

प्ररूप ख
FORM-B

भारतीय प्रतिभूति और विनिमय बोर्ड
SECURITIES AND EXCHANGE BOARD OF INDIA

{विनिधान (निवेश) सलाहकार} विनियम, 2013
(INVESTMENT ADVISERS) REGULATIONS, 2013

0000997

(विनियम 9)
(Regulation 9)

विनिधान (निवेश) सलाहकार के रूप में रजिस्ट्रीकरण का प्रमाणपत्र
CERTIFICATE OF REGISTRATION AS INVESTMENT ADVISER

- I) बोर्ड, भारतीय प्रतिभूति और विनिमय बोर्ड अधिनियम, 1992 (1992 का 15) के अधीन बनाये गये विनियमों के साथ पठित उस अधिनियम की धारा 12 की उप-धारा (1) द्वारा का प्रदत्त शक्तियों का प्रयोग करते हुए,
I) In exercise of the powers conferred by sub section (1) of Section 12 of the Securities and Exchange Board of India Act, 1992 (15 of 1992) read with the regulations made thereunder, the Board hereby grants a certificate of registration to

MADHUPAM KRISHNA

638-B, LANE NO.-8, JANPATH, RANI SATI NAGAR

AJMER ROAD, JAIPUR

RAJASTHAN-302019

को अधिनियम में और उसके अधीन बनाये गये विनियमों में विनिर्दिष्ट शर्तों के अधीन, विनिधान (निवेश) सलाहकार के रूप में प्रमाणपत्र एतद्वारा प्रदान करता है।
as an **Investment Adviser**, subject to the conditions specified in the Act and in the regulations made thereunder.

- II) विनिधान (निवेश) सलाहकार की रजिस्ट्रीकरण संख्या
II) The Registration Number of the Investment Adviser is

INA100003899

II) THIS CERTIFICATE OF REGISTRATION SHALL BE VALID UPTO DECEMBER 09, 2020, UNLESS SUSPENDED OR CANCELLED BY THE BOARD.



आदेश द्वारा
भारतीय प्रतिभूति और विनिमय बोर्ड
के लिए और उसकी ओर से
By order
For and on behalf of
Securities and Exchange Board of India

स्थान Place : **AHMEDABAD**

तारीख Date : **DECEMBER 28, 2015**

ANINDYA KUMAR DAS
प्रधिकृत हस्ताक्षरकर्ता Authorised Signatory



भारतीय प्रतिभूति
और विनिमय बोर्ड
*Securities and Exchange
Board of India*

MANAGER
JAIPUR LOCAL OFFICE
E-mail: sushill@sebi.gov.in

JLO/IA/SKL/OW/1703/2016
January 11, 2016

Mr. Mdhupam Krishna
638-B, Lane No.-8, Janpath
Rani Sati Nagar, Ajmer Road
Jaipur-302005

Dear Sir,

Sub: Application for registration of Mr. Madhupam Kirshna as an Investment Adviser

1. Please refer to your application dated September 30, 2015 for grant of certificate of registration as an 'Investment Adviser' and subsequent information/documents submitted by you.
2. We acknowledge the receipt of your fees for registration as Investment Adviser and we are pleased to grant the certificate of registration bearing no. **0000997** in terms of Regulation 9 of SEBI (Investment Advisers) Regulations, 2013, ("The Regulations") to carry out the activities as an Investment Adviser.
3. The registration number for Mr. Madhupam Kirshna is **INA100003899** and the registration is valid for a period of five years effective from December 10, 2015 to December 09, 2020. In respect of all future correspondence with SEBI, Government and other authorities, you should quote this registration number.
4. The certificate has been granted subject to the following conditions, inter alia, as specified in Regulation 13 of the above Regulations;
 - a. the Investment Adviser shall abide by the provisions of the Act and these regulations;
 - b. the Investment Adviser shall forthwith inform the Board in writing, if any information or particulars previously submitted to the Board are found to be false or misleading in any material particular or if there is any material change in the information already submitted.



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- d. the investment adviser, not being an individual, shall include the words 'investment adviser' in its name:
Provided that if the investment advisory service is being provided by a separately identifiable department or division or a subsidiary, then such separately identifiable department or division or subsidiary shall include the words 'investment adviser' in its name;
- e. individuals registered as investment advisers shall use the term 'investment adviser' in all their correspondences with their clients
5. Your attention is particularly invited to Chapter III for General Obligations and Responsibilities which include risk profiling, suitability, disclosure to clients, etc, which shall apply to all investment advisory services provided by you.
6. You shall keep and maintain the books of accounts, records and such other documents as may be required by the Board under the Regulations from time to time.
7. You shall comply with SEBI {KYC(Know Your Client) Registration Agency} Regulations, 2011
8. You shall ensure compliance with the Guidelines / Directives / Instructions/ Circulars etc. as may be issued from time to time by SEBI or the Government of India relating to the activities carried on by you.
9. You shall not make use of your status as SEBI registered Investment Adviser in furtherance of unrelated activities or any other purpose which is not permitted in the Regulations.
10. Your action shall be governed by SEBI Act and SEBI (Investment Advisers) Regulations, 2013 in respect of the activities carried on by you as an Alternative Investment Fund.
11. It may please be noted that any material change in the information on the basis of which registration is granted must be communicated to SEBI immediately.



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12. All Guidelines / Circulars (including those issued to investment advisers) by SEBI till date are available on SEBI Website : www.sebi.gov.in
13. The registration is granted on the basis of information available with SEBI at this point of time and does not preclude SEBI from cancelling the registration later if anything adverse is found against you or if you are convicted.
14. The certificate of registration is enclosed herewith. You are advised to address all your future correspondence at the following address: SEBI, Jaipur Local Office, Gr. Floor, Jeevan Nidhi-II, LIC Building, Ambedkar Circle, Jaipur - 302005.
15. Please return a copy of this letter duly signed by the authorised official in token of having received the certificate of registration.

Yours faithfully,


Sushil Kumar Laxkar

Encl: Certificate of Registration No. 0000997as an Investment Adviser in original.