

|   | HEADERS  | DETAILS  |
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| <b>1. Intimation of Incident<br/>(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.<br><br>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.<br><br>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.<br><br>A bulletin was put up on our website informing clients about the issue.<br><br>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<br>i) Number of Clients Impacted<br>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.<br>ii) There was no other impact.  |
|   | 5. Were alternate trading channels available for clients (list all the alternate channels)<br>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?<br>i) Name of the third-party vendor or service provider and a brief description of the issue.<br>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)   |  |
|   | 2. Incident Description & chronology of events (Please provide brief details)  |  |

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|  | 3. Business Impact:<br>Please provide details on the points below:<br>i) Number of clients impacted<br>ii) Number of client orders impacted<br>iii) Any P&L impact<br>iv) Any other impact on Business  |  |
|  | 4. Details of Client Complaints Received (Please provide details of claims of impacted clients)<br>i) Number of Complaints Received<br>ii) Number of Complaints Settled<br>iii) Number of pending complaints<br>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:<br>i) What services are being provided by the third-party vendor or service provider?<br>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)  |  |
| <b>3. RCA of Technical Glitch Incident (T + 14 days)</b> | 9. Provide a detailed Architecture Diagram of the System.   |  |