

	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)	
	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.	
7. Additional Details about the Technical Glitch, if Any.	The issue has been fixed.	
2. Preliminary Incident Report (T+1 day)	1. Date & Time of Incident & Incident duration (in Minutes)	
	2. Incident Description	
	3. Immediate action taken (provide brief details)	
	4. Business Impact i) Number of Clients Impacted ii) Any 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.	
	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	
	7. Was the issue encountered on the Exchange-provided environment? If Yes, kindly provide details of intimation and communication sent to the Exchnage.	
	8. Did you move operations to the Disaster Recover (DR) site? If, Yes, what was the Recovery Time?	

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.	