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1. Intimation of Incident

(T-day, within 1 Hour of the Incident)

2. Preliminary Incident Report (T+1 day)

**3. RCA of Technical Glitch
Incident (T + 14 days)**

Annexure: B" - INTIMATION & SUBMISSION OF TECHNICAL

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 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 brief 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 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:

[illegible]

[illegible]