

Compliance Calendars

Compliance Calendar to be followed by SEBI Registered Entities for the month of
September 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	07.09.2025
2.	Monthly Report Submission to SEBI & APMI*	9.09.2025(Within 7 working days)
3.	Submission of Audited Networth Certificate as at 31.03.2025	30.09.2025
4.	Conduct Annual Audit for the F.Y.2024-25	30.09.2025
5.	Submit List of Digital Platforms Provided & Compliance/Action Taken Report - for Compliance with Digital Accessibility requirement for Persons with Disabilities.	30.09.2025
6.	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 of PM.	During the Board Meeting (As applicable)

***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 for Category III AIF (for close-ended)	Ideally within a month
2.	Disclosure of NAV of scheme(s) of the Category III AIF (Open ended)	Ideally within a month
3.	Cash flows and valuation reporting to Benchmarking Agencies	30.09.2025



4.	Annual Report (financial information & risk management) (Category I & II)	30.09.2025
5.	Audit of compliance with PPM, findings, corrective actions	30.09.2025
6.	Submit List of Digital Platforms Provided & Compliance/Action Taken Report - for Compliance with Digital Accessibility requirement for Persons with Disabilities.	30.09.2025
7.	Reporting of overseas investments utilization to SEBI	Within 5 working days of such utilization
8.	All AIF Investments to be Mandatorily in Demat Form from July 1, 2025	Ongoing requirement

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	07.09.2025
2.	Annual Client Level Segregation Certificate-Regulation 19 of amended IA Regulations for the year ended 31.03.2025	30.09.2025
3.	Maintenance of Deposit	30.09.2025
4.	Maintenance of telephonic recordings of client interaction	30.09.2025
5.	Submit List of Digital Platforms Provided & Compliance/Action Taken Report - for Compliance with Digital Accessibility requirement for Persons with Disabilities.	30.09.2025
6.	Completion of Annual Compliance Audit (For FY 2024-2025)	30.09.2025
7.	Submission of Annual Compliance Report to SEBI/BSE along with observations and correction action (As applicable)	31.10.2025
8.	Uploading of latest Investment Charter on the following: <ul style="list-style-type: none"> • Uploaded on the official website • Prominently displayed at the office premises • Circulated via email to all existing clients • Incorporated as part of the new Investment Adviser agreement for all new clients 	Continuous compliance



	BSE notice dated June 10, 2025 (If not yet implemented, please do the needful)	
9.	Display Impersonation Warning on Website (FIR Details, Alleged Entity Name) (if any)-BSE notice dated 04, August 2025.	Continuous compliance

Research Analysts 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	07.09.2025
2.	For existing non-fee paying clients/other clients, where RA/research entity does not have any agreement/subscription arrangement for providing the research services, RA/research entity shall disclose and take consent on terms and conditions of research services.	30.09.2025
3.	Client level segregation of Research and distribution activities (BSE notice 20250627-46 dated June 27, 2025)	30.09.2025
4.	Compliance with Deposit amount (BSE notice 20250604-3 dated June 4, 2025)	30.09.2025
5.	Annual Compliance Audit (For FY 2024-2025)	30.09.2025
6.	Maintenance of telephone recordings of the client interaction (BSE notice 20250627-46 dated June 27, 2025)	30.09.2025
7.	Submit List of Digital Platforms Provided & Compliance/Action Taken Report - for Compliance with Digital Accessibility requirement for Persons with Disabilities.	30.09.2025
8.	Client Consent on Terms of Research Services (BSE notice 20250627-46 dated June 27, 2025)	Due Before Subscription Renewal or Fee Collection
9.	Uploading of latest Investment Charter on the following: <ul style="list-style-type: none"> • Uploaded on the official website • Prominently displayed at the office premises • Circulated via email to all existing clients 	Continuous compliance



	<ul style="list-style-type: none"> Incorporated as part of the new Investment Adviser agreement for all new clients <p>BSE notice dated 20250610-4 dated June 10, 2025 (If not yet implemented, please do the needful)</p>	
10.	Display Impersonation Warning on Website (FIR Details, Alleged Entity Name) (if any) -BSE notice dated 04, August 2025.	Continuous compliance

Merchant Banking Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Publishing Investor Charter and Disclosure of Complaints by Merchant Bankers on website	07.09.2025
2.	Submit List of Digital Platforms Provided & Compliance/Action Taken Report - for Compliance with Digital Accessibility requirement for Persons with Disabilities.	30.09.2025
3.	Disclosure of Track Record of the public issues managed by Merchant Bankers	Ongoing and Continuous Requirements

Depository Participant (CDSL & NSDL) Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Publishing Investor Charter and Disclosure of Complaints by Depository Participants on website	07.09.2025
2.	Investor Grievances Report Submission	10.09.2025
3.	Online facility for mandatory submissions to CDSL-Details of 2 days' notice given to BO prior to stopping the process of instructions in case of default in payment-CDSL	10.09.2025
4.	Submission of the report of Modification in URL reported to CDSL within 3 days of such changes	10.09.2025
5.	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	10.09.2025
6.	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 for August, 2025	10.09.2025



7.	Tariff Structure of the DP (Information w.r.t increase in charges /fees providing 30 days' notice to the BOs, if any)- CDSL for August,2025 (Ref: CDSL/AUDIT/DP/ POLCY / 2025/275 April 25, 2025)	10.09.2025
8.	Implementation of Additional Features For Account Closure, Transfer / Transmission-CDSL circular dated August 14,2025	13.09.2025
9.	Submission of report for Non-profit organization transactions report by 15 th of the next month to FIU-Ind to CDSL	20.09.2025
10.	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts-NSDL	25.09.2025
11.	Facility for mandatory Capturing Of 'Date Of Receipt' For Off-Market Delivery Instruction Slip-CDSL circular dated August 13,2025	27.09.2025
12.	Submission of Action Taken Report for System & Cyber audit for the period ended 31 st March, 2025	30.09.2025
13.	Submit List of Digital Platforms Provided & Compliance/Action Taken Report - for Compliance with Digital Accessibility requirement for Persons with Disabilities.	30.09.2025
14.	Margin obligations to be given by way of Pledge/Re-pledge in the Depository System (SEBI circular SEBI/HO/MIRSD/MIRSD-PoD /P/ CIR/2025/82 dated June 03, 2025)	10.10.2025

Stock Broking (BSE & NSE) Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Settlement of running account (For Quarterly Settlement & For those who has opted for monthly settlement & also for inactive account of more than 30 days)	05.09.2025 & 06.09.2025
2.	Publishing Investor Charter and Disclosure of Complaints by Stock Brokers on its website	07.09.2025
3.	Number of STR filed with FIU-IND for August, 2025. (Including NIL STR) (Only BSE)	30.09.2025
4.	Submission of Action Taken Report for System & Cyber audit for the period ended 31 st March, 2025	30.09.2025
5.	Submit List of Digital Platforms Provided & Compliance/Action Taken Report - for Compliance with Digital Accessibility requirement for Persons with Disabilities.	30.09.2025



6.	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily Ongoing
7.	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	Weekly
8.	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
9.	Safer participation of retail investors in Algorithmic trading	01.10.2025
10.	Margin obligations to be given by way of Pledge/Re-pledge in the Depository System (SEBI circular SEBI/HO/MIRSD/MIRSD-PoD /P/ CIR/2025/82 dated June 03, 2025)	10.10.2025

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

