	HEADERS	DETAILS
	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
		Mobile: 9945944580
		Email ID: pankathi.jain@zerodha.com
	3. Date & Time of Incident	04-12-2023; 9:18 AM
	4. Exchanges on which Technical Glitch was encountered (NSE, BSE, MCX, NCDEX, MSEI)	NSE, BSE and MCX
	5. Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients)	Bulletin, Tweet, IVR message, Support Bulletin
	6. Network Connectivity Issues / Hardware Issues / Software Issues / Human Error / Other (Please Specify (if more than one, please separate with commas))	Due to an intermittent issue, some of our users are were not able to login to the kite web application. Most of our users were able to login and place orders via kite mobile application. However, there were no issues with order placement, order modification and order cancellation.
1. Intimation of Incident **(T-day, within 1 Hour of the Incident)**	7. Additional Details about the Technical Glitch, if Any.	The issue was Intermittent. The impact was on login to the kite web application intermittently. However, most of our users were able to login and place orders via kite mobile application. 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. A tweet was also put up. IVR message was played to the clients calling on our support line informing them about the issue.
	1. Date & Time of Incident & Incident duration (in Minutes)	04-12-2023; 9:18 AM; 37 minutes
	2. Incident Description	Due to an intermittent issue, some of our users are were not able to login to the kite web application due to an issue with the password reset flow. Most of our users were able to login and place orders via kite mobile application. The issue affected users on Kite web and people who hadn't logged into Kite mobile app in the past month. The order placement, order modification and order cancellation were not impacted. The said issue did not affect all users, but only a small set of users who hadn't logged into trading platform in the past month. Our team is in the process of carrying out an RCA of the issue.

	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. 9:18 AM to 09:55 AM: Our email and notification alert system, designed to notify users of logins from unfamiliar locations and IPs for safety reasons, sent alerts to numerous users about logins from new locations/IPs. This was due to a recent update to our IP database over the weekend, as a result of an increase in the geo-location accuracy of the IP/geo-location database that we use, thus triggering these alerts. We believe that this incident may have led to an influx of password reset requests, putting a strain on our password reset systems and resulting in login failures. To address this, we temporarily suspended password resets, which effectively resolved the login issues. Password reset functionality was reinstated at 1 PM with added safeguards to prevent similar issues in the future.
	4. Business Impact i) Number of Clients Impacted ii) Any other impact	i. We are in process of quantifying the number of clients impacted. As stated earlier, order placement, order modification and order cancelation were unaffected. Of the 14 million clients on our platform, we received about 4100 calls and 1500 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. Further, most of our users were able to access the trading platform on the kite mobile application and hence the order flow was unimpacted. Call and trade desk was also available for the impacted 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	NA
	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?	
	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)	
3. RCA of Technical Glitch Incident (T + 14 days)	9. Provide a detailed Architecture Diagram of the System.	