

### Compliance Calendars

Compliance Calendar to be followed by SEBI Registered Entities for the month of **January 2026**

#### **PMS Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
1.	Disclosure of Investor Complaints by Portfolio Managers on their websites.	<b>07.01.2026</b>
2.	Monthly Report Submission to SEBI & APMI	<b>09.01.2026</b> <b>(within 7 working days)**</b>
3.	Submission of quarterly Offsite Inspection data to SEBI & APMI	<b>15.01.2026**</b>
4.	Sending of quarterly report to clients	<b>31.01.2026</b>
5.	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	<b>31.03.2026</b>
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.	<b>During the Board Meeting (As applicable)</b>
7.	PMS Disclosure Document in a new format (Applicable in case of material changes)	<b>Ongoing and Continuous Requirements</b>
8.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</b>
11.	Publishing of Investor Charter on the Website	<b>Ongoing and Continuous Requirements</b>

**\*The submission should have been completed by now. Kindly ensure immediate compliance if it has not yet been done.**

**\*\*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>
1.	Quarterly Reporting of Investor Complaints	<b>07.01.2026</b>
2.	Quarterly Reporting of Investing Activities to SEBI	<b>15.01.2026</b>



<b>3.</b>	Compliance report to the Trustee (financial information & risk management)	<b>31.01.2026</b>
<b>4.</b>	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	<b>31.03.2026</b>
<b>5.</b>	Disclosure of NAV of scheme(s) of the Category III AIF (for Close-ended)	<b>Ideally, within a month</b>
<b>6.</b>	Disclosure of NAV of scheme(s) of the Category III AIF (Open ended)	<b>Ideally, within a month</b>
<b>7.</b>	Reporting of overseas investments utilization to SEBI	<b>Within 5 working days of such utilization</b>
<b>8.</b>	<p>NISM requirements for <b>Category I &amp; II AIF</b>:  At least one person in the key investment team of the manager must obtain any one of the below certifications:</p> <ul style="list-style-type: none"> <li>• NISM Series-XIX-C: Alternative Investment Fund Managers Certification Examination, as per Communiqué No. NISM/Certification/Series-XIX-C/2024/01 dated January 10, 2024; or</li> <li>• NISM Series-XIX-D: Category I and II Alternative Investment Fund Managers Certification Examination, as per Communiqué No. NISM/Certification/Series-XIX-D/2025/01 dated April 29, 2025.</li> </ul>	<b>Ongoing and Continuous Requirements</b>
<b>9.</b>	<p>NISM Certificate requirements for <b>Category III AIF</b>:  At least one person in the key investment team of the manager must obtain any one of the below certifications:</p> <ul style="list-style-type: none"> <li>• NISM Series-XIX-C: Alternative Investment Fund Managers Certification Examination, as per Communiqué No. NISM/Certification/Series-XIX-C/2024/01 dated January 10, 2024; or</li> <li>• NISM Series-XIX-E: Category III Alternative Investment Fund Managers Certification Examination, as per Communiqué No. NISM/Certification/Series-XIX-E/2025/02 dated April 29, 2025.</li> </ul>	<b>Ongoing and Continuous Requirements</b>
<b>10.</b>	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</b>
<b>11.</b>	NISM Series-III-C: Securities Intermediaries Compliance (Fund) Certification Examination-Compliance Officer has to appear for NISM exam	<b>01.01.2027</b>

**Investment Advisers Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Disclosure of Investor Advisers Complaints by Investment Advisers on their websites.	<b>07.01.2026</b>



<b>2.</b>	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	<b>31.03.2026</b>
<b>3.</b>	Uploading of the latest Investment Charter on the following: <ul style="list-style-type: none"> <li>Uploaded on the official website</li> <li>Prominently displayed at the office premises</li> <li>Circulated via email to all existing clients</li> <li>Incorporated as part of the new Investment Adviser agreement for all new clients</li> </ul> - BSE notice dated 20250610-5 dated June 10, 2025 (If not yet implemented, please do the needful)	<b>Ongoing and Continuous Requirements</b>
<b>4.</b>	Maintaining a Functional Website	<b>Ongoing and Continuous Requirements</b>
<b>5.</b>	MITC to clients	<b>Ongoing and Continuous Requirements</b>
<b>6.</b>	Maintenance of telephonic recordings of client interaction	<b>Ongoing and Continuous Requirements</b>
<b>7.</b>	Mandatory Client Declaration for Non-SEBI Regulated Products/ Services	<b>Ongoing and Continuous Requirements</b>
<b>8.</b>	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</b>

**Research Analysts Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Complaint Data to be displayed by RAs on their website/ mobile application	<b>07.01.2026</b>
<b>2.</b>	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	<b>31.03.2026</b>
<b>3.</b>	Uploading of latest Investment Charter on the following: <ul style="list-style-type: none"> <li>Uploaded on the official website</li> <li>Prominently displayed at the office premises</li> <li>Circulated via email to all existing clients</li> <li>Incorporated as part of the new Investment Adviser agreement for all new clients</li> </ul> BSE notice dated 20250610-4 dated June 10, 2025 (If not yet implemented, please do the needful)	<b>Ongoing and Continuous Requirements</b>





4.	Client-level segregation of Research and distribution activities (BSE notice 20250627-46 dated June 27, 2025)	<b>Ongoing and Continuous Requirements</b>
5.	Maintenance of telephone recordings of the client interaction (BSE notice 20250627-46 dated June 27, 2025)	<b>Ongoing and Continuous Requirements</b>
6.	Client Consent on Terms of Research Services (BSE notice 20250627-46 dated June 27, 2025)	<b>Due Before Subscription Renewal or Fee Collection</b>
7.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</b>

**Merchant Banking Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
1.	Complaint Data to be displayed on the website/ mobile application	<b>07.01.2026</b>
2.	Disclosure of Track Record of the public issues managed by Merchant Bankers	<b>Ongoing and Continuous requirements</b>
3.	Publishing of Investor Charter	<b>Ongoing and Continuous Requirements</b>

**Depository Participant Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
1.	Uploading of scanned Delivery Instruction Slip(s) (DIS) image(s) in DMS module of NSDL e-PASS system.(NSDL circular dated December 23, 2025)	<b>01.01.2026</b>
2.	Non charging of AMC Charges in demat accounts consisting of illiquid, suspended and delisted securities.(NSDL circular dated December 22, 2025)	<b>02.01.2026</b>
3.	Upload of KYC records with KRA (NSDL circular dated December 4 , 2025)	<b>02.01.2026</b>
4.	Complaint Data to be displayed by DPs on their website/ mobile application	<b>07.01.2026</b>
5.	Investor Grievances Report (CDSL & NSDL)	<b>10.01.2026</b>





<b>6.</b>	Online facility for mandatory CDSL submissions – Information on the 2-day advance notice issued to BOs before suspending instruction processing in case of payment default.	<b>10.01.2026</b>
<b>7.</b>	Submission of the report of Modification in URL reported to CDSL within 3 days of such changes	<b>10.01.2026</b>
<b>8.</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) for the month of December,2025 - CDSL/AUDIT/DP/POLCY/2025/275 April 25, 2025-CDSL	<b>10.01.2026</b>
<b>9.</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>10.01.2026</b>
<b>10.</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>10.01.2026</b>
<b>11.</b>	Quarterly AI/ML Reporting Form (if applicable)	<b>15.01.2026</b>
<b>12.</b>	Submission of Surveillance Obligations report for the quarter ended December 31,2025	<b>15.01.2026</b>
<b>13.</b>	Quarterly Cyber Incident Reporting by DPs (CDSL Circular dated December 18, 2025)	<b>15.01.2026</b>
<b>14.</b>	Submission of the Non-Profit Organization (NPO) transaction report to FIU-IND	<b>20.01.2026</b>
<b>15.</b>	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts-NSDL	<b>25.01.2026</b>
<b>16.</b>	Upload of KYC records with KRA (CDSL Circular dated December 29,2025)	<b>30.01.2026</b>
<b>17.</b>	Submission of SaaS Reporting for the period ending 31 <sup>st</sup> December, 2025 (Please refer to Depository circular)	<b>31.01.2026</b>
<b>18.</b>	Half-Yearly Submission of Compliance Certificate (Both NSDL & CDSL)	<b>31.01.2026</b>
<b>19.</b>	Online submission of details of all associated persons (excluding those performing basic clerical/elementary functions) who hold NISM Series VI – DOCE certification for the period ending December 2025 (Half-yearly requirement).	<b>31.01.2026</b>
<b>20.</b>	Online submission of details of the NISM-Series-III-A: Securities Intermediaries Compliance (Non-Fund) Certification (“SICCE”) obtained by the DP Compliance Officer, as per SEBI notification dated March 11, 2013, for the period ending December 2025 (Half-yearly requirement).	<b>31.01.2026</b>
<b>21.</b>	Submission Of Preliminary Cyber Security and Cyber Resilience Audit Report (NSDL and CDSL circular dated December 26, 2025)	<b>31.01.2026</b>



<b>22.</b>	Ease of investments and ease of doing business measures -enhancing the Facility for Basic Services Demat Account (BSDA)-SEBI circular dated December 24,2025	<b>31.03.2026</b>
<b>23.</b>	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform (SEBI circular dated December 8, 2025)	<b>31.03.2026</b>
<b>24.</b>	Publishing of Investor Charter	<b>Ongoing and Continuous Requirements</b>
<b>25.</b>	Suspension of demat accounts of existing clients whose KYC records are not found to be valid by KRAs after the validation process.	<b>Ongoing and Continuous Requirements</b>

#### **Stock Broking Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Settlement of running account (For Quarterly Settlement & For those who have opted for monthly settlement & also for inactive accounts of more than 30 days)	<b>02.01.2026 &amp; 03.01.2026</b>
<b>2.</b>	Contingency Drill / Mock Trading schedule for 2026(NSE circular dated December 24, 2025)	<b>03.01.2026</b>
<b>3.</b>	Complaint Data to be displayed on the website/ mobile application	<b>07.01.2026</b>
<b>4.</b>	Quarterly Data Required for Computation of Securities Transaction Price Index (STPI) (As Applicable)	<b>15.01.2026</b>
<b>5.</b>	Quarterly Reporting of Cyber Security & Cyber Resilience Framework for Stock Brokers / Depository Participants (Incident Reporting).	<b>15.01.2026</b>
<b>6.</b>	Quarterly Reporting of Surveillance Obligations for Trading Members.	<b>15.01.2026</b>
<b>7.</b>	Submission of UCC wise quarterly settlement details to Exchanges (T+10 trading days from the date of settlement).	<b>16.01.2026</b>
<b>8.</b>	Extension for Upload of Client Records to KRAs for Validations (NSE circular dated December 24, 2025)	<b>30.01.2026</b>
<b>9.</b>	Submission of SaaS Reporting for the period ending December 31 ,2026 (Please refer to exchange circular)	<b>31.01.2026</b>
<b>10.</b>	Submission of Preliminary VAPT Audit report	<b>31.01.2026</b>
<b>11.</b>	Extension of timeline for submission of the Cyber Security and Cyber Resilience Audit Report of Trading Members for the half year ended September 30,2025) NSE circular dated December 24, 2025)	<b>31.01.2026</b>



<b>12.</b>	Submission of Details of AP Inspections undertaken during the quarter ended 31.12.2025 (Even if NIL AP inspected, submission is mandatory).	<b>31.01.2026</b>
<b>13.</b>	Action Taken Report for non-compliance(s) reported in the Internal Audit Report (NSE circular dated December 12, 2025)	<b>31.01.2026</b>
<b>14.</b>	Extension For Upload of KYC Records With KRA	<b>30.01.2026</b>
<b>15.</b>	Number of STR filed with FIU-IND (Only BSE).	<b>Before 31.01.2026</b>
<b>16.</b>	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	<b>31.03.2026</b>
<b>17.</b>	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges.	<b>Daily-Ongoing</b>
<b>18.</b>	Cyber Security & Cyber Resilience framework for Stock Brokers / Depository Participants - Incident Reporting	<b>Daily Ongoing</b>
<b>19.</b>	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges.	<b>Weekly</b>
<b>20.</b>	Requirement of sending a complete 'Statement of Accounts' for funds, securities, and commodities in respect of each client (within next four trading days of the subsequent week)-All Exchanges.	<b>Weekly</b>
<b>21.</b>	Publishing of Investor Charter	<b>Ongoing and Continuous Requirements</b>
<b>22.</b>	Submission of Bank Undertaking, Bank Authorization, Bank Confirmation in <b><u>Revised Format</u></b> with reference to circular NSE/INSP/70505 dated September 29, 2025	<b>Ongoing and Continuous Requirements</b>
<b>23.</b>	Revised format for submission of applications ( i.e. Change in designated/non designated directors/ Partners/ Shareholding/ Increase In Share Capital/Change in Control/Change in name/Registered Office etc.)- NSE circular Download Ref No: NSE/COMP/70848 dated October 15,2025	<b>Ongoing and Continuous Requirements (As applicable)</b>
<b>24.</b>	Couple of submissions applicable to Qualified Stock Broker- BSE circular 20250718-8 Dated July 18,2025	<b>Ongoing and Continuous Requirements (As applicable)</b>
<b>25.</b>	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</b>
<b>26.</b>	Distribution of third-party products by Trading Members-Exchange advisory to be adhered(NSE circular dated December 24, 2025)	<b>Ongoing and Continuous Requirements (As applicable)</b>

**Mutual Fund Distributor Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
1.	Additional incentives to distributors for onboarding new individual investors from B-30 cities and women investors (SEBI circular dated November 27,2025)	<b>01.02.2026</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)*