	HEADERS	DETAILS
1. Intimation of Incident **(T-day, within 1 Hour of the Incident)**	1. Letter / Report Subject -	Reporting of technical glitch
	Name of the Member --	Zerodha Broking Limited
	Member Code -	NSE: 13906; BSE: 6498, MCX: 56550
	2. Designated Officer (Reporting Officer details)	Name: Pankathi H Jain
	3. Date & Time of Incident	31-10-2023; 9:00 AM
	4. Exchanges on which Technical Glitch was encountered (NSE, BSE, MCX, NCDEX, MSEI)	NSE, BSE, MCX
	5. Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients)	Bulletin, Tweet, Push Notification, IVR message
	6. Network Connectivity Issues / Hardware Issues / Software Issues / Human Error / Other (Please Specify (if more than one, please separate with commas))	There was an issue with display of positions on our trading platform.
	7. Additional Details about the Technical Glitch, if Any.	The issue was Intermittent. The impact was on the display of positions intermittently. But ,the affected positions were displayed to clients post multiple refreshes. The order status was displayed on the orders page correctly for all users. The order placement, order modification and order cancellation were not impacted. The said issue did not affect all users, but only a set of users operating out of a particular Silo (Setup). A bulletin was put up on our website informing clients about the issue. The issue was resolved.
	1. Date & Time of Incident & Incident duration (in Minutes)	31-10-2023; 9:00 AM; 25 minutes
	2. Incident Description	There was an issue with display of positions on our trading platform. The issue was Intermittent. The impact was on the display of positions intermittently. However, the affected positions were displayed to clients post multiple refreshes. The order status was displayed on the orders page correctly for all users. The order placement, order modification and order cancellation were not impacted. The said issue did not affect all users, but only a set of users operating out of a particular Silo (Setup).

	3. Immediate action taken (provide brief details)	A bulletin was put up on our website informing clients about the issue. A IVR message was put up for incoming calls informing clients about this issue. We also informed our users on Twitter about the same. A push notification was also sent to the affected customers. Accurate updates about position held by clients was possible to be given through the call & trade desk. We manually switched the position stream from the impacted server to the backup server to resolve the issue. The position stream is configured autoswitch to the back up server in case of a process crash. But there was no process crash and hence we had to manually switch. Our team is in the process of carrying out an RCA of the issue.
	4. Business Impact i) Number of Clients Impacted ii) Any other impact	i. We are unable to quantify the number of clients impacted since the issue was only with the display of certain positions held by clients. As stated earlier, order placement, order modification and order cancelation were unaffected during the impacted period. Of the 1.7 million clients on this particular setup, we received about 2300 calls and 750 tickets across all segments ii. Further, there was no other impact.
	5. Were alternate trading channles available for clients (list all the alternate channels) i) Was there a spike in traffic on the alternate channels available to clients? If yes, provide details.	Since order placement, order modification and order cancellation were not impacted, there was no need for an alternate trading channel. Clients were able to place, modify & cancel orders from their Internet Based trading (IBT) platform without any issues whatsoever. Further, the order status was displayed on the orders page correctly for all users.
	6. Was the issue caused or encountered by a third-party vendor or service provider? i) Name of the third-party vendor or service provider and a bief description of the issue. ii) Do you have a back-up vendor for the said services	No
	7. Was the issue encountered on the Exchange-provided environment? If Yes, kindly provide details of initimation and communication sent to the Exchnage.	No
2. Preliminary Incident Report (T+1 day)	8. Did you move operations to the Disaster Recover (DR) site? If, Yes, what was the Recovery Time?	No
	1. Date & Time of Incident & Recovery & Incident duration (in Minutes)	
	2. Incident Description & chronology of events (Please provide brief details)	
	3. Business Impact: Please provide details on the points below: i) Number of clients impacted ii) Number of client orders impacted iii) Any P&L impact iv) Any other impact on Business	
	4. Details of Client Complaints Received (Please provide details of claims of impacted clients) i) Number of Complaints Received ii) Number of Complaints Settled iii) Number of pending complaints iv) Total amount claimed by complainants	
	5. Root Cause Summary (Pl attach the detailed Report separately)	

	6. If the issue was caused or encountered by a third-party vendor or service provider, Please provide the below details:
	   i) What services are being provided by the third-party vendor or service provider?
	   ii) Time taken (in Minutes) by third-party vendor or service provider to resolve the issue.	

	7. Has a similar issue been encountered prior to the submission of this RCA Report?	
3. RCA of Technical Glitch Incident (T + 14 days)	8. Details of long-term preventive action (please provide all action points for long-term preventive action with the date from which they will be implemented) (please use additional sheets if necessary)	
	9. Provide a detailed Architecture Diagram of the System.	