**Application Form for compliance assessment**

Version 1

September 2023

**General Instructions and Guidelines**

1. The applicant must complete all required data, or its application is considered invalid.
2. When submitting financial data, all numbers must be stated in Saudi riyals (SAR). Figures shall be in the exchange rates as of date of data submission, provided that such date is specified, and that the relevant accounting standards are used.
3. Dates must be in the following format: Day \ Month \ Year
4. All inputs and documents submitted shall be in Arabic or translated into Arabic; and the applicant is responsible for ensuring correct and accurate translation.
5. The forms must be submitted in hard copies upon online fulfillment thereof. Any additional data shall be attached when needed. The applicant must make sure that such forms and data are titled and organized.
6. The form must be signed upon its fulfillment by the authorized signatory.
7. SAMA may require any additional information.
8. The request is considered invalid in case of any of the following:
* The attachments are not completed within 10 working days from the date of request.
* When SAMA requests additional data and such data were not provided within 10 working days.
* In case of any abrasion or modification.
1. Upon fulfilling the form, it shall be sent to SAMA via the following e-mail: MoneyExchLic@SAMA.GOV.SA

* Answer the following questions by placing the mark (✓) in the blank of the chosen answer:

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| --- | --- | --- |
|  | Applicable | Not applicable |
| Headquarter is located: On a main commercial street [ ] , in a mall [ ] , airport terminals [ ] , or border crossings [ ] . |
| The space area between the entrance and the counter separating between employees and customers is about ( ) meters. | [ ]  | [ ]  |
| Headquarter area: ( ) sq.mt. | [ ]  | [ ]  |
|  | **Yes** | **No** |
| Cladding the interior walls with modern designs that goes in line with the business nature. | [ ]  | [ ]  |
| Specifying a window for women’s service | [ ]  | [ ]  |
| Providing all handicapped requirements | [ ]  | [ ]  |
| Equipping an air-conditioned waiting area for customers | [ ]  | [ ]  |
| Placing a clear sign for customers, containing words about the necessity of counting cash before leaving, obtaining receipts, in addition to working hours. It is necessary to post the location address on Google Maps application | [ ]  | [ ]  |
| Developing a mechanism for receiving complaints and evaluating customer satisfaction | [ ]  | [ ]  |
| Installing a glass facade for the external doors of the headquarters | [ ]  | [ ]  |
| The headquarters board shall reflect the actual business of the center. The name of the center must be identical to the trade name according to the commercial register and license board | [ ]  | [ ]  |
| Insuring all properties against fire and theft through one of the licensed insurance providers in the Kingdom. | [ ]  | [ ]  |
| Money exchanger has a national address | [ ]  | [ ]  |
| Unifying the identity of the branches (if any) so that they are identical to the design of the headquarters | [ ]  | [ ]  |
| Providing an automated system through which accounting, financial and control operations are carried out, reports and financial statements are prepared, supported with a direct link between branches. The requirements of the AML law shall be applied through such system and it shall be linked to international ban lists in both Arabic and English. | [ ]  | [ ]  |
| Providing up-to-date cash counting and sorting and counterfeit currency detecting machines. | [ ]  | [ ]  |
| Placing a screen displaying the price of all traded currencies and linked to the automated system | [ ]  | [ ]  |
| Providing high-quality printers and scanners for each money exchanger counter | [ ]  | [ ]  |
| A Backup Hard-Disk copy of the data and automated systems must be retained outside the headquarters in a safe place against theft or damage and the like. Third parties (such as the service provider and others) shall not access such data or obtain a copy thereof. | [ ]  | [ ]  |
| Sufficient security protection software must be installed on all computers. | [ ]  | [ ]  |
| A digital system for organizing customers and determining the paths of money exchange windows must be in place | [ ]  | [ ]  |
| Creating an official E-mail with the money exchanger name | [ ]  | [ ]  |
| Securing an agreement as regards cash transfers operations or personal transport. | [ ]  | [ ]  |
| Having an updated DZIT certificate | [ ]  | [ ]  |
| Complying with the safety and security requirements stated in the Security and Safety Manual | [ ]  | [ ]  |
| Registering in Legal Entity Identifier (LEI) from the official Local Operating Unit (LOU) | [ ]  | [ ]  |
| Complying with license disclosure instructions (compliance instructions, disclosure format) | [ ]  | [ ]  |

* If there are suggestions or observations related to any of the previous questions, please include them with the question number in the table below:

|  |  |
| --- | --- |
| No**.** | Notes and feedback |
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**Name of Money Exchanger’s Manager:**

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**Signature:** **Stamp:** **Date: / /**

\*Note: This form shall be deemed invalid in case of any omission or modification made thereto.