

Registration for empanelment as Securities Market Trainers (SMARTs), Please Apply Online - <https://smarts.sebi.gov.in>

MANUAL FOR REGISTRATION IN SEBI SMARTS PORTAL

Dear Reader,

This user manual contains all essential information pertaining to registration requirements by individuals and organisations for empanelment as Securities Market Trainers (SMARTs). This manual includes a description of step-by-step procedures for submitting applications for empaneling themselves as SEBI Empaneled SMARTs. The primary purpose and scope of SMARTs Portal is to automate the process of empanelment.

We hope that the contents of this document will be useful and informative to the users.

Thank you.

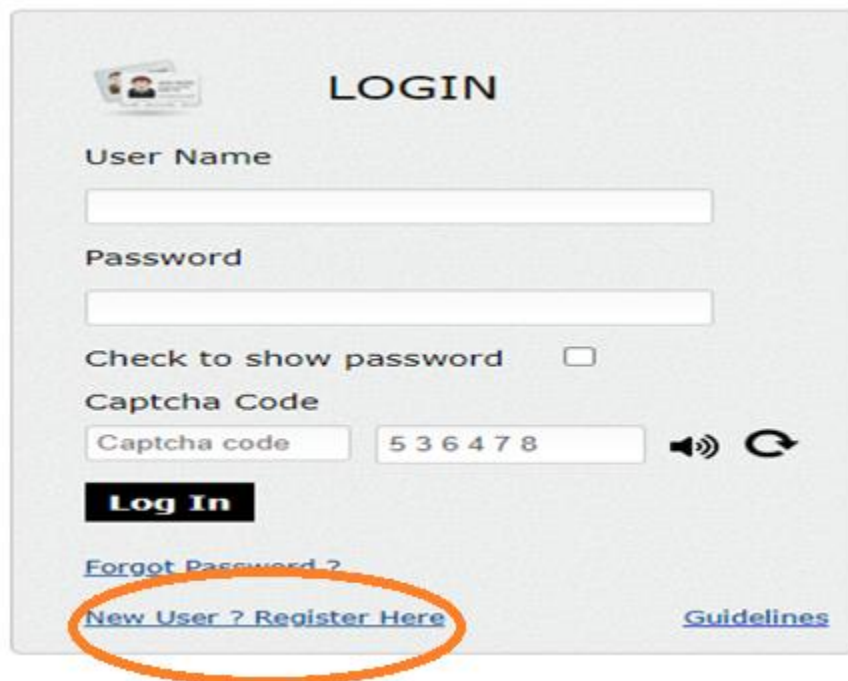
SMART Registration

- Go to: <https://smarts.sebi.gov.in/smartfe/index.jsp>
- Click on the registration link on the top right hand corner of the screen next to login.
- Users will then be directed to the following link:
<https://smarts.sebi.gov.in/smartfe/home/HomeAction.do?doRegStep1=yes>

Process of Registration

The process of Registration on the SMARTs portal by individuals and organisations for becoming SMARTs is explained in the following steps.

Step 1: Registration as new user:



The image shows a web form titled "LOGIN". It includes a small profile icon in the top left. The form has the following elements: a "User Name" label and a text input field; a "Password" label and a text input field; a "Check to show password" checkbox; a "Captcha Code" label and a text input field containing the numbers "5 3 6 4 7 8"; a "Log In" button; a "Forgot Password ?" link; a "New User ? Register Here" link which is circled in orange; and a "Guidelines" link in the bottom right corner.

New user can register themselves as 'Individual' or 'Organisation'

Users can enter the following details in step 1:

- **Personal details:**

1. Select title from dropdown
2. Enter first name, middle name and last name
3. Enter date of birth
4. Choose gender
5. Enter nationality
6. Choose marital status
7. Enter PAN in AAAAAA0000A format
8. Enter valid e-mail ID (used for further correspondences)
9. Enter 12 digits Aadhar number
10. Enter valid captcha image shown on the page



Individual Registration

* Please read instructions carefully before filling the form.

Step 1

Step 2

Step 3

Step 4

Please do not use special characters in Name fields of the form.

Personal Details

Title *	Mr.			
First Name *		Middle Name		Last Name *
Date of Birth *	Day	Month	Year	Sex *
Nationality *	Indian	Marital Status *	Married	Female
PAN No. *		Email Id (Username) *		Email Id (Alternate)
Aadhar No. *		Enter Verification Code *	Captcha code 471987	

• Academic qualifications:

User enter academic qualifications by choosing

1. Select the suitable qualification type like graduation, post-graduation etc.
2. Enter year of passing from drop down
3. Enter name of institute or university
4. Enter overall % of total marks obtained
5. Enter class / division

Academic Qualifications

Qualification	Degree/Diploma / Specialisation	Year of Passing	University / Institute	Overall (%) of Marks	Class / Division
Graduation	-- Select --	Year		0.0	
Post Graduation	-- Select --	Year		0.0	
Professional Qualification	-- Select --	Year		0.0	
Any Other		Year		0.0	

• Working Experience:

1. Enter name of employer
2. Enter the employment type,
3. Enter designation
4. Select duration by entering from and to dates in month and year format

Working Experience							
Employers Name	Employment Type	Designation	Period Duration				
			From		To		
<input type="text"/>	<input type="text"/>	<input type="text"/>	Month <input type="text"/>	Year <input type="text"/>	Month <input type="text"/>	Year <input type="text"/>	
<input type="text"/>	<input type="text"/>	<input type="text"/>	Month <input type="text"/>	Year <input type="text"/>	Month <input type="text"/>	Year <input type="text"/>	
<input type="text"/>	<input type="text"/>	<input type="text"/>	Month <input type="text"/>	Year <input type="text"/>	Month <input type="text"/>	Year <input type="text"/>	
<input type="text"/>	<input type="text"/>	<input type="text"/>	Month <input type="text"/>	Year <input type="text"/>	Jan <input type="text"/>	Year <input type="text"/>	
Total Experience			:	<input type="text"/>	Months	<input type="text"/>	Years

- **Details of NISM Examination:**

1. Enter the percentage of marks obtained in NISM Certification Examination
2. Enter the Date of Validity of NISM Certification

Details of NISM Examination			+ Add
NISM Certification Examination	Percentage of Marks Obtained	Date of Validity of NISM Certification	
NISM Series-XII Securities Markets Foundation Certification Exam	<input type="text"/>	dd/mm/yyyy <input type="text"/>	
NISM-Series-XVI Commodity Derivatives Certification Examination	<input type="text"/>	dd/mm/yyyy <input type="text"/>	

Then, click the **'Submit and go to step 2'** button

Step 2:

Step 1 Step 2 Step 3 Step 4

Please do not use special characters in Name fields of the form.

Contact Details			
Address Line 1 *	<input type="text"/>		
Address Line 2	<input type="text"/>		
State *	-- Select --	District *	-- Select --
Pincode *	<input type="text"/>	Location *	<input type="text"/>
Mobile 1 (+91) *	<input type="text"/>	Landline 1	<input type="text"/>
Mobile 2 (+91)	<input type="text"/>	Landline 2	<input type="text"/>

- **Contact details:**

1. Enter address line 1 and 2
2. Choose district from dropdown
3. Enter the pin-code of your location
4. Enter name of the location
5. Enter mobile number (10 digits). Maximum of 2 mobile numbers
6. Enter a maximum of 2 landline numbers in STD + number format

Preference of Empanellment

State * District *

Languages Known: (Please mark ✓ at appropriate boxes)

Sr. No.	Language *	Read	Write	Speak	+ Add
1.	<input type="text" value="-- Select --"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Bank Details

Bank Name * Branch Name * Account No. *

IFSC Code *

- **Preference of Empanelment:**

1. Choose State from dropdown
2. Choose District from dropdown

- **Languages known:**

1. Choose language from dropdown
2. Choose whether they can write, read and/or speak
3. User can add more languages by clicking the add more button

- **Bank details:**

1. Enter bank name
2. Enter branch name
3. Enter Account number
4. Enter IFSC code

User can click on the next button to go to step 3

Step 3:

Step 1

Step 2

Step 3

Step 4

lease do not use special characters in Name fields of the form.

Questionaries

Awarded any penalty by SEBI or Govt. authority
If yes, then please provide the details thereof: *

☐ Yes

☒ No

Found guilty of any economic offence or violation of any securities law.
If yes, then please provide the details thereof: *

☐ Yes

☒ No

Whether suits or proceedings are pending against the Applicants.
If yes, then please provide the details thereof: *

☐ Yes

☒ No

Whether the applicant has been debarred by financial sector regulators due to violation of respective laws/rules.
If yes, then please provide the details thereof: *

☐ Yes

☒ No

Whether Police Verification Certificate has been obtained for nil adverse criminal record(s) against the applicant.
If yes, then please provide the details thereof and enclose a copy of the same *

☐ Yes

☒ No

Whether applicant, is registered as an intermediary with SEBI or associated with any of the intermediaries registered with SEBI, directly or indirectly, in any capacity including by employment or professional or business relationship?
If yes, give details

Whether applicant is a director (other than independent professional director) on the board of any other body corporate?
If yes, give details

System will ask user the following details:

- Awarded any penalty by SEBI or Govt. Authority Yes/No. If yes, then please provide the details thereof.
- Found guilty of any economic offence or violation of any securities law. Yes/No. If yes, then please provide the details thereof
- Whether suits or proceedings are pending against the Applicants. If yes, then please provide the details thereof
- Whether the applicant has been debarred by financial sector regulators due to violation of respective laws/rules. Yes/No. If yes, then please provide the details thereof:
- Whether applicant or any of the governing body member have been any conviction and has any restraint order from SEBI or any action taken by other regulatory bodies, organizations, stock exchanges, depositories, police, etc. or any Court of Law.
- Whether applicant, is registered as an intermediary with SEBI or associated with any of the intermediaries registered with SEBI, directly or indirectly, in any capacity including by employment or professional or business relationship? If yes, give details
- Whether applicant is a director (other than independent professional director) on

the board of any other body corporate? If yes, give details

Activites of the Applicant *

What is the objective of the Applicant in seeking empanelment from SEBI?

Whether the Applicant agrees to abide by the rules, regulations and/ guidelines framed by SEBI from time to time for its effective functioning and better discipline: * ☒ Yes ☐ No

Whether applicant was/is recognized/empanelled as Trainer by SEBI / RBI / IRDA/ PFRDA / NISM etc., if so, please provide the details ☒ Yes ☐ No

Name of Organization	Empaneled as	Date of Empanelment		Validity of the Empanelment	Have you conducted awareness program in Securities Market	Details	+ Add
		From	To				
		dd/mm/yy;	dd/mm/yy;				

Any other Activities undertaken by the applicant relevant to securities markets ☒ Yes ☐ No

Name of the Organization	Period	Details of Experience	+
			Add

[< Previous](#) [Reset](#) [Submit and go to step 4 »](#)

- Activities of the Applicant:

Provide information relating objectives of seeking SMARTs empanelment from SEBI.

- Whether the Applicant agrees to abide by the rules, regulations and/ guidelines framed by SEBI from time to time for its effective functioning and better discipline: Yes/No
- Details about the empanelment as Trainers by SEBI / RBI / IRDA/ PFRDA / NISM etc., may be provided, if any.
- Additional details can be entered in the field named 'Any other information that you wish to provide'

User can click on the next button to go to step 4

Step 4:

Step 1

Step 2

Step 3

Step 4

Please do not use special characters in Name fields of the form.

Upload File (maximum file size is 5MB each)

Fetch From DigiLocker

Upload Photo *	<div>Choose File</div> No file chosen	(.jpg, .jpeg, .png allowed, max file size 2MB)
Upload Pancard *	Upload Pancard through DigiLocker(Mandatory)	
Upload Aadhar card *	Upload Aadhar card through DigiLocker(Mandatory)	
Highest Qualification Degree *	<div>Choose File</div> No file chosen	(.pdf allowed, max file size 2MB)
Work Experience Document *	<div>Choose File</div> No file chosen	(.pdf allowed, max file size 2MB)
NISM Certification Examination Please combine all nism certificate in single pdf. *	<div>Choose File</div> No file chosen	(.pdf allowed, max file size 2MB)
Police Verification Certificate *	<div>Choose File</div> No file chosen	(.pdf allowed, max file size 2MB)
Any Other	<div>Choose File</div> No file chosen	(.pdf allowed, max file size 2MB)

☐ I declare and certify that the information given above and also in the Form / enclosures are true to the best of my knowledge. I hereby agree to comply with the provisions of the Operational Guidelines on Securities Market Trainers (SMARTs) stipulated by SEBI as may be amended from time to time, and also not to carry out any activity in contraventions of Securities contract (Regulation) Act, 1956, Securities and Exchange Board of India Act 1992, Depositories Act, 1996 and rules, regulations, and circulars and notifications made there under or any other regulations in force.

☐ I agree to SEBI's terms and conditions

« Previous

Submit

Reset

- Users must upload the following files:
 1. Photo
 2. Pan card (to be fetched from DigiLocker)
 3. Aadhar card (to be fetched from DigiLocker)
 4. Highest Qualification degree
 5. Work experience documents
 6. NISM Certificate (All NISM certificates to be combined & uploaded in single pdf)
 7. Police verification Certificate (Optional)
 8. Any other
- Users must then tick the terms and conditions box to confirm that they've read the same
- Users must then submit the form. If the form is submitted successfully, an email confirmation will be sent to the user along with an activation link in order to verify email address validity.

* * * * *