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Sub-Broker / AP Setup Guide

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

A step-by-step guide to setting up as an authorised person (AP) or sub-broker in India — NISM certification, empanelment with a stockbroker, registration and agreement, infrastructure, deposit, and how to acquire your first clients compliantly. Use this to start your broking business. For the ongoing rulebook once live use the SEBI Compliance Checklist.

Purpose of this tool & output

Start as an authorised person or sub-broker

How the output is used

Use the guide to start as an Authorised Person (AP) or sub-broker with a SEBI-registered broker.

Who receives it

The stock exchange (AP registration) via a SEBI-registered trading-member broker.

How to submit / file it

Apply through the sponsoring broker with KYC and NISM certification; the exchange registers the AP.

Fees & charges

Exchange registration and NISM certification fees.

Who should vet it

A securities-compliance consultant.

Important cautions

AI-generated guide; confirm current SEBI and exchange requirements.

Companion documents

- SEBI Compliance Checklist
- KYC & Account Opening SOP
- Risk Disclosure Document
- Client Agreement (Broking)
- Margin & Risk Policy
- Grievance Redressal Framework

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.