

Regulatory Audit Preparation

Banking, Finance & Fintech

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This guide explains what the tool produces, how to use the output, and what to watch for. The actual output (draft/report) is generated on the tool page.

Background

Builds a regulatory audit preparation guide for a broking intermediary — the areas inspectors examine (KYC and documents, client-funds segregation, margin, reporting, grievances, systems), a document checklist, and common findings to fix in advance. Use this to be ready for an exchange or SEBI inspection.

Purpose of this tool & output

Be ready for exchange and SEBI audits

How the output is used

Use the preparation to be ready for exchange and SEBI audits by closing gaps before the auditor arrives.

Who should vet it

A securities-compliance auditor, to validate audit readiness.

Important cautions

AI-generated guide; align to exchange and SEBI inspection requirements.

Companion documents

- Sub-Broker / AP Setup Guide
- SEBI Compliance Checklist
- KYC & Account Opening SOP
- Risk Disclosure Document
- Client Agreement (Broking)
- Margin & Risk Policy

This is AI-assisted guidance. Verify with a qualified professional before any binding decision. Fees, authorities and processes vary by state and change over time — confirm with your state authority.