

## Compliance Calendars

Compliance Calendar to be followed by SEBI Registered Entities for the month of **December 2024**

### PMS Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites	<b>07.12.2024</b>
2	Monthly Report Submission to SEBI & APMI	<b>Within 7 working days</b>
3	Sectoral Risk Assessment submission to APMI	<b>16.12.2024</b>

### AIF Compliance Calendar

Sr.	Particulars	Due Date
1	Disclosure of NAV of scheme(s) of the Category III AIF (Open ended)	<b>No periodicity defined</b>
2	Reporting of overseas investments utilization to SEBI (If applicable)	<b>Within 5 working days of such utilization</b>

### Investment Advisers Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints by Investment Advisers on their websites/mobile applications	<b>07.12.2024</b>

### Research Analysts Compliance Calendar

Sr.	Particulars	Due Date
1	Complaint Data to be displayed by RAs on their website/ mobile application	<b>07.12.2024</b>

### Merchant Banking Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on its website	<b>07.12.2024</b>
2	Disclosure of Track Record of the public issues managed by Merchant Bankers	<b>Ongoing and Continuous requirements</b>



**Depository Participant Compliance Calendar**

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints on websites	07.12.2024
2	Investor Grievances Report (CDSL & NSDL)	10.12.2024

**Stock Broking Compliance Calendar**

Sr.	Particulars	Due Date
1	Policy to be implemented on Handling of Good Till Cancelled Orders offered by Members to Clients - deadline for new clients & existing clients -All Exchanges	01.12.2024
2	Settlement of running account (Monthly)	01.12.2024& 02.12.2024
3	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	07.12.2024
4	Sectoral Risk Assessment-All Exchanges	13.12.2024
5	Implementation of NSE circular for clarifications on reporting of segregation and monitoring of collateral at client level	19.12.2024
6	Number of STR filed with FIU-IND (Only BSE)	Before 31.12.2024
7	Submission of VAPT report and/ or Action Taken Report (ATR)/Compliance report	31.12.2024
8	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily-Ongoing
9	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	Weekly
10	Requirement of sending a complete 'Statement of Accounts' for funds, securities and commodities in respect of each client (within next four trading days of subsequent week)-All Exchanges	Weekly

**Disclaimer:**

**Please note that the Compliance Calendar is intended as a general guideline and should not be considered definitive. For the most current and accurate information, we highly encourage you to refer to the latest circulars issued by the relevant Market Infrastructure Institutions. It is important to understand that we cannot be held liable for any compliance violations that may arise from reliance on this calendar.**

**If you require any assistance or have questions regarding compliance matters, please do not hesitate to contact us at [compliance@sanjayshah.co.in](mailto:compliance@sanjayshah.co.in)**



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