

## Compliance Calendars

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

### **PMS Compliance Calendar\***

<b>Sr.No.</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>07.05.2025</b>
<b>2.</b>	Monthly Report Submission to SEBI & APMI*	<b>12.05.2025 (within 7 working days)</b>
<b>3.</b>	A certificate of compliance with SEBI PMS Regulations and circulars issued thereunder, duly signed by the Principal Officer to SEBI	<b>30.05.2025</b>
<b>4.</b>	Submission of firm-level compliance confirmation with the provisions outlined in paragraph 4.5.3 of the Master Circular to SEBI.	<b>30.05.2025</b>
<b>5.</b>	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	<b>30.05.2025</b>
<b>6.</b>	Annual Audit of PMS Accounts by an independent Professional and forward a copy of certificate to all clients	<b>Ideally within 3 months from the close of the financial year</b>
<b>7.</b>	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.	<b>During the Board Meeting</b>

*\* 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**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Disclosure of NAV of scheme(s) of the Category III AIF (Open ended)	<b>No periodicity defined</b>
<b>2.</b>	Reporting of overseas investments utilization to SEBI	<b>Within 5 working days of such utilization</b>
<b>3.</b>	Quarterly Report (financial information & risk management) (Cat III AIF)	<b>30.05.2025</b>



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**Investment Adviser Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
1.	Publishing of Investor Charter and disclosure of Investor Complaints by Investment Advisers on their websites/mobile applications	<b>07.05.2025</b>
2.	Disclosure of Most important terms and conditions to existing IA clients	<b>Upto June 30, 2025</b>
3.	Maintenance of record for providing implementation/execution services	<b>Upto June 30, 2025</b>
4.	Requirement of website and the details to be appeared on the website	<b>Upto June 30, 2025</b>
5.	The existing Investment Advisors (IA) must maintain a deposit with a lien in favour of the Investment Adviser Administration and Supervisory Body (IAASB).	<b>Upto June 30, 2025</b>

**Research Analysts Compliance Calendar**

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



**Merchant Banking Compliance Calendar**

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

**Depository Participant (CDSL & NSDL) Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Publishing of Investor Charter and disclosure of Investor Complaints on websites	<b>07.05.2025</b>
<b>2.</b>	Investor Grievances Report	<b>10.05.2025</b>
<b>3.</b>	Submission of report of Modification in URL reported to CDSL	<b>10.05.2025</b>
<b>4.</b>	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	<b>10.05.2025</b>
<b>5.</b>	Reporting of STR finding with FIU-India by DP (Information w.r.t. the STRs filed by the DP with FIU IND, if any)	<b>10.05.2025</b>
<b>6.</b>	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	<b>10.05.2025</b>
<b>7.</b>	Submission of Internal/ Concurrent Audit Report for the half year ended March 31,2025	<b>15.05.2025</b>
<b>8.</b>	Submission of report for Non-profit organization transactions	<b>20.04.2025</b>
<b>9.</b>	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts (NSDL)	<b>25.05.2025</b>

**Stock Broking (BSE & NSE) Compliance Calendar**

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


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

#### **Mutual Fund Distributor (MFD) Compliance Calendar**

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

#### **FATCA Compliance**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Submission of FATCA return	<b>31.5.2025</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)**



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