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RIA Registration & Compliance

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 SEBI Registered Investment Adviser (RIA) registration and compliance — what RIAs can do, fee-only and fiduciary duty, the distributor-vs-adviser separation, the registration path (qualification, certification, net worth, application) and ongoing compliance (suitability, disclosures, fee limits, records, audit). Use this if you plan to give personalised investment advice legally.

Purpose of this tool & output

Give advice legally as a registered adviser

How the output is used

Use the guide to give advice legally as a SEBI-registered Investment Adviser (RIA), and to stay compliant.

Who receives it

SEBI (RIA registration) and BASL (BSE Administration & Supervision) membership.

How to submit / file it

Apply on the SEBI portal with the required qualification, NISM certifications, net worth and infrastructure; take BASL membership.

Fees & charges

SEBI application and registration fees plus BASL membership fees.

Who should vet it

A SEBI-RIA compliance consultant.

Important cautions

AI-generated guide; confirm current SEBI RIA regulations before advising.

Companion documents

- Financial Plan Builder
- Goal-Based Planning Calculator
- Risk Profiling Questionnaire
- Asset Allocation Advisor
- Investment Tax Planning
- Estate & Succession Planning

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.