

Compliance Calendars

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

PMS Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Disclosure of Investor Charter & Investor Complaints by Portfolio Managers on their websites	07.03.2026
2.	Monthly Report Submission to SEBI & APMI	11.03.2026 (within 7 working days) *
3.	Submission of status update on readiness and compliance with accessibility requirements for each digital platform	31.03.2026
4.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	30.04.2026
5.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	01.05.2026
6.	Offsite monitoring of qualitative compliance aspects through Compliance Monitoring Module (CMM)-SEBI letter dated July 28,2025)	30.05.2026
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)
8.	PMS Disclosure Document to be submitted in a new format (Applicable in case of material changes)	Ongoing and Continuous Requirements
9.	Checking & closure of Offsite inspection data alerts (As applicable)	Ongoing and Continuous Requirements
10.	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.	Submission of status update on readiness and compliance with accessibility requirements for each digital platform	31.03.2026
2.	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	31.03.2026
3.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	30.04.2026
4.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	01.05.2026
5.	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	01.05.2026
6.	Disclosure of NAV of scheme(s) of the Category III AIF (Open ended)	Ideally, within a month
7.	Reporting of overseas investments utilization to SEBI	Within 5 working days of such utilization
8.	NISM requirements for Category I & II AIF : 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, 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.	Ongoing and Continuous Requirements
9.	NISM Certificate requirements for Category III AIF : 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, 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.	Ongoing and Continuous Requirements

10.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	Voluntary adoption for time being
11.	NISM Series-III-C: Securities Intermediaries Compliance (Fund) Certification Examination -Compliance Officer has to appear for NISM exam (SEBI circular dated December 30,2025)	Ongoing and Continuous Requirements

Investment Advisers Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Disclosure of Investor Charter & Investor Advisers Complaints by Investment Advisers on their websites.	07.03.2026
2.	Submission of status update on readiness and compliance with accessibility requirements for each digital platform	31.03.2026
3.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	30.04.2026
4.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	01.05.2026
5.	<p>Uploading of the latest Investment Charter on the following:</p> <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 <p>- BSE notice dated 20250610-5 dated June 10, 2025 (If not yet implemented, please do the needful)</p>	Ongoing and Continuous Requirements
6.	Maintaining a Functional Website	Ongoing and Continuous Requirements
7.	MITC to clients	Ongoing and Continuous Requirements
8.	Maintenance of telephonic recordings of client interaction	Ongoing and Continuous Requirements
9.	Mandatory Client Declaration for Non-SEBI Regulated Products/ Services	Ongoing and Continuous Requirements

10.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	Voluntary adoption for time being
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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	07.03.2026
2.	Submission of status update on readiness and compliance with accessibility requirements for each digital platform	31.03.2026
3.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	30.04.2026
4.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	01.05.2026
5.	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)	Ongoing and Continuous Requirements
6.	Client-level segregation of Research and distribution activities (BSE notice 20250627-46 dated June 27, 2025)	Ongoing and Continuous Requirements
7.	Maintenance of telephone recordings of the client interaction (BSE notice 20250627-46 dated June 27, 2025)	Ongoing and Continuous Requirements
8.	Client Consent on Terms of Research Services (BSE notice 20250627-46 dated June 27, 2025)	Due Before Subscription Renewal or Fee Collection
9.	TRAI guidelines- Mandatory Phase-wise Adoption of 1600-Series Numbers by SEBI Registered Intermediaries, if applicable	Voluntary adoption for time being

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	07.03.2026
2.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	01.05.2026
3.	Disclosure of Track Record of the public issues managed by Merchant Bankers	Ongoing and Continuous requirements
4.	Adherence to the provisions of SEBI (Merchant Bankers) Amendment Regulations, 2025	Ongoing and Continuous Requirements

Depository Participant Compliance Calendar

Sr.No.	Particulars	Due Date
1.	Publishing of Investor Charter & Investor Complaints by DP's on their website/ mobile application	07.03.2026
2.	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	07.03.2026
3.	Submission of Regulatory Freeze and Unfreeze Order details through NSDL e-PASS portal (including Nil report)–Monthly (NSDL circular dated January 09, 2026)	07.03.2026
4.	Online submission of Investor Grievance (IG) Report (CDSL & NSDL) - Monthly	10.03.2026
5.	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	10.03.2026
6.	Submission of the report of Modification in URL reported to CDSL within 3 days of such changes – Monthly	10.03.2026
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) for the month of December, 2025 CDSL/ AUDIT/ DP/ POLCY / 2025/275 dated April 25, 2025-CDSL	10.03.2026
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	10.03.2026
9.	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)	10.03.2026
10.	Report on Concurrent Audit of Depository Participant (DP) – Monthly	10.03.2026

11.	Submission of Cash Transaction Report (CTR) (Nil Report not required) to be reported to FIU-IND (NSDL/CDSL) – Monthly	15.03.2026
12.	Submission of Non-Profit Organization Transaction Reports (NTRs) (Nil Report not required) to be reported to FIU-IND (NSDL/CDSL) – Monthly	15.03.2026
13.	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	20.03.2026
14.	Discontinuation Of Early Payin Accounts (CDSL circular dated February 19, 2026)	21.03.2026
15.	Compliance report w.r.t same Mobile number and/or email address captured for multiple accounts-NSDL – Monthly	27.03.2026
16.	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
17.	Submission of status update on readiness and compliance with accessibility requirements for each digital platform (SEBI circular dated December 8, 2025)	31.03.2026
18.	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
19.	New URLs For APIs And Migration to Instantaneous APIs (CDSL circular dated February 6,2026)	31.03.2026
20.	Doing away with requirement of issuance of Letter of Confirmation(“LOC”) and to effect direct credit of securities in dematerialisation account of the investor (SEBI circular dated January 30,2026)	02.04.2026
21.	Extension of Timeline for Upload of Client KYC Records to KRAs for Validation. (NSDL Circular No: NSDL/POLICY/2026/0018 dated February 05, 2026) and CDSL circular dated January 30,2026	03.04.2026
22.	Creation/Invocation of pledge of securities through depository system (SEBI circular dated February 5,2026)	06.04.2026
23.	Conduct Accessibility Audit for digital platforms as per SEBI Circular ‘Rights of Persons with Disabilities Act, 2016	30.04.2026
24.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	01.05.2026
25.	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)	Ongoing and Continuous Requirements
26.	Special Window for Transfer and Dematerialisation of Physical Securities (SEBI circular dated January 30,2026)	Ongoing and Continuous Requirements

27.	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
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Stock Broking Compliance Calendar

Sr. No	Particulars	Due Date
1.	Exchange Mechanism for Flagging Non-Compliant PANs Reported by KRAs (NSE circular dated February 13,2026) □	28.02.2026
2.	Reporting of Clients Mapped to Authorised Persons (AP) (Week: 23-02-2026 to 27-02-2026)	04.03.2026
3.	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week: 23-02-2026 to 27-02-2026)	06.03.2026
4.	Settlement of Running Account (Monthly Settlement & Inactive >30 Days Accounts)	06.03.2026 & 07.03.2026
5.	Publishing of Investor Charter & Investor Complaints on the website/ mobile application	07.03.2026
6.	Upload Details of all Complaints Received to Exchange	07.03.2026
7.	Contingency Drill / Mock Trading schedule for 2026-NSE circular dated December 24,2025	07.03.2026
8.	Reporting of Clients Mapped to Authorised Persons (AP) (Week: 02-03-2026 to 06-03-2026)	10.03.2026
9.	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week: 02-03-2026 to 06-03-2026)	12.03.2026
10.	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
11.	Reporting of Clients Mapped to Authorised Persons (AP) (Week: 09-03-2026 to 13-03-2026)	17.03.2026
12.	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise (Week: 09-03-2026 to 13-03-2026)	19.03.2026
13.	Reporting of Clients Mapped to Authorised Persons (AP) (Week: 16-03-2026 to 20-03-2026)	24.03.2026
14.	Sending Statement of Accounts (Funds, Securities & Commodities) – Client Wise	27.03.2026

	(Week: 16-03-2026 to 20-03-2026)	
15.	No. of STR filed with FIU-IND for the month of February, 2026. (Including NIL STR) (BSE)	31.03.2026
16.	Submission of status update on readiness and compliance with accessibility requirements for each digital platform	31.03.2026
17.	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
18.	Extension for Upload of Client Records to KRAs for Validations-NSE circular dated January 30.2026	03.04.2026
19.	Revision of Order-to-Trade Ratio (OTR) framework (SEBI circular dated February 4,2026)	06.04.2026
20.	Applicability of Annual Maintenance Charges towards Authorised Persons-NSE circular dated February 5, 2026)	30.04.2026
21.	Conduct Accessibility Audit for digital platforms as per SEBI Circular 'Rights of Persons with Disabilities Act, 2016	30.04.2026
22.	Calendar Spread margin benefit for Single Stock Derivatives on expiry (SEBI circular dated February 5,2026)	05.05.2026
23.	Disclosure of registered name and registration number by SEBI regulated entities and their agents on Social Media Platforms (SMPs)	01.05.2026
24.	Uploading of day-wise Holding statement in the specified standard format to Exchange (within next day)-All Exchanges	Daily-Ongoing
25.	Details of Margin Trading Facility – Upload MG, MGA & MGB file	Daily-Ongoing
26.	Cyber Security & Cyber Resilience framework for Stock Brokers / Depository Participants - Incident Reporting	Daily-Ongoing
27.	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)
28.	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
29.	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)

30.	Number of submissions applicable to Qualified Stock Broker- BSE circular 20250718-8 Dated July 18,2025	Ongoing and Continuous Requirements (As applicable)
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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