

## Compliance Calendars

Compliance Calendar to be followed by SEBI Registered Entities for the month of **January 2025**

### PMS Compliance Calendar

Sr.	Particulars	Due Date
1	Implementation of the CSCRF of SEBI Circular ref. no. SEBI/HO/ITD-1/ITD_CSC_EXT/P/CIR/2024/113 dated 20th August, 2024. <b>Applicable for PMS with an AUM of Rs. 3000 Crores and above.</b> ( <a href="https://www.apmiindia.org/storagebox/images/Circulars/APMI-%20Update%20on%20SEBI%20CSCRF%20Circular.pdf">https://www.apmiindia.org/storagebox/images/Circulars/APMI-%20Update%20on%20SEBI%20CSCRF%20Circular.pdf</a> )	01.01.2025
2	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites.	07.01.2025
3	Monthly Report Submission to SEBI & APMI.	Within 7 working days
4	Quarterly Offsite Inspection Data Reporting to SEBI. (Subject to APMI's confirmation)	15.01.2025
5	Quarterly Report Submission to Investors.	Ideally before 31.1.2025
6	Quarterly report on compliance with SEBI Regulations and Guidelines and also that Due Diligences is exercised, to be placed in front of the Board	During the Board Meeting

### AIF Compliance Calendar

Sr.	Particulars	Due Date
1	Disclosure of Investor Complaints by AIF on their websites.	07.01.2025
2	Quarterly Reporting of AIF activities to SEBI	15.01.2025
3	Reporting of overseas investment utilization to SEBI (If applicable)	Within 5 working days of such utilization
4	Quarterly Reporting to Investors (Applicable in case of Category III AIF)	Within 60 days from the end of quarter

### 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.	07.01.2025



**Research Analysts Compliance Calendar**

Sr.	Particulars	Due Date
1	Complaint Data to be displayed by RAs on their website/ mobile application	07.01.2025

**Merchant Banking Compliance Calendar**

Sr.	Particulars	Due Date
1	Implementation of SEBI Circular (ref. no. SEBI/HO/ITD-1/ITD_CSC_EXT/P/CIR/2024/113 dated 20th August, 2024) for Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs).	01.01.2025
2	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on its website	07.01.2025
3	Disclosure of Track Record of the public issues managed by Merchant Bankers	Ongoing and Continuous requirements

**Depository Participant Compliance Calendar**

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints on websites	07.01.2025
2	Monthly Reporting of Number of STRs Filed with FIU-IND (Only CDSL)	07.01.2025
3	Investor Grievances Report (CDSL & NSDL)	10.01.2025
4	Quarterly Reporting Cyber Security Incidence (Both NSDL & CDSL)	15.01.2025
5	Quarterly AI/ML Reporting Report (if applicable)	15.01.2025
6	Quarterly Reporting of Surveillance Obligations (Both NSDL & CDSL)	15.01.2025
7	Half-Yearly Submission of Compliance Certificate (Both NSDL & CDSL)	31.01.2025

**Stock Broking Compliance Calendar**

Sr.	Particulars	Due Date
1	Implementation of SEBI Circular ref. no. SEBI/HO/ITD-1/ITD_CSC_EXT/P/CIR/2024/113 dated 20th August, 2024 for Cybersecurity and Cyber Resilience Framework (CSCRF) for SEBI Regulated Entities (REs).	01.01.2025
2	Policy to be implemented on Handling of Good Till Cancelled Orders offered by Members to Clients - deadline for new clients & existing clients -All Exchanges.	01.01.2025



3	Settlement of running account (Quarterly).	03.01.2025 04.01.2025	&
4	Settlement of running account (Monthly).	03.01.2025 04.01.2025	&
6	Publishing of Investor Charter and disclosure of Investor Complaints on Websites.	07.01.2025	
7	Applicability of Cautionary Messages on Trading Terminals.	10.01.2025	
8	Quarterly Data Required for Computation of Securities Transaction Price Index (STPI).	15.01.2025	
9	Quarterly Reporting of Cyber Security & Cyber Resilience Framework for Stock Brokers / Depository Participants (Incident Reporting).	15.01.2025	
10	Quarterly Reporting of Artificial Intelligence and Machine Learning Applications Used by Members.	15.01.2025	
11	Quarterly Reporting Surveillance Obligations for Trading Members.	15.01.2025	
12	Submission of UCC wise quarterly settlement details to exchanges (T+10 trading days from the date of settlement).	17.01.2025	
13	Submission of VAPT report and/or Action Taken Report (ATR)/Compliance report.	31.01.2025	
14	Submission of Details of AP Inspections undertaken during the quarter ended 31.12.2024 (Even if NIL AP inspected, submission is mandatory).	31.01.2025	
15	Revision in contract note format-Extension of timeline.	31.01.2025	
16	Number of STR filed with FIU-IND (Only BSE).	Before 31.01.2025	
17	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges.	Daily-Ongoing	
18	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges.	Weekly	
19	Requirement of sending a complete 'Statement of Accounts' for funds, securities, and commodities in respect of each client (within next four trading days of the 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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