

Compliance Calendars

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

PMS Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites	07.11.2024
2	Monthly Report Submission to SEBI & APMI	Within 7 working days

AIF Compliance Calendar

Sr.	Particulars	Due Date
1	Reporting of overseas investments utilization to SEBI	Within 5 working days of such utilization

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	07.11.2024

Research Analysts Compliance Calendar

Sr.	Particulars	Due Date
1	Complaint Data to be displayed by RAs on their website/ mobile application	07.11.2024

Merchant Banking Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on website	07.11.2024
2	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 (CDSL & NSDL)	07.11.2024
2	Investor Grievances Report (CDSL & NSDL)	10.11.2024
3	Submission of consolidated concurrent & Internal Audit Report for the half Year Ended 30.09.2024 (CDSL)	15.11.2024
4	Submission of Internal Audit Report for the half Year Ended 30.09.2024 (NSDL)	15.11.2024
5	Conducting of VAPT (CDSL & NSDL)	30.11.2024

Stock Broking(NSE & BSE) Compliance Calendar

Sr.	Particulars	Due Date
1	Uploading of day-wise Holding statement in the specified standard format to exchange (within next day)	Daily basis
2	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week.	Weekly basis
3	Requirement of sending a complete 'Statement of Accounts' for funds, securities and commodities in respect of each of its clients (within next four trading days of subsequent week)	Weekly basis
4	Guidelines on Margin collection & reporting - Revision in upfront margin penalty guidelines	01.11.2024
5	Settlement of running account (For those who have opted for monthly settlement)	01.11.2024 & 02.11.2024
6	Publishing of Investor Charter and disclosure of Investor Complaints on websites	07.11.2024
7	Implementation of SEBI Circular :-Enhancement of operational efficiency and Risk Reduction - Payout of securities directly to client demat account	11.11.2024
8	Implementation of SEBI circular for Measures to Strengthen Equity Index Derivatives Framework for Increased Investor Protection and Market Stability	20.11.2024
9	STR Reporting (Monthly)(only BSE)	Before 30.11.2024
10	Submission of quarterly net worth certificate for the period ended 30.09.2024 for QSB brokers	29.11.2024
11	Conducting of VAPT	30.11.2024
12	Submission of half yearly Net Worth Certificate as at 30.09.2024 (Non-MTF)	30.11.2024



13	Submission of half yearly Internal audit report for the period ended 30.09.2024	30.11.2024
14	Submission of half yearly ALGO system audit report as at 30.09.2024	30.11.2024
15	Submission of half yearly ALGO Cyber audit report as at 30.09.2024	30.11.2024
16	Submission of Risk Based Supervision for the period ended 30.09.2024	30.11.2024

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

