهيئة، ولا يحق للأشخاص الغير المرخص لهم جمع لاموال أو ممارسة أي نشاط يتعلق بالأوراق المالية بما في ذلك تقديم المنتجات أو الخدمات المتعلقة بالأوراق المالية مثل التعامل في ورقة مالية ببيع أو شراء أو إدارة الأوراق المالية أو تقديم أشخاص فيما يتعلق بأعمال الأوراق المالية أو تقديم الاستشارات في أعمال تمويل الشركات أو التصرف بأي شكل من أجل تنفيذ صفقة على ورقة مالية، أو تقديم المشورة بشأن مزايا أو مخاطر التعامل في ورقة مالية أو ممارسة أي حق تعامل يترتب على ورقة مالية. نحوها، كما يمكنكم الإبلاغ فوراً عن أي حالات يمارس فيها أشخاص غير مرخص لهم أيًا من أعمال الأوراق المالية.

"نستثمر في الثقة"

CMA INFC | مركز المعلومات

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Authorised Persons List

No.	Authorised Person	Licensed Activities							AP Website	Remarks	
		Dealing			Managing		Arranging	Advising			Custody
		Principal	Agent	Underwriter	Investment Funds	Client Portfolio Management					
1	Adeem Financial Company				ü	ü			ü	info@adeemglobal.com	
2	Al Nefae Investment Group	ü	ü	ü	ü	ü	ü	ü	ü	www.nefae.com	
3	Al Rajhi Capital	ü	ü	ü	ü	ü	ü	ü	ü	www.alrajhi-capital.com	
4	Al Wasatah Al Maliah Company	ü		ü	ü	ü	ü	ü	ü	www.wasatah.com.sa	
5	Alawwal Capital Company				ü	ü	ü	ü	ü	www.alawwalfs.com	
6	Al Bilad Investment Company	ü	ü	ü	ü	ü	ü	ü	ü	www.albiladinvest.com	
7	Al Dukheil Financial Group	ü		ü	ü	ü	ü	ü	ü	www.aldukheil.com.sa	
8	Alinma Investment Company	ü	ü	ü	ü	ü	ü	ü	ü	www.alinmainvestment.com	Except Margin Lending
9	Alistithmar Capital Company	ü	ü	ü	ü	ü	ü	ü	ü	www.alistithmarcapital.com	
10	AlJazira Capital Company	ü	ü	ü	ü	ü	ü	ü	ü	www.aljaziracapital.com.sa	
11	Al-Khabeer Capital Company	ü		ü	ü	ü	ü	ü	ü	A.Shata@Alkhabeer.com	

12	AlKhair Capital Saudi Arabia Company	ü	ü	ü	ü	ü	ü	ü	ü	pvsurell@unicorns.com	Except Margin Lending
13	Aloula Geojit Capital Company	ü	ü	ü	ü	ü	ü	ü	ü	www.aloulageojit.net	No Margin Lending
14	Amwal for Security Advising Ltd.						ü	ü		www.amwal.com.sa	
15	Anfaal Capital Company				ü	ü	ü	ü	ü	www.anfaalcapital.com	
16	Arab National Investment Company		ü	ü	ü	ü	ü	ü	ü	www.anbinvest.com.sa	
17	Arbah Capital Company	ü	ü	ü	ü	ü	ü	ü	ü	www.arbahcapital.com	
18	Arch Mamlaka Company						ü	ü		silash.ruparell@archglobal.com	Has not commenced yet
19	Audi Capital Company	ü	ü	ü	ü	ü	ü	ü	ü	www.audisaudiarabia.com	
20	Bait Al Mal Al Khaleeji Company				ü	ü	ü	ü	ü	www.bmk.com.sa	
21	Bakheet Investment Group				ü	ü		ü	ü	www.bakheetgroup.com	
22	Barclays Saudi Arabia		ü	ü	ü	ü	ü	ü	ü	Faisal.AIKawas@barcap.com	Except Margin Lending
23	BlomInvest Saudi Arabia Company	ü	ü	ü	ü	ü	ü	ü	ü	www.blominvestksa.com	
24	BMG Financial Group						ü	ü		www.bmg.com.sa	
25	BNP Pariba Investment	ü	ü	ü			ü		ü	loi.alkhalefah@bnpparibas.com	

	Company KSA											
26	Credit Suisse Saudi Arabia Company	ü	ü	ü	ü	ü	ü	ü	ü	www.credit-suisse.com/sa		
27	Derayah Financial Corporation Company		ü		ü	ü			ü	ü	www.derayah.com	
28	Deutsche Securities Saudi Arabia LLC Company	ü	ü	ü	ü	ü	ü	ü	ü	ü	ashraf.binall@db.com	Except Margin Lending
29	Ebanah Financial Company							ü	ü		www.ebanah.com	
30	EFG-Hermes-KSA	ü	ü	ü	ü	ü	ü	ü	ü	ü	www.efg-hermes.com	
31	Emirates NBD Capital KSA LLC	ü	ü	ü	ü	ü	ü	ü	ü	ü	www.emiratesnbdcapital.com.sa	
32	Falcom Investment Company	ü	ü	ü	ü	ü	ü	ü	ü	ü	www.falcom.com.sa	
33	GIB Capital	ü		ü	ü	ü	ü	ü	ü	ü	k_alghamdi@gibryd.com	
34	Global Investment House KSA	ü		ü	ü	ü	ü	ü	ü	ü	www.globalinv.com.sa	
35	Goldman Sachs Saudi Arabia Company		ü	ü	ü	ü	ü	ü	ü	ü	Neil.Davis@ln.email.gs.com	
36	Gulf Advisors Financial Consulting Company							ü	ü		www.gulf-advisors.com	
37	Gulf Investors Asset Management Company			ü	ü	ü	ü	ü	ü	ü	aalattas@giamco.com.sa	

38	Gulf One Capital Company				u	u	u	u	u	taher@compass-cc.com	Managing and Custody have not been commenced yet
39	House of Investment & Financial Capital						u	u		www.darfin.com.sa	
40	House of National Consulting Company						u	u		www.hnccom.com	
41	HSBC Saudi Arabia Limited	u	u	u	u	u	u	u	u	www.hsbcSaudi.com	
42	Integration Capital for Financial Papers Company						u	u		mron@integrationcap.com	
43	Investcorp Saudi Arabia Financial Investment Company				u		u	u	u	contact.ksa@investcorp.com	
44	Ithraa Capital Company	u		u	u	u	u	u	u	www.ithraacapital.com	
45	Itqan Capital Company	u		u	u	u	u	u	u	www.itqancapital.com	
46	Jadwa Investment Company	u	u	u	u	u	u	u	u	www.jadwa.com	
47	JPMorgan Saudi Arabia Ltd. Company	u	u	u	u	u	u	u	u	nicolas.g.assouad@jpmorgan.com	
48	KKR Saudi Limited Company						u				Has not commenced

											yet
49	KSB Capital Group	u		u	u	u	u	u	u	www.ksb.com.sa	
50	Lazard Saudi Arabia Limited Company						u			abduhrahman.aleissa@lazard.com	
51	MaCeem Capital	u		u	u	u	u	u	u	www.maceem.com	
52	Malaz Capital Company				u		u	u	u	www.malazcapital.com	
53	Merrill Lynch KSA Company	u	u	u	u	u	u	u	u	Motashar.AIMurshed@baml.com	
54	Middle East Financial Investment Company	u	u	u	u	u	u	u	u	www.mefic.com.sa	
55	Mizuho Saudi Arabia Company						u	u		susumu.koyama@sa.mizuho-sc.com	
56	Morgan Stanley Saudi Arabia Company	u	u	u	u	u	u	u	u	Tiernan.O'Rourke@morganstanley.com	
57	Muscat Capital LLC	u	u	u	u	u	u	u	u	www.muscatcapital.com.sa	
58	NCB Capital Company	u	u	u	u	u	u	u	u	www.ncbc.com	
59	Nomura Saudi Arabia Company	u	u		u	u	u	u	u	Takuya.furuya@nomura.com	Except Margin Lending
60	Osool Capital Company	u	u			u			u	www.oc.com.sa	
61	QInvest Saudi Arabia Company				u	u	u	u	u	KGhalayini@qinvest.com.sa	
62	Rana Investment Company	u		u	u	u	u	u	u	www.ranainvestment.com	
63	Rasmala						u	u		hamad@rasmala.com	

	Investment Saudi Company										
64	Riyad Capital Company	ü	ü	ü	ü	ü	ü	ü	ü	www.riyadcapital.com	
65	SAMBA Capital & Investment Management Company	ü	ü	ü	ü	ü	ü	ü	ü	www.sambacapital.com	Except Margin lending
66	Saudi Fransi Capital	ü	ü	ü	ü	ü	ü	ü	ü	www.fransitadawul.com.sa	
67	Saudi Hollandi Capital Company	ü	ü	ü	ü	ü	ü	ü	ü	www.shc.com.sa	
68	Saudi Kuwaiti Finance House Company	ü		ü	ü	ü	ü	ü	ü	www.skfh.com.sa	
69	Saudi Portfolio Securities Company						ü	ü			Has not commenced yet
70	Saudi Venture Capital Investment Company	ü		ü	ü	ü	ü	ü	ü	janahi@vc-bank.com	Dealing as Principal and Underwriter have not been commenced yet
71	SaudiMed Investment Company	ü		ü	ü		ü	ü	ü	www.saudimed.com.sa	
72	SEDCO Capital Company	ü		ü	ü	ü	ü	ü	ü	nawafj@sedco.com	
73	Shuaa Capital Saudi Arabia Company	ü		ü	ü	ü	ü	ü	ü	fanazi@shuaa.com	

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**Attachement E-14**

74	Sidra Capital Company	u		u	u	u	u	u	u	www.aayancap.com	
75	Societe Generale Saudi Arabia		u		u	u	u	u	u	www.Socgen.com	
76	Standard Chartered Capital Saudi Arabia	u	u	u	u		u	u	u	jonathan.morris@sc.com	
77	Swicorp Company	u		u	u		u	u	u	www.swicorp.com	Custody has not been commenced yet
78	Team One Company						u	u		www.TeamOne.com.sa	
79	The Investor Company For Securities	u	u	u	u	u	u	u	u	www.theinvestor.com.sa	
80	The Northern Trust Company of Saudi Arabia				u	u		u	u		Has not commenced yet
81	UBS Saudi Arabia Company	u	u	u	u	u	u	u	u	www.ubs.com/sa/en/homepage/overlays/ubs-in-saudi-arabia.html	
82	United Financial House Company	u			u	u			u	www.ufh.com.sa	
83	Vision Capital Group						u	u		www.vcg.com.sa	
84	Watan Investment & Securities Company						u	u		www.wataninvest.com	





