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 Invesment 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 dsignated 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. **40% of the net advisory fee** (excluding GST) is credited to the Partner as a 1st-time referral fee, and
     25% from next follow-on subscription years.
  2. **Balanced portion 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