

Research & Advice Disclaimer 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

Explains the boundaries between research analyst, investment adviser and distributor roles — what each can legally do — and provides standard disclaimers for research and market views plus a list of prohibited practices (unregistered advice, tips, assured returns). Use this to share content without crossing into regulated advice. If you intend to give personalised advice, use the RIA Registration & Compliance guide first.

Purpose of this tool & output

Stay on the right side of RA/RIA rules

How the output is used

Use the guide to stay on the right side of RA/RIA rules with proper disclaimers and disclosures on any advice.

Important cautions

AI-generated guide; register appropriately (RA or RIA) before giving research or advice and follow SEBI rules.

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.