

Incident Reporting Form - Preliminary Report

1. Letter/ Report Subject -	Reporting of technical glitch to the exchange
Name of the Member-- Member Code -	Zerodha Broking Limited NSE: 13906, BSE: 6498
2. Designated Officer (Reporting Officer details)	
Name: Venu Madhav	
3. Date & Time of Incident & Incident duration	15-12-2022, 03:47 PM, 26 minutes (order placement)
4. Incident Description & chronology of events (please use additional sheets)	Annexure 1
5. Business Impact	Annexure 2
6. Immediate action taken (please give full details)(please use additional sheets if necessary)	Annexure 3
7. Date & Time of Recovery	15-12-2022, 04:13 PM (order placement)
8. Root Cause Summary (Pl attach the detailed Report separately)	This will be filled as a part of the RCA.
9. Back up measures available	This will be filled as a part of the RCA.
10. Details of long-term action (please give full details) (please use additional sheets if necessary)	This will be filled as a part of the RCA.

Annexure 1:

1. Order placement on our trading platform was impacted for a small set of clients for NSE Equity (post-market session) and CDS (Currency Derivative Segment) segments from 03:47 PM to 04:13 PM owing to what seems to be an issue with an OMS process failing on one of the servers at Refinitiv's end (exchange empanelled RMS and OMS vendor).
2. The order placement issue was resolved by 04:13 PM. While some users faced intermittent issues with display of positions till market close, they were able to modify orders, view their order statuses including order confirmation details after 04:13 PM.
3. The said issue **did not** affect all users, but only a set of users operating out of a particular Silo (Setup). The count of affected clients is provided below in Annexure 2.
4. The placement of new orders was **not affected** from 04:13 PM till market close for the CDS segment.
5. The issue was fixed by the Refinitiv team.
6. RCA from our OMS vendor Refinitiv is awaited.

Annexure 2:

There was an issue with the Order placement and viewing positions temporarily on Kite for some of our users.

1. A small section of our clients were impacted by the incident. Order placement issue between 03:47 PM till 04:13 PM impacted 350+ clients on NSE (post-market session) and 550+ clients in the Currency Derivative Segment (CDS) whereas the intermittent issue with viewing positions from 04:13 PM till market close impacted 620+ clients in the currency derivative segment (CDS).
2. There were very few complaints (300+ calls and 130+ tickets across all segments).
3. Call and trade desk was open for the impacted users.
4. Customers were informed about the issue via a banner on the support portal, and a bulletin on our website.

Annexure 3

1. We immediately notified the Refinitiv team by raising a ticket.
2. A [bulletin](#) was put up on our website informing clients about the issue.

Bulletin

[Feed](#)

Bulletin

[Circulars](#)

[Holiday calendar](#)

[Disclosures](#)

15 Dec 2022, 03:47 PM

Issue with orders on Kite [Resolved]

[Update 9:40 PM]: This issue is completely resolved.

[Update 04:15 PM]: Order placement issue is resolved.

Due to an issue with our OMS vendor, some of our users may have faced difficulty in placing orders and viewing or exiting positions. We are working with our OMS partners to have this resolved. Please double-check your order book and positions before placing fresh orders. We apologize for the inconvenience.

3. A banner was also put up on our Support portal.

The screenshot shows a blue banner for the Kite Support Portal. At the top left, it says "Support Portal" with language options for "English" and "हिंदी". At the top right, there is a link for "Track tickets". The main content area is divided into two sections. On the left, there is a search bar with the placeholder text "Search for an answer or browse help topics to create a ticket" and an example search query: "Eg: how do i activate F&O, why is my order getting rejected ...". Below the search bar are several links: "Track account opening", "Track segment activation", "Intraday margins", and "Kite user manual". On the right side of the banner, there is a "Featured" section with the following text: "Some of our users may be seeing orders in the 'Open Pending', 'Validation Pending', or 'Server not ready' state or incorrect margin numbers when placing or modifying orders in Currency and MCX segments. Please check the order book before placing new orders. Please check here for updates."

Support Portal

[English](#) [हिंदी](#)[Track tickets](#)

Search for an answer or browse help topics to create a ticket

[Track account opening](#)[Track segment activation](#)[Intraday margins](#)[Kite user manual](#)

Featured

Due to an issue with our OMS vendor, some of our users may have faced difficulty placing orders, which is now fixed. Some clients are still facing issues with viewing positions. We are working with our OMS partners to have this resolved. Please double-check your order book and positions before placing fresh orders. Check [here](#) for updates.

4. We added a message on IVR for the clients calling us on our support line to inform them about the issue.