

# ARCL Compliance Calendar



Sr. No	Compliance	Frequency	Member category	Due
1	Pay-in of Funds	Daily	Clearing Member and Participant	Pay-in cut off time 2:00 pm
2	MTM requirement	Daily	Clearing Member and Participant	Members/Participants shall pay the initial margin money/securities on the same day or by 8:30 am on next day.
3	Cyber Security & Cyber Resilience framework for Stock Brokers / Depository Participants- Incident Reporting	Intimation	Clearing Member and Participant	Incident Reporting - within 15 days from the end of quarter. Incident reporting only for incident related to system of Repo Segment of AMC Repo Clearing Ltd.
4	Half-Yearly Networth certificate Submission	Half yearly	Clearing Member and Participant	Half yearly basis Within 2 months from half year ended March and September 30 <sup>th</sup> November every year and 31 <sup>st</sup> May every year. Asset Under Management in case of Mutual Funds.
5	Internal Audit Report	Half yearly	Clearing Member	Half yearly basis Within 2 months from half year ended March and September 30 <sup>th</sup> November every year and 31 <sup>st</sup> May every year.
6	Risk Based Supervision	Intimation	Clearing Member	Half yearly basis Within 2 months from half year ended March and September 30 <sup>th</sup> November every year and 31 <sup>st</sup> May every year.

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				Applicable for clearing member who settled trades on behalf of client.
7	Annual Returns	Annual	Clearing Member	By October 31st of every year
8	Proof of Insurance cover	Intimation	Clearing Member	Members with validity ending on May 31 <sup>st</sup> : By July 31 <sup>st</sup> . Clearing Members with any other due date - Within one month from the expiry of validity period
9	System Audit Report	Intimation	Clearing Member	Annually / Once in 2 Years Based on the certain criteria given by SEBI in circular CIR/MRD/DMS/34/2013 dated November 06, 2013.
10	Vulnerability Assessment and Penetration Testing (VAPT)	Intimation	Clearing Member	Compliance Report Submission - Within 3 months post the submission of final VAPT report.  Initial VAPT Report submission - VAPT report submission shall be carried out from September to November of every FY and the final VAPT report shall be submitted within one month from the date of completion of VAPT after approval from Technology Committee.  Applicable only if the Clearing Member own system is connected for Tri party Repo platform.
11	Updation of PAN details of Designated Directors and Authorised Signatories	Intimation	Clearing Member and Participant	Within 30 days of such change
12	SEBI Annual Clearing Membership fees	Annual	Clearing Member	In the month of May every year
13	Publishing of Investor Charter on their websites and should be maintained on a continuous basis	One time	Clearing Member	To be maintained continuously

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Sr. No	Compliance	Frequency	Member category	Due
14	Change in non-designated directors	Intimation	Clearing Member	Within 30 days of such change
15	Change in shareholding / Increase in Share Capital	Intimation	Clearing Member	Within 7 days of such change
16	Advertisements (Rule (5) (h) of Chapter IV of the Rules of the Exchange) ONLY for advertisements related to Repo / ARCL.	Prior approval required	Clearing Member	Advertisement to be submitted seven (7) days in advance before its publication. Written permission to be obtained before publication
17	Change in Control	Intimation	Clearing Member and Participant	Within 7 days of such change
18	Change in status, change in constitution, merger, demerger or business transfer not amounting to change in control	Intimation	Clearing Member and Participant	Within 7 days of such change
19	Change in name of member/Participant	Intimation	Clearing Member and Participant	Within 7 days of such change
20	Setting up Wholly Owned Subsidiaries, Step Down Subsidiaries, Joint Ventures	Intimation	Clearing Member and Participant	Within 30 days of such change
21	Surrender of Membership	Prior approval required	Clearing Member and Participant	As and when required
22	Voluntary Disablement	Prior approval required	Clearing Member and Participant	As and when required
23	Appointment and change of Compliance Officer	Intimation	Clearing Member and Participant	Within 30 days of such change
24	Change in Correspondence address of member	Intimation	Clearing Member and Participant	Within 7 days of such change
25	Change in Registered Office Address	Intimation	Clearing Member and Participant	Within 7 days of such change
26	Technical Glitch Incident Reporting in case the system is connected to the Tri-party repo	Intimation	Clearing Member and Participant	Within 7 days of such incident

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Sr. No	Compliance	Frequency	Member category	Due
27	Risk Management Policy	Annual	Clearing Member	Update the Risk Management Policy for ARCL related activities
28	Standard Operating Procedure (SOP) for ARCL Related activity	Annual	Clearing Member	Update the SOP for ARCL related activities