

Compliance Calendars

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

PMS Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites	07.02.2025
2	Monthly Report Submission to SEBI & APMI	Within 7 working days

AIF Compliance Calendar

Sr.	Particulars	Due Date
1	Disclosure of NAV of scheme(s) of the Category III AIF (Open ended)	No periodicity defined
2	Reporting of overseas investments utilization to SEBI (If applicable)	Within 5 working days of such utilization
3	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	07.02.2025

Research Analysts Compliance Calendar

Sr.	Particulars	Due Date
1	Complaint Data to be displayed by RAs on their website/ mobile application	07.02.2025

Merchant Banking Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on its website	07.02.2025



2	Disclosure of Track Record of the public issues managed by Merchant Bankers	Ongoing and Continuous requirements
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Depository Participant Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints on websites	07.02.2025
2	Investor Grievances Report (CDSL & NSDL)	10.02.2025

Stock Broking Compliance Calendar

Sr.	Particulars	Due Date
1	Settlement of running account (Monthly)	07.02.2025& 08.02.2025
2	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	07.02.2025
3	Number of STR filed with FIU-IND (Only BSE)	Before 28.02.2025
4	Submission of Action Taken Report pertaining to System audit & Cyber Security & Cyber Resilience audit for half year ended September 30,2024	28.02.2025
5	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily-Ongoing
6	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	Weekly
7	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

