

## Compliance Calendars

Compliance Calendars to be followed by SEBI Registered Entities for the month of **March 2025**

### PMS Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites	<b>07.03.2025</b>
2	Monthly Report Submission to SEBI & APMI*  <i>*If you have received any specific communication from SEBI or APMI beyond the deadline mentioned above, please ensure compliance with the directive accordingly.</i>	<b>Within 7 working days</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 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>07.03.2025</b>

### Research Analysts Compliance Calendar

Sr.	Particulars	Due Date
1	Complaint Data to be displayed by Research Analysts on their website/ mobile application	<b>07.03.2025</b>

### Merchant Banking Compliance Calendar

Sr.	Particulars	Due Date
1	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on its website	07.03.2025
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	07.03.2025
2	Investor Grievances Report (CDSL & NSDL)	10.03.2025
3	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts (NSDL)	25.03.2025

#### Stock Broking Compliance Calendar

Sr.	Particulars	Due Date
1	Quarterly networth certificate submission for the period ended 31.12.2024 for QSB Brokers (within 60 days from the end of each quarter)	1.3.2025
2	Settlement of running account (Monthly)	07.03.2025 & 08.03.2025
3	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	07.03.2025
4	Revision in Contract Note Format - Extension of Timeline	28.3.2025
5	Number of STR filed with FIU-IND (Only BSE)	Before 31.03.2025
6	Submission of VAPT Compliance Report/ Action Taken Report (ATR)	31.3.2025
7	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily Ongoing
8	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	Weekly



<b>9</b>	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	<b>Weekly</b>

**Disclaimer:**

*Please note that the Compliance Calendar is intended as a general guideline and ease of reference 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 clarification or have questions, please feel free to contact us at [compliance@sanjayshah.co.in](mailto:compliance@sanjayshah.co.in)*



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