



الأمانة العامة للجان الفصل في منازعات الأوراق المالية

General Secretariat of Committees for Resolution of Securities Disputes

Annual Report

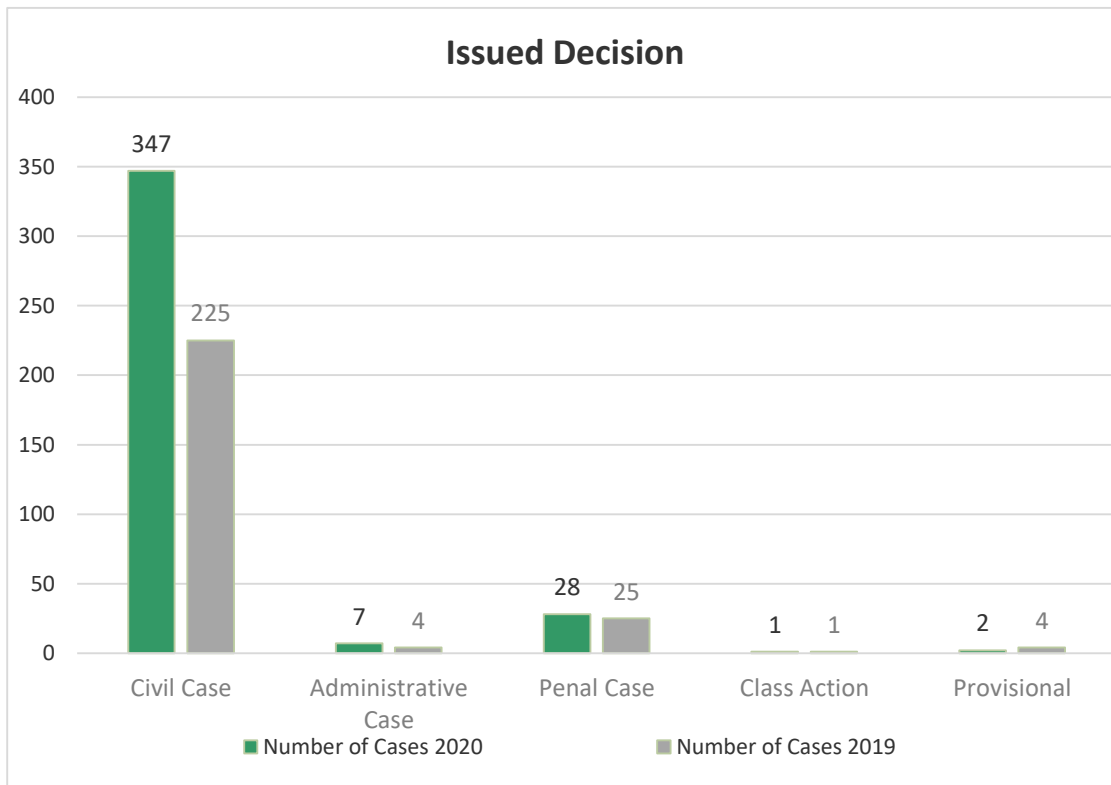
2020

General Secretariat of
Committees for Resolution of
Securities Disputes

The Committee for Resolution of Securities Disputes

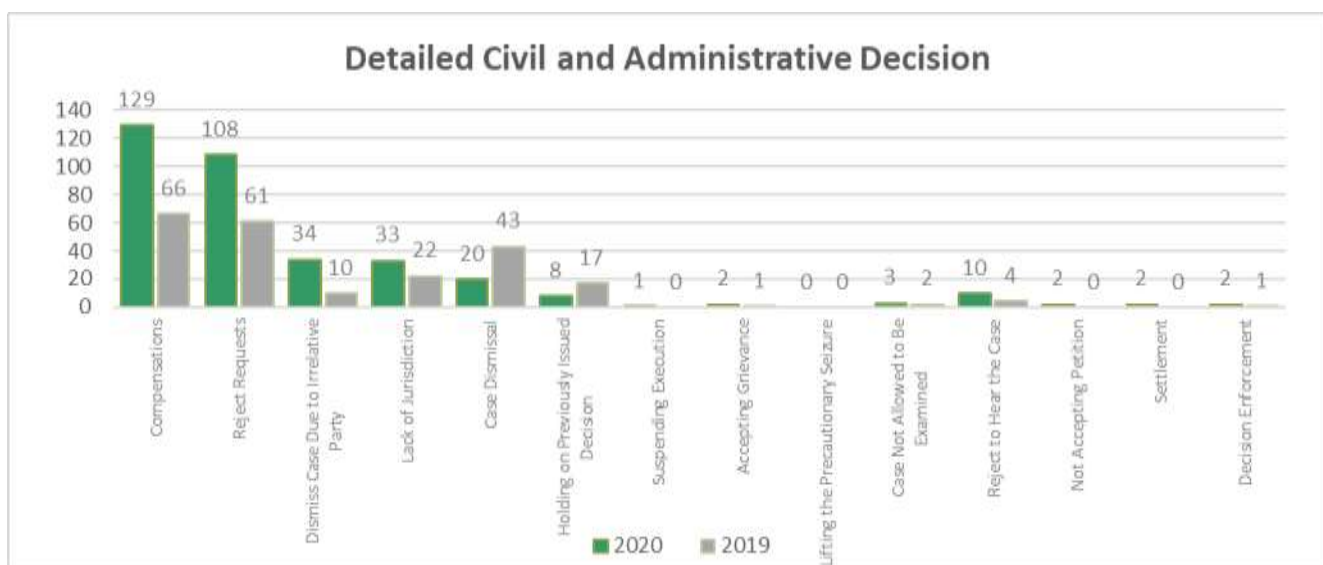
1. Issued Decisions

Issued Decisions in 2020 Compared with 2019			
Case Type	Number of Cases		% of Change
	2020	2019	
Civil Case	347	225	%54
Administrative Case	7	4	%75
Penal Case	28	25	%12
Class Action	1	1	-
Provisional	2	4	%50-
Total	385	259	%49



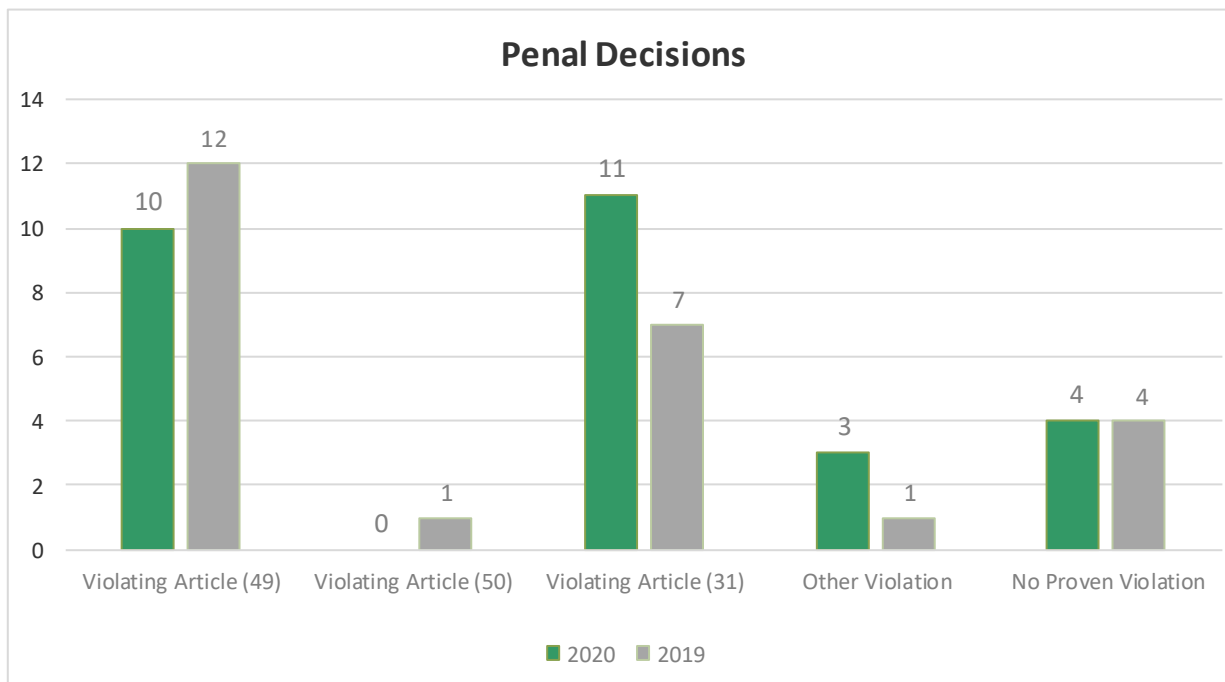
2. Issued Civil and Administrative by CRSD (Distributed by Operative Decision)

Detailed Civil and Administrative Decision		
Operative Part of Decision	2020	2019
Compensations	129	66
Reject Requests	108	61
Dismiss Case Due to Irrelative Party	34	10
Lack of Jurisdiction	33	22
Case Dismissal	20	43
Canceling CMA Decision	0	0
Upholding CMA Decision	0	1
Amending CMA Decision	0	0
Holding on Previously Issued Decision	8	17
Suspending Execution	1	0
Lifting Travel Ban	0	0
Not Guilty	0	0
Accepting Grievance	2	1
Not Accepting Grievance	0	0
Lifting Precautionary Seizure	0	0
Withdraw Case	1	1
Case Not Allowed to Be Examined	3	2
Reject to Hear the Case	10	4
Not Accepting Petition	2	0
Settlement	2	0
Decision Enforcement	2	1
Total	355	229



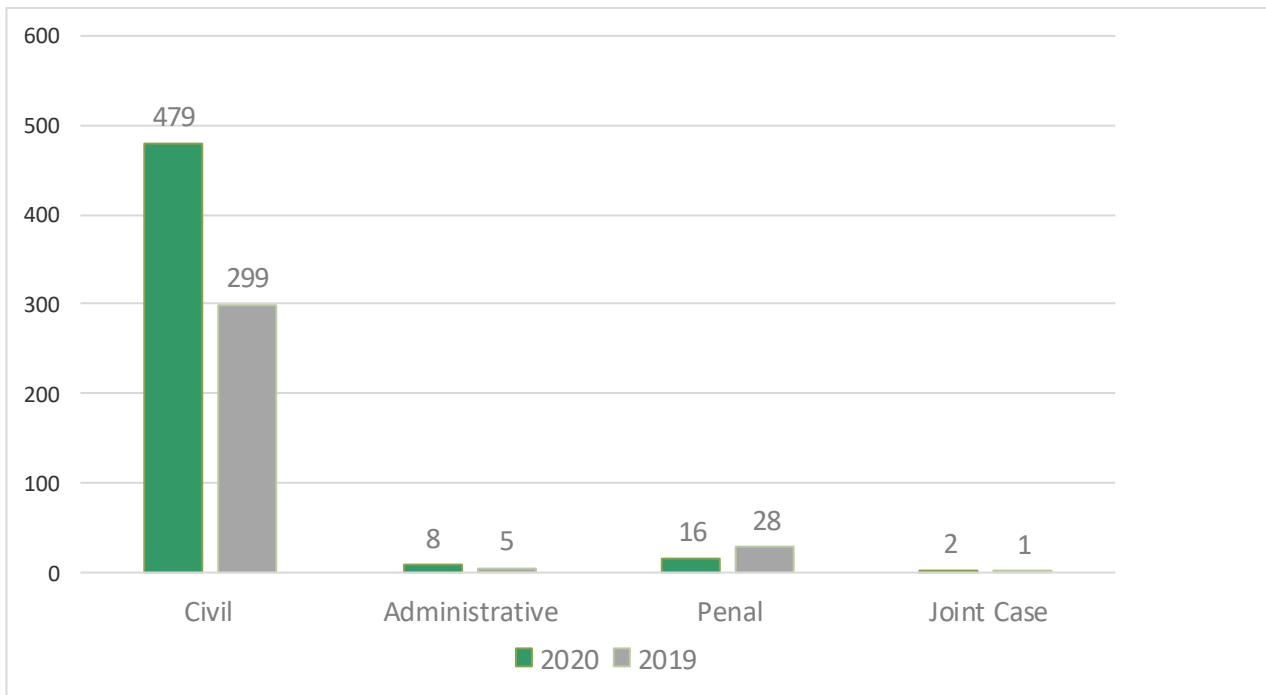
3. Penal Decisions of 2020 (Distributed by Type of Violation)

Issued Penal Decisions in 2020			
Violation Type	Number of Cases		% of Change
	2020	2019	
Violating Article (49)	10	12	-16.67%
Violating Article (50)	0	1	--
Violating Article (31)	11	7	57.14%
Other Violation	3	1	200.00%
No Proven Violation	4	4	--
Total	28	25	12%



4. Incoming Cases Submitted to CRSD

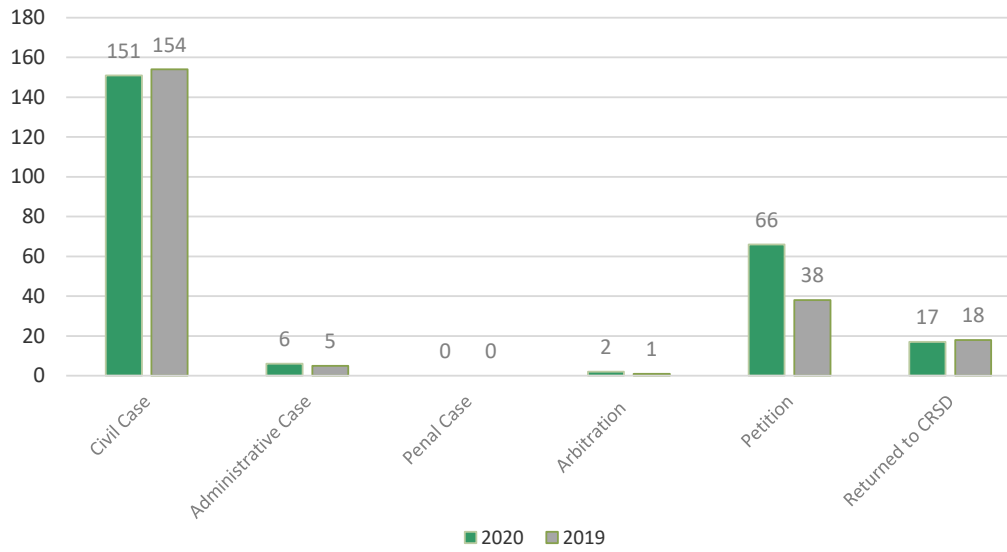
Case Type	2020	2019	% of Change
Civil	479	299	60.20%
Administrative	8	5	60%
Penal	16	28	-42.86%
Class Action	2	1	100%
Total	505	333	52%



The Appeal Committee for Resolution of Securities Disputes

1. Issued Decisions

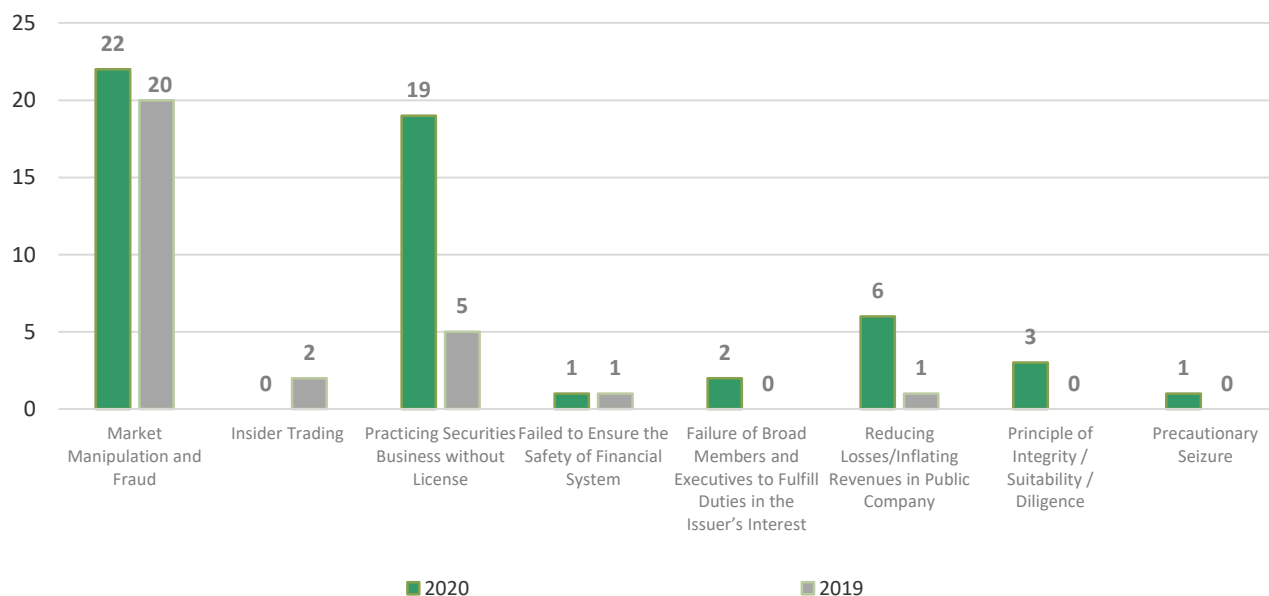
Case Type	2020	2019	% of Change
Civil Case	151	154	-1.95%
Administrative Case	6	5	20.00%
Penal Case	25★	23★★	8.70%
Arbitration	2	1	100.00%
Petition	66	38	73.68%
Returned to CRSD	17	18	-5.56%
Total	267	239	11.72%



2. Details of Penal Decisions

Violation Type	2020	2019	% of Change
Market Manipulation and Fraud	22	20	%10
Insider Trading	0	2	--
Practicing Securities Business without License	19	5	%280
Failed to Ensure the Safety of Financial System	1	1	--
Failure of Broad Members and Executives to Fulfill Duties in the Issuer's Interest	2	0	--
Reducing Losses/Inflating Revenues in Public Company	6	1	%500
Principle of Integrity / Suitability / Diligence	3	0	--
Precautionary Seizure	1	0	--
Total	55★	29★★	%89.66

Penal Decisions



3. ACRSD Decision Distributed by (Upholding/Cancelling/Rejecting) of Decisions Issued by CRSD of 2020 Compared with 2019

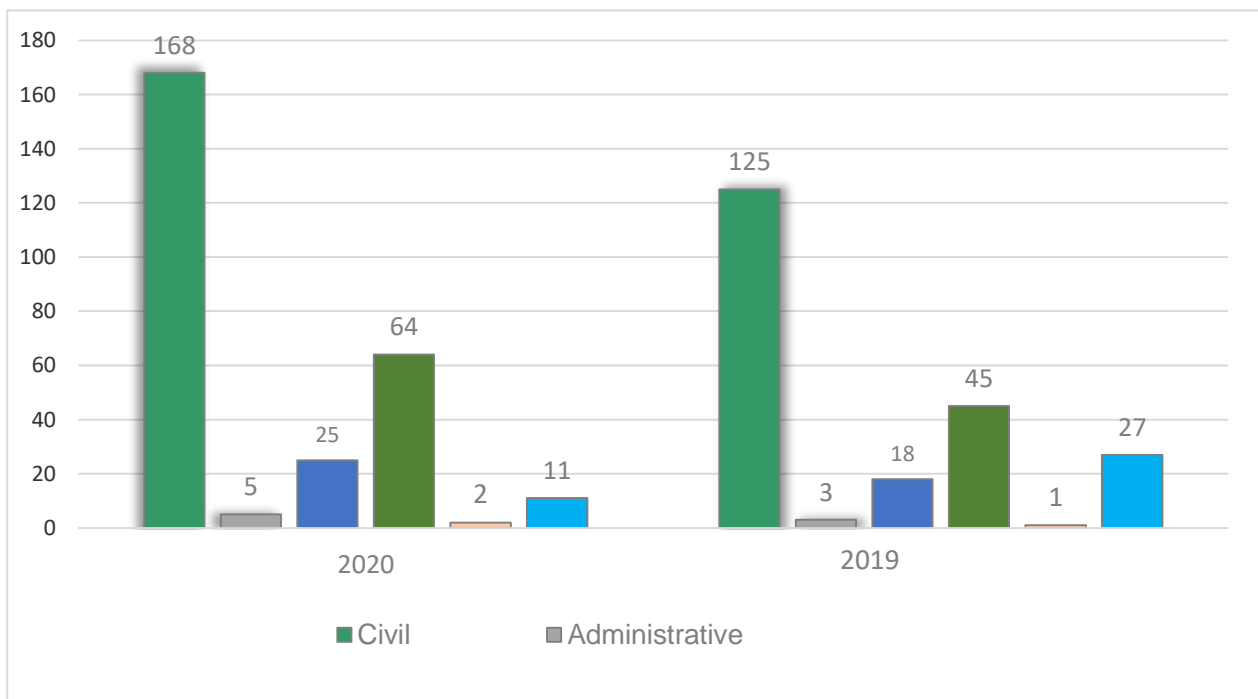
Description	2020			2019		
	Civil	Administrative	Penal	Civil	Administrative	Penal
Upholding	101	4	12	86	4	6
Amending	27	1	11	5	1	10
Cancelling	24	1	6	46	0	2
Reject Appeal/Petition	45	0	26	40	0	6
Returned to CRSD	8	0	0	27	0	5
Other	1	0	0	1	0	0
Total	206	6	55	205	5	29

4. Percentage of ACRSD Decisions Distributed by (Upholding/Cancelling/Rejecting/Returning) of Decisions Issued by CRSD of 2020 Compared with 2019

Description	2020			2019		
	Civil	Administrative	Penal	Civil	Administrative	Penal
Upholding	49.03%	66.67%	21.82%	41.95%	80.00%	20.69%
Amending	13.11%	16.67%	20.00%	2.44%	20.00%	34.48%
Cancelling	11.65%	16.67%	10.91%	22.44%	0.00%	6.90%
Reject Appeal/Petition	21.84%	0.00%	47.27%	19.51%	0.00%	20.69%
Returned to CRSD	3.88%	0.00%	0.00%	13.17%	0.00%	17.24%
Other	0.49%	0.00%	0.00%	0.49%	0.00%	0.00%
Total	100%	100%	100%	100%	100%	100%

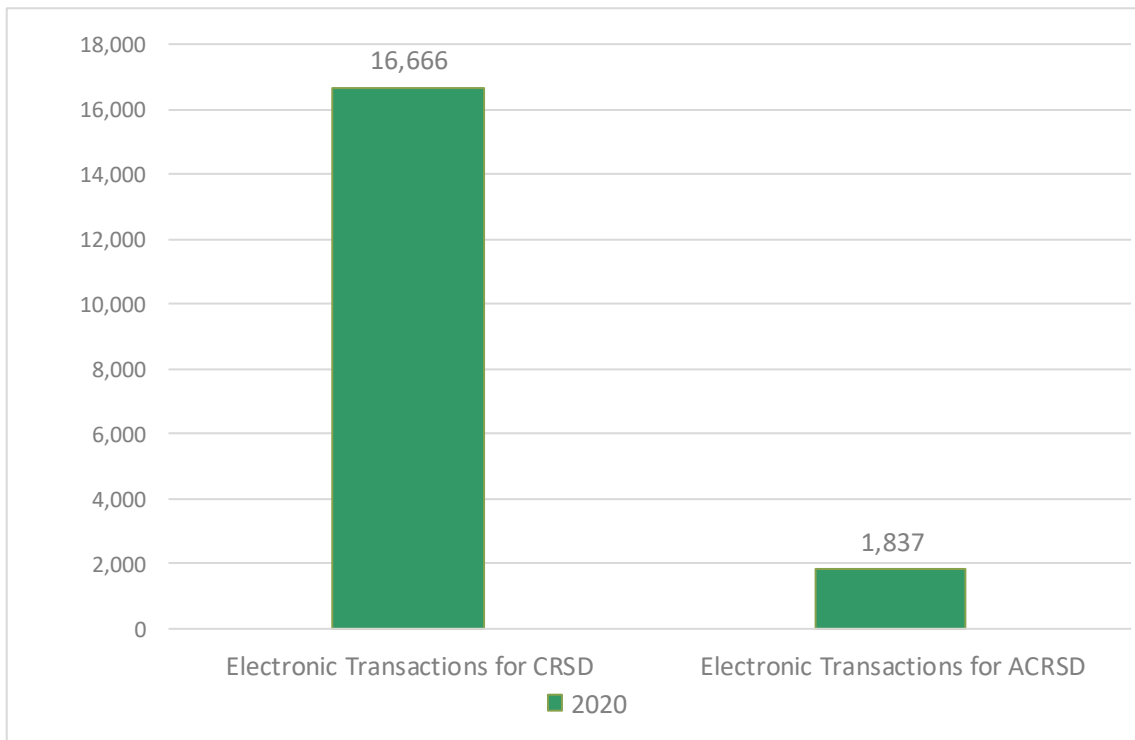
5. Incoming Cases Submitted to ACRSD

Case Type	2020	2019	% of Change
Civil	168	125	34.40%
Administrative	5	3	66.66%
Penal	25	18	38.89%
Petition	64	45	42.22%
Returned to CRSD	2	1	100%
Adjudication	11	27	59.26%
Total	275	219	25.57%



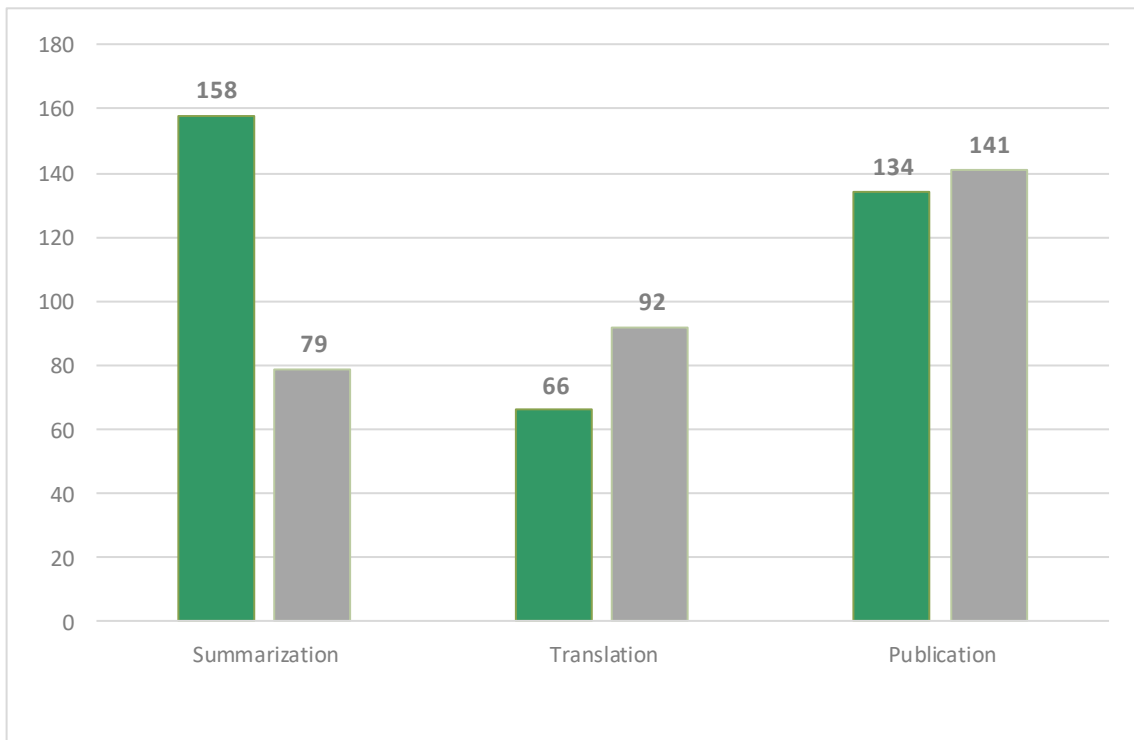
Administrative Works

Incoming	2020	2019	% of Change
Electronic Transactions for CRSD	16,666	10,253	63%
Electronic Transactions for ACRSD	1,837	1,212	52%
Total	18,503	11,465	61%



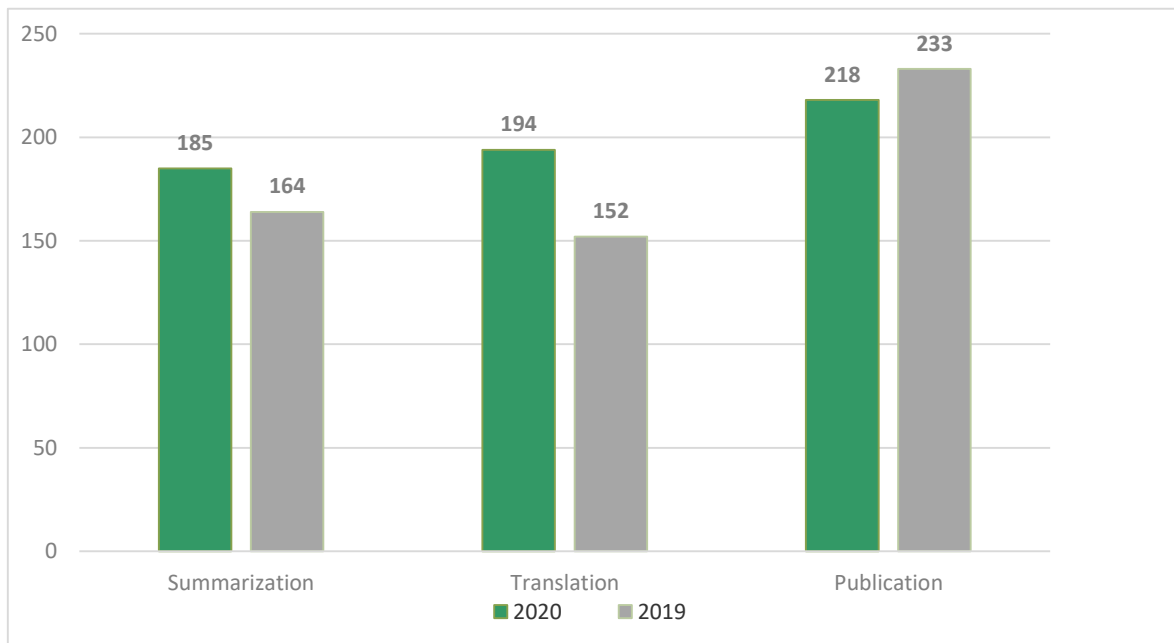
2. For CRSD

	2020	2019	%
Summarization	158	79	100%
Translation	66	92	-28%
Publication	134	141	-5%



3. For ACRSD

	2020	2019	%
Summarization	185	164	13%
Translation	194	152	28%
Publication	218	233	-6%



4. Number of Translated Pages for CRSD and ACRSD

	2020	2019	%
Number of Pages	2,816	2,220	27%

