



THE TRADING MITRA™

Become A Partner With THE TRADING MITRA™

An Initiative of SR Alpha Investment Advisors
(SEBI Registered Investment Advisers & Research Analyst)

Empower Your Career in Investment Advisory & Research

We invite qualified and ethical professionals to join us as partners in a fully SEBI-compliant investment advisory firm platform – combining knowledge, transparency, and growth

Who are eligible to be our Partners

- ✓ CAs , CSs , CWAs , MBAs (Finance)
- ✓ Lawyers, Tax Consultants, CFPs, CFAs
- ✓ Sub-brokers, Investment Agents, MF/Insurance Distributors *
- ✓ Independent Market Enthusiasts with relevant financial advisory understanding

* (Must stop distribution OR operate through a separate entity, not advise & distribute to the same client)

Eligibility Criteria - For Investment Advisor

- ✓ **Postgraduate / Professional qualification** in Finance, Economics, Commerce, or related fields
- ✓ **NISM Investment Adviser Level 1 & Level 2 Certification**
- ✓ Meet SEBI Regulation 7 for **Qualification & Experience**
- ✓ Willingness to fully comply with SEBI (Investment Advisers) Regulations, 2013
- ✓ **No mutual fund, insurance, or product distribution while advising clients**
- ✓ Must follow all provisions of SEBI (IA) Regulations, including conflict of interest and fiduciary duties.

Eligibility Criteria - Research Analyst

- ✓ **Postgraduate / Professional qualification** in Finance, Economics, Commerce, or related fields
- ✓ **NISM Research Analyst Certification (Series XV)**
- ✓ Fulfil SEBI Regulation 7(2) for **qualification & experience**
- ✓ **Maintain transparency, avoid conflicts in research, and ensure independence**
- ✓ Full adherence to SEBI RA Regulations, including disclosure norms, is mandatory

Roles & Responsibilities - As Partner you will

- ✓ **Acquire and manage clients under The Trading Mitra**
- ✓ **Conduct risk profiling, KYC & onboarding through official channels**
- ✓ **Coordinate with the Research Team**
- ✓ **Optionally support in research (approval required for report dissemination)**
- ✓ **Only Principal Partners (CA Rounak Agrawal & CA Suyash Singhaniya) can issue investment advice or research under the brand.**

Documents Required

- ✓ **Aadhaar, PAN, Passport/Driving License**
- ✓ **Passport-size Photograph**
- ✓ **Cancelled Cheque**
- ✓ **NISM IA Level 1 & 2 / RA Certificate**
- ✓ **Regulatory License (if applicable)**

Fees Collection

100% SEBI-Compliant | Fully Transparent | Performance-Based

- ✓ All payments to be made **only via NEFT / UPI / IMPS / RTGS** to the firm's designated bank accounts.
- ✓ **No cash transactions** or direct collections by partners are permitted under any circumstance

Revenue Sharing

- ✓ **Revenue Sharing Model (Client-wise Basis)**
Partners are entitled to a share of the advisory fees for clients they have brought in and served, as follows:
 - 1. 50% of the net advisory fee** (excluding GST) is credited to the Partner
 - 2. 50% is retained by the Firm for:**
 - Regulatory and compliance oversight
 - Research and advisory operations
 - Platform maintenance and brand infrastructure
- ✓ Revenue sharing is strictly **linked to the partner's contribution in acquiring and servicing clients** and is aligned with SEBI's fiduciary norms.
- ✓ All **fee collection, accounting**, and disbursement is conducted in full **compliance with SEBI IA Regulations**. Any deviation may lead to regulatory breach and disciplinary action

Compliance, Liability & Legal Provisions

- ✓ All onboarding, profiling, and communication must be via official & documented channels
- ✓ Unofficial communication is the sole responsibility of the partner

Indemnity Clause

If a partner's negligence causes regulatory violations or losses:

- ✓ They are jointly liable with the firm
- ✓ **But must indemnify other partners for losses caused by their acts**
- ✓ **Compensation must be made within 30 days, failing which 18% p.a. interest applies**
- ✓ Jurisdiction: Civil Courts at the firm's Registered Office

Onboarding Process

1. Fill Partner Enrollment Form
2. Submit KYC, Nominee & Address Details
3. Sign NDA & Compliance Documents
4. Attend Compliance Orientation Session


Join Us

Be a part of a SEBI-regulated, responsible, and growth-focused investment advisory & research ecosystem.

Operate with ethics. Grow with trust.

 Email: info@thetradingmitra.com

 Website: www.thetradingmitra.com

 Phone: +91-80100 54067

For information Only

Trade Name : The TRADING MITRA

SEBI Registered Name : SR Alpha Investment Advisers

SEBI Regn No. INA000020758