

2024



## **BSE Limited**

Member User Manual - Technical Glitch Reporting

## Steps for Reporting Technical Glitches

1. Login to BSE Member Portal using the below URL and your login credentials.

<https://bef.s.bseindia.com/Login.aspx>

**BEFS**

**BSE**  
The Power of Vibrance

Forgot Your Password

Member Code: 1234

Login Id: 1234

Password: .....

Enter Captcha: EC44F7

Login

Please login to BEFS...

BSE Electronic Filing System

2. After Successful login, Select Technical Glitch option in Menu.

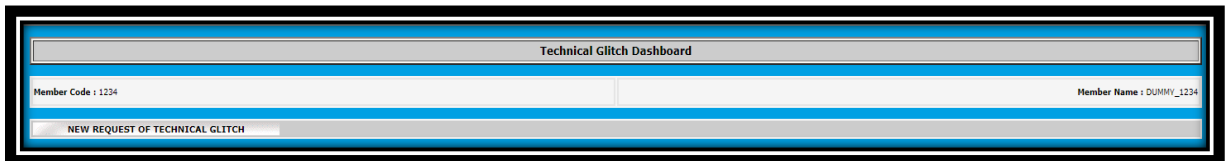


3. In Technical Glitch, at the bottom of the list you will find the option of Technical Glitch Form

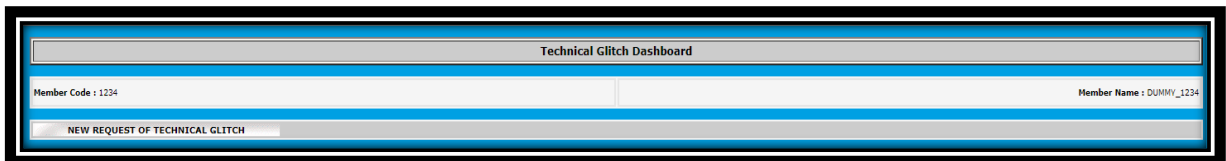


#### 4. Reporting for Intimation of Incident (T – Day Submission) within 1 hour

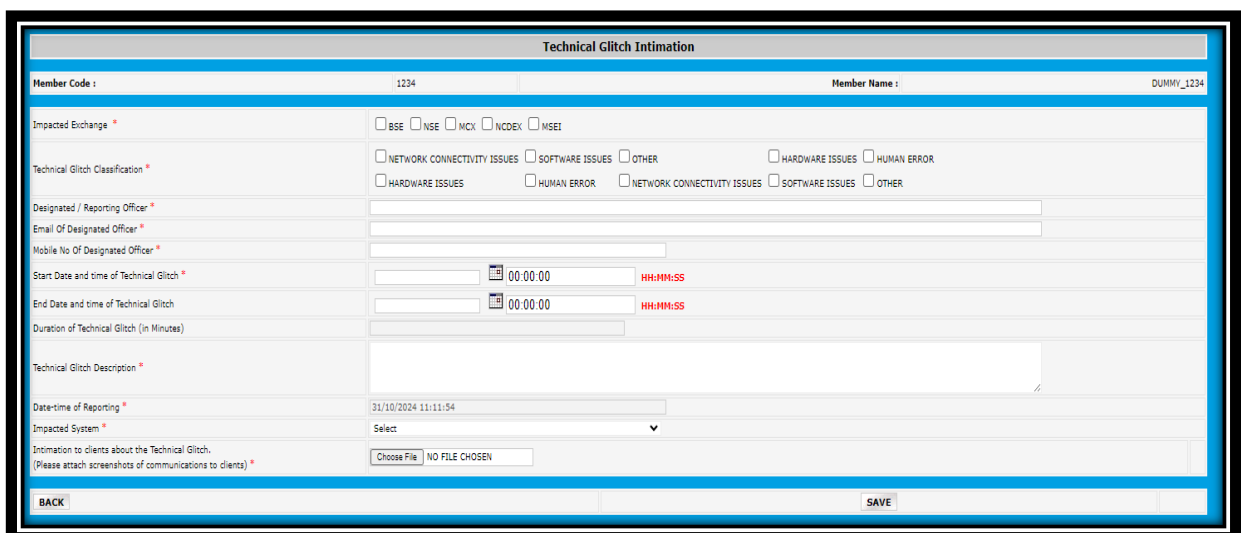
- Note – You need to first report the incident through email as per the NSE circular 20221216-52 dated December 16, 2022.
- Fill in all the required information for Intimation T – Day submission within 1 hour and click on submit.
- After clicking **“Technical Glitch Form”** you will be directed to below display screen. **“Member Code”** and **“Member Name”** will be auto populated as you log in.



- Click on **“NEW REQUEST OF TECHNICAL GLITCH”** for raise the Technical Glitch issue.



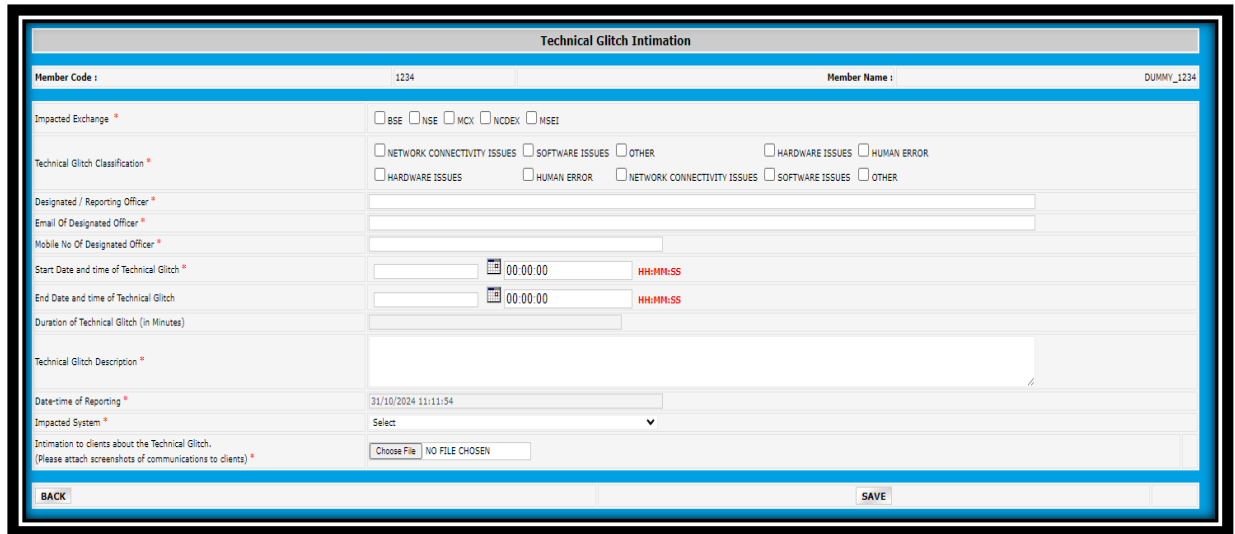
- Once you click on the **“NEW REQUEST OF TECHNICAL GLITCH”**, the below window will be displayed.



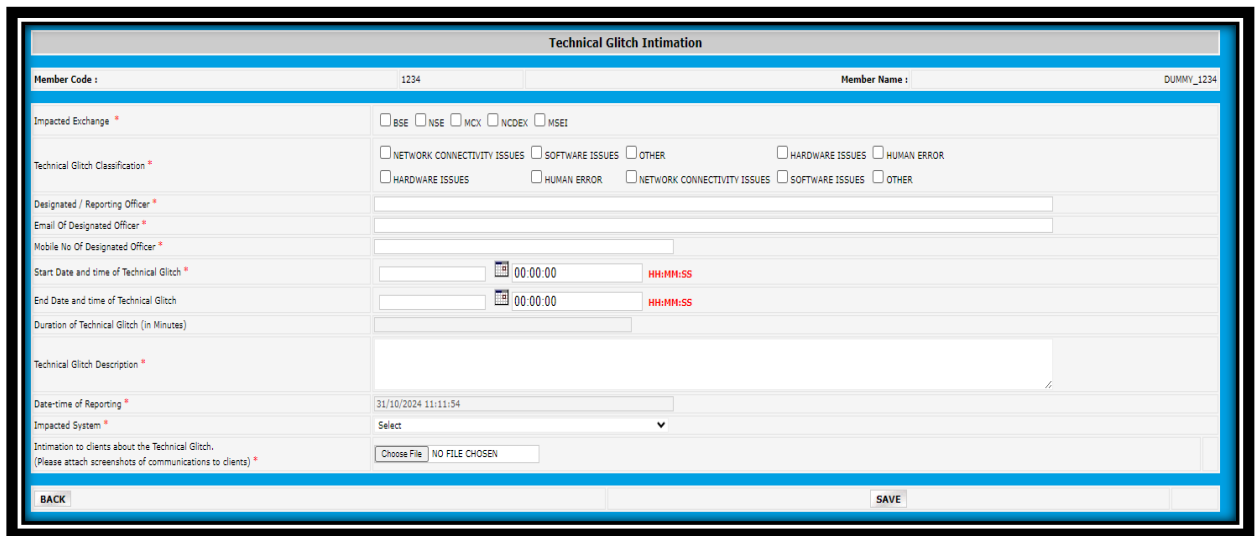
**(\*) Marked will be mandatory.**

➤ **For fill up the form**

- i. Select the Impacted Exchange and check mark near the Exchange’s name.



- ii. Select the Technical Glitch Classification, and check mark near the issue.



If issues are not mentioned, then select the “Other” option. Further, an input field will be open to fill the additional input.

**Technical Glitch Intimation**

<b>Member Code :</b> 1234	<b>Member Name :</b> DUMMY_1234
<b>Impacted Exchange *</b>	<input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> NCK <input type="checkbox"/> NCDEX <input type="checkbox"/> MSEI
<b>Technical Glitch Classification *</b>	<input type="checkbox"/> NETWORK CONNECTIVITY ISSUES <input type="checkbox"/> SOFTWARE ISSUES <input checked="" type="checkbox"/> OTHER <input type="checkbox"/> HARDWARE ISSUES <input type="checkbox"/> HUMAN ERROR <input type="checkbox"/> HARDWARE ISSUES <input type="checkbox"/> HUMAN ERROR <input type="checkbox"/> NETWORK CONNECTIVITY ISSUES <input type="checkbox"/> SOFTWARE ISSUES <input type="checkbox"/> OTHER
<b>Designated / Reporting Officer *</b>	<input style="width: 95%;" type="text"/>
<b>Email Of Designated Officer *</b>	<input style="width: 95%;" type="text"/>
<b>Mobile No Of Designated Officer *</b>	<input style="width: 95%;" type="text"/>
<b>Start Date and time of Technical Glitch *</b>	<input style="width: 20%;" type="text"/> <input type="text" value="00:00:00"/> <input style="width: 10%; color: red; font-size: small;" type="text" value="HH:MM:SS"/>
<b>End Date and time of Technical Glitch</b>	<input style="width: 20%;" type="text"/> <input type="text" value="00:00:00"/> <input style="width: 10%; color: red; font-size: small;" type="text" value="HH:MM:SS"/>
<b>Duration of Technical Glitch (in Minutes)</b>	<input style="width: 95%;" type="text"/>
<b>Technical Glitch Description *</b>	<input style="width: 95%; height: 40px;" type="text"/>
<b>Date-time of Reporting *</b>	13/11/2024 14:46:59
<b>Impacted System *</b>	Select <input style="width: 20px;" type="text"/>
<b>Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients) *</b>	<input type="button" value="Choose File"/> <input style="width: 100px;" type="text" value="NO FILE CHOSEN"/>
<b>BACK</b>	<b>SAVE</b>

iii. Add Designated or Reporting Officer Name, Email, Mobile Number.

**Technical Glitch Intimation**

<b>Member Code :</b> 1234	<b>Member Name :</b> DUMMY_1234
<b>Impacted Exchange *</b>	<input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> NCK <input type="checkbox"/> NCDEX <input type="checkbox"/> MSEI
<b>Technical Glitch Classification *</b>	<input type="checkbox"/> NETWORK CONNECTIVITY ISSUES <input type="checkbox"/> SOFTWARE ISSUES <input checked="" type="checkbox"/> OTHER <input type="checkbox"/> HARDWARE ISSUES <input type="checkbox"/> HUMAN ERROR <input type="checkbox"/> HARDWARE ISSUES <input type="checkbox"/> HUMAN ERROR <input type="checkbox"/> NETWORK CONNECTIVITY ISSUES <input type="checkbox"/> SOFTWARE ISSUES <input type="checkbox"/> OTHER
<b>Designated / Reporting Officer *</b>	<input style="width: 95%;" type="text"/>
<b>Email Of Designated Officer *</b>	<input style="width: 95%;" type="text"/>
<b>Mobile No Of Designated Officer *</b>	<input style="width: 95%;" type="text"/>
<b>Start Date and time of Technical Glitch *</b>	<input style="width: 20%;" type="text"/> <input type="text" value="00:00:00"/> <input style="width: 10%; color: red; font-size: small;" type="text" value="HH:MM:SS"/>
<b>End Date and time of Technical Glitch</b>	<input style="width: 20%;" type="text"/> <input type="text" value="00:00:00"/> <input style="width: 10%; color: red; font-size: small;" type="text" value="HH:MM:SS"/>
<b>Duration of Technical Glitch (in Minutes)</b>	<input style="width: 95%;" type="text"/>
<b>Technical Glitch Description *</b>	<input style="width: 95%; height: 40px;" type="text"/>
<b>Date-time of Reporting *</b>	13/11/2024 14:46:59
<b>Impacted System *</b>	Select <input style="width: 20px;" type="text"/>
<b>Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients) *</b>	<input type="button" value="Choose File"/> <input style="width: 100px;" type="text" value="NO FILE CHOSEN"/>
<b>BACK</b>	<b>SAVE</b>

iv. Mention Technical Glitch Start, End Date and Time.

- v. Describe the cause of the Technical Glitch Happened and provide the detailed description.

- vi. Select the Impacted System from the Dropdown list.

**Technical Glitch Intimation**

Member Code : 1234 Member Name : DUMMY\_1234

Impacted Exchange \*  BSE  NSE  MCX  NCDEX  MSET

Technical Glitch Classification \*  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER  HARDWARE ISSUES  HUMAN ERROR

HARDWARE ISSUES  HUMAN ERROR  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER

Designated / Reporting Officer \*

Email Of Designated Officer \*

Mobile No Of Designated Officer \*

Start Date and time of Technical Glitch \*  00:00:00 HH:MM:SS

End Date and time of Technical Glitch  00:00:00 HH:MM:SS

Duration of Technical Glitch (in Minutes)

Technical Glitch Description \*

Date-time of Reporting \* 13/11/2024 14:46:39

Impacted System \* Select

Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients) \*

Trading System  
Backoffice System  
Others

BACK SAVE

Apart from the mention dropdown list any other System impacted, Choose the “Other” option an input fill will be open mention there the Impacted system name.

**Technical Glitch Intimation**

Member Code : 1234 Member Name : DUMMY\_1234

Impacted Exchange \*  BSE  NSE  MCX  NCDEX  MSET

Technical Glitch Classification \*  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER  HARDWARE ISSUES  HUMAN ERROR

HARDWARE ISSUES  HUMAN ERROR  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER

Designated / Reporting Officer \*

Email Of Designated Officer \*

Mobile No Of Designated Officer \*

Start Date and time of Technical Glitch \*  00:00:00 HH:MM:SS

End Date and time of Technical Glitch  00:00:00 HH:MM:SS

Duration of Technical Glitch (in Minutes)

Technical Glitch Description \*

Date-time of Reporting \* 13/11/2024 14:58:48

Impacted System \* Others

Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients) \*

Choose File NO FILE CHOSEN

BACK SAVE

- vii. Attach the Client Communication screenshot regarding the Technical Glitch. If Multiple Screenshot have, Merge in a word Doc then upload.

**Technical Glitch Intimation**

<b>Member Code :</b>	1234	<b>Member Name :</b>	DUMMY_1234
----------------------	------	----------------------	------------

**Impacted Exchange \***  BSE  NSE  MCX  NCDEX  MSET

**Technical Glitch Classification \***  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER  HARDWARE ISSUES  HUMAN ERROR

HARDWARE ISSUES  HUMAN ERROR  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER

**Designated / Reporting Officer \***

**Email Of Designated Officer \***

**Mobile No Of Designated Officer \***

**Start Date and time of Technical Glitch \***   HH:MM:SS

**End Date and time of Technical Glitch**   HH:MM:SS

**Duration of Technical Glitch (in Minutes)**

**Technical Glitch Description \***

**Date-time of Reporting \***

**Impacted System \***  ▼

Intimation to clients about the Technical Glitch.  
(Please attach screenshots of communications to clients) \*

viii. After filling up with correct details click on the save button. And save it. An acknowledge mail will be sent to your register email id.

**Technical Glitch Intimation**

<b>Member Code :</b>	1234	<b>Member Name :</b>	DUMMY_1234
----------------------	------	----------------------	------------

**Impacted Exchange \***  BSE  NSE  MCX  NCDEX  MSET

**Technical Glitch Classification \***  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER  HARDWARE ISSUES  HUMAN ERROR

HARDWARE ISSUES  HUMAN ERROR  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER

**Designated / Reporting Officer \***

**Email Of Designated Officer \***

**Mobile No Of Designated Officer \***

**Start Date and time of Technical Glitch \***   HH:MM:SS

**End Date and time of Technical Glitch**   HH:MM:SS

**Duration of Technical Glitch (in Minutes)**

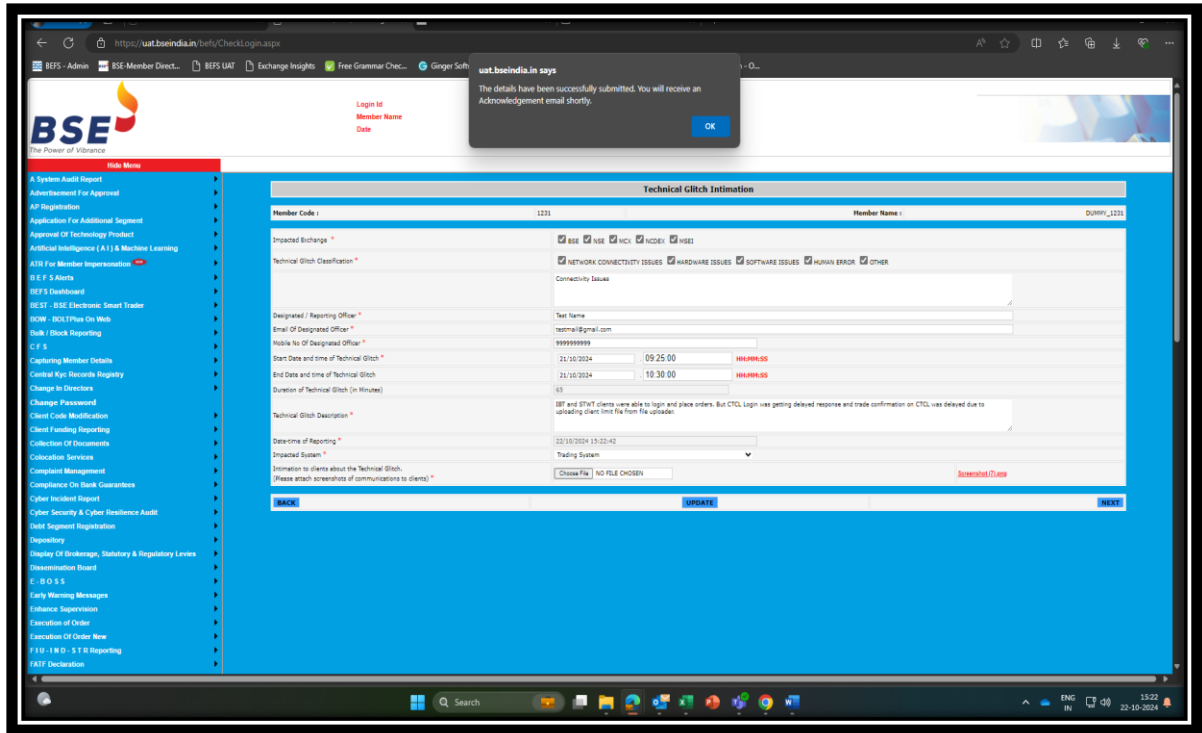
**Technical Glitch Description \***

**Date-time of Reporting \***

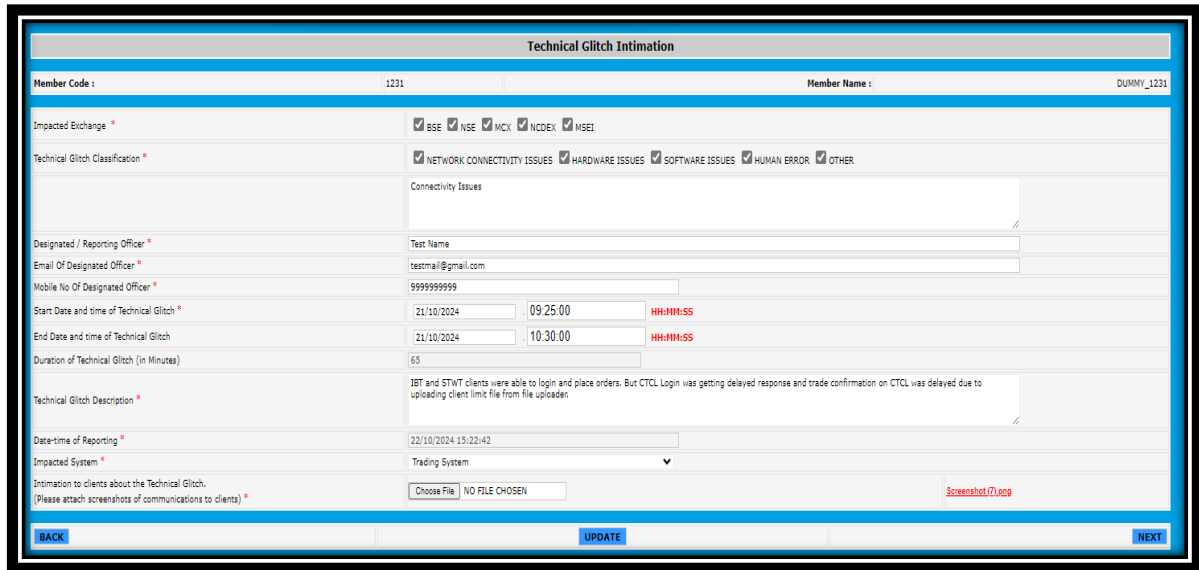
**Impacted System \***  ▼

Intimation to clients about the Technical Glitch.  
(Please attach screenshots of communications to clients) \*



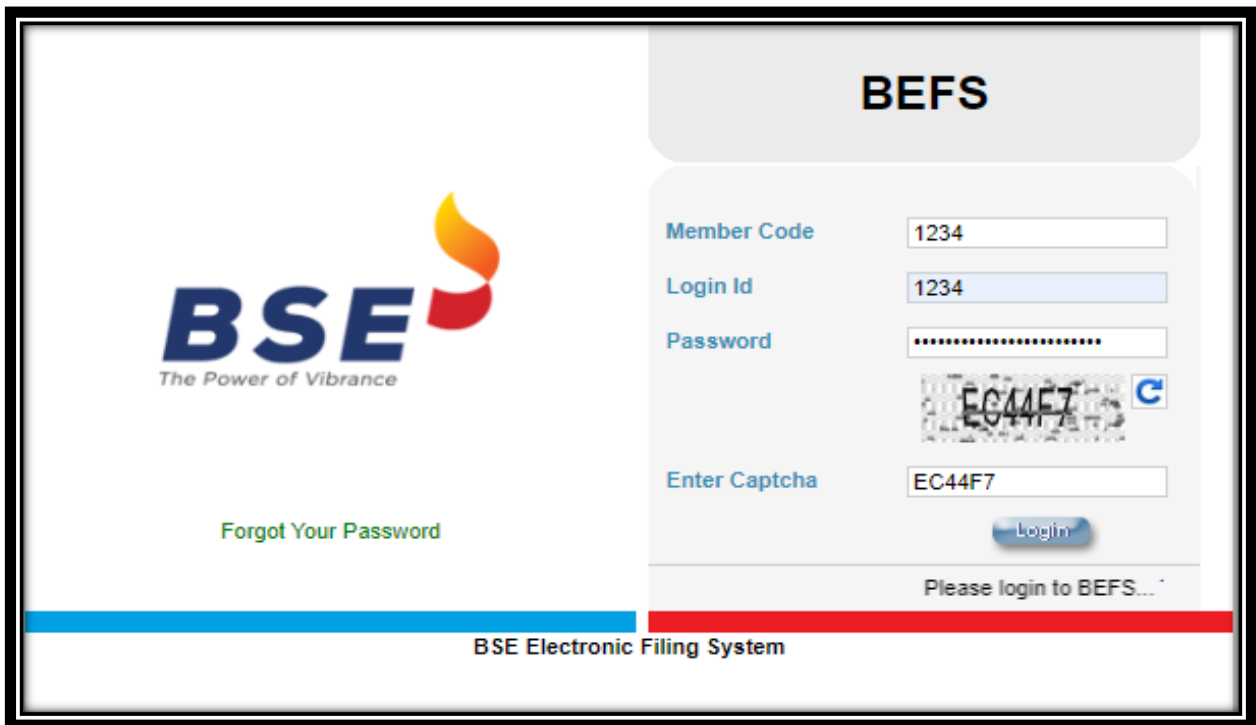


Later that if you need to change any field, change the filled and click on the Update button.



## **2. Reporting for Preliminary Incident Report (T + 1 Day Submission):**

1. Open BEFS portal through URL given below and login through member credential.  
URL: <https://bef.s.bseindia.com/Login.aspx>



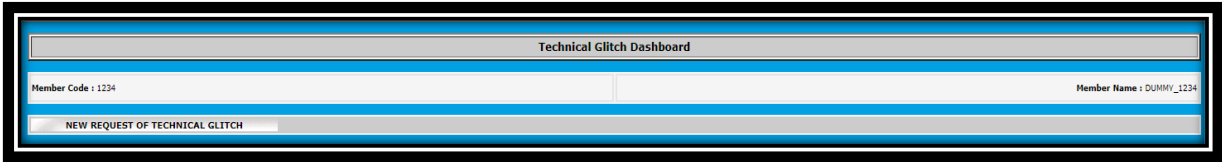
The screenshot shows the BEFS login interface. On the left is the BSE logo with the tagline 'The Power of Vibrance' and a 'Forgot Your Password' link. On the right, under the 'BEFS' header, are input fields for 'Member Code' (1234), 'Login Id' (1234), and 'Password' (masked with dots). Below these is a CAPTCHA image showing 'EC44F7' and a 'Login' button. At the bottom, there is a red bar with the text 'Please login to BEFS...' and a footer bar with 'BSE Electronic Filing System'.

2. For Submission, the Preliminary Technical Glitch report by Member
  - i. Select **Technical Glitch > Technical Glitch Form**

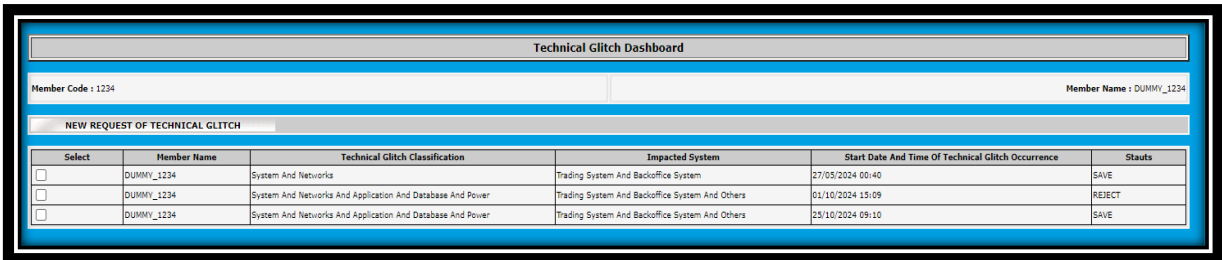


The screenshot shows a menu with three items: 'Technical Glitch', 'Technology Services', and 'Trader Id Automation'. The 'Technical Glitch' item is highlighted in blue and has a dropdown menu open. The dropdown menu contains three items: '07th June 2022 Sebi Adherence Status Submission', '3rd Nov 2020 Sebi / Cert-in Saas Circular Reportin', and 'Technical Glitch Form' (which is highlighted in red).

- ii. After clicking “**Technical Glitch Form**” you will be directed to below mentioned screen displayed. “Member Code” and “Member Name” will be auto populated as you log in.

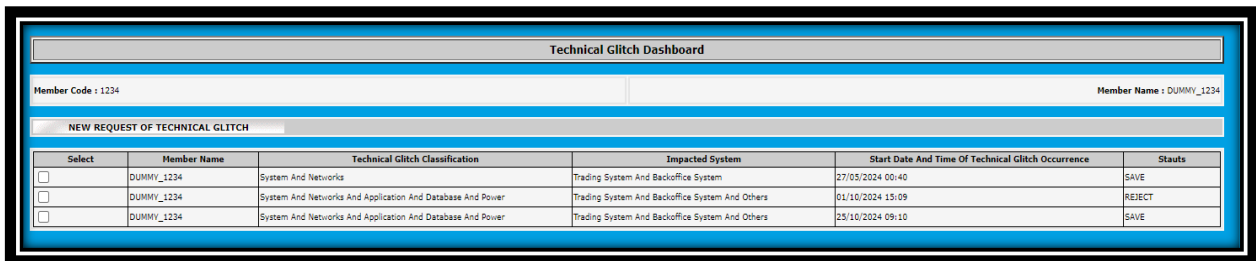


- iii. History of the Technical Glitch will be visible with update from BSE Compliance Team. If your submitted report is accepted then at the right side under the status, it will be visible as “**Save, Submit or Update.**” If you submit a wrong input or BSE Compliance Team need more input, then it will be showing as “**Reject.**”



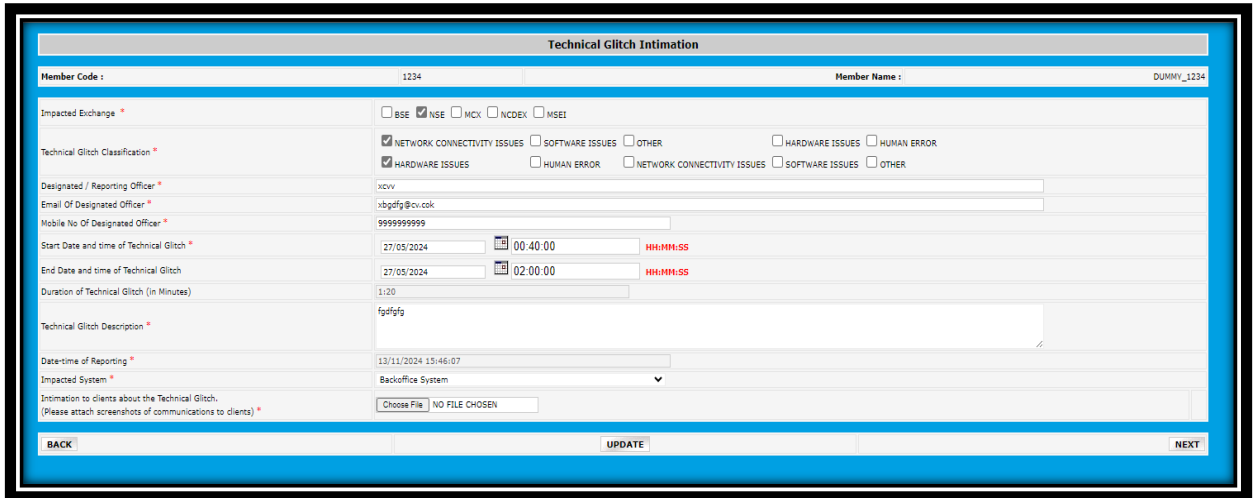
Select	Member Name	Technical Glitch Classification	Impacted System	Start Date And Time Of Technical Glitch Occurrence	Status
<input type="checkbox"/>	DUMMY_1234	System And Networks	Trading System And Backoffice System	27/05/2024 00:40	SAVE
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	01/10/2024 15:09	REJECT
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	25/10/2024 09:10	SAVE

- 4. For updating the Technical Glitch preliminary report, click in the checkbox for that date in which Technical Glitch happened to submit the T + 1 Day report.

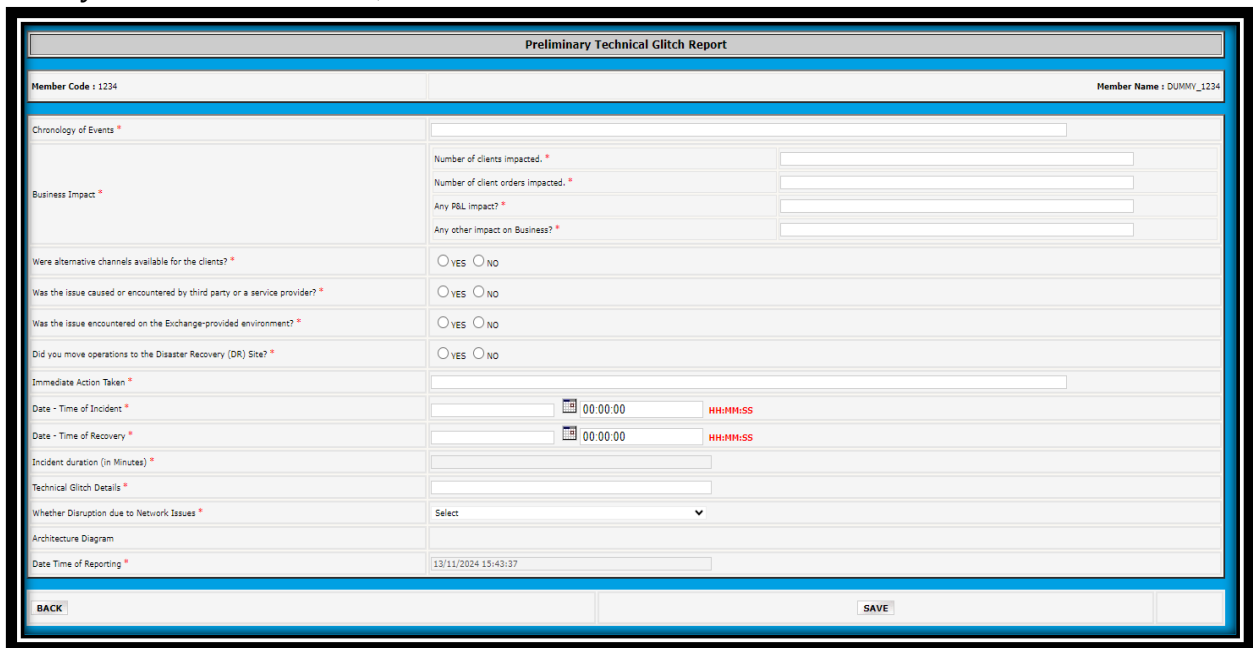


Select	Member Name	Technical Glitch Classification	Impacted System	Start Date And Time Of Technical Glitch Occurrence	Status
<input type="checkbox"/>	DUMMY_1234	System And Networks	Trading System And Backoffice System	27/05/2024 00:40	SAVE
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	01/10/2024 15:09	REJECT
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	25/10/2024 09:10	SAVE

5. After click in the checkbox the below window will be visible. Check the Technical Glitch intimation submission then proceed with click on the “Next” Button.



6. Once you click on the “Next,” after that the below window will be visible.



(\* ) Marked will be mandatory.

7. For fill up the form
  - i. Fill the Chronological event that happed in the input field.

Preliminary Technical Glitch Report		
Member Code : 1234	Member Name : DUMMY_1234	
Chronology of Events *	<input type="text"/>	
Business Impact *	Number of clients impacted. *	<input type="text"/>
	Number of client orders impacted. *	<input type="text"/>
	Any P&L impact? *	<input type="text"/>
	Any other impact on Business? *	<input type="text"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO	
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO	
Immediate Action Taken *	<input type="text"/>	
Date - Time of Incident *	<input type="text" value="00:00:00"/> HH:MM:SS	
Date - Time of Recovery *	<input type="text" value="00:00:00"/> HH:MM:SS	
Incident duration (in Minutes) *	<input type="text"/>	
Technical Glitch Details *	<input type="text"/>	
Whether Disruption due to Network Issues *	Select <input type="button" value="v"/>	
Architecture Diagram		
Date Time of Reporting *	13/11/2024 15:43:37	
<input type="button" value="BACK"/>	<input type="button" value="SAVE"/>	

ii. Mention the Business impacted details with correct data.

Preliminary Technical Glitch Report		
Member Code : 1234	Member Name : DUMMY_1234	
Chronology of Events *	<input type="text"/>	
Business Impact *	Number of clients impacted. *	<input type="text"/>
	Number of client orders impacted. *	<input type="text"/>
	Any P&L impact? *	<input type="text"/>
	Any other impact on Business? *	<input type="text"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO	
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO	
Immediate Action Taken *	<input type="text"/>	
Date - Time of Incident *	<input type="text" value="00:00:00"/> HH:MM:SS	
Date - Time of Recovery *	<input type="text" value="00:00:00"/> HH:MM:SS	
Incident duration (in Minutes) *	<input type="text"/>	
Technical Glitch Details *	<input type="text"/>	
Whether Disruption due to Network Issues *	Select <input type="button" value="v"/>	
Architecture Diagram		
Date Time of Reporting *	13/11/2024 15:43:37	
<input type="button" value="BACK"/>	<input type="button" value="SAVE"/>	

iii. If no alternate channel available for the client, then choose “No.”

**Preliminary Technical Glitch Report**

Member Code : 1234 Member Name : DUMMY\_1234

Chronology of Events \*

Business Impact \*

Number of clients impacted. \*

Number of client orders impacted. \*

Any PBL Impact? \*

Any other impact on Business? \*

Were alternative channels available for the clients? \*  YES  NO

Was the issue caused or encountered by third party or a service provider? \*  YES  NO

Was the issue encountered on the Exchange-provided environment? \*  YES  NO

Did you move operations to the Disaster Recovery (DR) Site? \*  YES  NO

Immediate Action Taken \*

Date - Time of Incident \* 18/10/2024 00:00:00 HH:MM:SS

Date - Time of Recovery \* 18/10/2024 00:00:00 HH:MM:SS

Incident duration (in Minutes) \*

Technical Glitch Details \*

Whether Disruption due to Network Issues \* Select

Architecture Diagram

Date Time of Reporting \* 13/11/2024 15:43:37

If alternative channel available, then choose “Yes.” After choosing the “Yes” option fill up with correct inputs.

**Preliminary Technical Glitch Report**

Member Code : 1231 Member Name : DUMMY\_1231

Chronology of Events \*

Business Impact \*

Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS team reported an issue that new activated clients(Activated on 30th July'23) were unable to login to TT web and TT Mobile. 2) CS team reported an issue that new activated clients(Activated on 30th July'23) were unable to login to TT web and TT Mobile. 3) CS team reported an issue that new activated clients(Activated on 30th July'23) were unable to login to TT web and TT Mobile.

Number of clients impacted. \* 14

Number of client orders impacted. \* 15

Any PBL Impact? \* No

Any other impact on Business? \* No

Were alternative channels available for the clients? \*  YES  NO

List the alternative channels \* 2

Was there a spike in traffic on the alternate channels available to clients? \*  YES  NO

Provide Details \*

Name of the third-party vendor or service provider and a brief description of the issue. \* Name, Name

Do you have a back-up vendor for the said services? \* No

Was the issue caused or encountered by third party or a service provider? \*  YES  NO

Kindly provide details of estimation and communication sent to the Exchange. \*

Was the issue encountered on the Exchange-provided environment? \*  YES  NO

Did you move operations to the Disaster Recovery (DR) Site? \*  YES  NO

What was the Recovery Time? \* 14:20:00 HH:MM:SS

Immediate Action Taken \*

Conclusion :- Duplication of primary key due to violation of primary key constraint in Shring client info table. 3) App team observed a Primary Key violation during th

Date - Time of Incident \* 18/10/2024 14:20:00 HH:MM:SS

Date - Time of Recovery \* 18/10/2024 14:45:00 HH:MM:SS

Incident duration (in Minutes) \*

Technical Glitch Details \*

Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS

Whether Disruption due to Network Issues \* NO

Architecture Diagram

Choose File 1: BSE NOTL\_40712-3.PDF

Date Time of Reporting \* 18/10/2024 16:06:57

iv. If the technical glitch was not happed by third party vendor, then choose “No.”

**Preliminary Technical Glitch Report**

Member Code : 1234 Member Name : DUMMY\_1234

Chronology of Events *			
Business Impact *	Number of clients impacted. *	<input type="text"/>	
	Number of client orders impacted. *	<input type="text"/>	
	Any PBL impact? *	<input type="text"/>	
	Any other impact on Business? *	<input type="text"/>	
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO		
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO		
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO		
Immediate Action Taken *	<input type="text"/>		
Date - Time of Incident *	<input type="text"/>	00:00:00	HH:MM:SS
Date - Time of Recovery *	<input type="text"/>	00:00:00	HH:MM:SS
Incident duration (in Minutes) *	<input type="text"/>		
Technical Glitch Details *	<input type="text"/>		
Whether Disruption due to Network Issues *	Select <input type="text"/>		
Architecture Diagram	<input type="text"/>		
Date Time of Reporting *	13/11/2024 15:43:37		

If the technical glitch was happed by third party vendor, then choose “Yes.” After choosing the “Yes” option fill up with correct inputs.

**Preliminary Technical Glitch Report**

Member Code : 1234 Member Name : DUMMY\_1234

Chronology of Events *	Clients were unable to login to TT-web and TT Mobile. Chronology: 1) CS team reported an issue that new activated clients(activated on 20th July23) were unable to...		
Business Impact *	Number of clients impacted. *	14	
	Number of client orders impacted. *	13	
	Any PBL impact? *	No	
	Any other impact on Business? *	No	
Were alternative channels available for the clients? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	List the alternative channels. *	<input type="text"/>	
	Was there a spike in traffic on the alternate channels available to clients? *	<input checked="" type="radio"/> YES <input type="radio"/> NO	
	Provide Details *	Name, Name <input type="text"/>	
Was the issue caused or encountered by third party or a service provider? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	Name of the third-party vendor or service provider and a brief description of the issue. *	Name, Name <input type="text"/>	
	Do you have a back-up vendor for the said services? *	No	
Was the issue encountered on the Exchange-provided environment? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	Kindly provide details of information and communication sent to the Exchanges. *	App team had discontinued the database replication to prevent the issue from recurring.(ts)	
Did you move operations to the Disaster Recovery (DR) Site? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
Immediate Action Taken *	What was the Recovery Time? *	14:20:00	HH:MM:SS
	Conclusion :- Duplication of primary key due to violation of primary key constraint in Svarag client info table. ( AppTeam observed a Primary Key violation during th...		
Date - Time of Incident *	18/10/2024	14:20:00	HH:MM:SS
Date - Time of Recovery *	18/10/2024	14:45:00	HH:MM:SS
Incident duration (in Minutes) *	<input type="text"/>		
Technical Glitch Details *	Clients were unable to login to TT-web and TT Mobile. Chronology: 1) CS		
Whether Disruption due to Network Issues *	NO		
Architecture Diagram	Choose File   1_BSE_NOTE_48712-3.JPG		
Date Time of Reporting *	18/10/2024 16:06:57		

- v. If the technical glitch was not happed on Exchange-provided environment, then choose “No.”

**Preliminary Technical Glitch Report**

Member Code : 1234
Member Name : DUMMY\_1234

Chronology of Events *	Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS team reported an issue that new activated clients(Activated on 30th July 23) were unable to		
Business Impact *	Number of clients impacted. *	<input type="text" value="14"/>	
	Number of client orders impacted. *	<input type="text" value="13"/>	
	Any PBL Impact? *	<input type="text" value="No"/>	
	Any other impact on Business? *	<input type="text" value="No"/>	
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO		
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO		
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO		
Immediate Action Taken *	<input type="text"/>		
Date - Time of Incident *	<input type="text" value="18/10/2024"/>	<input type="text" value="00:00:00"/>	HH:MM:SS
Date - Time of Recovery *	<input type="text" value="18/10/2024"/>	<input type="text" value="00:00:00"/>	HH:MM:SS
Incident duration (in Minutes) *	<input type="text"/>		
Technical Glitch Details *	<input type="text"/>		
Whether Disruption due to Network Issues *	Select <input type="text" value=""/>		
Architecture Diagram	<input type="text"/>		
Date Time of Reporting *	13/11/2024 15:43:37		

BACK
SAVE

If the technical glitch was happened on Exchange-provided environment, then choose “Yes.” After choosing the “Yes” option fill up with correct inputs.

**Preliminary Technical Glitch Report**

Member Code : 1234
Member Name : DUMMY\_1234

Chronology of Events *	Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS team reported an issue that new activated clients(Activated on 30th July 23) were unable to		
Business Impact *	Number of clients impacted. *	<input type="text" value="14"/>	
	Number of client orders impacted. *	<input type="text" value="13"/>	
	Any PBL Impact? *	<input type="text" value="No"/>	
	Any other impact on Business? *	<input type="text" value="No"/>	
Were alternative channels available for the clients? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
Let the alternative channels *	<input type="text" value="2"/>		
Was there a spike in traffic on the alternate channels available to clients? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
Provide Details *	<input type="text" value="Name, Name"/>		
Was the issue caused or encountered by third party or a service provider? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
Name of the third-party vendor or service provider and a brief description of the issue. *	<input type="text" value="Name, Name"/>		
Do you have a back-up vendor for the said services? *	<input type="text" value="No"/>		
Was the issue encountered on the Exchange-provided environment? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
Kindly provide details of information and communication sent to the Exchange. *	<input type="text" value="App team had discontinued the database replication to prevent the issue from recurring."/>		
Did you move operations to the Disaster Recovery (DR) Site? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
What was the Recovery Time? *	<input type="text" value="14:20:00"/>	<input type="text" value="14:20:00"/>	HH:MM:SS
Conclusive -> Duplication of primary key due to violation of primary key constraint in Sharing client info table. 1) AppTeam observed a Primary key violation during th			
Date - Time of Incident *	<input type="text" value="18/10/2024"/>	<input type="text" value="14:20:00"/>	HH:MM:SS
Date - Time of Recovery *	<input type="text" value="18/10/2024"/>	<input type="text" value="14:45:00"/>	HH:MM:SS
Incident duration (in Minutes) *	<input type="text"/>		
Technical Glitch Details *	Clients were unable to login to TT web and TT Mobile. Chronology: 1) CE		
Whether Disruption due to Network Issues *	<input type="radio"/> YES <input checked="" type="radio"/> NO		
Architecture Diagram	<input type="text" value="Choose File   1_BSE NOTL_40712-3.PDF"/>		
Date Time of Reporting *	18/10/2024 16:06:57		

vi. If you have not moved the operation to DR site, then choose “No.”



**Preliminary Technical Glitch Report**

Member Code : 1234 Member Name : DUMMY\_1234

---

**Chronology of Events \***

**Business Impact \***

Number of clients impacted. \*

Number of client orders impacted. \*

Any PBL Impact? \*

Any other impact on Business? \*

Were alternative channels available for the clients? \*  YES  NO

Was the issue caused or encountered by third party or a service provider? \*  YES  NO

Was the issue encountered on the Exchange-provided environment? \*  YES  NO

Did you move operations to the Disaster Recovery (DR) Site? \*  YES  NO

**Immediate Action Taken \***

Date - Time of Incident \*  00:00:00 HH:MM:SS

Date - Time of Recovery \*  00:00:00 HH:MM:SS

Incident duration (in Minutes) \*

**Technical Glitch Details \***

Whether Disruption due to Network Issues \*  Select

Architecture Diagram

Date Time of Reporting \* 13/11/2024 15:43:37

If you moved the operation to DR site, then choose “Yes.” After choosing the “Yes” option fill up with correct inputs.

**Preliminary Technical Glitch Report**

Member Code : 1234 Member Name : DUMMY\_1234

---

**Chronology of Events \***

Clients were unable to login to TT web and TT Mobile. Chronology : CE team reported an issue that new activated clients(Activated on 30th July 23) were unable to

**Business Impact \***

Number of clients impacted. \* 14

Number of client orders impacted. \* 13

Any PBL Impact? \* No

Any other impact on Business? \* No

Were alternative channels available for the clients? \*  YES  NO

List the alternative channels \* 2

Was there a spike in traffic on the alternate channels available to clients? \*  YES  NO

Provide Details \*  Name, Name

Was the issue caused or encountered by third party or a service provider? \*  YES  NO

Name of the third-party vendor or service provider and a brief description of the issue. \*  Name, Name

Do you have a back-up vendor for the said services? \* No

Was the issue encountered on the Exchange-provided environment? \*  YES  NO

Kindly provide details of information and communication sent to the Exchange. \* App team had discontinued the database replication to prevent the issue from recurring.

Did you move operations to the Disaster Recovery (DR) Site? \*  YES  NO

**Immediate Action Taken \***

What was the Recovery Time? \* 14:20:00 HH:MM:SS

Conclusive - Duplication of primary key due to violation of primary key constraint in S-waj client info table. () AppTeam observed a Primary Key violation during th

Date - Time of Incident \* 18/10/2024  14:20:00 HH:MM:SS

Date - Time of Recovery \* 18/10/2024  14:45:00 HH:MM:SS

Incident duration (in Minutes) \*

**Technical Glitch Details \***

Whether Disruption due to Network Issues \*  NO

Architecture Diagram   BSE NOTE\_40712-3.PDF

Date Time of Reporting \* 18/10/2024 16:09:57

- vii. Fill the Immediate Action taken input details with the necessary step that taken after the Technical Glitch happened.

Preliminary Technical Glitch Report		
Member Code : 1234	Member Name : DUMMY_1234	
Chronology of Events *	<input type="text"/>	
Business Impact *	Number of clients impacted. *	<input type="text"/>
	Number of client orders impacted. *	<input type="text"/>
	Any P&L impact? *	<input type="text"/>
	Any other impact on Business? *	<input type="text"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO	
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO	
Immediate Action Taken *	<input type="text"/>	
Date - Time of Incident *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>	
Date - Time of Recovery *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>	
Incident duration (in Minutes) *	<input type="text"/>	
Technical Glitch Details *	<input type="text"/>	
Whether Disruption due to Network Issues *	Select <input type="button" value="v"/>	
Architecture Diagram	<input type="text"/>	
Date Time of Reporting *	13/11/2024 15:43:37	
<input type="button" value="BACK"/>	<input type="button" value="SAVE"/>	

viii. Mention Technical Glitch Incident, Recovery Date and Time.

Preliminary Technical Glitch Report		
Member Code : 1234	Member Name : DUMMY_1234	
Chronology of Events *	<input type="text"/>	
Business Impact *	Number of clients impacted. *	<input type="text"/>
	Number of client orders impacted. *	<input type="text"/>
	Any P&L impact? *	<input type="text"/>
	Any other impact on Business? *	<input type="text"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO	
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO	
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO	
Immediate Action Taken *	<input type="text"/>	
Date - Time of Incident *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>	
Date - Time of Recovery *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>	
Incident duration (in Minutes) *	<input type="text"/>	
Technical Glitch Details *	<input type="text"/>	
Whether Disruption due to Network Issues *	Select <input type="button" value="v"/>	
Architecture Diagram	<input type="text"/>	
Date Time of Reporting *	13/11/2024 15:43:37	
<input type="button" value="BACK"/>	<input type="button" value="SAVE"/>	

ix. Describe why the Technical Glitch Happened.

**Preliminary Technical Glitch Report**

Member Code : 1234
Member Name : DUMMY\_1234

Chronology of Events *	<input type="text"/>
Business Impact *	Number of clients impacted. * <input type="text"/> Number of client orders impacted. * <input type="text"/> Any P&L impact? * <input type="text"/> Any other impact on Business? * <input type="text"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO
Immediate Action Taken *	<input type="text"/>
Date - Time of Incident *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>
Date - Time of Recovery *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>
Incident duration (in Minutes) *	<input type="text"/>
Technical Glitch Details *	<input type="text"/>
Whether Disruption due to Network Issues *	Select <span style="float: right;">▼</span>
Architecture Diagram	<input type="text"/>
Date Time of Reporting *	13/11/2024 15:43:37

BACK
SAVE

x. If the Technical Glitch happened due to Network issue, Choose “Yes” from the dropdown.

**Preliminary Technical Glitch Report**

Member Code : 1234
Member Name : DUMMY\_1234

Chronology of Events *	<input type="text"/>
Business Impact *	Number of clients impacted. * <input type="text"/> Number of client orders impacted. * <input type="text"/> Any P&L impact? * <input type="text"/> Any other impact on Business? * <input type="text"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input type="radio"/> NO
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input type="radio"/> NO
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input type="radio"/> NO
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input type="radio"/> NO
Immediate Action Taken *	<input type="text"/>
Date - Time of Incident *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>
Date - Time of Recovery *	<input type="text"/> 00:00:00 <span style="color: red;">HH:MM:SS</span>
Incident duration (in Minutes) *	<input type="text"/>
Technical Glitch Details *	<input type="text"/>
Whether Disruption due to Network Issues *	Select <span style="float: right;">▼</span> YES NO
Architecture Diagram	<input type="text"/>
Date Time of Reporting *	13/11/2024 15:43:37

BACK
SAVE

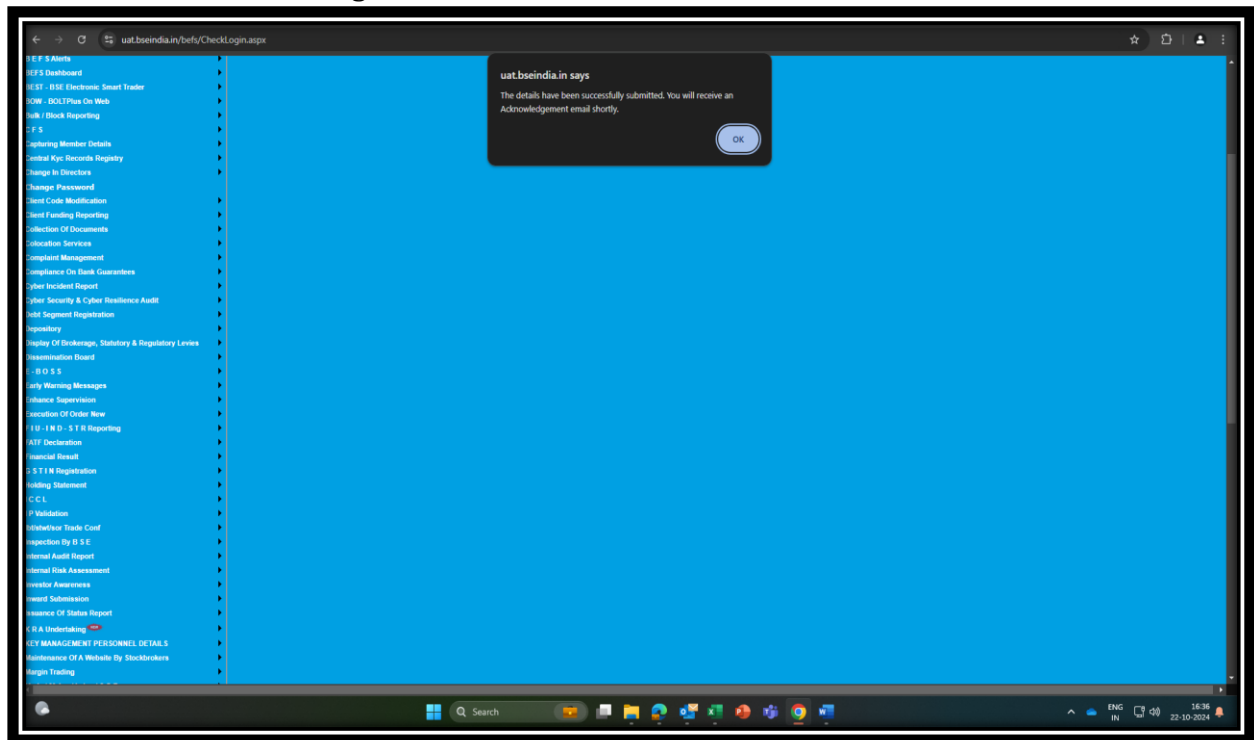
And upload the Network Architecture Diagram.

xi. After filling up the correct data, review once. And click on the “Save” Button.

xii. If you need to update any data, fill the section, and click on the “Update” Button.

Preliminary Technical Glitch Report	
Member Code : 1234	Member Name : DUMMY_1234
Chronology of Events *	Chronological Events Text
Business Impact *	Number of clients impacted. * <input type="text" value="50"/> Number of client orders impacted. * <input type="text" value="5000"/> Any P&L impact? * <input type="text" value="No"/> Any other impact on Business? * <input type="text" value="No"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Immediate Action Taken *	What immediate action taken you did. <input type="text"/>
Date - Time of Incident *	25/10/2024 <input type="text" value="09:10:00"/> HH:MM:SS
Date - Time of Recovery *	25/10/2024 <input type="text" value="09:45:00"/> HH:MM:SS
Incident duration (in Minutes) *	<input type="text" value="35"/>
Technical Glitch Details *	Technical Glitch Happens <input type="text"/>
Whether Disruption due to Network Issues *	<input type="text" value="NO"/>
Architecture Diagram	
Date Time of Reporting *	25/10/2024 18:25:02
<input type="button" value="BACK"/>	<input type="button" value="UPDATE"/> <input type="button" value="NEXT"/>

- xiii. After successful submission, a submission alert will be visible. And an acknowledgement mail will be sent to the register email id.



### **3. Submission process for Root Cause Analysis Report within T+14 days:**

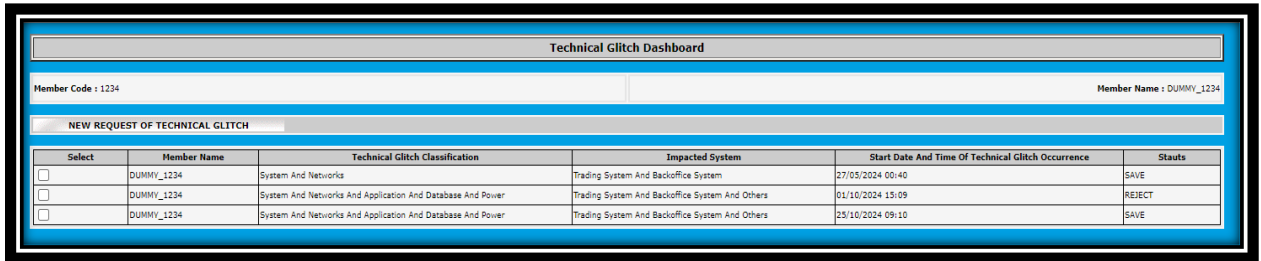
2. Open BEFS portal through URL given below and login through member credential.

URL: <https://befy.bseindia.com/Login.aspx>

3. For Submission, the Technical Glitch Root Cause Analysis report by Member
  - i. Select **Technical Glitch > Technical Glitch Form**

- ii. After clicking **“Technical Glitch Form”** you will be directed to below mentioned screen displayed. “Member Code” and “Member Name” will be auto populated as you log in.

- iii. History of the Technical Glitch will be visible with update from BSE Compliance Team. If your submitted report is accepted then at the right side under the status it will be visible only **“Save, Submit or Update.”** If you submit a wrong input or BSE Compliance Team need more input, then it will be showing as **“Reject.”**



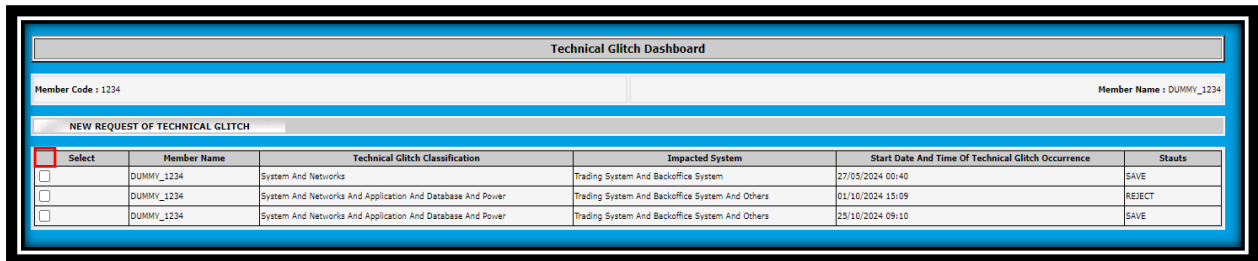
**Technical Glitch Dashboard**

Member Code : 1234 Member Name : DUMMY\_1234

NEW REQUEST OF TECHNICAL GLITCH

Select	Member Name	Technical Glitch Classification	Impacted System	Start Date And Time Of Technical Glitch Occurrence	Status
<input type="checkbox"/>	DUMMY_1234	System And Networks	Trading System And Backoffice System	27/05/2024 00:40	SAVE
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	01/10/2024 15:09	REJECT
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	25/10/2024 09:10	SAVE

8. For updating the Technical Glitch Root Cause Analysis report, click in the checkbox for the date of Glitch that you want submit the T+14 day report Technical Glitch reported date.



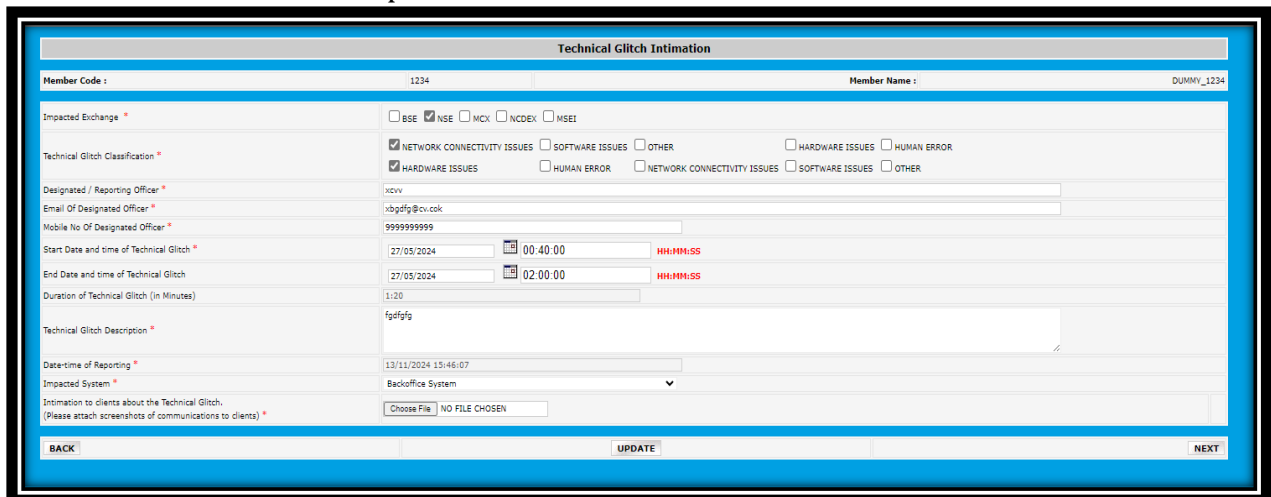
**Technical Glitch Dashboard**

Member Code : 1234 Member Name : DUMMY\_1234

NEW REQUEST OF TECHNICAL GLITCH

Select	Member Name	Technical Glitch Classification	Impacted System	Start Date And Time Of Technical Glitch Occurrence	Status
<input checked="" type="checkbox"/>	DUMMY_1234	System And Networks	Trading System And Backoffice System	27/05/2024 00:40	SAVE
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	01/10/2024 15:09	REJECT
<input type="checkbox"/>	DUMMY_1234	System And Networks And Application And Database And Power	Trading System And Backoffice System And Others	25/10/2024 09:10	SAVE

9. After click in the checkbox the below window will be visible. Check the Technical Glitch intimation submission then proceed with click on the “Next” Button.



**Technical Glitch Intimation**

Member Code : 1234 Member Name : DUMMY\_1234

Impacted Exchange \*  BSE  NSE  MCX  NCDEX  MSET

Technical Glitch Classification \*  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER  HARDWARE ISSUES  HUMAN ERROR

HARDWARE ISSUES  HUMAN ERROR  NETWORK CONNECTIVITY ISSUES  SOFTWARE ISSUES  OTHER

Designated / Reporting Officer \* xcv

Email Of Designated Officer \* xbgdfg@cv.cok

Mobile No Of Designated Officer \* 9999999999

Start Date and time of Technical Glitch \* 27/05/2024 00:40:00 HH:MM:SS

End Date and time of Technical Glitch 27/05/2024 02:00:00 HH:MM:SS

Duration of Technical Glitch (in Minutes) 1:20

Technical Glitch Description \* fdfdfg

Date-time of Reporting \* 13/11/2024 15:46:07

Impacted System \* Backoffice System

Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients) \* Choose File NO FILE CHOSEN

BACK UPDATE NEXT

10. Once you click on the “Next,” after that the below window will be visible. Check the Preliminary Technical Glitch submission report then proceed with click on the “Next” Button

Preliminary Technical Glitch Report	
Member Code : 1234	Member Name : DUMMY_1234
Chronology of Events *	Chronological Events Text
Business Impact *	Number of clients impacted. * <input type="text" value="50"/> Number of client orders impacted. * <input type="text" value="5000"/> Any PBL impact? * <input type="text" value="No"/> Any other impact on Business? * <input type="text" value="No"/>
Were alternative channels available for the clients? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Was the issue caused or encountered by third party or a service provider? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Was the issue encountered on the Exchange-provided environment? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Did you move operations to the Disaster Recovery (DR) Site? *	<input type="radio"/> YES <input checked="" type="radio"/> NO
Immediate Action Taken *	What immediate action taken you did.
Date - Time of Incident *	25/10/2024 <input type="text" value="09:10:00"/> HH:MM:SS
Date - Time of Recovery *	25/10/2024 <input type="text" value="09:45:00"/> HH:MM:SS
Incident duration (in Minutes) *	<input type="text" value="35"/>
Technical Glitch Details *	Technical Glitch Happens
Whether Disruption due to Network Issues *	<input type="text" value="NO"/>
Architecture Diagram	
Date Time of Reporting *	25/10/2024 18:25:02
<b>BACK</b>	<b>UPDATE</b> <b>NEXT</b>

11. Once you click on the “Next,” after that the below window will be visible.

Root Cause Analysis Report	
Member Code : 1234	Member Name : DUMMY_1234
Date and Time of Incident *	25/10/2024 <input type="text" value="00:00:00"/> HH:MM:SS
Date - Time of Recovery *	25/10/2024 <input type="text" value="00:00:00"/> HH:MM:SS
Incident duration (in Minutes) *	<input type="text"/>
Incident caused by: *	<input type="radio"/> Broker <input type="radio"/> Vendor
Incident Description and Chronology of the Events: *	<input type="text"/>
Categorization of the Glitch *	<input type="checkbox"/> Software <input type="checkbox"/> Hardware <input type="checkbox"/> Other
Business Impact *	Number of clients impacted * <input type="text"/> Number of client orders impacted * <input type="text"/> Any PBL impact? * <input type="text"/> Any other impact on Business? * <input type="text"/>
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received * <input type="text"/> Number of Complaints Settled * <input type="text"/> Number of pending complaints * <input type="text"/> Total amount claimed by complainants. * <input type="text"/>
Was the issue caused or encountered by a third-party vendor or service provider? *	<input type="radio"/> YES <input type="radio"/> NO
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input type="radio"/> YES <input type="radio"/> NO
Were all operations shifted to DR Site? *	<input type="radio"/> YES <input type="radio"/> NO
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input type="radio"/> YES <input type="radio"/> NO
Date-Time of submission *	14/11/2024 12:06:29
Root Cause Analysis *	<input type="text"/> <input type="button" value="Choose File"/> <input type="text" value="NO FILE CHOSEN"/>
Backup Measures *	<input type="text"/> <input type="button" value="Choose File"/> <input type="text" value="NO FILE CHOSEN"/>
Long Term Action *	<input type="text"/> <input type="button" value="Choose File"/> <input type="text" value="NO FILE CHOSEN"/>
Preventive measures taken *	<input type="text"/> <input type="button" value="Choose File"/> <input type="text" value="NO FILE CHOSEN"/>
<b>BACK</b>	<b>SAVE</b>

(\* ) Marked will be mandatory.

12. For fill up the form

- i. You can review the Data of Incident and recovery, fill the Time of Incident and Recovery of the Technical Glitch.



Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	25/10/2024	00:00:00	HH:MM:SS
Date - Time of Recovery *	25/10/2024	00:00:00	HH:MM:SS
Incident duration (in Minutes) *			
Incident caused by: *	<input type="radio"/> Broker <input type="radio"/> Vendor		
Incident Description and Chronology of the Events: *			
Categorization of the Glitch *	<input type="checkbox"/> Software <input type="checkbox"/> Hardware <input type="checkbox"/> Other		
Business Impact *	Number of clients impacted *		
	Number of client orders impacted *		
	Any P&L impact? *		
	Any other impact on Business? *		
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *		
	Number of Complaints Settled *		
	Number of pending complaints *		
	Total amount claimed by complainants. *		
Was the issue caused or encountered by a third-party vendor or service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input type="radio"/> YES <input type="radio"/> NO		
Were all operations shifted to DR Site? *	<input type="radio"/> YES <input type="radio"/> NO		
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	14/11/2024 12:06:29		
Root Cause Analysis *		Choose File	NO FILE CHOSEN
Backup Measures *		Choose File	NO FILE CHOSEN
Long Term Action *		Choose File	NO FILE CHOSEN
Preventive measures taken *		Choose File	NO FILE CHOSEN
<b>BACK</b>		<b>SAVE</b>	

ii. Mention the Incident caused by Your End (Broker) or Vendor end by select the option.

Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	25/10/2024	00:00:00	HH:MM:SS
Date - Time of Recovery *	25/10/2024	00:00:00	HH:MM:SS
Incident duration (in Minutes) *			
Incident caused by: *	<input type="radio"/> Broker <input type="radio"/> Vendor		
Incident Description and Chronology of the Events: *			
Categorization of the Glitch *	<input type="checkbox"/> Software <input type="checkbox"/> Hardware <input type="checkbox"/> Other		
Business Impact *	Number of clients impacted *		
	Number of client orders impacted *		
	Any P&L impact? *		
	Any other impact on Business? *		
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *		
	Number of Complaints Settled *		
	Number of pending complaints *		
	Total amount claimed by complainants. *		
Was the issue caused or encountered by a third-party vendor or service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input type="radio"/> YES <input type="radio"/> NO		
Were all operations shifted to DR Site? *	<input type="radio"/> YES <input type="radio"/> NO		
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	14/11/2024 12:06:29		
Root Cause Analysis *		Choose File	NO FILE CHOSEN
Backup Measures *		Choose File	NO FILE CHOSEN
Long Term Action *		Choose File	NO FILE CHOSEN
Preventive measures taken *		Choose File	NO FILE CHOSEN
<b>BACK</b>		<b>SAVE</b>	

iii. Fill the Chronological event that happened in the input field. Select the Technical Glitch Classification, and check mark near the issue.

Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	25/10/2024	00:00:00	HH:MM:SS
Date - Time of Recovery *	25/10/2024	00:00:00	HH:MM:SS
Incident duration (in Minutes) *			
Incident caused by: *	<input type="radio"/> Broker <input type="radio"/> Vendor		
Incident Description and Chronology of the Events: *			
Categorization of the Glitch *	<input type="checkbox"/> Software <input type="checkbox"/> Hardware <input type="checkbox"/> Other		
Business Impact *	Number of clients impacted *		
	Number of client orders impacted *		
	Any P&L impact? *		
	Any other impact on Business? *		
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *		
	Number of Complaints Settled *		
	Number of pending complaints *		
	Total amount claimed by complainants. *		
Was the issue caused or encountered by a third-party vendor or service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input type="radio"/> YES <input type="radio"/> NO		
Were all operations shifted to DR Site? *	<input type="radio"/> YES <input type="radio"/> NO		
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	14/11/2024 12:06:29		
Root Cause Analysis *		Choose File	NO FILE CHOSEN
Backup Measures *		Choose File	NO FILE CHOSEN
Long Term Action *		Choose File	NO FILE CHOSEN
Preventive measures taken *		Choose File	NO FILE CHOSEN
<b>BACK</b>			<b>SAVE</b>

If issues are not mentioned, then select the “Other” option. Further, an input field will be open to fill the additional input.

Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	25/10/2024	00:00:00	HH:MM:SS
Date - Time of Recovery *	25/10/2024	00:00:00	HH:MM:SS
Incident duration (in Minutes) *			
Incident caused by: *	<input type="radio"/> Broker <input type="radio"/> Vendor		
Incident Description and Chronology of the Events: *			
Categorization of the Glitch *	<input type="checkbox"/> Software <input type="checkbox"/> Hardware <input type="checkbox"/> Other		
Business Impact *	Number of clients impacted *		
	Number of client orders impacted *		
	Any P&L impact? *		
	Any other impact on Business? *		
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *		
	Number of Complaints Settled *		
	Number of pending complaints *		
	Total amount claimed by complainants. *		
Was the issue caused or encountered by a third-party vendor or service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input type="radio"/> YES <input type="radio"/> NO		
Were all operations shifted to DR Site? *	<input type="radio"/> YES <input type="radio"/> NO		
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	14/11/2024 12:06:29		
Root Cause Analysis *		Choose File	NO FILE CHOSEN
Backup Measures *		Choose File	NO FILE CHOSEN
Long Term Action *		Choose File	NO FILE CHOSEN
Preventive measures taken *		Choose File	NO FILE CHOSEN
<b>BACK</b>			<b>SAVE</b>

iv. Mention the Business impacted details with correct data.

Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	25/10/2024	00:00:00	HH:MM:SS
Date - Time of Recovery *	25/10/2024	00:00:00	HH:MM:SS
Incident duration (in Minutes) *			
Incident caused by: *	<input type="radio"/> Broker <input type="radio"/> Vendor		
Incident Description and Chronology of the Events: *			
Categorization of the Glitch *	<input type="checkbox"/> Software <input type="checkbox"/> Hardware <input type="checkbox"/> Other		
Business Impact *	Number of clients impacted *		
	Number of client orders impacted *		
	Any P&L impact? *		
	Any other impact on Business? *		
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *		
	Number of Complaints Settled *		
	Number of pending complaints *		
	Total amount claimed by complainants. *		
Was the issue caused or encountered by a third-party vendor or service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input type="radio"/> YES <input type="radio"/> NO		
Were all operations shifted to DR Site? *	<input type="radio"/> YES <input type="radio"/> NO		
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	14/11/2024 12:06:29		
Root Cause Analysis *		Choose File	NO FILE CHOSEN
Backup Measures *		Choose File	NO FILE CHOSEN
Long Term Action *		Choose File	NO FILE CHOSEN
Preventive measures taken *		Choose File	NO FILE CHOSEN
<b>BACK</b>	<b>SAVE</b>		

v. Mention the Client Complaints received and resolution with correct data.

Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	25/10/2024	00:00:00	HH:MM:SS
Date - Time of Recovery *	25/10/2024	00:00:00	HH:MM:SS
Incident duration (in Minutes) *			
Incident caused by: *	<input type="radio"/> Broker <input type="radio"/> Vendor		
Incident Description and Chronology of the Events: *			
Categorization of the Glitch *	<input type="checkbox"/> Software <input type="checkbox"/> Hardware <input type="checkbox"/> Other		
Business Impact *	Number of clients impacted *		
	Number of client orders impacted *		
	Any P&L impact? *		
	Any other impact on Business? *		
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *		
	Number of Complaints Settled *		
	Number of pending complaints *		
	Total amount claimed by complainants. *		
Was the issue caused or encountered by a third-party vendor or service provider? *	<input type="radio"/> YES <input type="radio"/> NO		
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input type="radio"/> YES <input type="radio"/> NO		
Were all operations shifted to DR Site? *	<input type="radio"/> YES <input type="radio"/> NO		
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	14/11/2024 12:06:29		
Root Cause Analysis *		Choose File	NO FILE CHOSEN
Backup Measures *		Choose File	NO FILE CHOSEN
Long Term Action *		Choose File	NO FILE CHOSEN
Preventive measures taken *		Choose File	NO FILE CHOSEN
<b>BACK</b>	<b>SAVE</b>		

vi. If the technical glitch was not happed by third party vendor, then choose “No.”

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 25/10/2024 00:00:00 HH:MM:SS

Date - Time of Recovery \* 25/10/2024 00:00:00 HH:MM:SS

Incident duration (in Minutes) \*

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \*

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*

Number of clients impacted \*

Number of client orders impacted \*

Any P&L impact? \*

Any other impact on Business? \*

Details of Client Complaints Received (Please provide details of claims of impacted clients) \*

Number of Complaints Received \*

Number of Complaints Settled \*

Number of pending complaints \*

Total amount claimed by complainants. \*

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Were all operations shifted to DR Site? \*  YES  NO

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*

Date-Time of submission 14/11/2024 12:06:29

Root Cause Analysis \*  Choose File NO FILE CHOSEN

Backup Measures \*  Choose File NO FILE CHOSEN

Long Term Action \*  Choose File NO FILE CHOSEN

Preventive measures taken \*  Choose File NO FILE CHOSEN

**BACK** **SAVE**

If the technical glitch was happed by third party vendor, then choose “Yes.” After choosing the “Yes” option fill up with correct inputs.

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 01/10/2024 15:09:00 HH:MM:SS

Date - Time of Recovery \* 01/10/2024 15:45:00 HH:MM:SS

Incident duration (in Minutes) \* 36

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \* WE WERE SENDING SOME UNWANTED DATA OVER NETWORK WHILE DOING ONLINE LIMIT UPLOAD WHICH CAUSED THIS DELAY

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*

Number of clients impacted \* 50

Number of client orders impacted \* 250000

Any P&L impact? \* NO

Any other impact on Business? \* NO

Details of Client Complaints Received (Please provide details of claims of impacted clients) \*

Number of Complaints Received \* 5

Number of Complaints Settled \* 3

Number of pending complaints \* 2

Total amount claimed by complainants. \* 50000

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

What services are being provided by the third-party vendor or service provider? \* Network

Time taken (in Minutes) by third-party vendor or service provider to resolve the issue. \* 00:05:00 HH:MM:SS

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Mention Date and Time: \* 01/10/2024 15:30:00 HH:MM:SS

Were all operations shifted to DR Site? \*  YES  NO

What was the RTOT? (Specify in minutes) \* 00:05:00 HH:MM:SS

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*

Date-Time of submission 22/10/2024 16:53:08

Root Cause Analysis \* DRAFT Choose File NO FILE CHOSEN [1. BSE notice 20240712-3.pdf](#)

Backup Measures \* DRAFT Choose File NO FILE CHOSEN [2. SEBI C.B.CRF Circular Implementation Status.xlsx](#)

Long Term Action \* DRAFT Choose File NO FILE CHOSEN [1. BSE notice 20240712-3.pdf](#)

Preventive measures taken \* DRAFT Choose File NO FILE CHOSEN [2. SEBI C.B.CRF Circular Implementation Status.xlsx](#)

vii. If the technical glitch was not happed before you submit the RCA report, then choose “No.”

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 25/10/2024 00:00:00 HH:MM:SS

Date - Time of Recovery \* 25/10/2024 00:00:00 HH:MM:SS

Incident duration (in Minutes) \*

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \*

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*  
 Number of clients impacted \*  
 Number of client orders impacted \*  
 Any P&L impact? \*  
 Any other impact on Business? \*

Details of Client Complaints Received  
 (Please provide details of claims of impacted clients) \*  
 Number of Complaints Received \*  
 Number of Complaints Settled \*  
 Number of pending complaints \*  
 Total amount claimed by complainants. \*

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Were all operations shifted to DR Site? \*  YES  NO

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*

Date-Time of submission \* 14/11/2024 12:06:29

Root Cause Analysis \* Choose File NO FILE CHOSEN

Backup Measures \* Choose File NO FILE CHOSEN

Long Term Action \* Choose File NO FILE CHOSEN

Preventive measures taken \* Choose File NO FILE CHOSEN

**BACK** **SAVE**

If the technical glitch was happened before you submit the RCA report, then choose “Yes.” After choosing the “Yes” option fill up with correct inputs.

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 01/10/2024 15:09:00 HH:MM:SS

Date - Time of Recovery \* 01/10/2024 15:45:00 HH:MM:SS

Incident duration (in Minutes) \* 36

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \* WE WERE SENDING SOME UNWANTED DATA OVER NETWORK WHILE DOING ONLINE LIMIT UPLOAD WHICH CAUSED THIS DELAY

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*  
 NETWORK  
 Number of clients impacted \* 50  
 Number of client orders impacted \* 250000  
 Any P&L impact? \* NO  
 Any other impact on Business? \* NO

Details of Client Complaints Received  
 (Please provide details of claims of impacted clients) \*  
 Number of Complaints Received \* 5  
 Number of Complaints Settled \* 3  
 Number of pending complaints \* 2  
 Total amount claimed by complainants. \* 50000

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

What services are being provided by the third-party vendor or service provider? \* Network

Time taken (in Minutes) by third-party vendor or service provider to resolve the issue. \* 00:05:00 HH:MM:SS

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Mention Date and Time: \* 01/10/2024 15:30:00 HH:MM:SS

Were all operations shifted to DR Site? \*  YES  NO

What was the RT0? (Specify in minutes) \* 00:05:00 HH:MM:SS

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*

Date-Time of submission \* 22/10/2024 16:53:08

Root Cause Analysis \* DRAFT Choose File NO FILE CHOSEN [1\\_BSE\\_notice\\_20240719-1.pdf](#)

Backup Measures \* DRAFT Choose File NO FILE CHOSEN [2\\_SEBI\\_CSCRF\\_Circular\\_Implementation\\_Status.xlsx](#)

Long Term Action \* DRAFT Choose File NO FILE CHOSEN [1\\_BSE\\_notice\\_20240719-2.pdf](#)

Preventive measures taken \* DRAFT Choose File NO FILE CHOSEN [2\\_SEBI\\_CSCRF\\_Circular\\_Implementation\\_Status.xlsx](#)

viii. If you have not moved the operation to DR site, then choose “No.”

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 25/10/2024 00:00:00 HH:MM:SS

Date - Time of Recovery \* 25/10/2024 00:00:00 HH:MM:SS

Incident duration (in Minutes) \*

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \*

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*  
 Number of clients impacted \*  
 Number of client orders impacted \*  
 Any P&L impact? \*  
 Any other impact on Business? \*

Details of Client Complaints Received  
 (Please provide details of claims of impacted clients) \*  
 Number of Complaints Received \*  
 Number of Complaints Settled \*  
 Number of pending complaints \*  
 Total amount claimed by complainants. \*

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Were all operations shifted to DR Site? \*  YES  NO

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*

Date-Time of submission 14/11/2024 12:06:29

Root Cause Analysis \* Choose File NO FILE CHOSEN

Backup Measures \* Choose File NO FILE CHOSEN

Long Term Action \* Choose File NO FILE CHOSEN

Preventive measures taken \* Choose File NO FILE CHOSEN

**BACK** **SAVE**

If you moved the operation to DR site, then choose “Yes.” After choosing the “Yes” option fill up with correct inputs.

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 01/10/2024 15:09:00 HH:MM:SS

Date - Time of Recovery \* 01/10/2024 15:45:00 HH:MM:SS

Incident duration (in Minutes) \* 36

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \* WE WERE SENDING SOME UNWANTED DATA OVER NETWORK WHILE DOING ONLINE LIMIT UPLOAD WHICH CAUSED THIS DELAY

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*  
 NETWORK  
 Number of clients impacted \* 50  
 Number of client orders impacted \* 250000  
 Any P&L impact? \* NO  
 Any other impact on Business? \* NO

Details of Client Complaints Received  
 (Please provide details of claims of impacted clients) \*  
 Number of Complaints Received \* 5  
 Number of Complaints Settled \* 3  
 Number of pending complaints \* 2  
 Total amount claimed by complainants. \* 50000

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

What services are being provided by the third-party vendor or service provider? \* Network

Time taken (in Minutes) by third-party vendor or service provider to resolve the issue. \* 00:05:00 HH:MM:SS

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Mention Date and Time: \* 01/10/2024 15:30:00 HH:MM:SS

Were all operations shifted to DR Site? \*  YES  NO

What was the RT0? (Specify in minutes) \* 00:05:00 HH:MM:SS

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*  YES  NO

Date-Time of submission 22/10/2024 16:53:08

Root Cause Analysis \* DRAFT Choose File NO FILE CHOSEN [1\\_BSE notice 202407123.pdf](#)

Backup Measures \* DRAFT Choose File NO FILE CHOSEN [2\\_SEBI CSCRF Circular Implementation Status.xlsx](#)

Long Term Action \* DRAFT Choose File NO FILE CHOSEN [1\\_BSE notice 202407123.pdf](#)

Preventive measures taken \* DRAFT Choose File NO FILE CHOSEN [2\\_SEBI CSCRF Circular Implementation Status.xlsx](#)

- ix. If the Technical Glitch happened more then 45minutes then Choose the Option “Yes”, And RAC Report must signature by Independent Auditor.

Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	01/10/2024	15:09:00	HH:MM:SS
Date - Time of Recovery *	01/10/2024	15:45:00	HH:MM:SS
Incident duration (in Minutes) *	36		
Incident caused by: *	<input type="radio"/> Broker <input checked="" type="radio"/> Vendor		
Incident Description and Chronology of the Events: *	WE WERE SENDING SOME UNWANTED DATA OVER NETWORK WHILE DOING ONLINE LIMIT UPLOAD WHICH CAUSED THIS DELAY		
Categorization of the Glitch *	<input checked="" type="checkbox"/> Software <input checked="" type="checkbox"/> Hardware <input checked="" type="checkbox"/> Other		
	NETWORK		
Business Impact *	Number of clients impacted *	50	
	Number of client orders impacted *	250000	
	Any P&L impact? *	NO	
	Any other impact on Business? *	NO	
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *	5	
	Number of Complaints Settled *	3	
	Number of pending complaints *	2	
	Total amount claimed by complainants. *	50000	
Was the issue caused or encountered by a third-party vendor or service provider? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	What services are being provided by the third-party vendor or service provider? *	Network	
	Time taken (in Minutes) by third-party vendor or service provider to resolve the issue. *	00:05:00	HH:MM:SS
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	Mention Date and Time: *	01/10/2024	15:30:00 HH:MM:SS
Were all operations shifted to DR Site? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	What was the RTOT? (Specify in minutes) *	00:05:00	HH:MM:SS
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	22/10/2024 16:53:08		
Root Cause Analysis *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">1. BSE notice 20240712-3.pdf</a>
Backup Measures *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">2. SEBI C SCRF Circular Implementation Status.xlsx</a>
Long Term Action *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">1. BSE notice 20240712-3.pdf</a>
Preventive measures taken *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">2. SEBI C SCRF Circular Implementation Status.xlsx</a>

- x. Then upload the Root Cause Analysis Report, Back Measure Report, Long Term Action Report and Prevention measure taken report.

Root Cause Analysis Report			
Member Code :	1234	Member Name :	DUMMY_1234
Date and Time of Incident *	01/10/2024	15:09:00	HH:MM:SS
Date - Time of Recovery *	01/10/2024	15:45:00	HH:MM:SS
Incident duration (in Minutes) *	36		
Incident caused by: *	<input type="radio"/> Broker <input checked="" type="radio"/> Vendor		
Incident Description and Chronology of the Events: *	WE WERE SENDING SOME UNWANTED DATA OVER NETWORK WHILE DOING ONLINE LIMIT UPLOAD WHICH CAUSED THIS DELAY		
Categorization of the Glitch *	<input checked="" type="checkbox"/> Software <input checked="" type="checkbox"/> Hardware <input checked="" type="checkbox"/> Other		
	NETWORK		
Business Impact *	Number of clients impacted *	50	
	Number of client orders impacted *	250000	
	Any P&L impact? *	NO	
	Any other impact on Business? *	NO	
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received *	5	
	Number of Complaints Settled *	3	
	Number of pending complaints *	2	
	Total amount claimed by complainants. *	50000	
Was the issue caused or encountered by a third-party vendor or service provider? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	What services are being provided by the third-party vendor or service provider? *	Network	
	Time taken (in Minutes) by third-party vendor or service provider to resolve the issue. *	00:05:00	HH:MM:SS
Has a similar issue been encountered prior to the submission of this RCA Report? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	Mention Date and Time: *	01/10/2024	15:30:00 HH:MM:SS
Were all operations shifted to DR Site? *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
	What was the RTOT? (Specify in minutes) *	00:05:00	HH:MM:SS
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	<input checked="" type="radio"/> YES <input type="radio"/> NO		
Date-Time of submission *	22/10/2024 16:53:08		
Root Cause Analysis *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">1. BSE notice 20240712-3.pdf</a>
Backup Measures *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">2. SEBI C SCRF Circular Implementation Status.xlsx</a>
Long Term Action *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">1. BSE notice 20240712-3.pdf</a>
Preventive measures taken *	DRAFT	Choose File	NO FILE CHOSEN <a href="#">2. SEBI C SCRF Circular Implementation Status.xlsx</a>

- xi. After reviewing the form, click on the “save” button.

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 25/10/2024 00:00:00 HH:MM:SS

Date - Time of Recovery \* 25/10/2024 00:00:00 HH:MM:SS

Incident duration (in Minutes) \*

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \*

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*  
 Number of clients impacted \*  
 Number of client orders impacted \*  
 Any P&L impact? \*  
 Any other impact on Business? \*

Details of Client Complaints Received  
 (Please provide details of claims of impacted clients) \*  
 Number of Complaints Received \*  
 Number of Complaints Settled \*  
 Number of pending complaints \*  
 Total amount claimed by complainants. \*

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Were all operations shifted to DR Site? \*  YES  NO

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*  YES  NO

Date-Time of submission \* 14/11/2024 12:06:29

Root Cause Analysis \*   NO FILE CHOSEN

Backup Measures \*   NO FILE CHOSEN

Long Term Action \*   NO FILE CHOSEN

Preventive measures taken \*   NO FILE CHOSEN

xii. If you need to update any data, fill the section, and click on the “Update” Button.

**Root Cause Analysis Report**

Member Code : 1234 Member Name : DUMMY\_1234

Date and Time of Incident \* 01/10/2024 15:09:00 HH:MM:SS

Date - Time of Recovery \* 01/10/2024 15:45:00 HH:MM:SS

Incident duration (in Minutes) \* 36

Incident caused by: \*  Broker  Vendor

Incident Description and Chronology of the Events: \* WE WERE SENDING SOME UNWANTED DATA OVER NETWORK WHILE DOING ONLINE LIMIT UPLOAD WHICH CAUSED THIS DELAY

Categorization of the Glitch \*  Software  Hardware  Other

Business Impact \*  
 NETWORK  
 Number of clients impacted \* 50  
 Number of client orders impacted \* 250000  
 Any P&L impact? \* NO  
 Any other impact on Business? \* NO

Details of Client Complaints Received  
 (Please provide details of claims of impacted clients) \*  
 Number of Complaints Received \* 5  
 Number of Complaints Settled \* 3  
 Number of pending complaints \* 2  
 Total amount claimed by complainants. \* 50000

Was the issue caused or encountered by a third-party vendor or service provider? \*  YES  NO

What services are being provided by the third-party vendor or service provider? \* Network

Time taken (in Minutes) by third-party vendor or service provider to resolve the issue. \* 00:05:00 HH:MM:SS

Has a similar issue been encountered prior to the submission of this RCA Report? \*  YES  NO

Mention Date and Time: \* 01/10/2024 15:30:00 HH:MM:SS

Were all operations shifted to DR Site? \*  YES  NO

If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. \*  YES  NO

Date-Time of submission \* 22/10/2024 16:53:08

Root Cause Analysis \* DRAFT  NO FILE CHOSEN [1. BSE notice 20240712-3.pdf](#)

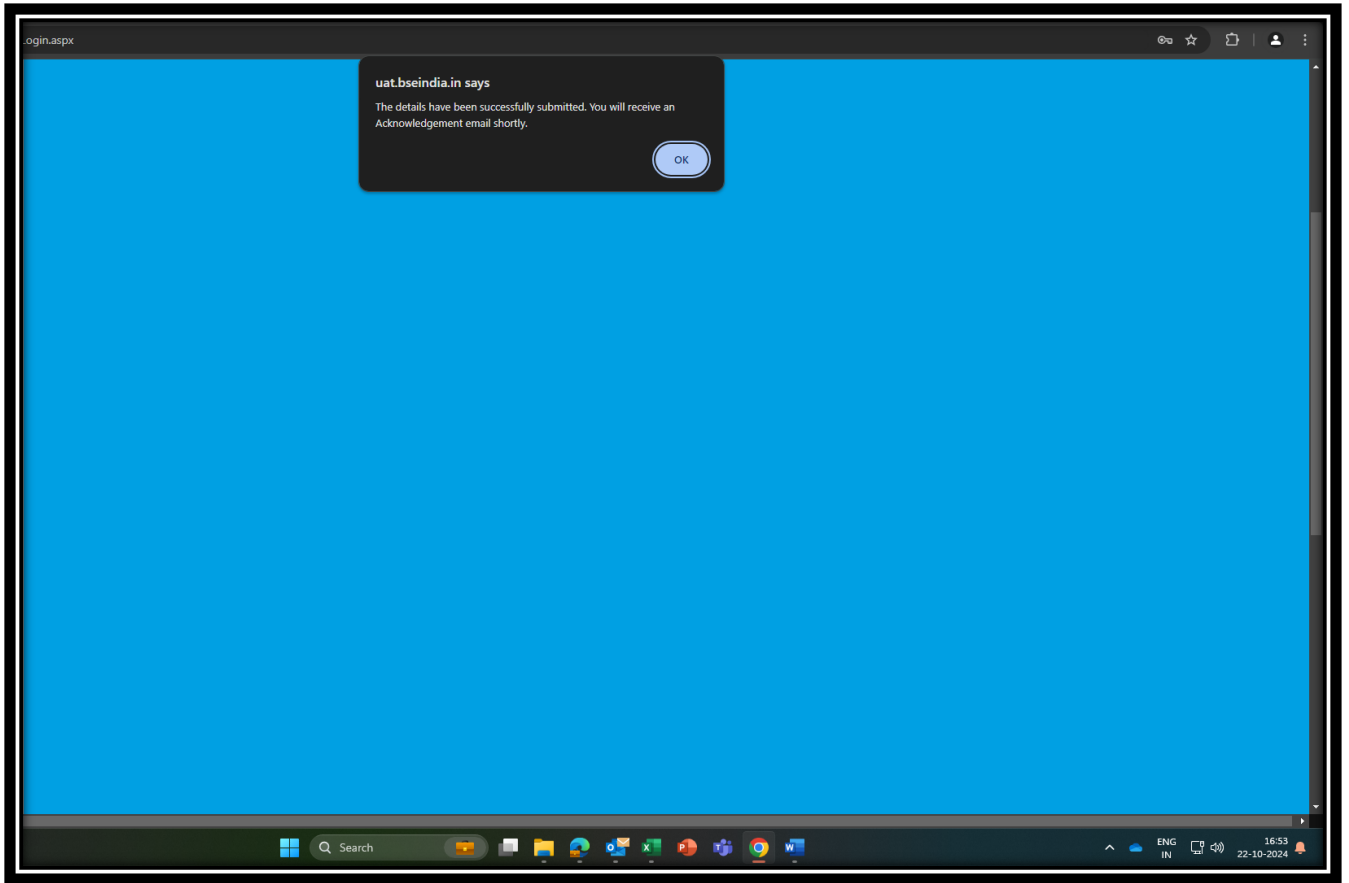
Backup Measures \* DRAFT  NO FILE CHOSEN [2. SEBI C.SCRF Circular Implementation Status.xlsx](#)

Long Term Action \* DRAFT  NO FILE CHOSEN [1. BSE notice 20240712-3.pdf](#)

Preventive measures taken \* DRAFT  NO FILE CHOSEN [2. SEBI C.SCRF Circular Implementation Status.xlsx](#)

xiii. After successful submission, a submission alert will be visible. And an acknowledgement mail will be sent to the register email id.





**\*\*\*\*\*End of The Document\*\*\*\*\***