

## Compliance Calendars

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

### **PMS Compliance Calendar**

<b>Sr.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1</b>	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites	<b>07.10.2024</b>
<b>2</b>	Monthly Report Submission to SEBI & APMI	<b>Within 7 working days</b>
<b>3</b>	Offsite Inspection data reporting to SEBI SI Portal (Quarterly)	<b>10.10.2024</b>
<b>4</b>	Reporting to Clients in prescribed format	<b>Before 31.10.2024</b>
<b>5</b>	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS	<b>Ideally before 31.10.2024</b>

### **AIF Compliance Calendar**

<b>Sr.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1</b>	Quarterly Activity Reports to SEBI	<b>15.10.2024</b>
<b>2</b>	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS	<b>Ideally before 31.10.2024</b>
<b>3</b>	Reporting of overseas investments utilization to SEBI	<b>Within 5 working days of such utilization</b>
<b>4</b>	Quarterly Report to Investors (Cat III AIF)	<b>Within 60 days of end of each quarter</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>07.10.2024</b>
2	Submission of periodic report by Investment Adviser to BSE Portal	<b>15.10.2024</b>
3	Submission of Annual Audit report and adverse findings to BASL	<b>31.10.2024</b>
4	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS	<b>Ideally before 31.10.2024</b>

### Research Analysts Compliance Calendar

Sr.	Particulars	Due Date
1	Complaint Data to be displayed by RAs on their website/ mobile application	<b>07.10.2024</b>
2	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS	<b>Ideally before 31.10.2024</b>

### Merchant Banking Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on website	<b>07.10.2024</b>
2	Disclosure of Track Record of the public issues managed by Merchant Bankers	<b>Ongoing and Continuous requirements</b>
3	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS (Part of half yearly return to SEBI)	<b>Ideally before 31.10.2024</b>
4	Half Yearly Compliance Report to SEBI	<b>Within 3 months from the end of half year</b>



**Depository Participant Compliance Calendar**

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints on websites	<b>07.10.2024</b>
2	Investor Grievances Report (CDSL & NSDL)	<b>10.10.2024</b>
3	Enhancement of operational efficiency and Risk Reduction - Pay-out of securities directly to client demat account (All Exchanges & Depositories)	<b>14.10.2024</b>
4	Submission of Surveillance Obligations report (CDSL & NSDL)	<b>15.10.2024</b>
5	Reporting of Cyber Security Incidents for the end of each quarter (CDSL & NSDL)	<b>15.10.2024</b>
6	Risk Assessment Template submission for each half year (Depositories circulars awaited)-CDSL & NSDL	<b>31.10.2024</b>
7	Networth Certificate & Audited Financial Statements submission (CDSL & NSDL)	<b>31.10.2024</b>
8	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS (CDSL & NSDL)	<b>Ideally before 31.10.2024</b>

**Stock Broking Compliance Calendar**

Sr.	Particulars	Due Date
1	Applicability of new STT rates	<b>01.10.2024</b>
2	Charges by Market Infrastructure Institutions (New charge structure- True to Label )	<b>01.10.2024</b>
3	Settlement of running account (Monthly & Quarterly)	<b>04.10.2024 &amp; 05.10.2024</b>
4	Contingency Drill / Mock Trading Session(Subject to Exchange further guidelines)	<b>05.10.2024</b>
5	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	<b>07.10.2024</b>
6	Enhancement of operational efficiency and Risk Reduction - Pay-out of securities directly to client demat account (All Exchanges & Depositories)	<b>14.10.2024</b>
7	Submission of Surveillance Obligations report (All Exchanges)	<b>15.10.2024</b>
8	Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems offered and used by market intermediaries for the half year ended September, 2024 having ALGO facilities.	<b>15.10.2024</b>



<b>9</b>	Reporting of Cyber Security Incidents	<b>15.10.2024</b>
<b>10</b>	Submission of UCC-wise quarterly settlement details (All Exchanges)	<b>18.10.2024</b>
<b>11</b>	Submission of Asset Inventory details and certification for the period ended 31.03.2024 (Subject to further guidelines from NSE)	<b>31.10.2024</b>
<b>12</b>	Margin Trading Facility - Networth & Compliance Certificate submission	<b>31.10.2024</b>
<b>13</b>	Annual Returns submission for the year ended 31.03.2024	<b>31.10.2024</b>
<b>14</b>	Audited Networth certificate submission	<b>31.10.2024</b>
<b>15</b>	Revision in Contract Note Format	<b>31.10.2024</b>
<b>16</b>	Number of STR filed with FIU-IND for September 2024(Only BSE)	<b>Before 31.10.2024</b>
<b>17</b>	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS- All Exchanges	<b>Ideally before 31.10.2024</b>
<b>18</b>	Submission of Details of AP Inspections undertaken during the quarter ended 30.09.2024 (Even if NIL AP inspected, submission is mandatory)- All Exchanges	<b>31.10.2024</b>
<b>19</b>	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	<b>Daily-Ongoing</b>
<b>20</b>	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	<b>Weekly</b>
<b>21</b>	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)-All Exchanges	<b>Weekly</b>

**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)**

