

	HEADERS	DETAILS
<b>1. Intimation of Incident (T-day, within 1 Hour of the Incident)</b>	1. Letter / Report Subject -	Reporting of technical glitch
	Name of the Member --	Zerodha Broking Limited
	Member Code -	NSE: 13906; BSE: 6498
	2. Designated Officer (Reporting Officer details)	Name: Pankathi H Jain
	3. Date & Time of Incident	11-03-2025; 12:07pm
	4. Exchanges on which Technical Glitch was encountered (NSE, BSE, MCX, NCDEX, MSEI)	NSE & BSE
	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))	A small set of users on one of our silos might have faced an intermittent issue with order placement. The issue has been resolved.
	7. Additional Details about the Technical Glitch, if Any.	Few of our orders were affected due to temporary network issues. However, the issue was intermittent.
<b>2. Preliminary Incident Report (T+1 day)</b>	1. Date & Time of Incident & Incident duration (in Minutes)	11-03-2025, 12:07 PM; 13 minutes.
		Order placement for a small set of users on one of our silos were affected due to temporary network issues. The issue was resolved within 13 minutes.
		The issue affected only a particular set of users operating out of a particular isolated ""Silo"" (OMS setup).
	2. Incident Description	The issue was intermittent.
		A bulletin was put up on our website informing clients about the issue.
		We noticed that there was an intermittent issue with order placement for a small percentage of our clients on one particular silo (set up). We promptly debugged and resolved the issue in 13 minutes.
	3. Immediate action taken (provide brief details)	Our team is currently conducting a root cause analysis of the incident.
	4. Business Impact i) Number of Clients Impacted ii) Any other impact	i) We are in process of quantifying the number of clients impacted. As stated earlier, issue was intermittent. Of the 3.3 million clients on this particular silo (OMS setup) we received about ~350 calls and ~50 tickets across all segments. ii) 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.	i) 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. Further, the call & trade desk and customer care was available. Further, there were no spike in traffic.
	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	NA
	7. Was the issue encountered on the Exchange-provided environment? If Yes, kindly provide details of intimation and communication sent to the Exchnage.	No
	8. Did you move operations to the Disaster Recover (DR) site? If, Yes, what was the Recovery Time?	NA
	1. Date & Time of Incident & Recovery & Incident duration (in Minutes)	11-03-2025, 12:07 PM; 12:20 PM; 13 minutes.
		Order placement for a small set of users on one of our silos were affected due to temporary network issues. The issue was resolved within 13 minutes.
	2. Incident Description & chronology of events (Please provide brief details)	The issue affected only a particular set of users operating out of a particular isolated ""Silo"" (OMS setup). The issue was intermittent.

<b>3. RCA of Technical Glitch Incident (T + 14 days)</b>	<p>3. Business Impact: Please provide details on the points below:</p> <ul style="list-style-type: none"> <li>i) Number of clients impacted</li> <li>ii) Number of client orders impacted</li> <li>iii) Any P&amp;L impact</li> <li>iv) Any other impact on Business</li> </ul>	<ul style="list-style-type: none"> <li>i. A small section of our clients were impacted by the incident. The number of unique users impacted by this incident were 19k.</li> <li>ii. The total orders impacted was 35.2k.</li> <li>iii. No impact on P&amp;L.</li> <li>iv. No other impacts.</li> </ul>
	<p>4. Details of Client Complaints Received (Please provide details of claims of impacted clients)</p> <ul style="list-style-type: none"> <li>i) Number of Complaints Received</li> <li>ii) Number of Complaints Settled</li> <li>iii) Number of pending complaints</li> <li>iv) Total amount claimed by complainants</li> </ul>	<ul style="list-style-type: none"> <li>i. One exchange complaints across all segments as on date of filing this RCA, which has been resolved.</li> <li>ii - All the client complaints via tickets and calls have been resolved. The exchange complaint also has been resolved amicably.</li> <li>iii - Nil.</li> <li>iv - The amount claimed by the complainants is approximately Rs. 72k as on date of filing this RCA.</li> </ul>
	<p>5. Root Cause Summary (Pl attach the detailed Report separately)</p>	<p>Following a comprehensive investigation, it was determined that a network connectivity issue affected the aggregator server, which facilitates Kite's connection to the OMS. The issue was traced to a storage malfunction on the host of the Aggregator server, which also housed a OMS component, contributing to the failure. To resolve the issue, the VMs were migrated to other hosts, restoring normal functionality.</p>
	<p>6. If the issue was caused or encountered by a third-party vendor or service provider, Please provide the below details:</p> <ul style="list-style-type: none"> <li>i) What services are being provided by the third-party vendor or service provider?</li> <li>ii) Time taken (in Minutes) by third-party vendor or service provider to resolve the issue.</li> </ul>	<ul style="list-style-type: none"> <li>i. NA</li> <li>ii. NA</li> </ul>
	<p>7. Has a similar issue been encountered prior to the submission of this RCA Report?</p>	<p>A similar issue hasn't been encountered prior to the submission of this RCA, since Dec 2021 when we started reporting the glitches.</p>
	<p>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)</p>	<ul style="list-style-type: none"> <li>1) Monitoring capabilities have been enhanced to prevent similar issues in the future.</li> <li>2) Automatic failover to a backup aggregator server with real-time synchronization is being implemented to prevent such disruptions.</li> </ul>
	<p>9. Provide a detailed Architecture Diagram of the System.</p>	<p>Attached</p>