LIST OF DOCUMENTS REQUIRED
SEBI INVESTMENT ADVISOR REGULATION 2013

1. **Individual:** Self Attested Copy of
   a. Post Graduate Qualification OR
   b. Graduate Qualification & 5 Years' Experience Proof
   c. Copy of the Certification obtained as per Section 7(2) like Chartered Wealth Manager® or NISM IACE Certification.
   d. Number of Employees of Applicant who will render the Advice on his behalf and their Qualification Proof as mentioned in points a, b and c.
   e. ID Proof and Address Proof of Applicant
   f. Details of any business interest of the applicant in any company or firm as partner or director.
   g. Copy of ITR or From 16 for the Last 3 Financial Years.
   h. Copy of assets and liabilities statement and certification of net tangible assets certified by a chartered accountant (not more than six months old at the time of filing of application). Please note that membership number of the Chartered accountant must be included in the certificate.
2. **Company:**
   a. Shareholding Pattern
   b. Profile of Directors
   c. ID Proof and Address Proof of Directors
   d. Declaration of Compliance with Educational and Qualification Requirements by the representatives.
   e. List of Associated Companies registered with SEBI, RBI, IRDA or PFRDA with Registration Number.
   f. If applicant is a bank or NBFC, then copy of approval from RBI for undertaking investment advisery services.
   g. Net worth certificate by a chartered accountant, not more than six months old. Please note that membership number of the chartered accountant must be included in the certificate
3. **Partnership:**
   a. Names and Ownership Structure of the Firm
   b. ID Proof and Address Proof of the Partners
   c. Educational Qualification Proof
   d. Copy of the Certification obtained as per Section 7(2) like Chartered Wealth Manager® or NISM IACE Certification for each partner.
   e. Declaration that the aforesaid partners shall obtain fresh certification before expiry of the validity of the existing certification to ensure continuity in compliance with certification requirements.

f. Copy of assets and liabilities statement and certification of net tangible assets of the partnership firm certified by a chartered accountant (not more than six months old at the time of filing of application). Please note that membership number of the chartered accountant must be included in the certificate.

Common Documents for all Entities

In addition to the above documents as per the constitution of the applicant the following documents need to be provided by all applicants irrespective of their constitution.

1. Business Plan
2. Details of Infrastructure
3. Execution Services: i.e. if the applicant has an advise execution service or product distribution service that is offers or intends to offer to its clients. The applicant need to give a declaration that the execution service is offered through and different department or division than the advisery service.