

## Compliance Calendars

Compliance Calendar to be followed by SEBI Registered Entities for the month of **June 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>07.06.2025</b>
<b>2.</b>	Monthly Report Submission to SEBI & APMI*	<b>10.06.2025 (within 7 working days)</b>
<b>3.</b>	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	<b>30.06.2025</b>
<b>4.</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>5.</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>	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	<b>30.06.2025</b>

### **Investment Adviser 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 Investment Advisers on their websites/mobile applications	<b>07.06.2025</b>
<b>2.</b>	Disclosure of Most important terms and conditions to existing IA clients	<b>30.06.2025</b>



<b>3.</b>	Maintenance of record for providing implementation/execution services	<b>30.06.2025</b>
<b>4.</b>	Requirement of website and the details to be appeared on the website	<b>30.06.2025</b>
<b>5.</b>	The existing Investment Advisors (IA) must maintain a deposit with a lien in favour of the Investment Adviser Administration and Supervisory Body (IAASB).	<b>30.06.2025</b>
<b>6.</b>	Submission of periodic report by Investment Adviser to BSE Portal	<b>30.06.2025</b>
<b>7.</b>	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	<b>30.06.2025</b>

#### **Research Analysts 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 Research Analyst on their websites/mobile applications	<b>07.06.2025</b>
<b>2.</b>	Compliance with respect to charging fees to research client (For existing clients)	<b>30.06.2025</b>
<b>3.</b>	Client level segregation of Research and distribution activities	<b>30.06.2025</b>
<b>4.</b>	Compliance with SEBI guidelines for recommendations of 'model portfolio'	<b>30.06.2025</b>
<b>5.</b>	Disclosure of most important terms and conditions to the client and obtaining consent from existing clients	<b>30.06.2025</b>
<b>6.</b>	KYC Requirements and maintenance of record for fee paying clients	<b>30.06.2025</b>
<b>7.</b>	Requirement of maintenance of website and the details to appear on the website	<b>30.06.2025</b>
<b>8.</b>	Submission of periodic report by Research Analysts to BSE Portal	<b>30.06.2025</b>
<b>9.</b>	Compliance with Deposit amount	<b>30.06.2025</b>
<b>10.</b>	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	<b>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>07.06.2025</b>
<b>2.</b>	Half Yearly Compliance Report to SEBI	<b>30.06.2025</b>
<b>3.</b>	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	<b>30.06.2025</b>



<b>4.</b>	Disclosure of Track Record of the public issues managed by Merchant Bankers	<b>Ongoing and Continuous requirements</b>
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**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>07.06.2025</b>
<b>2.</b>	Investor Grievances Report	<b>10.06.2025</b>
<b>3.</b>	Submission of report of Modification in URL reported to CDSL	<b>10.06.2025</b>
<b>4.</b>	Details of 2 days' notice given to BO prior to stopping the process of instructions in case of default in payment-CDSL	<b>10.06.2025</b>
<b>5.</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-CDSL	<b>10.06.2025</b>
<b>6.</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)-CDSL	<b>10.06.2025</b>
<b>7.</b>	Tariff Structure of the DP (Information w.r.t increase in charges /fees providing 30 days notice to the BOs, if any)-CDSL CDSL/AUDIT/DP/POLCY/2025/275 April 25, 2025	<b>10.06.2025</b>
<b>8.</b>	Submission of report for Non-profit organization transactions-CDSL	<b>20.06.2025</b>
<b>9.</b>	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts-NSDL	<b>25.06.2025</b>
<b>10.</b>	Submission of system audit report (Cyber Audit)	<b>30.06.2025</b>
<b>11.</b>	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	<b>30.06.2025</b>

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

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Settlement of running account (For those who has opted for monthly settlement & also for inactive account of more than 30 days)	<b>06.06.2025 &amp; 07.06.2025</b>
<b>2.</b>	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	<b>07.06.2025</b>
<b>3.</b>	Number of STR filed with FIU-IND for March 2025(Only BSE)	<b>30.06.2025</b>
<b>4.</b>	Cyber Security and Cyber Resilience Audit	<b>30.06.2025</b>
<b>5.</b>	Submission of System Audit Report	<b>30.06.2025</b>



<b>6.</b>	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	<b>30.06.2025</b>
<b>7.</b>	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	<b>Daily Ongoing</b>
<b>8.</b>	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	<b>Weekly</b>
<b>9.</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>10.</b>	Revision in Contract Note Format – Extension of Timeline	<b>July 1,2025 (Trade Date)</b>
<b>11.</b>	Submission of Insurance policy details to Exchanges	<b>Upto July 31,2025</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>30.6.2025</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)**

