	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: Venu Madhav
	3. Date & Time of Incident	07-07-2023; 02:47 PM
	4. Exchanges on which Technical Glitch was encountered (NSE, BSE, MCX, NCDEX, MSEI)	**BSE**
	5. Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients)	Bulletin and Tweet
	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 OmneNEST (an exchange empanelled RMS and OMS vendor level)
	7. Additional Details about the Technical Glitch, if Any.	The issue was Intermittent. The impact was on the order placement, order modifications, and order cancellations between 02:47 PM to 03:30 PM intermittently. The issue was limited to BSE, BCD and BFO segments. 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 OmneNEST. The issue has been fixed.
	1. Date & Time of Incident & Incident duration (in Minutes)	07-07-2023; 02:47 PM (43 minutes)
	2. Incident Description	The issue was Intermittent. The impact was on the order placement, order modifications, and order cancellations in the BSE, BCD and BFO segments between 02:47 PM to 03:30 PM intermittently owing to what seems to be an network connectivity issue at OmneNEST's end (exchange empanelled RMS and OMS vendor). 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 OmneNEST team. RCA from our OMS vendor OmneNEST is awaited.

	3. Immediate action taken (provide brief details)	We immediately notified the OmneNEST team by raising a ticket. A bulletin was put up on our website informing clients about the issue. A tweet on Twitter was put up informing clients about the issue. We have notified the exchange to ascertain if there were any issues at exchange's end which could have caused this glitch.

	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 imapcted by this incident were 14.5k and the total orders impacted was 90.2k. There were very few complaints (2672 calls and 739 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.	i. The impacted users had the option of placing orders on NSE during the entire duration of the issue. The issue was Intermittent. The users were able to place orders and modify/ cancel the orders post multiple 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 bief description of the issue.
	   ii) Do you have a back-up vendor for the said services
		i. Yes, the issue occured due to network connectivity issues at OmneNEST (an exchange empanelled RMS and OMS vendor level).
		
		ii. We are in the process of building our own RMS and OMS system.

2. Preliminary Incident Report (T+1 day)	7. Was the issue encountered on the Exchange-provided environment? If Yes, kindly provide details of initimation and communication sent to the Exchnage.	We are in touch with the exchange to ascertain the root cause of the disconnection, as multiple brokers reported issue with order placement during that time period.
	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.	