

## Compliance Calendars

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

### PMS Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Disclosure of Investor Charter & Investor Complaints by Portfolio Managers on their websites	<b>07.04.2026</b>
2.	Monthly Report Submission to SEBI & APMI	<b>10.04.2026 (within 7 working days) *</b>
3.	Submission of Quarterly Offsite Inspection Data to SEBI – Quarterly*	<b>15.04.2026</b>
4.	Self-Certification of Code of Conduct Compliance from Distributor of the Portfolio Manager	<b>15.04.2026</b>
5.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	<b>30.04.2026</b>
6.	Sending Quarterly Report to Clients (Portfolio Performance Report)	<b>30.04.2026</b>
7.	Submission of Corporate Governance Report	<b>30.04.2026</b>
8.	Submission of Undertaking on Compliance of SaaS-based Solutions Advisory for the half-year ended 31 March 2026	<b>30.04.2026</b>
9.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	<b>01.05.2026</b>
10.	Offsite monitoring of qualitative compliance aspects through Compliance Monitoring Module (CMM)-SEBI letter dated July 28,2025)	<b>30.05.2026</b>
11.	Annual Compliance Certificate under PMS Regulations and SEBI Circulars –Should be signed by the Principal Officer	<b>30.05.2026</b>
12.	Issuance of Firm Level Performance Audit Report by Independent Auditor	<b>30.05.2026</b>
13.	Submission of Firm-Level Compliance Audit Report by Director/Partners	<b>30.05.2026</b>
14.	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>



15.	PMS Disclosure Document to be submitted in a new format (Applicable in case of material changes)	<b>Ongoing and Continuous Requirements</b>
16.	Checking & closure of Offsite inspection data alerts (As applicable)	<b>Ongoing and Continuous Requirements</b>
17.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</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

Sr.No.	Particulars	Due Date
1.	Quarterly Compilation and submission of data on Investor Complaints	<b>07-04-2026</b>
2.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	<b>30.04.2026</b>
3.	Disclosure of NAV of scheme(s) of the Category III AIF (for close-ended fund)	<b>30.04.2026</b>
4.	Disclosure of NAV of scheme(s) of the Category III AIF (for open-ended fund)- Ideally, within a month	<b>30.04.2026</b>
5.	Annually Preparation and submission of Compliance Test Report (CTR) on compliance with AIF Regulations & circulars to Trustee & Sponsor (if Trust structure) / Sponsor (if non-trust structure)	<b>30.04.2026</b>
6.	Disclosure on any change in terms of Private Placement Memorandum /fund documents (On consolidated basis)	<b>30.04.2026</b>
7.	Monthly Reporting of investor-wise KYC details of units held in Aggregate Escrow Demat Account (including Name, PAN, Bank Account details) with audit trail of transactions to Depositories and Custodians	<b>30.04.2026</b>
8.	Submission of Undertaking on Compliance of SaaS-based Solutions Advisory for the half-year ended 31 March, 2026	<b>30.04.2026</b>
9.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	<b>01.05.2026</b>



10.	Reporting of value of units of Alternative Investment Funds (AIFs) to Depositories (AIFs, through their RTAs, shall upload the latest available NAV corresponding to each ISIN of units of the AIF in the depository system before May 01, 2026, or within 30 days from the date of valuation of the investment portfolio, whichever is later)- SEBI circular dated February 6,2026	<b>01.05.2026</b>
11.	Submission of Annual Activity Report (SEBI Circular No.: HO / 19 / 28/(1)2026-AFD-SEC3/I/6176/2026 dated March 04, 2026	<b>31.05.2026</b>
12.	Reporting of overseas investments utilization to SEBI	<b>Within 5 working days of such utilization</b>
13.	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:  NISM Series-XIX-C: Alternative Investment Fund Managers Certification Examination; or NISM Series-XIX-D: Category I and II Alternative Investment Fund Managers Certification Examination.	<b>Ongoing and Continuous Requirements</b>
14.	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:  NISM Series-XIX-C: Alternative Investment Fund Managers Certification Examination, or NISM Series-XIX-E: Category III Alternative Investment Fund Managers Certification Examination.	<b>Ongoing and Continuous Requirements</b>
15.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	<b>Voluntary adoption for time being</b>
16.	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 Charter & Investor Advisers Complaints by Investment Advisers on their websites.	<b>07.04.2026</b>



2.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	<b>30.04.2026</b>
3.	Half-Yearly Periodic Reporting to IAASB for the half-year ended 31 March, 2026	<b>30.04.2026</b>
4.	Submission of Undertaking on Compliance of SaaS-based Solutions Advisory for the half-year ended 31 March, 2026	<b>30.04.2026</b>
5.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	<b>01.05.2026</b>
6.	<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> <p>- BSE notice dated 20250610-5 dated June 10, 2025 (If not yet implemented, please do the needful)</p>	<b>Ongoing and Continuous Requirements</b>
7.	Maintaining a Functional Website	<b>Ongoing and Continuous Requirements</b>
8.	MITC to clients	<b>Ongoing and Continuous Requirements</b>
9.	Maintenance of telephonic recordings of client interaction	<b>Ongoing and Continuous Requirements</b>
10.	Mandatory Client Declaration for Non-SEBI Regulated Products/ Services	<b>Ongoing and Continuous Requirements</b>
11.	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**

Sr.No.	Particulars	Due Date
1.	Disclosure of Investor Charter & Investor Complaint Data to be displayed by RAs on their website/ mobile application	<b>07.04.2026</b>



2.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	<b>30.04.2026</b>
3.	Submission of Half-Yearly Periodic Reporting to RAASB for the half-year ended 31 March, 2026	<b>30.04.2026</b>
4.	Submission of Undertaking on Compliance of SaaS-based Solutions Advisory for the half-year ended 31 March, 2026	<b>30.04.2026</b>
5.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	<b>01.05.2026</b>
6.	<p>Uploading of 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> <p>BSE notice dated 20250610-4 dated June 10, 2025 (If not yet implemented, please do the needful)</p>	<b>Ongoing and Continuous Requirements</b>
7.	Client-level segregation of Research and distribution activities (BSE notice 20250627-46 dated June 27, 2025)	<b>Ongoing and Continuous Requirements</b>
8.	Maintenance of telephone recordings of the client interaction (BSE notice 20250627-46 dated June 27, 2025)	<b>Ongoing and Continuous Requirements</b>
9.	Client Consent on Terms of Research Services (BSE notice 20250627 -46 dated June 27, 2025)	<b>Due Before Subscription Renewal or Fee Collection</b>
10.	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.	Disclosure of Investor Charter & Investor Complaint Data displayed on the website of the Merchant Banker	<b>07.04.2026</b>
2.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	<b>01.05.2026</b>



<b>3.</b>	Disclosure of Track Record of the public issues managed by Merchant Bankers	<b>Ongoing and Continuous requirements</b>
<b>4.</b>	Adherence to the provisions of SEBI (Merchant Bankers) Amendment Regulations, 2025	<b>Ongoing and Continuous Requirements</b>

**Depository Participant Compliance Calendar**

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Doing away with requirement of issuance of Letter of Confirmation("LOC") and to effect direct credit of securities in dematerialisation account of the investor	<b>02.04.2026</b>
<b>2.</b>	Extension of Timeline for Upload of Client KYC Records to KRAs for Validation.	<b>03.04.2026</b>
<b>3.</b>	Creation/Invocation of pledge of securities through Depository System	<b>06.04.2026</b>
<b>4.</b>	Publishing of Investor Charter & Investor Complaints by DP's on their website/ mobile application	<b>07.04.2026</b>
<b>5.</b>	Submission of Regulatory Freeze and Unfreeze Order details through NSDL e-PASS portal (including Nil report)-Monthly (NSDL circular dated January 09, 2026)	<b>07.04.2026</b>
<b>6.</b>	Online submission of Investor Grievance (IG) Report (CDSL & NSDL) – Monthly	<b>10.04.2026</b>
<b>7.</b>	Ensure Online Facility for Mandatory CDSL Submissions: Issue 2-day advance notice to Beneficial Owners (BOs) before suspending instruction processing due to payment default – Monthly	<b>10.04.2026</b>
<b>8.</b>	Submission of the report of Modification in URL reported to CDSL within 3 days of such changes – Monthly	<b>10.04.2026</b>
<b>9.</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 dated April 25, 2025-CDSL	<b>10.04.2026</b>
<b>10.</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>10.04.2026</b>
<b>11.</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>10.04.2026</b>



12.	Report on Concurrent Audit of Depository Participant (DP) – Monthly	<b>10.04.2026</b>
13.	Reporting of status of alerts (Surveillance Obligation) generated by Participants – Quarterly	<b>15.04.2026</b>
14.	Reporting on Cybersecurity & Cyber Resilience Framework – Quarterly	<b>15.04.2026</b>
15.	Submission of Cash Transaction Report (CTR) (Nil Report not required) to be reported to FIU-IND (NSDL/CDSL) – Monthly	<b>15.04.2026</b>
16.	Submission of Non-Profit Organization Transaction Reports (NTRs) (Nil Report not required) to be reported to FIU-IND (NSDL/CDSL) – Monthly	<b>15.04.2026</b>
17.	Reporting of Non-Profit Organization Transactions Report with FIU-India by DP to CDSL (Information w.r.t. STRs filed by the DP with FIU IND, if any) (NSDL/CDSL) – Monthly	<b>20.04.2026</b>
18.	Compliance Report w.r.t same Mobile number and/or email address captured for multiple accounts-NSDL – Monthly	<b>27.04.2026</b>
19.	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)	<b>30.04.2026</b>
20.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	<b>30.04.2026</b>
21.	Dispatch of Annual Holding Statements (No transaction & Nil balance accounts) – Annually	<b>30.04.2026</b>
22.	Dispatch of CAS (no transactions but holding is available) for the half-year ended 31 March, 2026	<b>30.04.2026</b>
23.	Submission of Risk Based Supervision of Participant for the half-year ended 31 March, 2026 (Subject to Depositories circulars)	<b>30.04.2026</b>
24.	Submission of Tariff Structure – Annually	<b>30.04.2026</b>
25.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	<b>01.05.2026</b>
26.	Submission of Internal Audit of DP Operations for the half-year ended 31 March, 2026	<b>15.05.2026</b>
27.	Uploading of scanned Delivery Instruction Slip (DIS) images	<b>Daily</b>
28.	Suspension of demat accounts of existing clients whose KYC records are not found to be valid by KRAs after the validation process (NSDL circular dated February 18, 2026)	<b>Ongoing and Continuous Requirements</b>

<b>29.</b>	Special Window for Transfer and Dematerialisation of Physical Securities (SEBI circular dated January 30,2026)	<b>Ongoing and Continuous Requirements</b>
<b>30.</b>	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)	<b>Event Based</b>
<b>31.</b>	Reporting of STR findings with FIU-India by DP (Nil Report not required) through online portal i.e., NSDL e-PASS – Event Based on the subsequent month	<b>Event Based</b>

### Stock Broking Compliance Calendar

<b>Sr.No.</b>	<b>Particulars</b>	<b>Due Date</b>
<b>1.</b>	Contract note serial numbering shall start from No. 1.	<b>01.04.2026</b>
<b>2.</b>	Applicability of Additional Surveillance Obligation for Stock Broker's having less than 2000 clients (SEBI circular SEBI/HO/ MIRSD/ MIRSD-PoD-1/P/CIR/2024/96 dated July 04, 2024)	<b>01.04.2026</b>
<b>3.</b>	Reporting of Clients Mapped to Authorised Persons (AP) (Week 23-03-2026 to 27-03-2026)	<b>01.04.2026</b>
<b>4.</b>	Extension for Upload of Client Records to KRAs for Validations-NSE circular dated January 30.2026	<b>03.04.2026</b>
<b>5.</b>	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week 23-03-2026 to 27-03-2026)	<b>06.04.2026</b>
<b>6.</b>	Revision of Order-to-Trade Ratio (OTR) framework (SEBI circular dated February 4,2026)	<b>06.04.2026</b>
<b>7.</b>	Publishing of Investor Charter & Investor Complaints on the website/ mobile application	<b>07.04.2026</b>
<b>8.</b>	Upload Details of all Complaints Received to Exchange	<b>07.04.2026</b>
<b>9.</b>	Reporting of Clients Mapped to Authorised Persons (AP) (Week 30-03-2026 to 03-04-2026)	<b>07.04.2026</b>
<b>10.</b>	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week 30-03-2026 to 03-04-2026)	<b>09.04.2026</b>
<b>11.</b>	Contingency Drill / Mock Trading schedule for 2026-NSE circular dated December 24,2025	<b>11.04.2026</b>
<b>12.</b>	Algo – AI/ML Reporting for the half-year ended 31 March, 2026	<b>15.04.2026</b>
<b>13.</b>	Reporting of Clients Mapped to Authorised Persons (AP) (Week 06-04-2026 to 10-04-2026)	<b>15.04.2026</b>



14.	Submission of Surveillance Obligation Report for the quarter ended 31 March, 2026	15.04.2026
15.	Reporting of Cyber Incident Security	15.04.2026
16.	Applicability of SEBI circulars on relaxations in certain reporting requirements for certain Stock Brokers and doing away with the requirement of reporting of demat account. (SEBI Circular No.: HO/38/11/(1)2026-MIRSD-POD/I/7656/2026 dated March 23, 2026)	17.04.2026
17.	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week 06-04-2026 to 10-04-2026)	17.04.2026
18.	Settlement of Running Account (Monthly/Quarterly Settlement & Inactive >30 Days Accounts)	17.04.2026 & 18.04.2026
19.	Reporting of Clients Mapped to Authorised Persons (AP) (Week 13-04-2026 to 17-04-2026)	21.04.2026
20.	Reporting of Summary of Settlement of Clients' Funds to Exchanges – Quarterly	21.04.2026
21.	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week 13-04-2026 to 17-04-2026)	23.04.2026
22.	Reporting of Clients Mapped to Authorised Persons (AP) (Week 20-04-2026 to 24-04-2026)	28.04.2026
23.	No. of STR filed with FIU-IND for the month of March, 2026. (Including NIL STR) (BSE)	30.04.2026
24.	Issuance of Annual Global Statement to Clients for Trades Executed During the Financial Year 25-26 (NSE circular NSE/INSP/36731 dated January 11, 2018)	30.04.2026
25.	Issuance of Statement of Securities Transaction Tax (STT) to clients- NSE circular NSE/INSP/8108 dated November 16, 2006	30.04.2026
26.	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week 20-04-2026 to 24-04-2026)	30.04.2026
27.	Applicability of Annual Maintenance Charges towards Authorised Persons-NSE circular dated February 5, 2026)	30.04.2026
28.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	30.04.2026
29.	Submission of AP Inspection Details (Including NIL) – Quarterly	30.04.2026



<b>30.</b>	Submission of Cyber Security and Cyber Resilience Audit Action Taken Report (ATR) of Trading Members (members providing IBT or Algo Trading facility) for the half year ended September 30,2026	<b>30.04.2026</b>
<b>31.</b>	Submission of Margin Trading Compliance Certificate for half year ended March 31, 2026 (NSE circular NSE/COMP/70618 dated October 3,2025)	<b>30.04.2026</b>
<b>32.</b>	Half-yearly confirmation of entity type by RFQ participants (NSE circular NSE/COMP/73454 dated March 24, 2026)	<b>30.04.2026</b>
<b>33.</b>	Calendar Spread margin benefit for Single Stock Derivatives on expiry (SEBI circular dated February 5,2026)	<b>05.05.2026</b>
<b>34.</b>	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	<b>01.05.2026</b>
<b>35.</b>	UCC-wise Settlement Details submission to Exchanges – Quarterly	<b>04.05.2026</b>
<b>36.</b>	Payment of SEBI Annual Clearing fees payable by the clearing/self-clearing Members (NCL circular NCL/CMPL/73443 dated March 24, 2026)	<b>07.05.2026</b>
<b>37.</b>	Submission of Risk Based Supervision (RBS) for the half-year ended 31 March, 2026	<b>31.05.2026</b>
<b>38.</b>	Renewal of Insurance Policy	<b>31.05.2026</b>
<b>39.</b>	Net Worth Certificate Submission for the half-year ended 31 March, 2026	<b>31.05.2026</b>
<b>40.</b>	Submission of Internal Audit for the half-year ended 31 March, 2026	<b>31.05.2026</b>
<b>41.</b>	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	<b>Daily-Ongoing</b>
<b>42.</b>	Details of Margin Trading Facility – Upload MG, MGA & MGB file	<b>Daily-Ongoing</b>
<b>43.</b>	Cyber Security & Cyber Resilience framework for Stock Brokers / Depository Participants - Incident Reporting	<b>Daily-Ongoing</b>
<b>44.</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>

45.	Submission of Bank Undertaking, Bank Authorization, Bank Confirmation in <u>Revised Format</u> with reference to circular NSE/INSP/70505 dated September 29, 2025	<b>Ongoing and Continuous Requirements</b>
46.	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>
47.	Number of submissions applicable to Qualified Stock Broker- BSE circular 20250718-8 Dated July 18,2025	<b>Ongoing and Continuous Requirements (As applicable)</b>

**Mutual Fund Distributor Compliance Calendar**

Sr.No.	Particulars	Due Date
1.	Borrowing by Mutual Funds (SEBI Circular No.: HO/(92)2026-IMD-POD-2/I/6961/2026 dated march 13,2026)	<b>01.04.2026</b>
2.	Introduction of Voluntary Lock-in / Debit freeze facility to Mutual Fund folios (SEBI Circular No.: HO/24/12/12(5)2026-IMD-SEC-1/I/ 6373 / 2026 dated March 6,2026)	<b>30.04.2026</b>
3.	Additional incentives to distributors for onboarding new individual investors from B-30 cities and women investors (SEBI circular dated January 07,2026)	<b>Ongoing and Continuous Requirements</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)**

