



## Action Plan under SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

# PLAN YOUR ACTIONS TO BE TAKEN FROM DECEMBER 1, 2015

Sr. No	Reference	Criteria / Applicability	Action to be taken
1	Regulation 6	All Listed Entities (except Mutual Funds)	Designate a Qualified Company Secretary as a Compliance Officer, if not already done
2	Regulation 7	All Listed Entities	Companies with more than 1 lakh shareholders to appoint a RTA or register as Category II Share Transfer Agent
3	Regulation 9	All Listed Entities	Frame and adopt a policy for preservation of documents, classifying them in at least 2 categories:- <ul style="list-style-type: none"> <li>• Documents to be preserved permanently</li> <li>• Documents to be preserved for at least 8 years.</li> </ul>
4	Regulation 23(8)	All Listed Companies (except Small Companies)	Obtain shareholder approval for continuing material related party transactions. Related parties shall abstain from voting on such resolution.
5	Regulation 30(4)	All Listed Companies	Frame and adopt a policy for determining materiality of information /events for which public disclosure is required
6	Regulation 30(5)	All Listed Companies	<ul style="list-style-type: none"> <li>• Board to authorize one or more KMPs for the purpose of determining materiality of event/information and making public disclosure.</li> <li>• Details of such KMPs to be disclosed to the Stock Exchanges and on Company Website.</li> </ul>
7	Regulation 30(8)	All Listed Companies	<ul style="list-style-type: none"> <li>• Disclose all the information submitted to Stock Exchange on website for a minimum period of 5 years</li> <li>• Frame and adopt a policy for archival of information disclosed on website</li> </ul>
8	Regulation 46	All Listed Companies	<ul style="list-style-type: none"> <li>• Update website to disclose prescribed information.</li> <li>• Any change in content to be updated on website within 2 working days.</li> </ul>
9	Regulation 109	All Listed Entities	Sign a shortened version of Listing Agreement by March 1, 2016



# IMPORTANT DATES



## Compliance Calendar of The Year (All Due dates)

Compliances	Regulation	Event Based	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Compliance Certificate for compliance with Reg 7(2)	7(3)					30th						31st		
Status of investor Complaints	13(3)		21st			21st			21st			21st		
Corporate Governance Report – Annexure I	27 (2)		15 <sup>th</sup>			15th			15th			15th		
Corporate Governance Report – Annexure II*	27 (2)					15th								
Corporate Governance Report – Annexure III*	27 (2)											15th		
Intimation of BM for Approving Financial Results	29(2)	5 clear days prior to BM												
Intimation of BM for considering buyback, voluntary delisting or fund raising	29(2)	2 working days prior to BM												
Prior Intimation of BM for altering nature of securities or date of coupon payment or redemption	29(3)	11 working days prior to BM												

(\*) To be submitted for Previous F.Y

# IMPORTANT DATES



Compliances	Regulation	Event Based	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Shareholding Pattern	Regulation 31	Within 10 days of capital restructuring resulting 2% change.	21st			21st			21st			21st		
Submit Financial Results	Regulation 33(3)			15th			30th			14th			15th	
Send Annual Report to Stock Exchange	Regulation 34	Within 21 <b>working</b> days of its AGM												
Annual Information Memorandum	Regulation 35	Annually (But not yet specified by SEBI)												
Send Annual Report to Shareholders	Regulation 36	Atleast 21 days before the AGM												
Certificate from PCS	Regulation 40(9)					30th						30th		
Notice for Record Date or Closure Date for Transfer Books	Regulation 42	Atleast 7 working Days in advance												
Submission of Voting Results	Regulation 44	Within 48 hours of Conclusion of its AGM												
Publication of Financial results in Newspaper	Regulation 47	Within 48 hours of Conclusion of BM												

Term	Meaning
AGM	Annual General Meeting
BM	Board Meeting
Clear Days	Days excluding the date of intimation and the date of meeting
Listed Entity	Any entity whether company or not who has any of its securities listed on Stock Exchange
Listed Company	A company whose equity shares are listed on Stock Exchange
Small Companies	<ul style="list-style-type: none"><li>• Companies listed on Main Board and having Paid Up Capital <math>\leq</math> Rs. 10 Crs and Networth <math>\leq</math> Rs. 25 Crs.</li><li>• Companies which are listed on SME Exchanges</li></ul>

# Let's Take It Forward....



## *Progress with Values*

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