

Annexure 4

INTIMATION & SUBMISSION OF TECHNICAL GLITCH	
	HEADERS
1. Intimation of Incident (T-day, within 1 Hour of the Incident)	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. Additional Details about the Technical Glitch, if Any.	
2. Preliminary	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

Incident Report (T+1 day)	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 initiation and communication sent to the Exchange.
	8. Did you move operations to the Disaster Recover (DR) site? If, Yes, what was the Recovery Time?
9. Network Connectivity Issues / Hardware Issues / Software Issues / Human Error / Other (Please Specify (if more than one, please separate with commas))	

