



SEBI (Investment Advisers) Regulations, 2013

1. The SEBI (Investment Advisers) Regulations, 2013 ("IA Regulations") were notified on January 21, 2013 and have come into effect from April 21, 2013. The IA Regulations are available on the SEBI website www.sebi.gov.in
2. The details of the investment advisers registered and the details of the pending applications for grant of registration along with the status of the application is available on the SEBI website.
3. In terms of the IA Regulations, no person shall act as an investment adviser or hold itself out as an investment adviser unless he has obtained a certificate of registration from the Board or he is specifically exempt. Provided that "a person acting as an investment adviser immediately before the commencement of these regulations may continue to do so for a period of six months from such commencement or, if it has made an application for a certificate within the said period of six months, till the disposal of such application."
4. All the persons acting as an investment adviser before the commencement of IA Regulations are advised to make their application for grant of registration before October 21, 2013 to continue to do so and shall comply with the requirement of obtaining a certificate of registration for acting as investment adviser under the IA regulations.
5. The persons seeking registration under IA Regulations may file their registration application with the concerned Regional Office/Local Office of the Board for grant of registration. The addresses of offices of SEBI are available on the website at www.sebi.gov.in and also on the link http://www.sebi.gov.in/sebiweb/stpages/contact_us.jsp
6. All the information pertaining to IA Regulations issued by SEBI from time to time will be available on the website at www.sebi.gov.in under "info for Investment Advisers".

Mumbai

August 28, 2013