

Facility to upload periodic regulatory reports/certificates submitted by Portfolio Managers (PMS)

1. Facility for uploading of following 4 reports/certificates were enabled in the SI Portal viz.
 - 1.1. PMS Improvement in Corporate Governance Report,
 - 1.2. PMS Certificate of Net Worth,
 - 1.3. PMS Certificate of compliance with Regulations,
 - 1.4. PMS Certificate of Compliance with Performance Reporting Guidelines
2. Brief description of the Reports / Certificates is as follows:

Sr. No.	Reports / Certificates	Description (Regulatory requirements to be verified with latest relevant SEBI Regulations, Circulars, etc.)
2.1.	Improvement in Corporate Governance Report	2.1.1. In terms of clause 5.2.2. of the Master Circular for Portfolio Managers issued on March 20, 2023, Portfolio Managers shall report to SEBI on compliance with the provisions of the above guidelines while submitting the annual reports. 2.1.2. The report should reach SEBI within thirty days from the end of the financial year.
2.2.	Certificate of Net Worth	2.2.1. In terms of Regulation 9 of the SEBI (Portfolio Managers) Regulations, 2020 ("PMS Regulations"), all Portfolio Managers are required to maintain a net worth of not less than five crore rupees, provided that a Portfolio Manager who was granted certificate of registration prior to the commencement of the PMS Regulations (notified on January 16, 2020), shall raise its net worth to not less than five crore rupees within thirty-six months from such commencement. 2.2.2. The Portfolio Manager is required to fulfil the net worth requirements under the PMS Regulations, separately and independently, of the capital adequacy requirements, if any, for each activity undertaken by it under the relevant Regulations. 2.2.3. "Net worth" means the aggregate value of paid up equity capital plus free reserves (excluding reserves created out of revaluation) reduced by the aggregate value of accumulated losses and

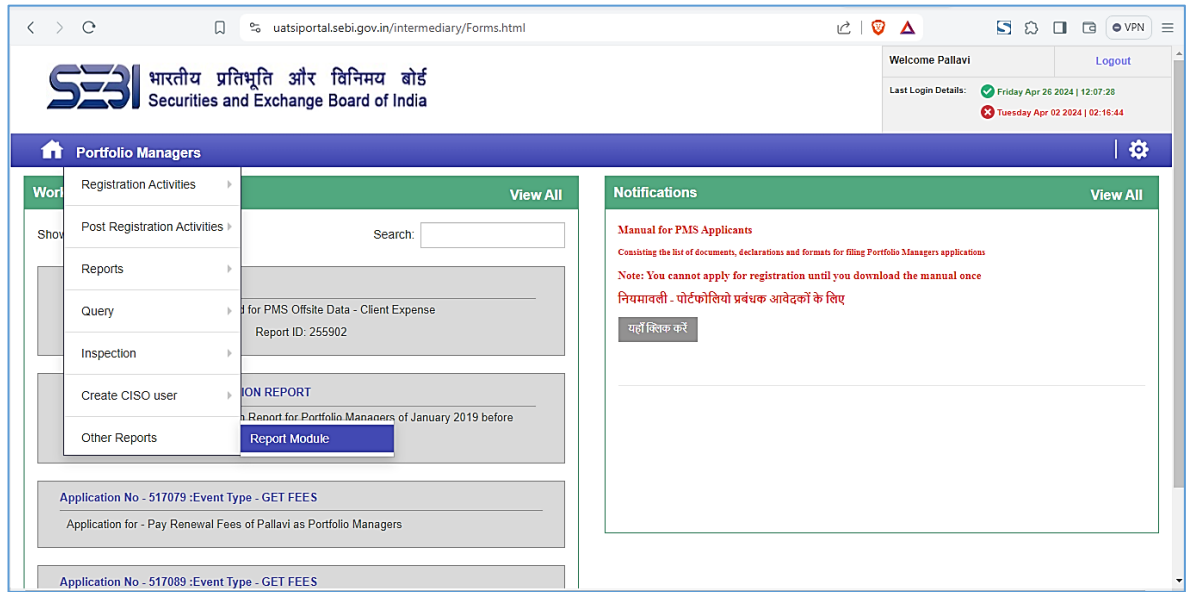
Sr. No.	Reports / Certificates	Description (Regulatory requirements to be verified with latest relevant SEBI Regulations, Circulars, etc.)
		<p>deferred expenditure not written off, including miscellaneous expenses not written off.</p> <p>2.2.4. In terms of clause 5.2.1.1 of the Master Circular for Portfolio Managers issued on March 20, 2023, Portfolio Managers are required to submit to SEBI, a certificate from the qualified Chartered Accountant certifying the net-worth as on March 31, every year based on audited account within 6 months from the end of Financial Year.</p>
2.3.	Certificate of compliance with Regulations	<p>2.3.1. In terms of clause 5.2.1.2 of the Master Circular for Portfolio Managers issued on March 20, 2023, Portfolio Managers are required to submit to SEBI, a certificate of compliance with PM Regulations and circulars issued thereunder, duly signed by the Principal Officer, within 60 days of end of each financial year.</p> <p>2.3.2. Further, details of non-compliance along with the corrective actions, if any, duly approved by Board of the Portfolio Manager, shall also be provided.</p>
2.4.	Certificate of Compliance with Performance Reporting Guidelines	<p>2.4.1. Clause 4.5.3. of the Master Circular for Portfolio Managers issued on March 20, 2023 may be referred which specifies the manner in which performance benchmark reporting to clients is required to be done.</p> <p>2.4.2. The firm-level performance data of Portfolio Managers shall be audited annually. Confirmation with compliance with paragraph 4.5.3. of the Master Circular for Portfolio Managers issued on March 20, 2023, shall be reported to SEBI within sixty days of end of each financial year.</p> <p>2.4.3. The said report to SEBI shall be certified by the Directors/Partners of the Portfolio Manager or by person(s) authorized by the Board of Directors/Partners of the Portfolio Manager.</p>

3. PMS can upload the aforementioned reports @ the following path:

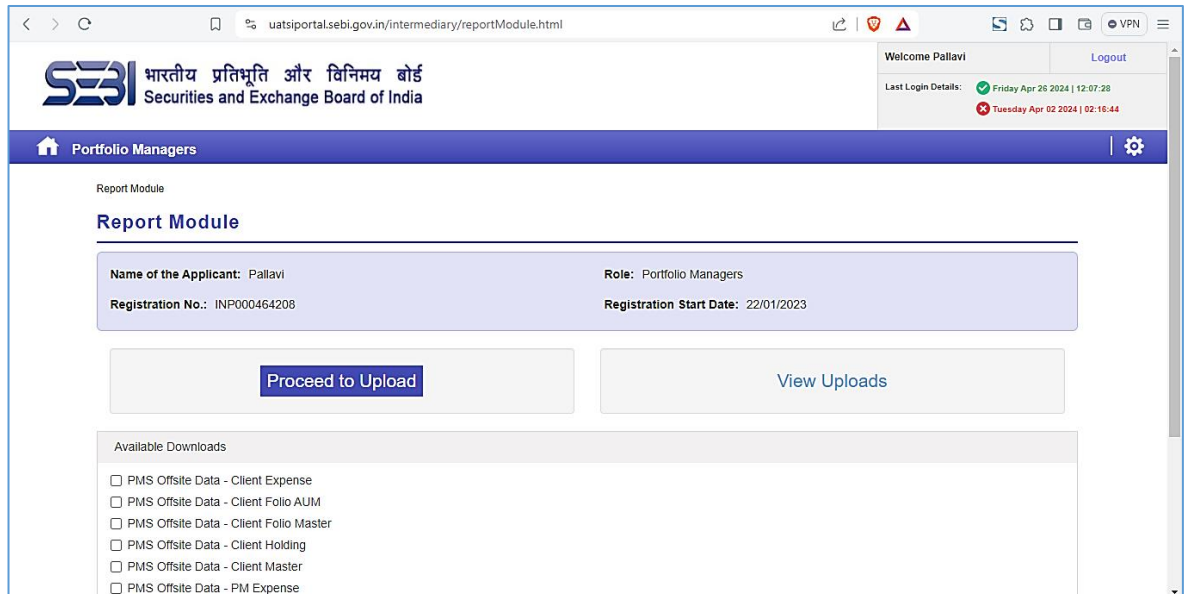
Portfolio Managers → Other Reports → Report Module → Proceed to Upload → Select Report Type → Proceed

4. Details steps to upload the reports are mentioned hereunder:

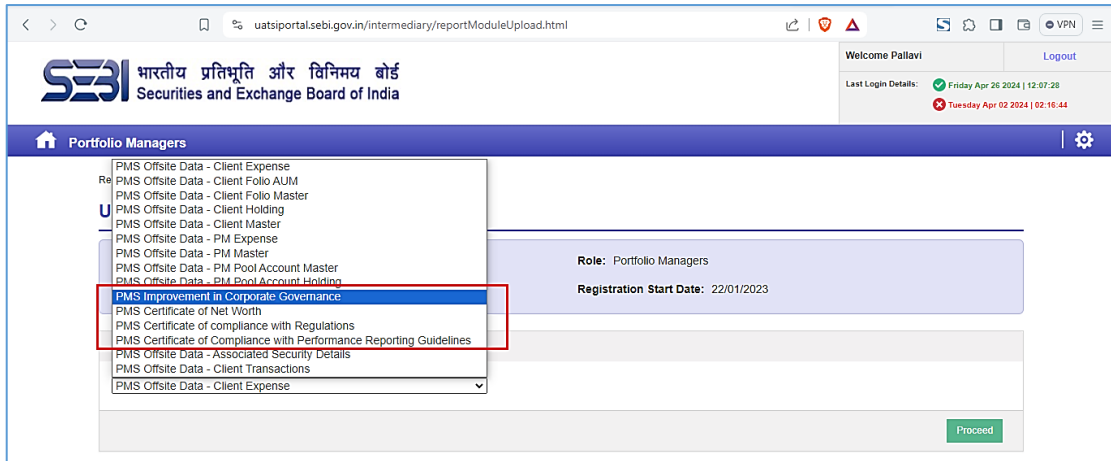
4.1. Click on Portfolio Managers → Other Reports → Report Module



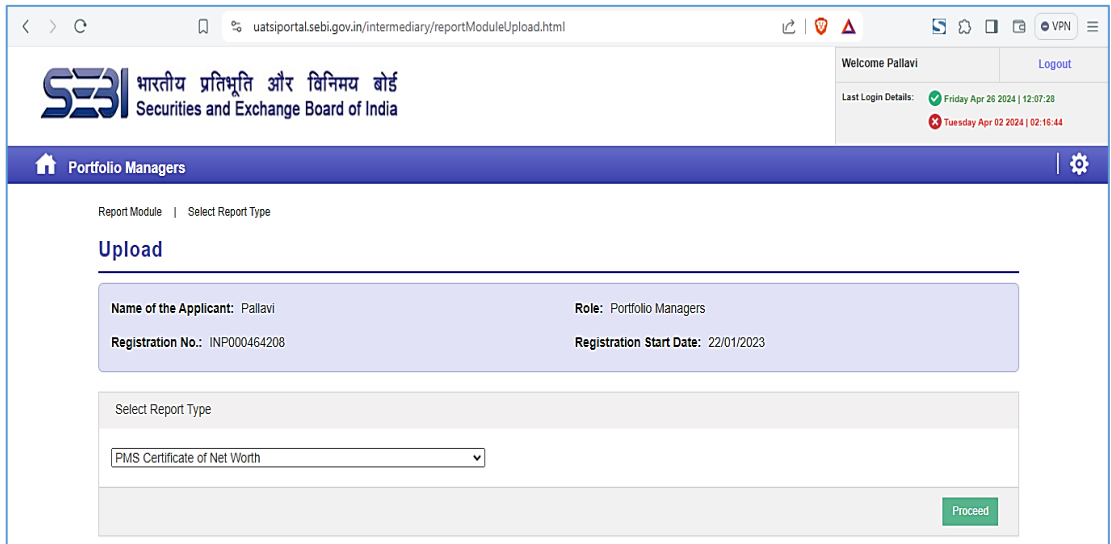
4.2. Click on Proceed to Upload



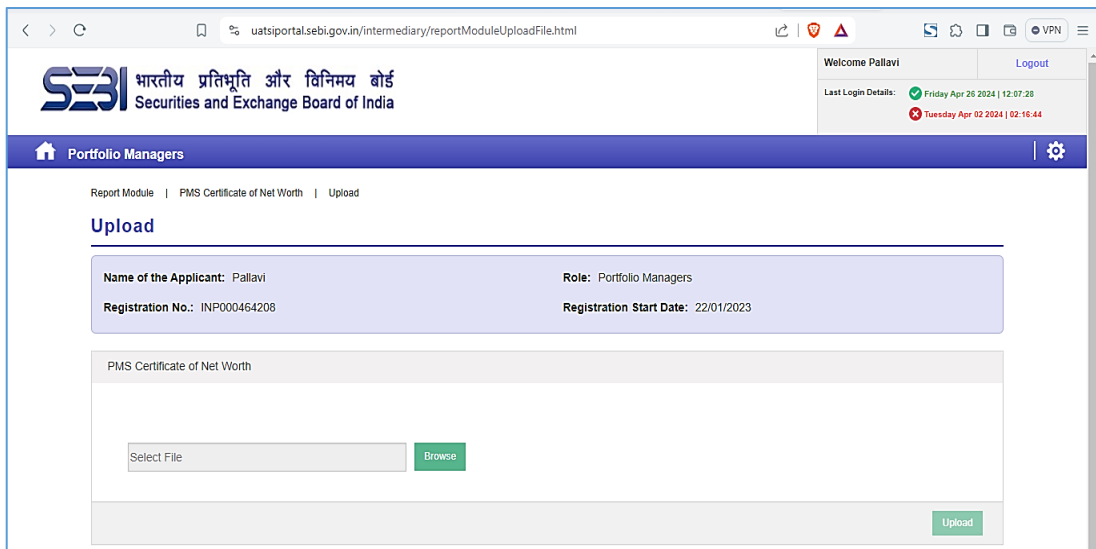
4.3. The reports will appear as under.



4.4. Say, Report – **PMS Certificate of Net Worth** is to be uploaded. Select the report and click on **Proceed**:

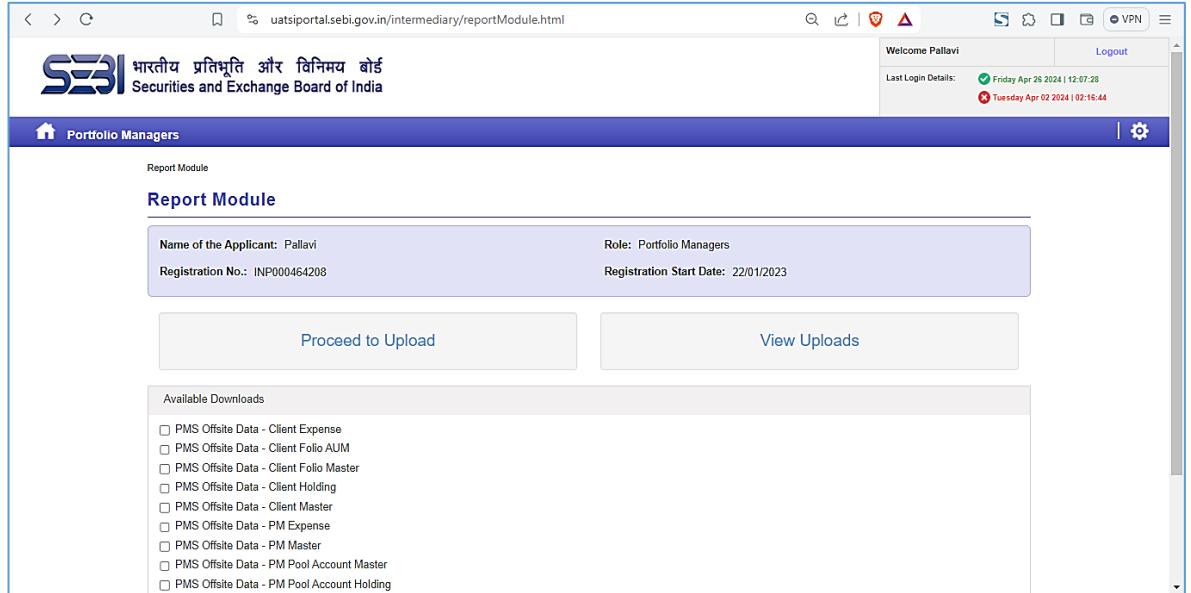


4.5. Click on **Browse** file to select the relevant file and then click on **Upload**

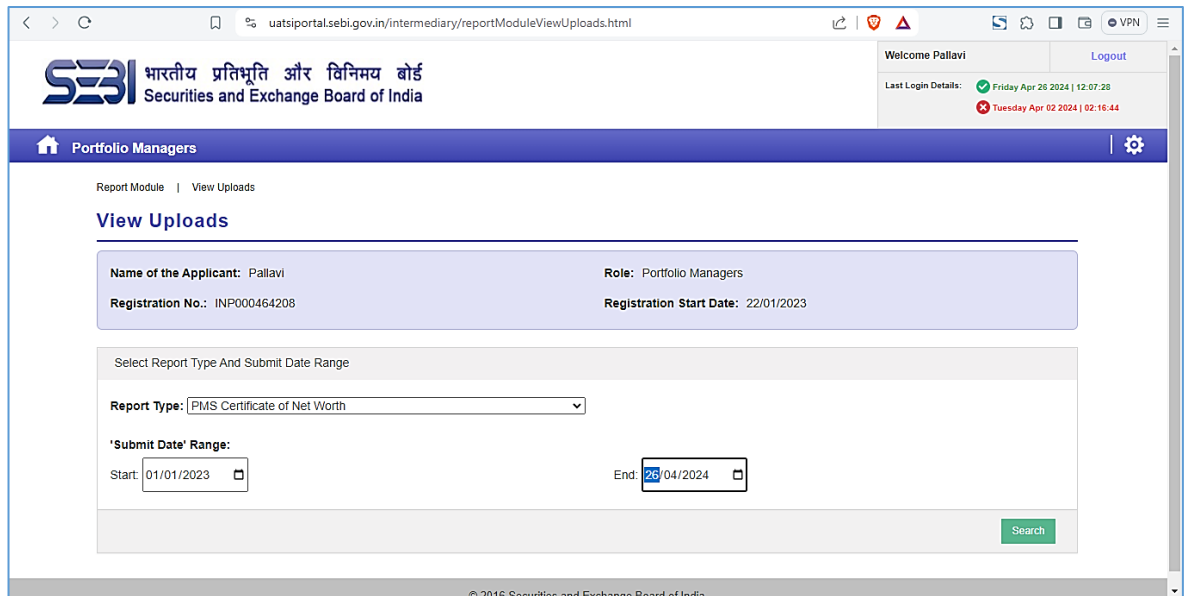


5. Status of the uploaded reports can be viewed at the following path:- **Portfolio Managers** → **Other Reports** → **Report Module** → **Proceed to Upload**

5.1. Click on **View Uploads** button



5.2. Select the **Report Type**, and enter '**Submit Date**' Range and click on **Search**.



5.3. Status of the uploaded file may be viewed under **Search Results**. In case file has been processed as **Error**, click on the **View Error** button.

Portfolio Managers

Report Module | View Uploads

View Uploads

Name of the Applicant: Pallavi **Role:** Portfolio Managers
Registration No.: INP000464208 **Registration Start Date:** 22/01/2023

Select Report Type And Submit Date Range

Report Type:

'Submit Date' Range:
 Start: End:

[Search](#)

Search Results

File Id	Report Type	Period Start Date	Submit Date	Status	Actions
15086	PMS Certificate of Net Worth	01/04/2023	22/04/2024	Clarification Required	Download
3504	PMS Certificate of Net Worth	01/04/2022	14/09/2023	In Progress	Download
3503	PMS Certificate of Net Worth		14/09/2023	REVOKED	Download

Portfolio Managers

Report Module | View Uploads

View Uploads

Name of the Applicant: Pallavi **Role:** Portfolio Managers
Registration No.: INP000464208 **Registration Start Date:** 22/01/2023

Select Report Type And Submit Date Range

Report Type:

'Submit Date' Range:
 Start: End:

[Search](#)

Search Results

File Id	Report Type	Period Start Date	Submit Date	Status	Actions
15046	PMS Offsite Data - Client Folio Master	01/10/2023	02/04/2024	Error	Download View Error
15028	PMS Offsite Data - Client Folio Master		27/03/2024	REVOKED	Download
3629	PMS Offsite Data - Client Folio Master	01/05/2023	01/02/2024	Error	Download
3520	PMS Offsite Data - Client Folio Master	01/09/2023	25/09/2023	Submitted	Download View Error
3426	PMS Offsite Data - Client Folio Master	01/03/2023	03/09/2023	Error	Download View Error