

Compliance Calendars

Compliance Calendar to be followed by SEBI Registered Entities for the month of **August 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	07.08.2025
2.	Monthly Report Submission to SEBI & APMI	11.08.2025(Within 7 working days)
3.	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)*	31.08.2025
4.	Networth Certificate submission	Upto September 30,2025
5.	Annual Internal Audit	Upto September 30,2025
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 (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.	Quarterly Report (financial information & risk management) (Category III)	31.08.2025
4.	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	31.08.2025



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5.	Cash flows and valuation reporting to Benchmarking Agencies	Before September 30, 2025
6.	Annual Report (financial information & risk management) (Category I & II)	Before September 30, 2025
7.	Audit of compliance with PPM, findings, corrective actions	Before September 30, 2025
8.	Reporting of overseas investments utilization to SEBI	Within 5 working days of such utilization

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	07.08.2025
2.	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	31.08.2025
3.	Maintenance of Deposit	September 30, 2025
4.	Maintenance of telephonic recordings of client interaction	September 30, 2025
5.	Completion of Annual Compliance Audit (For FY 2024-2025)	September 30, 2025
6.	Submission of Annual Compliance Report to SEBI/BSE along with observations and correction action (As applicable)	October 31, 2025
7.	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 - BSE notice dated 20250610-5 dated June 10, 2025 (If not yet implemented, please do the needful)	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	07.08.2025
2.	Client level segregation of Research and distribution activities (BSE notice 20250627-46 dated June 27, 2025)	Upto September 30, 2025
3.	Compliance with Deposit amount (BSE notice 20250604-3 dated June 4, 2025)	Upto September 30, 2025
4.	Annual Compliance Audit (For FY 2024-2025)	Upto September 30, 2025
5.	Maintenance of telephone recordings of the client interaction (BSE notice 20250627-46 dated June 27, 2025)	Upto September 30, 2025
6.	Client Consent on Terms of Research Services (BSE notice 20250627-46 dated June 27, 2025)	Due Before Subscription Renewal or Fee Collection
7.	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 - BSE notice dated 20250610-4 dated June 10, 2025 (If not yet implemented, please do the needful)	Continuous compliance

Compliance Reminder – Due Today (July 31, 2025)

Please ensure timely submission of the following reports via the official compliance portal:

BSE Compliance Portal

Entity	Report Type	Reporting Period	Due Date
IA	Half-Yearly Periodic Reporting	Oct 2024 – Mar 2025	July 31, 2025
RA	Half-Yearly Periodic Reporting	Oct 2024 – Mar 2025	July 31, 2025

Kindly log in and complete your filings by the due date to ensure compliance.



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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	07.08.2025
2.	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	31.08.2025
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.	Suspension of demat accounts of existing clients whose KYC records are not found to be valid by KRAs after the validation process.(NSDL Circular No.: NSDL/POLICY/2025/0099 July 23, 2025)	02.08.2025
2.	Publishing of Investor Charter and disclosure of Investor Complaints on websites	07.08.2025
3.	SEBI Nomination circular (Phase II-Implementation)	08.08.2025
4.	Investor Grievances Report Submission	10.08.2025
5.	Details of 2 days' notice given to BO prior to stopping the process of instructions in case of default in payment-CDSL	10.08.2025
6.	Submission of the report of Modification in URL reported to CDSL within 3 days of such changes	10.08.2025
7.	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	10.08.2025
8.	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	10.08.2025
9.	Tariff Structure of the DP (Information w.r.t increase in charges /fees providing 30 days notice to the BOs, if any)-CDSL (Ref: CDSL/AUDIT/DP/POLCY/2025/275 April 25, 2025)	10.08.2025
10.	Submission of report for Non-profit organization transactions	20.08.2025
11.	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts-NSDL	25.08.2025



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12.	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)	September 5,2025
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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)	01.08.2025 & 02.08.2025
2.	Publishing of Investor Charter and disclosure of Investor Complaints on Websites	07.08.2025
3.	Number of STR filed with FIU-IND for March 2025(Only BSE)	31.08.2025
4.	Implementation of Cybersecurity and Cyber Resilience Framework (As applicable)	31.08.2025
5.	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily Ongoing
6.	Uploading of clients mapped with Authorised Persons (AP) before the next 2 trading days of subsequent week-All Exchanges	Weekly
7.	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
8.	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)	September 5,2025
9.	Safer participation of retail investors in Algorithmic trading	October 1,2025

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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