

CHECK LIST – COMPLIANCES OF LISTED COMPANIES

Quarter I : April to June

April

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Notice of Board Meeting to the Stock Exchange to consider the Annual Results	At least 7 clear days before the Meeting excluding the date of meeting and notice
2.	Press release for Board Meeting (Eng.+Hindi)	At least 7 days before the Meeting
3.	Board Meeting to consider the Qtr. Results	Within 30 days of end of Quarter (i.e. upto 29 th)
4.	Fax of Qtr. Result to SE	Within 15 minutes of Board Meeting
5.	Submission of Qtr. Result with photocopies of news paper cutting	With 2-3 days of Board Meeting
6.	Publication of Qtr. Result (Eng.+Hindi)	Within 48 hours of Board Meeting
7.	Shareholding Pattern to the Stock Exchange along with Free Float Indices under clause 35	Within 21 days of end of Quarter
8.	Secretarial Audit Certificate from CA/PCS for reconciliation of physical share and demat shares	Within 30 days of end of Quarter
9.	Clause 47C Certificate from a PCS – Half yearly Compliance Certificate	Within 1 month of end of half year and within 24 hours after signing of PCS
10.	Quarterly Compliance Report on Corporate Governance under Clause 49	Within 15 days of end of Quarter
11.	Annual Listing Fees	Within 30 days
12.	Annual Custodial fees to NSDL/CDSL	Within 30 days
13.	Uploading of Shareholding Pattern and Quarterly Results to SEBI EDIFAR website	Immediately whenever ready for submission to Stock Exchange

Takeover Compliance

Sr. No.	Compliances	Time Period
1.	Information as per Reg. 8(3)	30 th April

Insider Trading Compliances

Sr. No.	Compliances	Time Period
1.	Disclosure of Shareholding by Directors/ designated employee/ dependents under regulation 13(3) and 13(6)	30 th April

May

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Limited Review Report from the Statutory Auditors (in case the results are Unaudited)	Within 2 months of end of Quarter

June

ROC Compliances

Sr. No.	Compliance	Time Period
1.	Return of Deposit	Upto 30 June

Quarter II : July to September

July

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Notice of Board Meeting to the stock exchange to consider the Qtr. Results	At least 7 clear days before the Meeting excluding the date of meeting and notice
2.	Press release for Board Meeting (Eng.+Hindi)	At least 7 days before the Meeting
3.	Board Meeting to consider the Qtr. Results	Within 30 days of end of Quarter (i.e. upto 29 th)
4.	Fax of Qtr. Result to SE	Within 15 minutes of Board Meeting
5.	Submission of Qtr. Result with photocopies of news paper cutting	With 2-3 days of Board Meeting
6.	Publication of Qtr. Result (Eng.+Hindi)	Within 48 hours of Board Meeting
7.	Shareholding Pattern to the Stock Exchange under Clause 35	Within 21 days of end of Quarter
8.	Secretarial Audit Certificate from CA/PCS for reconciliation of physical share and demat shares	Within 30 days of end of Quarter
9.	Quarterly Compliance Report on Corporate Governance under Clause 49	Within 15 days of end of Quarter
10.	Uploading of Shareholding Pattern and Quarterly Results to SEBI EDIFAR website	Immediately whenever ready for submission to Stock Exchange

ROC Compliances

Sr. No.	Compliances	Time Period
1.	Filing of B/s & P&L A/c	Within 30 days AGM
2.	Filing of Annual Return	Within 60 days AGM

August

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Limited Review Report from the Statutory Auditors (in case the results are Unaudited)	Within 2 months of end of Quarter
2.	Book Closure Notice to SE, RTA, NSDL and CDSL	Before atleast 15 days of Book Closure
3.	Book Closure Publication (Hindi +English Newspaper)	Before atleast 7 days of Book Closure

Quarter III: October to December

October

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Notice of Board Meeting to the Stock Exchange to consider the Annual Results	At least 7 clear days before the Meeting excluding the date of meeting and notice
2.	Press release for Board Meeting (Eng.+Hindi)	At least 7 days before the date of meeting
3.	Board Meeting to consider the Qtr. Results	Within 30 days of end of Quarter(i.e. upto 29 th)
4.	Fax of Qtr. Result to SE	Within 15 minutes of Board Meeting
5.	Submission of Qtr. Result with photocopies of news paper cutting	With 2-3 days of Board Meeting
6.	Publication of Qtr. Result (Eng.+Hindi)	Within 48 hours of Board Meeting
7.	Shareholding Pattern to the Stock Exchange under Clause 35	Within 21 days of end of Quarter
8.	Secretarial Audit Certificate from CA/PCS for reconciliation of physical share and demat shares	Within 30 days of end of Quarter
9.	Clause 47 Certificate from a PCS – Half yearly Compliance Certificate	Within 1 month of end of half year and within 24 hours after signing of PCS
10.	Minutes of AGM	Within 15 days of AGM
11.	Quarterly Compliance Report on Corporate Governance under Clause 49	Within 15 days of end of Quarter
12.	Uploading of Shareholding Pattern and Quarterly Results to SEBI EDIFAR website	Immediately whenever ready for submission to

		Stock Exchange
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November

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Limited Review Report from the Statutory Auditors (in case the results are Unaudited)	Within 2 months of end of Quarter

Quarter IV : January to March

January

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Notice of Board Meeting to the Stock Exchange to consider the Annual Results	At least 7 clear days before the Meeting excluding the date of meeting and notice
2.	Press release for Board Meeting (Eng.+Hindi)	At least 7 days before the Meeting
3.	Board Meeting to consider the Qtr. Results	Within 30 days of end of Quarter (i.e. upto 29 th)
4.	Fax of Qtr. Result to SE	Within 15 minutes of Board Meeting
5.	Publication of Qtr. Result (Eng.+Hindi)	Within 48 hours of Board Meeting
6.	Submission of Qtr. Result with photocopies of news paper cutting	With 2-3 days of Board Meeting
7.	Shareholding Pattern Under Clause 35	Within 21 days of end of Quarter
8.	Secretarial Audit Certificate from PCS for reconciliation of physical share and demat shares	Within 30 days of end of Quarter
9.	Quarterly Compliance Report on Corporate Governance Under Clause 49	Within 15 days of end of Quarter

February

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
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1.	Limited Review Report from the Statutory Auditors (in case the results are Unaudited)	Within 2 months of end of Quarter
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General Compliances

Sr. No.	Compliances	Time Period
2.	Corporate Governance Compliance Certificate from Statutory Auditors/ PCS	Before the date of Director's Report
3.	Submission of Annual Results	Immediately
4.	Six Copies of Annual Report along with Corp. Gov. Comp. Cert. By Statutory Auditors/PCS	As soon as it is issued
6.	Disclosure of Shareholding under Reg. 8(3) at every record date fix for declaration of dividend	Within 30 days of record date
7.	Minutes of every General Meeting	Within 30 days of General Meeting
8.	Filing of Audited Balance Sheet & Profit and Loss A/c with ROC	Within 30 days of AGM
9.	Filing of Annual Return with ROC	Within 60 days of AGM

Transitional Provisions

Stock Exchange Compliances

Sr. No.	Compliances	Time Period
1.	Intimation regarding change in company's directors	Within 30 days in form 32
2.	Intimation regarding change in Statutory Auditor	Within 30 days
3.	Intimation regarding change in Regd. office	Within 30 days in form 18
4.	Intimation regarding alteration in capital	Within 30 days in form no. 5