

Compliance Calendars

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

PMS Compliance Calendar*

Sr.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites	07.04.2025
2.	Monthly Report Submission to SEBI & APMI*	09.04.2025 (within 7 working days)
3.	Offsite Inspection data reporting to SEBI SI Portal (Quarterly)*	15.04.2025
4.	PMS Self certificate by distributor for code of conduct adherence*	15.04.2025
5.	Sending report to Clients-Quarterly	30.04.2025
6.	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS (Half yearly)	Ideally before 30.04.2025
7.	Submission of Corporate Governance report	30.04.2025
8.	A quarterly report on compliance with SEBI regulations and guidelines, along with confirmation that due diligence has been exercised, must be presented to the Board.	During the Board Meeting
9.	Submission VAPT report*	Within 1 month from the completion of the VAPT Activity
10.	A certificate of compliance with SEBI PMS Regulations and circulars issued thereunder, duly signed by the Principal Officer to SEBI	Upto 30.05.2025
11.	Submission of firm-level compliance confirmation with the provisions outlined in paragraph 4.5.3 of the Master Circular to SEBI.	Upto 30.05.2025
12.	Portfolio Managers shall submit the confirmation of compliance with the requirement of annual audit of firm-level performance data in line with the standard ToR specified by APMI, to SEBI shall be certified by Directors/ Partners of the Portfolio Manager or by person(s) authorized by the Board of Directors/Partners of the Portfolio Manager	Upto 30.05.2025
13.	Annual Audit of PMS Accounts by an independent CA and forward a copy of certificate to all clients	Ideally within 3 months from the close of the financial year

* *The Portfolio Manager is advised to follow SEBI and/or APMI guidelines. In case they have received any specific communication after the deadline mentioned above, or under any other circumstances, they must ensure compliance with the directives accordingly.*



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AIF Compliance Calendar

Sr.	Particulars	Due Date
1.	Reporting of overseas investments utilization to SEBI	Within 5 working days of such utilization
2.	Disclosure of investor complaints	07.04.2025
3.	Quarterly Activity Reports to SEBI	15.04.2025
4.	Changes to the placement memorandum (on consolidated basis)	30.04.2025
5.	Compliance Test Report (CTR) to trustee/sponsor	30.04.2025
6.	Compliance report to the trustee (financial information & risk management-Quarterly)	30.04.2025
7.	Disclosure of NAV for Category III AIF (for open-ended)	Ideally before 30.04.2025
8.	Disclosure of NAV for Category III AIF (for close-ended)	Ideally before 30.04.2025
9.	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS	Ideally before 30.04.2025
10.	Quarterly Report (financial information & risk management) (Cat III AIF)	Upto 30.05.2025

Investment Adviser Compliance Calendar

Sr.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints by Investment Advisers on their websites/mobile applications	07.04.2025
2.	Submission of half yearly periodic report by Investment Adviser to BSE - <i>Subject to further notice from BSE</i>	9.04.2025
3.	Providing disclosure and obtaining the necessary declaration and undertaking from existing clients if the Investment Advisor (IA) is offering services not covered under SEBI regulations.	30.04.2025
4.	Compliance with the requirements of use of Artificial Intelligence (AI) tools in IA services	30.04.2025
5.	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS	Ideally before 30.04.2025



6.	Disclosure of Most important terms and conditions to existing IA clients	Upto June 30, 2025
7.	Maintenance of record for providing implementation/execution services	Upto June 30, 2025
8.	Requirement of website and the details on the website	Upto June 30, 2025
9.	The existing Investment Advisors (IA) must maintain a deposit with a lien in favour of the Investment Adviser Administration and Supervisory Body (IAASB).	Upto June 30, 2025

Research Analysts Compliance Calendar

Sr.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints by Research Analyst on their websites/mobile applications	07.04.2025
2.	Compliance with Deposit amount	30.04.2025
3.	Use of Artificial Intelligence ('AI') tools in RA services-Intimation to client	30.04.2025
4.	Half-Yearly Periodic Reporting to RAASB-Subject to receipt of circular from BSE	30.04.2025
5.	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS	Ideally before 30.04.2025
6.	Compliance with respect to charging of fees to research client (For existing clients)	Upto 30.06.2025
7.	Client level segregation of Research and distribution activities	Upto 30.06.2025
8.	Compliance with SEBI guidelines for recommendations of 'model portfolio'	Upto 30.06.2025
9.	Disclosure of most important terms and conditions to the client and obtaining consent from existing clients	Upto 30.06.2025
10.	KYC Requirements and maintenance of record for fee paying clients	Upto 30.06.2025
11.	Requirement of website and the details on the website	Upto 30.06.2025

Merchant Banking Compliance Calendar

Sr.	Particulars	Due Date
1.	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on website	07.04.2025
2.	Disclosure of Track Record of the public issues managed by Merchant Bankers	Ongoing and Continuous



		requirements
3.	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS (Part of half yearly return to SEBI)	30.04.2025
4.	Half Yearly Compliance Report to SEBI	Within 3 months from the end of half year

Depository Participant (CDSL & NSDL) Compliance Calendar

Sr.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints on websites	07.04.2025
2.	Investor Grievances Report (CDSL & NSDL)	10.04.2025
3.	Submission of report of Modification in URL reported to CDSL	10.04.2025
4.	Submission of Surveillance Obligations report (CDSL & NSDL)	15.04.2025
5.	Reporting of Cyber Security Incidents for the end of each quarter (CDSL & NSDL)	15.04.2025
6.	Submission of report for Non-profit organization transactions report	20.04.2025
7.	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts (NSDL)	25.04.2025
8.	Risk Assessment Template submission for each half year (Subject to Depositories circulars)-CDSL & NSDL	30.04.2025
9.	Submission of tariff structure to CDSL/NSDL	30.04.2025
10.	Annual Statement of DP Holding to clients	30.04.2025
11.	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS (CDSL & NSDL)	Ideally before 30.04.2025
12.	Internal/ Concurrent Audit Report	Upto 15.05.2025

Stock Broking (BSE & NSE) Compliance Calendar

Sr.	Particulars	Due Date
1.	Contract note serial no. to be set up starting from No. 1	01.04.2024
2.	Settlement of running account (Monthly & Quarterly)	04.04.2025 & 05.04.2025
3.	Settlement of running account (For those who has opted for monthly settlement & also for inactive account of more than 30 days)	04.04.2025 & 05.04.2025
4.	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	07.04.2025



5.	Submission of Surveillance Obligations Report-Quarterly (All Exchanges)	15.04.2025
6.	Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications data	15.04.2025
7.	Reporting of Cyber Security Incidents--Quarterly	15.04.2025
8.	Submission of UCC-wise quarterly settlement details (All Exchanges)	23.04.2025
9.	Margin Trading Facility - Networth & Compliance Certificate submission for the half year ended March 31, 2025	30.04.2025
10.	Submission of Details of AP Inspections undertaken during the quarter ended 31.03.2025 (Even if NIL AP inspected, submission is mandatory)- All Exchanges	30.04.2025
11.	Issuance of Global Report to clients for the trade executed during the F.Y. 2024-25	30.04.2025
12.	Issue of STT statements for the F.Y. 2024-25 to clients	30.04.2025
13.	Number of STR filed with FIU-IND for March, 2025(Only BSE)	30.04.2025
14.	Undertaking on compliance of the advisory for Financial Sector Organizations regarding SaaS- All Exchanges	Ideally before 30.04.2025
15.	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily Ongoing
16.	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	Weekly
17.	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	Weekly

Mutual Fund Distributor (MFD) Compliance Calendar

Sr.	Particulars	Due Date
1.	Annual Declaration of Self Certification by MFD	Upto 30.6.2025

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

