

Compliance Calendars

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

PMS Compliance Calendar*

Sr.No.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints by Portfolio Managers on their websites	07.05.2025
2.	Monthly Report Submission to SEBI & APMI*	12.05.2025(within 7 working days)
3.	A certificate of compliance with SEBI PMS Regulations and circulars issued thereunder, duly signed by the Principal Officer to SEBI	30.05.2025
4.	Submission of firm-level compliance confirmation with the provisions outlined in paragraph 4.5.3 of the Master Circular to SEBI.	30.05.2025
5.	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	30.05.2025
6.	Annual Audit of PMS Accounts by an independent Professional and forward a copy of certificate to all clients	Ideally within 3 months from the close of the financial year
7.	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

** 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.*

AIF Compliance Calendar

Sr.No.	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	Within 5 working days of such utilization
3.	Quarterly Report (financial information & risk management) (Cat III AIF)	30.05.2025



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Investment Adviser Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints by Investment Advisers on their websites/mobile applications	07.05.2025
2.	Disclosure of Most important terms and conditions to existing IA clients	Upto June 30, 2025
3.	Maintenance of record for providing implementation/execution services	Upto June 30, 2025
4.	Requirement of website and the details to be appeared on the website	Upto June 30, 2025
5.	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.No.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints by Research Analyst on their websites/mobile applications	07.05.2025
2.	Compliance with respect to charging fees to research client (For existing clients)	Upto 30.06.2025
3.	Client level segregation of Research and distribution activities	Upto 30.06.2025
4.	Compliance with SEBI guidelines for recommendations of 'model portfolio'	Upto 30.06.2025
5.	Disclosure of most important terms and conditions to the client and obtaining consent from existing clients	Upto 30.06.2025
6.	KYC Requirements and maintenance of record for fee paying clients	Upto 30.06.2025
7.	Requirement of maintenance of website and the details to appear on the website	Upto 30.06.2025



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Merchant Banking Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on website	07.05.2025
2.	Disclosure of Track Record of the public issues managed by Merchant Bankers	Ongoing and Continuous requirements
3.	Half Yearly Compliance Report to SEBI	Within 3 months from the end of half year

Depository Participant (CDSL & NSDL) Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Publishing of Investor Charter and disclosure of Investor Complaints on websites	07.05.2025
2.	Investor Grievances Report	10.05.2025
3.	Submission of report of Modification in URL reported to CDSL	10.05.2025
4.	Indictment order against the DP (Information w.r.t. the indictment or any other orders passed against the DP by any competent authority, if any)- CDSL/AUDIT/DP/POLCY/2025/275 April 25, 2025	10.05.2025
5.	Reporting of STR finding with FIU-India by DP (Information w.r.t. the STRs filed by the DP with FIU IND, if any)	10.05.2025
6.	Tariff Structure of the DP (Information w.r.t increase in charges /fees providing 30 days notice to the BOs, if any)- CDSL/AUDIT/DP/POLCY/2025/275 April 25, 2025	10.05.2025
7.	Submission of Internal/ Concurrent Audit Report for the half year ended March 31,2025	15.05.2025
8.	Submission of report for Non-profit organization transactions	20.04.2025
9.	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts (NSDL)	25.05.2025

Stock Broking (BSE & NSE) Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Adherence to NSE guidelines on consideration of VAR Margin Rate/Haircut on securities for Margin Collection (circular reference No 66840 dated Feb 24,2025)	02.05.2025
2.	Settlement of running account (For those who has opted for monthly settlement & also for inactive account of more than 30 days)	02.05.2025 & 03.05.2025



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3.	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	07.05.2025
4.	Acceptable mode of order placement by the Trading Members	15.05.2025
5.	Number of STR filed with FIU-IND for March, 2025(Only BSE)	31.05.2025
6.	Submission of Internal Audit Report	31.05.2025
7.	Submission of Risk Based Supervision for the year ended March, 2025	31.05.2025
8.	Submission of half yearly Net worth Certificate as at 31.03.2025 (Non MTF Members)	31.05.2025
9.	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily Ongoing
10.	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	Weekly
11.	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
12.	Cyber Security and Cyber Resilience Audit	Upto 30.6.2025
13.	Submission of System Audit Report	Upto 30.6.2025
14.	Revision in Contract Note Format – Extension of Timeline	July 1,2025 (Trade Date)

Mutual Fund Distributor (MFD) Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Annual Declaration of Self Certification by MFD	Upto 30.6.2025

FATCA Compliance

Sr.No.	Particulars	Due Date
1.	Submission of FATCA return	31.5.2025

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



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