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## **Compliance Calendar - SME**

Quarterly Compliance	
Regulation 13 (3) - Statement of Grievance Redressal Mechanism	Within 21 days from the end of the quarter.
Reconciliation of share capital audit report	Within 30 days from the end of the quarter.

Half-Yearly Compliance	
Regulation 31 (1) (b)- Shareholding Pattern	Within 21 days from the end of half-year
Regulation 32(8) – Statement of deviation or variation	Within 45 days from the end of half-year
Regulation 33(5) – Financial Results	Within 45 days from the end of half-year

Annual Compliance	
Regulation 7 (3) - Share Transfer Agent	Within 30 days from the end of the financial year
Regulation 33 (5) - Financial Results	Within 60 days from the end of the financial year
Regulation 34(1) – Annual Report	Not later than the day of commencement of dispatch to its shareholders.
Regulation 40 (10) - Transfer or transmission or transposition of securities	Within 30 days from the end of the financial year
Initial Disclosure requirements for large entities	Within 30 days from the beginning of the financial year
Annual Disclosure requirements for large entities	Within 45 days of the end of the financial year

Event Based Compliance	
Regulation 7(5) – Intimation of appointment of Share Transfer Agent.	Within 7 days of Agreement with RTA.
Regulation 28(1) – In- Principle approval.	Prior to Issuance of Security.
Regulation 29(1) (a) –Prior Intimations of Board Meeting for financial Result.	At least 5 clear days in advance (excluding the date of the intimation and date of the meeting).
Regulation 29(1)(b), 29(1) (c), 29(1)(d), 29(1) (e) and 29(1) (f) – Prior Intimations of Board Meeting for Buyback, Dividend, Raising of Funds, Voluntary Delisting, Bonus, etc	At least 2 clear working days in advance (excluding the date of the intimation and date of the meeting).
Regulation 29(3) –Prior Intimations of Board Meeting for alteration in nature of securities.	At least 11 clear working days in Advance.
Regulation 30(6) – Disclosure of events specified in Part A of Schedule III (Material events)	Not later than twenty-four hours from occurrence of event.
Regulation 30(6) – Disclosure of events specified in sub-para 4 of Para A of Part A of Schedule III.	Within 30 minutes of conclusion of board meeting.
Regulation 31(1)(a) – Shareholding Pattern prior to listing of securities.	One day prior to listing of securities.

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Regulation 31(1)(c) – Shareholding Pattern in case of capital restructuring.	Within 10 days of any change in capital structure exceeding 2%.
Regulation 31(A)(2) – Disclosure of class of shareholders and conditions for reclassification.	Prior approval.
Regulation 37(2) – Draft Scheme of arrangement & Scheme of arrangement.	Prior approval before filing with Court.
Regulation 39(3) - Loss of share certificates and issue of the duplicate certificate	within two days of getting information
Regulation 42(2) – Record date or Date of closure of transfer books.	At least 7 clear working days in advance (excluding the date of intimation and the record date).
Regulation 42(3) – Record date for declaring dividend and / or cash bonus.	At least 5 clear working days in advance (excluding the date of intimation and the record date).
Regulation 44(3)-Voting results by shareholders.	Within two working days of conclusion of Meeting
Regulation 45(3) – Change in name of listed entity.	Prior approval (before filing request for name change with ROC)

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Compliance Calendar is applicable to companies whose equity shares are listed on the Exchange. The compliance requirements shown above are indicative only. Companies are requested to refer to the latest SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for detailed compliances.

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