

Due Dates for Compliance Reporting (2024-2025) *

Due Date	Compliance	Duration	Concern Department
15-Apr-24	Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications	Half Yearly / Annual	Inspection
N/A	Reporting of Cyber security incident	Immediate	Information Security
15-Apr-24	Reporting of Cyber security incident(s)	Quarterly	Information Security
15-Apr-24	Surveillance Obligations for Trading Members – Quarterly Compliance Reporting	Quarterly	Surveillance
30-Apr-24	Net worth certificate in Margin Trading for CM Segment for HYE March 2024	Half Yearly	Membership
30-Apr-24	Compliance certificate for Margin Trading for CM Segment	Half Yearly	Inspection
31-May-24	Net worth certificate for all members for HYE March 2024	Half Yearly	Membership
31-May-24	Internal Audit Report for HYE March-2024	Half Yearly	Inspection
31-May-24	Risk based supervision	Yearly	Inspection
31-May-24	Follow on Audit Report for System Audit Report (Algo)	Half Yearly	Information Security
31-May-24	Follow on Audit Report for Cyber Audit Report (Algo)	Half Yearly	Information Security
30-Jun-24	System Audit Report (Algo)	Half Yearly	Information Security
30-Jun-24	System Audit Report	Yearly	Information Security
30-Jun-24	Cyber Audit Report (Algo)	Half Yearly	Information Security
30-Jun-24	Cyber Audit Report	Yearly	Information Security
N/A	Reporting of Cyber security incident	Immediate	Information Security
15-Jul-24	Reporting of Cyber security incident(s)	Quarterly	Information Security
30-Sep-24	Corrective Action Report for System Audit Report (Algo)	Half Yearly	Information Security
30-Sep-24	Corrective Action Report for System Audit Report	Yearly	Information Security
30-Sep-24	Corrective Action Report for Cyber Audit Report (Algo)	Half Yearly	Information Security
30-Sep-24	Corrective Action Report for Cyber Audit Report	Yearly	Information Security

15-Oct-24	Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications	Quarterly	Inspection
N/A	Reporting of Cyber security incident	Immediate	Information Security
15-Oct-24	Reporting of Cyber security incident(s)	Quarterly	Information Security
31-Oct-24	Audited Financial Statements for FYE March 2024	Annual	Membership
31-Oct-24	Compliance certificate for Margin Trading for CM Segment	Half Yearly	Inspection
31-Oct-24	Net worth certificate in Margin Trading for CM Segment for HYE September 2024	Half Yearly	Membership
30-Nov-24	Net worth certificate for HYE September 2024	Half Yearly	Membership
30-Nov-24	Risk based supervision	Half Yearly	Inspection
30-Nov-24	System Audit Report (Algo)	Half Yearly	Information Security
30-Nov-24	Cyber Audit report (Algo)	Half Yearly	Information Security
30-Nov-24	Internal Audit Report for HYE September 2024	Half Yearly	Inspection
31-Dec-24	Follow on Audit Report for System Audit Report (Algo)	Half Yearly	Information Security
31-Dec-24	Follow on Audit Report for System Audit Report	Yearly	Information Security
31-Dec-24	Follow on Audit Report for Cyber Audit Report (Algo)	Half Yearly	Information Security
31-Dec-24	Follow on Audit Report for Cyber Audit Report	Yearly	Information Security
31-Dec-24	Vulnerability Assessment and Penetration Testing (VAPT) Report	Yearly	Information Security
N/A	Reporting of Cyber security incident	Immediate	Information Security
15-Jan-25	Reporting of Cyber security incident(s)	Quarterly	Information Security
28-Feb-25	Corrective Action Report for System Audit Report (Algo)	Half Yearly	Information Security
28-Feb-25	Corrective Action Report for Cyber Audit Report (Algo)	Half Yearly	Information Security
31-Mar-25	Corrective Action Report for Vulnerability Assessment and Penetration Testing (VAPT) Report	Yearly	Information Security
N/A	Reporting of Technical Glitch	Immediate	Information Security
Within 2 Trading Days post settlement date	Submission of summary of settlement of clients' funds	Monthly / Quarterly	Inspection
Within 10 Trading Days post settlement	Submission of UCC wise settlement details	Monthly / Quarterly	Inspection

date			
Monthly reporting	STR Reporting	Monthly	Inspection
T+1 basis	Daily submissions of Holding Statement	Daily	Inspection
Within 7 days from opening/closure of account	Reporting of Bank & Demat Accounts	Event based	Inspection
Daily	Modification of Client Codes (All Segments) – Delivery versus payment (DVP) Reporting	Daily	Inspection
Daily	Upstreaming of Clients funds (Refer SOP issued vide BSE notice No. 20240119-30 dated 19 January 2024)	Daily	Inspection
within seven days of the subsequent month	Integration of investor complaints (Refer BSE notice No. 20230406-15 dated 06 April 2023)	Monthly	Investor Services
Refer BSE Notice No. 20230601-54 dated 01 June 2023	Enhanced Obligations and Responsibilities on Qualified Stock Brokers (QSBs)	Refer BSE Notice No. 20230601-54 dated 01 June 2023	Inspection
within one month from end of the quarter	Market Access through Authorised Persons-Reporting of the inspections/supervision undertaken by the Members	Quarterly	Inspection
Within 30 days from the date of expiry of the Insurance policy	Proof of Insurance cover	Annual	Membership
-	Maintenance of a website by stock brokers and depository participants	---	Inspection
Any modification in the URL of the website to be reported within 3 days of such change	Maintenance of a website by stock brokers and depository participants	---	Membership
As & When	FATF declaration --all members are required to update the actions taken by them in the prescribed format (Refer BSE Notice No. 20240321-44 dated 21 March 2024)	--	Inspection

COMPLIANCE	Daily	Department
Details of Margin Trading	Upload MG, MGA & MGB file daily	Inspection

facility		
Registration of Location id of trading terminal	Check the UNLC files on the trading day and LC file on the next trading day.	Inspection
Reporting of Reason for Client Code Modification	Updating the reason for client code modifications in BEFS till next day afternoon 12:00 clock.	Inspection
High order to trade ratio in Equity, Equity Derivatives, Currency Derivatives, Interest Rate Derivatives and Commodity Derivatives segment	Monitoring of order to trade ratio in Equity, Equity Derivatives, Currency Derivatives, Interest Rate Derivatives and Commodity Derivatives segment on a daily basis to avoid any charges or disciplinary action (cooling off)	Inspection
Collection of documents	Timeline will be as and when sought for/there is change	Inspection
Updation of Name/PAN of clients appearing in UCC mismatch file	Refer PAN mismatch file daily	Inspection
Updation of Name/PAN details of Dealers	Refer Dealer PAN mismatch file daily	Inspection
NISM Certification - NISM- Series- VIII: Equity Derivative Certification Examination (EDCE).	At the time of creation of Id in EQD	Trading Operations. Also checked during Inspection.
NISM Series I: Currency Derivatives Certification Examination (New Users) (New Users & Renewal)	At the time of creation of Id in CDX	Trading Operations. Also checked during Inspection.
NISM Series IV: Interest Rate Derivatives Certification Examination (New Users) (New Users & Renewal)	At the time of creation of Id in EQD and CDX	Trading Operations. Also checked during Inspection.
NISM-Series-XIII: Common Derivatives Certification Examination (New Users) (New Users & Renewal)	At the time of creation of Id in EQD and CDX	Trading Operations. Also checked during Inspection.
Online Capturing of Member details through BEFS (BSE Electronic Filing System) i.e. General details/Key Management Personnel Data/Associate/Group Company details/Other Details and	-----	Membership (Refer Notice nos. 20130412-6 dated 12th April, 2013, 20160106-6 dated January 6, 2016, 20160303-20 dated March 3, 2016, 20160310-13

		dated March 10, 2016, 20160316-16 dated March 16, 2016, 20160927-41 dated September 27, 2016, 20161128-23 dated November 28, 2016, 20190219-21 dated February 19, 2019)
Updation of PAN details of KMP in BEFS	Within 7 days from such change	Membership

Prior Approvals		
Framework for Empanelment of Auditors for conducting Internal Audit of Trading Members	Exchange shall accept the internal audit report certified by empanelled auditor only with effect from the half year ending March 31, 2024, onwards	Inspection
Application for providing ETI	Exchange Approval Required	Trading Operations
Application for providing IBT	Exchange Approval Required	Business operations/ Trading App
Application for providing DMA	Exchange Approval Required	Business operations/ Trading App
Application for Algo Trading	Exchange Approval Required	Business operations/ Trading App
Application for providing STWT (Mobile Trading)	Exchange Approval Required	Business operations/ Trading App
Application for SOR (Smart Order Routing)	Exchange Approval Required	Business operations/ Trading App
Upload of ETI IDs, Activation / Deactivation / Shifting of ETI IDs in case of vendor change / Modification of ETI IDs	-----	Trading Operations
Change in designated directors/Ordinary Directors	-----	Membership

Change in shareholding / Increase in Share Capital	In case of change in shareholding tantamount to change in control, Exchange final approval is also required	Membership
Activation / Deactivation of Proprietary trading facility	-----	Membership
Conversion of Membership	Exchange final approval is also required	Membership
Transfer of broking business / demerger / merger / amalgamation / scheme of arrangement / transmission of Membership	Exchange final approval is also required	Membership
Application for change in name of member	-----	Membership
Advertisement to be issued by member for business purpose	-----	Membership
Members trading through other members	-----	Membership
Market Access through Authorised Persons	-----	Membership
Change in Control	-----	Membership
Change in status and constitution	-----	Membership
Change in name of member	-----	Membership

Intimation		
Appointment and change of Compliance Officer	-----	Membership
Change in Address of member	-----	Membership
Application for change in Registered Office	-----	Membership
Change in MOA/AOA	-----	Membership
Change of name/trade name/address / opening of branch office/ updation of terminals/ change in segment for authorised persons	-----	Membership
Change of name/trade name/address/ partners by Remisiers	-----	Membership

*Trading Members are also advised to refer to the Notices issued by the Exchange from time to time for additional information.