

Incident Reporting Form - Preliminary Report

1. Letter/ Report Subject -	Reporting of technical glitch to the exchange (BSE)
Name of the Member-- Member Code -	Zerodha Broking Limited BSE: 6498
2. Designated Officer (Reporting Officer details)	
Name: Venu Madhav	Mobile: 9886100343 Email ID: venu@zerodha.com
3. Date & Time of Incident & Incident duration	10-02-2023, 12:33 PM, 28 minutes
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	10-02-2023, 01:01 PM
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, order modifications, and order cancellations on our trading platform were impacted intermittently on BSE from 12:33 PM to 01:01 PM owing to what seems to be an issue with one of the servers at Refinitiv's end (exchange empanelled RMS and OMS vendor).
2. The impact was on the order placement, order modifications, and order cancellations between 12:33 PM to 01:01 PM intermittently. 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.
3. The impacted users had the option of placing orders on NSE during the entire duration of the issue.
4. The issue was fixed by the Refinitiv team.
5. RCA from our OMS vendor Refinitiv is awaited.

Annexure 2:

There was an issue with the Order placement, order modifications, and order cancellations temporarily on Kite for some of our users.

1. A small section of our clients were impacted by the incident. Order placement issues between 12:33 PM to 01:01 PM intermittently impacted 10.7k clients on BSE and 77 clients in the BCD segment.
2. The issue was Intermittent. The users were able to place orders and modify/ cancel the orders post retries even when the issue was ongoing.
3. There were very few complaints (146 calls and 43 tickets across all segments).
4. Call and trade desk was open for the impacted users.
5. 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

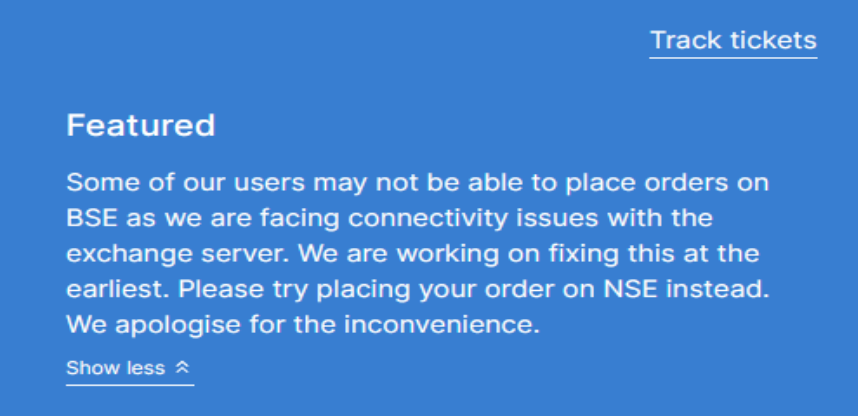
10 Feb 2023, 12:33 PM

Connectivity issue with the exchange [Resolved]

Update [01:01 PM]: This issue has been resolved.

Some of our users may not be able to place orders on BSE as we are facing connectivity issues with the exchange server. We are working on fixing this at the earliest. Please try placing your order on NSE instead. We apologise for the inconvenience.

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



The screenshot shows a blue banner on a support portal. In the top right corner, there is a link labeled "Track tickets" with a horizontal underline. Below this, the word "Featured" is written in a bold, white font. The main body of the banner contains the following text in white: "Some of our users may not be able to place orders on BSE as we are facing connectivity issues with the exchange server. We are working on fixing this at the earliest. Please try placing your order on NSE instead. We apologise for the inconvenience." At the bottom left of the banner, there is a link labeled "Show less" with a small upward-pointing arrow icon.

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