



**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](mailto:info@thetradingmitra.com)
-  **Website:** [www.thetradingmitra.com](http://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**