

## Compliance Calendars

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

### PMS Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Disclosure of Investor Complaints by Portfolio Managers on their websites.	07.02.2026
2.	Monthly Report Submission to SEBI & APMI	09.02.2026 (within 7 working days) *
3.	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	31.03.2026
4.	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)
5.	PMS Disclosure Document in a new format (Applicable in case of material changes)	Ongoing and Continuous Requirements
6.	Publishing of Investor Charter on the Website	Ongoing and Continuous Requirements
7.	Checking & closure of Offsite inspection data alerts	Ongoing and Continuous Requirements
8.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	Voluntary adoption for time being

**\*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.	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	31.03.2026
2.	Disclosure of NAV of scheme(s) of the Category III AIF (Open ended)	Ideally, within a month

3.	Reporting of overseas investments utilization to SEBI	<b>Within 5 working days of such utilization</b>
4.	<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> <p>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 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.</p>	<b>Ongoing and Continuous Requirements</b>
5.	<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> <p>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 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.</p>	<b>Ongoing and Continuous Requirements</b>
6.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</b>
7.	NISM Series-III-C: Securities Intermediaries Compliance (Fund) Certification Examination-Compliance Officer has to appear for NISM exam (SEBI circular dated December 30,2025)	<b>Ongoing and Continuous Requirements</b>

### Investment Advisers Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Disclosure of Investor Advisers Complaints by Investment Advisers on their websites.	<b>07.02.2026</b>
2.	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	<b>31.03.2026</b>
3.	<p>Uploading of the latest Investment Charter on the following:</p> <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>	<b>Ongoing and Continuous Requirements</b>

	- BSE notice dated 20250610-5 dated June 10, 2025 (If not yet implemented, please do the needful)	
4.	Maintaining a Functional Website	Ongoing and Continuous Requirements
5.	MITC to clients	Ongoing and Continuous Requirements
6.	Maintenance of telephonic recordings of client interaction	Ongoing and Continuous Requirements
7.	Mandatory Client Declaration for Non-SEBI Regulated Products/ Services	Ongoing and Continuous Requirements
8.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	Voluntary adoption for time being

### Research Analysts Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Complaint Data to be displayed by RAs on their website/ mobile application	07.02.2026
2.	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	31.03.2026
3.	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)	Ongoing and Continuous Requirements
4.	Client-level segregation of Research and distribution activities (BSE notice 20250627-46 dated June 27, 2025)	Ongoing and Continuous Requirements
5.	Maintenance of telephone recordings of the client interaction (BSE notice 20250627-46 dated June 27, 2025)	Ongoing and Continuous Requirements

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

Sr.No.	Particulars	Due Date
1.	Complaint Data to be displayed on the website/ mobile application	<b>07.02.2026</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>
4	Adherence to the provisions of SEBI (Merchant Bankers) Amendment Regulations, 2025	<b>Ongoing and Continuous Requirements</b>

### Depository Participant Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Submission of SaaS Reporting for the period ending 31 <sup>st</sup> December, 2025 (Please refer to Depository circular)	<b>31.01.2026*</b>
2.	Half-Yearly Submission of Compliance Certificate (Both NSDL & CDSL)	<b>31.01.2026*</b>
3.	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>
4.	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>
5.	Submission Of Preliminary Cyber Security and Cyber Resilience Audit Report (NSDL and CDSL circular dated December 26, 2025)	<b>31.01.2026*</b>

6.	Availability of NSDL/CDSL Depository System on Sunday, February 01, 2026 (NSDL circular dated January 28, 2026 and CDSL circular dated January 23,2026)	01.02.2026
7.	Complaint Data to be displayed by DPs on their website/ mobile application	07.02.2026
8.	Submission of Regulatory Freeze and unfreeze Order details by Participants through NSDL e-PASS portal (NSDL circular dated January 09, 2026)-Monthly submission even Nil report needs to be submitted)	07.02.2026
9.	Investor Grievances Report Online Submission (CDSL & NSDL)	10.02.2026
10.	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.	10.02.2026
11.	Submission of the report of Modification in URL reported to CDSL within 3 days of such changes	10.02.2026
12.	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	10.02.2026
13.	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	10.02.2026
14.	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	10.02.2026
15.	DP Concurrent Audit Report	10.02.2026
16.	Submission to NSDL/CDSL, Number of Non-Profit Organisation Transaction Report (NTRs) (including NIL report) filed with FIU-IND	20.02.2026
17.	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts-NSDL	27.02.2026
18.	Uploading of scanned Delivery Instruction Slip(s) (DIS) image(s) in DMS module of NSDL e-PASS system for last 8 years (NSDL circular dated December 23, 2025)	28.02.2026
19.	Ease of investments and ease of doing business measures –enhancing the 'Facility for Basic Services Demat Account (BSDA)-SEBI circular dated December 24,2025	31.03.2026
20.	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform (SEBI circular dated December 8, 2025)	31.03.2026

21.	Submission of Action Taken Report (ATR) on Cyber Security Audit Report/VAPT Report, as applicable( NSDL circular dated January 28, 2026 and CDSL circular dated December 15,2025)	31.03.2026
22.	Publishing of Investor Charter	Ongoing and Continuous Requirements
23.	Suspension of demat accounts of existing clients whose KYC records are not found to be valid by KRAs after the validation process.	Ongoing and Continuous Requirements
24.	Submission of the report of Modification in URL reported to NSDL within 3 days of such changes (NSDL Circular No.: NSDL/POLICY/2025/0036 March 24, 2025)	Event Based

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

### Stock Broking Compliance Calendar

Sr. No	Particulars	Due Date
1.	Submission of SaaS Reporting for the period ending December 31 ,2026	31.01.2026*
2.	Submission of Preliminary VAPT Audit report	31.01.2026*
3.	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)	31.01.2026*
4.	Submission of Details of AP Inspections undertaken during the quarter ended 31.12.2025 (Even if NIL AP inspected, submission is mandatory).	31.01.2026*
5.	Action Taken Report for non-compliance(s) reported in the Internal Audit Report (NSE circular dated December 12, 2025)	31.01.2026*
6.	Number of STR filed with FIU-IND (Only BSE).	31.01.2026*
7.	Live Trading Session on February 01, 2026 - Presentation of Union Budget	01.02.2026
8.	Schedule for Reporting of Holding Statement on account of Live Trading Session on Sunday, February 01, 2026 - Presentation of Union Budget- NSE circular dated January 28, 2026	02.02.2026 & 03.02.2026
9.	Uploading of clients mapped with Authorised Persons (AP) for the week 26 Jan – 30 Jan 2026	03.02.2026
10.	Sending Statement of Accounts (Funds, Securities & Commodities) for the week 26 Jan – 30 Jan 2026	05.02.2026
11.	Settlement of running account (For those who have opted for monthly settlement & also for inactive accounts of more than 30 days)	06.02.2026 & 07.02.2026
12.	Complaint Data to be displayed on the website/ mobile application	07.02.2026



13.	Uploading of client's complaints to Stock Exchanges	07.02.2026
14.	Uploading of clients mapped with Authorised Persons (AP) for the week 02 Feb – 06 Feb 2026	10.02.2026
15.	Sending Statement of Accounts (Funds, Securities & Commodities) for the week 02 Feb – 06 Feb 2026	12.02.2026
16.	Uploading of clients mapped with Authorised Persons (AP) for the week 09 Feb – 13 Feb 2026	17.02.2026
17.	Sending Statement of Accounts (Funds, Securities & Commodities) for the week 09 Feb – 13 Feb 2026	19.02.2026
18.	Uploading of clients mapped with Authorised Persons (AP) for the week 16 Feb – 20 Feb 2026	24.02.2026
19.	Sending Statement of Accounts (Funds, Securities & Commodities) for the week 16 Feb – 20 Feb 2026	26.02.2026
20.	No. of STR filed with FIU-IND for the month of January, 2026. (Including NIL STR) (BSE)	28.02.2026
21.	TRAI guidelines (Phase II implementation)- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable-Applicable to Qualified Stock Broker-NSDL circular dated December 08,2025	15.03.2026
22.	REs shall submit status update on their readiness and compliance with accessibility requirements for each digital platform	31.03.2026
23.	Submission of Action Taken Report (ATR) -System Audit Report of Trading Members (TYPE - III) for the half year ended September 30,2025- NSE circular dated November 26,2025	31.03.2026
24.	Extension for Upload of Client Records to KRAs for Validations-NSE circular dated January 30.2026	03.04.2026
25.	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily-Ongoing
26.	Details of Margin Trading Facility – Upload MG, MGA & MGB file	Daily-Ongoing
27.	Cyber Security & Cyber Resilience framework for Stock Brokers / Depository Participants - Incident Reporting	Daily-Ongoing
28.	Distribution of third-party products by Trading Members-Exchange advisory to be adhered (NSE circular dated December 24, 2025)	Ongoing and Continuous Requirements (As applicable)
29.	Publishing of Investor Charter	Ongoing and Continuous Requirements

30.	Submission of Bank Undertaking, Bank Authorization, Bank Confirmation in <u>Revised Format</u> with reference to circular NSE/INSP/70505 dated September 29, 2025	Ongoing and Continuous Requirements
31.	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	Ongoing and Continuous Requirements (As applicable)
32.	Number of submissions applicable to Qualified Stock Broker- BSE circular 20250718-8 Dated July 18,2025	Ongoing and Continuous Requirements (As applicable)

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

### Mutual Fund Distributor Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Additional incentives to distributors for onboarding new individual investors from B-30 cities and women investors (SEBI circular dated January 07,2026)	01.03.2026

#### 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)***

