

	HEADERS	DETAILS
<p align="center">1. Intimation of Incident (T-day, within 1 Hour of the Incident)</p>	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: Venu Madhav
	3. Date & Time of Incident	27th April 2023, 9:36AM to 9:48AM
	4. Exchanges on which Technical Glitch was encountered (NSE, BSE, MCX, NCDEX, MSEI)	NSE (NFO only)
	5. Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients)	Bulletin
	6. Network Connectivity Issues / Hardware Issues / Software Issues / Human Error / Other (Please Specify (if more than one, please separate with commas))	Network Connectivity Issues at Refinitiv (an exchange empanelled RMS and OMS vendor level)
	The issue was Intermittent.	
	The impact was on the order placement, order modifications, and order cancellations between 9:36 AM to 9:48 AM intermittently.	
	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.	
	We immediately raised a ticket with Refinitiv.	
7. Additional Details about the Technical Glitch, if Any.	The issue was resolved at 9:48AM	
	1. Date & Time of Incident & Incident duration (in Minutes)	27th April 2023, 9:36AM to 9:48AM (12 minutes)
		Order placement, order modifications, and order cancellations on our trading platform were impacted intermittently on NSE(NFO) from 9:36 AM to 9:48 AM owing to what seems to be a network connectivity issue at Refinitiv's end (exchange empanelled RMS and OMS vendor).
		The impact was on the order placement, order modifications, and order cancellations between 9:36 AM to 9:48 AM intermittently.
		The said issue did not affect all users, but only a set of users operating out of a particular Silo (Setup).
		The issue was fixed by the Refinitiv team.
2. Incident Description		RCA from our OMS vendor Refinitiv is awaited.
		We immediately notified the Refinitiv team by raising a ticket.
		A bulletin was put up on our website informing clients about the issue.
3. Immediate action taken (provide brief details)		A banner was also put up on our Support portal.

2. Preliminary Incident Report (T+1 day)	4. Business Impact i) Number of Clients Impacted ii) Any other impact	i. A small section of our clients were impacted by the incident. The number of unique users impacted by this incident were 26.8k and the total orders impacted was 33.1k. There were very few complaints (527 calls and 205 tickets across all segments). ii. Further, there was no other impact.
	5. Were alternate trading channels 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.	Call and Trade facility was available for the impacted clients. The issue was Intermittent. The users were able to place orders and modify/ cancel the orders post retries even when the issue was ongoing.
	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 brief description of the issue. ii) Do you have a back-up vendor for the said services	i. Yes, the issue occurred due to network connectivity issues at Refinitiv (an exchange empanelled RMS and OMS vendor level). ii. We are in the process of building our own RMS and OMS system.
	7. Was the issue encountered on the Exchange-provided environment? If Yes, kindly provide details of intimation and communication sent to the Exchange.	No
	8. Did you move operations to the Disaster Recover (DR) site? If, Yes, what was the Recovery Time?	No
3. RCA of Technical Glitch Incident (T + 14 days)	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)	
	9. Provide a detailed Architecture Diagram of the System.	