

# Compliance Calendar For Broker Dealer



Compliance Description	Due Date	India INX	NSEIX	IIBX	IFSCA
QUARTERLY					
Quarterly Reporting for Capital Market Intermediaries		-	Within 22 days from the end of every quarter	-	Within 15 days from the end of every quarter
Settlement of Client Funds lying with Broker Dealers		Within 25 days from the end of every quarter	Within 20 days from the end of every quarter	-	-
HALF YEARLY					
Submission of Cyber Security Resilience Audit Report		Within 2 months from half year ending September and March	Within 2 months from half year ending September i.e. 30th November every year Within 3 months from half year ending March i.e. 30th June every year	Within 3 months from half year ending March i.e. 30th June every year	-
Submission of System Audit Report		Within 2 months from half year ending September and March	Within 2 months from half year ending September i.e. 30th November every year Within 3 months from half year ending March i.e. 30th June every year	Within 3 months from half year ending March i.e. 30th June every year	-
Submission of Internal Audit Report	Within 2 months from half year ending March and September i.e, 31st May every year and 30th November every year	✓	✓	✓	-
Submission of half yearly Net worth certificate	Within 2 months from half year ending March and September i.e, 31st May every year and 30th November every year	✓	✓	-	-
Periodic submission of System Audit Report for Vendors providing Co-Location as a Service (CaaS) facility	Within 2 months from half year ending March and September i.e, 31st May every year and 30th November every year	-	✓	-	-

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Revision in Terms of Reference (TOR) for submission of system audit report & additional submission of Vulnerability Assessment and Penetration Testing (VAPT) report for Vendors	Within 3 months from half year ending March and September i.e, 30th June every year and 31st December every year	-	✓	-	-
Periodic submission of System Audit Report for Vendors providing Co-Location as a Service (CaaS) facility	Before onboarding of first member	-	✓	-	-
<b>ANNUALLY</b>					
System Audit Report		-	By 30th June	By 30th June	-
Cyber Security Audit Report		-	By 30th June	By 30th June	-
Networth Certificate Submission of Yearly Net Worth Certificate (Audited)		-	-	Within 180 days from the end of Financial Year	-
Annual Returns (Audited Annual Accounts, Auditor's Report and networth)		On or before October 31st	On or before October 31st	Within 3 months from the end of financial year	-
Annual Report of Global Access		-	Within 30 days from the end of financial year	-	-
Reporting for Artificial Intelligence (AI) and Machine Learning (ML) applications and systems	Within 15 calendar days after 31 March of every financial year	✓	✓	-	-
Annual Compliance Audit Report	By 30th September of such year	✓	✓	✓	✓
Annual confirmation by ISV	Within one month of the start of the financial year	-	✓	-	-
Periodic submission of System Audit of Application Service Provider (ASP)	On or before 30th June	-	✓	-	-
<b>EVENT BASED COMPLIANCES</b>					
Change in Name of the Member		Prior Approval	Prior Approval	-	Intimation to be made
Change in Capital Structure and Shareholding		Prior Approval	Prior Approval	-	Intimation to be made

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Change in Registered Address		Prior Approval	Intimation to be made	-	Intimation to be made
Change in Designated Director and Ordinary Director		Prior Approval	Prior Approval	-	Intimation to be made
NOC for Global Access		-	Prior Approval	-	-
Activation/Deactivation of Proprietary trading facility		-	Prior Approval	-	-
Application for Algo Trading		-	Prior Approval	-	-
Algo ID for all algo orders		-	Prior Approval	-	-
Activation of NEAT User ID		-	Prior Approval	-	-
Advertisements (Rule (5) (h) of Chapter IV of the Rules of the Exchange)		-	Prior Approval	-	-
Application to register as Independent Software Vendors (ISVs)		-	Prior Approval	-	-
Registered ISV's have to apply to become CaaS vendor		-	Prior Approval	-	-
Application of colocation facility at NSEIFSC		-	Prior Approval	-	-
Application to Register as Application Service Provider (ASPs)		-	Prior Approval	-	-
Trading through Internet Based Trading (IBT) at NSE IFSC Limited		-	Prior Approval	-	-
Trading through Security Trading Through Wireless Technology (STWT) at NSE IFSC Limited		-	Prior Approval	-	-
Trading through Direct Market Access (DMA) at NSE IFSC Limited		-	Prior Approval	-	-
Appointment and Change of Principal Officer and Compliance Officer		Intimation to be made	Intimation to be made	-	Intimation to be made
Upload of Unique Client Information (UCI)		-	Intimation to be made	-	-
Change in MOA/AOA		Intimation to be made	-	-	Intimation to be made
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## Disclaimer:

While we have endeavoured to compile the above information from exchange websites, circulars, and applicable regulations, the Gift Brokers Association (GBA) does not assume responsibility for its accuracy or completeness. Members are advised to independently verify the information with the respective exchanges and should not rely solely on this data for decision-making.