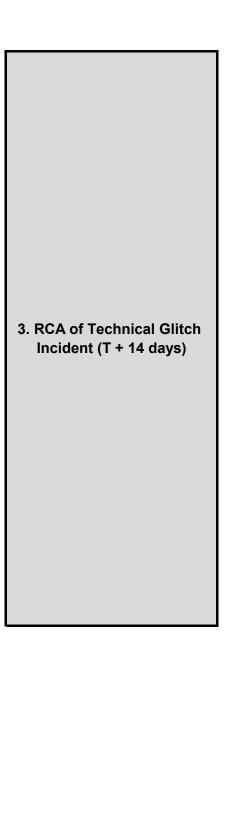
"Aı	
1. Intimation of Incident (T-day, within 1 Hour of the Incident)	
2. Preliminary Incident Report (T+1 day)	



nnexure: B" - INTIMATION & SUBMISSION OF TECHNIC

HEADERS

1. Letter / Report Subject -

Name of the Member --

Member Code -

- 2. Designated Officer (Reporting Officer details)
- 3. Date & Time of Incident
- 4. Exchanges on which Technical Glitch was encountered (NSE, BSE, MCX, NCDEX, MSEI)
- 5. Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients)
- 6. Network Connectivity Issues / Hardware Issues / Software Issues / Human Error / Other (Please Specify (if more than one, please separate with commas))
- 7. Additional Details about the Technical Glitch, if Any.
- 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 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
- 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 initimation and communication sent to the Exchange.
- 8. Did you move operations to the Disaster Recover (DR) site? If, Yes, what was the Recovery Time?

- 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 (PI 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.

AL GLITCH		
DETAILS		
Name:		
Mobile: Email ID:		