

### Compliance Calendar for Bullion Members

ANNUAL COMPLIANCES			
Sr. No.	Compliance Description	Due Date	Exchange Circular Reference
1.	Submission of Annual Audited Net worth Certificate along with supporting financials	Within 7 months from the date of closing of accounts of said Financial Year	IIBX-MEM-2025-075 dated 09/12/2025
2.	System Audit Report	Within 3 Months from the date of closing of respective audit period.	20240718-3 dated 18/07/2024
3.	Cyber Security Audit Report	Within 7 months from the date of closing of accounts of said Financial Year	20250311-1 dated 11/03/2025

HALF YEARLY COMPLIANCES			
Sr. No.	Compliance Description	Due Date	Exchange Circular Reference
1.	Half Yearly Net worth Certificate – Audited / Provisional/ Limited Purpose Review along with supporting financials	Within 3 months from the date of closing of accounts of half year of the said Financial Year	IIBX-MEM-2025-075 dated 09/12/2025
2.	System Audit Report (Members using IIBX platform, CTCL and Algo)	Within 3 Months from the date of closing of respective audit period.	20240718-3 dated 18/07/2024
3.	Half Yearly - Internal Audit Report	Within 2 Months from the date of closing of respective half yearly period.	IIBX-MEM-2025-077 dated 10/12/2025

DAILY COMPLIANCES		
Sr. No.	Compliance Description	Due Date
1.	Reporting of daily client level fund balances and bank account balances by Members	As specified by the Exchange (Ref. Exchange Circular No. 20220610-1 dated 10/06/2022)
2.	Daily investor complaint handling & grievance redressal	As specified in the Exchange Circular (Ref. Exchange Circular No. 20250326-1 dated 26/03/2025)
3.	Payment of Exchange Dues	Within three days from the date of receipt of Invoice from the Exchange

INSTANCE BASED APPROVAL		
Sr. No.	Compliance Description	Due Date
1.	Change in Director	Prior Approval
2.	Change in Shareholding without change in control	Prior Approval
3.	Change in Shareholding with change in control	Prior Approval
4.	Change in Name	Intimation to the Exchange with process for approval of the IFSCA
5.	Change in Registered Address	Intimation to the Exchange
6.	Change in Compliance Officer	Intimation to the Exchange
7.	Change in Principal Officer	Intimation to the Exchange