



To: Compliance Officers and Principal of all APMI Members

Subject: APMI Compliance Sutra Calendar for November 2024

Date: 6th November 2024

Greetings from APMI!

We would like to express our heartfelt gratitude for your support and involvement in our Compliance Sutra initiative, which has been successfully running for over 14 months. To ensure we keep providing value, please find the **Compliance Sutra Call schedule for November 2024 below:**

Session 1: Overview of PMS Regulations 2020.

- **Date: 12th November'2024**
- Time: 3:30 pm to 4:30 pm
- Link to join the meeting: <https://meet.google.com/oim-ryfi-nmr>
- **Covering the below topics:**
 - Registration Requirements of Portfolio Managers.
 - Compliance for Same Group Entities.
 - Co-investment Portfolio Management Services.
 - Minimum Net worth Requirement.
 - Fit and Proper Person Criteria.
 - Compliance Officer Appointment & Responsibilities.
 - Principal Officer Appointment and Responsibilities.
 - Contract with Clients - Overview.
 - Disclosure Document Requirements.
 - General Responsibilities of a Portfolio Manager.
 - Portfolio Management Guidelines.
 - Fees under SEBI PMS Regulations, 2020.
 - Code of Conduct for the Portfolio Manager.



Session 2: Overview of SEBI Master Circular & Guidelines:

- **Date: 22nd November'2024**
- Time: 3:30 pm to 4:30 pm
- Link to join the meeting: <https://meet.google.com/dxq-tuxa-rfm>
- **Covering the below topics:**
 - Registration and post-registration activity.
 - Comprehensive Operating Guidelines for Portfolio Managers.
 - Investment Guidelines for Portfolio Managers.
 - Disclosure requirements.
 - Reporting requirements.
 - Fees and Charges Overview.
 - Master Circular

Please be aware that the Compliance Sutra presentations from earlier sessions are accessible through your member desk login. We would greatly appreciate your feedback on these sessions; please share your thoughts with us at feedback@apmiindia.org.

Looking forward to your participation and hope you will find these sessions engaging and valuable.

Warm Regards

Association of Portfolio Managers in India

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