



# **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://befs.bseindia.com/Login.aspx

|                      |                                     | BEFS                                    |
|----------------------|-------------------------------------|---|
| ESE Electronic       | Member Code<br>Login Id<br>Password | 1234<br>1234<br>ECA4E7                  |
| Forgot Your Password | Enter Captcha                       | EC44F7<br>Login<br>Please login to BEFS |
| BSE Electroni        | c Filing System                     |   |

2. <u>After Successful login, Select Technical Glitch option in Menu.</u>

Technical Glitch

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

| Technical Glitch     | ¥ | 07th June 2022 Sebi Adherence Status Submission    |
|----------------------|---|--|
| Technology Services  | ۲ | 3rd Nov 2020 Sebi / Cert-in Saas Circular Reportin |
| Trader Id Automation | ۲ | Technical Glitch Form                              |



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

- 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.

Technical Glitch Dashboard Code + 123 NEW REQUEST OF TECHNICAL GLITCH

Once you click on the "NEW REQUEST OF TECHNICAL GLITCH", the below window will be displayed.

|   | Technica                   | al Glitch Intimation                    |            |
|---|----------------------------|---|------------|
| Member Code :   | 1234                       | Member Name :                           | DUMMY_1234 |
| Impacted Exchange *   | BSE NSE MCX NCDEX MSEI     |   |            |
| Technical Glitch Classification *   |                            | SSUES OTHER HAADWARE ISSUES HUMAN ERROR |            |
| 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   | 00:00:00                   | HH:MM:SS                                |            |
| Duration of Technical Glitch (in Minutes)   |                            |   |            |
| Technical Glitch Description "  |                            |   | <i>h</i>   |
| Date-time of Reporting *  | 31/10/2024 11:11:54        |   |            |
| Impacted System *   | Select                     | v                                       |            |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE CHOSEN |   |            |
| BACK  |                            | SAVE                                    |            |

(\*) Marked will be mandatory.



#### > For fill up the form

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

|   | Technical 🤅  | Slitch Intimation                    |            |
|---|--|--------------------------------------|------------|
| Hember Code :   | 1234   | Member Name :                        | DUMMY_1234 |
|   |  |                                      |            |
| Impacted Exchange * Technical Glitch Classification *   | NETWORK CONNECTIVITY ISSUES         SOFTWARE ISSUE           HARDWARE ISSUES         HUMAN ERROR | ES OTHER HARDWARE ISSUES HUMAN ERROR |            |
| 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)   |  |                                      |            |
| Designated / Reporting Officer * Email Of Designated Officer * Mobile No Of Designated Officer * Start Date and time of Technical Glitch * End Date and time of Technical Glitch Duration of Technical Glitch (Minutes) Technical Glitch Description * Detertime of Reporting * Impacted System * Impacted System * |  |                                      | 4          |
| Date-time of Reporting *  | 31/10/2024 11:11:54  |                                      |            |
| Impacted System *   | Select   | <b>v</b>                             |            |
| (Please attach screenshots of communications to clients) *  | Choose File NO FILE CHOSEN   |                                      |            |
| ВАСК  |  | SAVE                                 |            |

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

|   |   | Technical Glitch | Intimation       |                    |            |
|---|---|------------------|------------------|--------------------|------------|
| Member Code :   | 1234  |                  |                  | Member Name :      | DUMMY_1234 |
| Impacted Exchange *   |   | DEX 🗌 MSEI       |                  |                    |            |
| Member Code :         Impacted Exchange *         Technial Glitch Classification *         Designated / Reporting Officer *         Email Of Designated Officer *         Email Of Designated Officer *         Start Date and time of Technical Glitch *         End Date and time of Technical Glitch *         End Date and time of Technical Glitch (in Minutes)         Technical Glitch (in Minutes)         Technical Glitch System *         Impacted System *         Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) *         BACK | NETWORK CONNECTIVITY ISSU     HARDWARE ISSUES |                  | OTHER HARDWARE I | ISSUES HUMAN ERROR |            |
| 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 *  |   |                  |                  |                    | h.         |
| Date-time of Reporting *  | 31/10/2024 11:11:54                           |                  |                  |                    |            |
| Impacted System *   | Select  |                  | v                |                    |            |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) *   | Choose File NO FILE CHOSEN                    |                  |                  |                    |            |
| ВАСК  |   |                  |                  | SAVE               |            |

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 |                             |  |
|---|---------------------|-----------|-------------------|-----------------------------|--|
| Member Code :   | 1234                |           |                   | Member Name :               |  |
| Impacted Exchange *   |                     |           |                   |                             |  |
| Technical Gloch Classification *  | HARDWARE ISSUES     |           |                   | HARDWARE ISSUES HUMAN ERROR |  |
| 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 14:46:59 |           |                   |                             |  |
| Impacted System *   | Select              |           | *                 |                             |  |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE | CHOSEN    |                   |                             |  |

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

|   | Technical                  | Glitch Intimation                     |            |
|---|----------------------------|---------------------------------------|------------|
| Member Code :   | 1234                       | Nember Name :                         | DUMMY_1234 |
| Impacted Exchange *   | BSE NSE MCX NCDEX MSEI     |                                       |            |
| Technical Glitch Classification *   |                            | UES OTHER HARDWARE ISSUES HUMAN ERROR |            |
|   |                            |                                       | h.         |
| 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 *  |                            |                                       | <i>i.</i>  |
| Date-time of Reporting *  | 13/11/2024 14:46:59        |                                       |            |
| Impacted System *   | Select                     | ~                                     |            |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE CHOSEN |                                       |            |
| BACK  |                            | SAVE                                  |            |
|   |                            |                                       |            |

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

|   |   | Technical | Glitch Intimation                      |   |
|---|---|-----------|--|---|
| Member Code :   | 1234                                    |           | Member Name :                          |   |
| Impacted Exchange *   |   |           |  |   |
| Technical Glitch Classification *   | NETWORK CONNECTIVIT     HARDWARE ISSUES |           | LES OTHER OHARDWARE ISSUES HUMAN ERROR |   |
|   |   |           |  | h |
| Designated / Reporting Officer *<br>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 14:46:59                     |           |  |   |
| Impacted System *   | Select                                  |           | •                                      |   |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE CHOS                | EN        |  |   |

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

|   | Technical Glitch I   | ntimation                        |           |
|---|--|----------------------------------|-----------|
| Member Code :   | 1234   | Member Name :                    | DUMMY_123 |
| Impacted Exchange *   | BSE NSE MCX NCDEX MSEI   |                                  |           |
| Technical Glitch Classification *   | □ NETWORK CONNECTIVITY ISSUES □ SOFTWARE ISSUES □ O<br>□ HARDWARE ISSUES □ HUMAN ERROR □ N | THER HARDWARE ISSUES HUMAN ERROR |           |
|   |  |                                  | 6         |
| 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 *  |  |                                  | 6         |
| Date-time of Reporting *  | 13/11/2024 14:46:59  |                                  |           |
| Impacted System *   | Select   | v                                |           |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE CHOSEN   |                                  |           |
| BACK  |  | SAVE                             |           |

vi. Select the Impacted System from the Dropdown list.

|   | Technica   | l Glitch Intimation                    |          |
|---|--|--|----------|
| Member Code :   | 1234   | Member Name :                          | DUMMY_12 |
| Impacted Exchange *   | BSE NSE MCX NCDEX MSEI   |  |          |
| Technical Glitch Classification *   | NETWORK CONNECTIVITY ISSUES     SOFTWARE ISSUES     HUMAN ERRO | SUES OTHER HARDWARE ISSUES HUMAN ERROR |          |
|   |  |  | 6        |
| 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 14:46:59  |  |          |
| Impacted System *   | Select   | v                                      |          |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Select<br>Trading System                                       |  |          |
| BACK  | Backoffice System  | SAVE                                   |          |
| DACK  | beckonice bystem   | SAVE                                   |          |

BSE

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 Glite             | h Intimation                      |            |
|---|--------------------------------------|-----------------------------|-----------------------------------|------------|
| Member Code :   | 1234                                 |                             | Member Name :                     | DUMMY_1234 |
| Impacted Exchange *   |                                      | X ONCOEX MSEI               |                                   |            |
| Technical Glitch Classification *   | NETWORK CONNECTE     HARDWARE ISSUES | VITY ISSUES SOFTWARE ISSUES | OTHER HARDWARE ISSUES HUMAN ERROR |            |
| 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                               |                             | v                                 | <i>k</i> . |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE CH               | OSEN                        |                                   |            |
| BACK  |                                      |                             | SAVE                              |            |
|   |                                      |                             |                                   |            |

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

|   | Technic                    | al Glitch Intimation                       |   |
|---|----------------------------|--|---|
| Member Code :   | 1234                       | Member Name :                              |   |
| Impacted Exchange *   | BSE NSE MCX NCDEX MSEI     |  |   |
| Technical Glitch Classification *   |                            | ISSUES OTHER OHARDWARE ISSUES OHUMAN ERROR |   |
| 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 *  | 31/10/2024 11:11:54        |  | " |
| Impacted System *   | Select                     | v  |   |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE CHOSEN |  |   |

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 Glitcl         | I Intimation                       |            |
|---|---|--------------------------|------------------------------------|------------|
| Member Code :   | 1234                                    |                          | Hember Name :                      | DUMMY_1234 |
| Impacted Exchange *   | BSE NSE MCX                             |                          |                                    |            |
| Technical Glitch Classification "   | NETWORK CONNECTIVIT     HARDWARE ISSUES | Y ISSUES SOFTWARE ISSUES | OTHER OHARDWARE ISSUES HUMAN ERROR |            |
| 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 13:34:42                     |                          |                                    |            |
| Impacted System *   | Others                                  |                          | •                                  |            |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE CHOS                | EN                       |                                    |            |
| BACK  |   |                          | SAVE                               |            |
|   |   |                          |                                    |            |

| C C https://uat.bseindia.in/befs/Chee                      |  | t.bseindia.in says   | - <b>0</b> -   | A 🗘 🛱 🏟      |
|--|--|--|--|--------------|
| BSE<br>The Power of Vibrance                               | Login Id<br>Member Kame<br>Date  | e details have been successfully submitted. You will receive a<br>knowledgement email shortly. | or C   |              |
| Hide Meeu A System Audit Report Advertisement For Approval |  | Technical Gli  | tch Intimation   |              |
| AP Registration Application For Additional Segment         | Member Code :  | 1231   | Member Name :  | Di           |
| Approval Of Technology Product                             | Impacted Exchange *  |  |  |              |
| Artificial Intelligence ( A I ) & Machine Learning         |  |  |  |              |
| ATR For Member Impersonation 🥯                             | Technical Gitch Classification *                                       | RETWORK CONNECTIVITY ISSUES HARD   | NARE ISSUES 🖾 SOFTWARE ISSUES 🖾 HUMAN ERROR. 🖾 OTHER   |              |
| B E F S Alerta   |  | Connectivity Issues  |  |              |
| BEFS Dashboard   |  |  |  |              |
| BEST - BSE Electronic Smart Trader                         | Designated / Reporting Officer *                                       | Test Name  |  |              |
| BOW - BOLTPlus On Web<br>Bulk / Block Reporting            | Email Of Designated Officer *  | testmal@gmail.com  |  |              |
| CES  | Nobile No Of Designated Officer *                                      | 9999999999   |  |              |
| Capturing Member Details                                   | Start Date and time of Technical Gitch *                               | 21/10/2024 09:25:00  | HH:MM:SS   |              |
| Central Kyc Records Registry                               | End Date and time of Technical Glitch                                  | 21/10/2024 . 10:30:00  | HR/MR/SS   |              |
| Change In Directors  | Duration of Technical Glitch (in Minutes)                              | 65   |  |              |
| Change Password  |  | 18T and STWT clients yere able to login and place  | orders. But CTOL Login was getting delayed response and trade confirmation on CTOL was delayed o | due to       |
| Client Code Modification                                   | Technical Glitch Description *   | uploading client limit file from file uploader.  |  |              |
| Client Funding Reporting                                   |  |  |  | h            |
| Collection Of Documents                                    | Date-time of Reporting *   | 22/10/2024 15:22:42  |  |              |
| olocation Services   | Impacted System "<br>Intimation to clients about the Technical Glitch. | Trading System   |  |              |
| Complaint Management  Compliance On Bank Guarantees        | (Please attach screenshots of communications to clients) *             | Choose File NO FILE CHOSEN   | Jaco -   | enshet/?lane |
| Cyber Incident Report                                      | BACK   |  | DATE   |              |
| Cyber Security & Cyber Resilience Audit                    | BACK   | UP   | DATE   |              |
| Debt Segment Registration                                  |  |  |  |              |
| Depository   |  |  |  |              |
| Display Of Brokerage, Statutory & Regulatory Levies        |  |  |  |              |
| Dissemination Board  |  |  |  |              |
| E-BOSS   |  |  |  |              |
| arly Warning Messages                                      |  |  |  |              |
| Enhance Supervision  |  |  |  |              |
| accution of Order New                                      |  |  |  |              |
| FIU-IND-STR Reporting                                      |  |  |  |              |
|  |  |  |  |              |

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

|  |   | Technical Glitch                                  | Intimation   |   |            |
|--|---|---|--|---|------------|
| Member Code : 123  | \$1   |   | 4  | Member Name :                                 | DUMNY_1231 |
| Impacted Exchange *  | BSE NSE MCX   | NCDEX MSEI  |  |   |            |
| Technical Glitch Classification *  | NETWORK CONNECTIV   | ITV ISSUES 🗹 HARDWARE                             | E ISSUES 🗹 SOFTWARE ISSUES 🗹 HUMAN ERROR               | OTHER   |            |
|  | Connectivity Issues   |   |  | li i  |            |
| Designated / Reporting Officer *   | Test Name   |   |  |   |            |
| Email Of Designated Officer *  | testmail@gmail.com  |   |  |   |            |
| Mobile No Of Designated Officer *  | 9999999999  |   |  |   |            |
| Start Date and time of Technical Glitch *  | 21/10/2024  | . 09:25:00  | HH:MM:SS   |   |            |
| End Date and time of Technical Glitch  | 21/10/2024  | . 10:30:00  | HH:MM:SS   |   |            |
| Duration of Technical Glitch (in Minutes)  | 65  |   |  |   |            |
| Technical Glitch Description "   | IBT and STWT clients were a<br>uploading client limit file from | ible to login and place order<br>m file uploader. | rs. But CTCL Login was getting delayed response and tr | trade confirmation on CTCL was delayed due to |            |
| Date-time of Reporting *   | 22/10/2024 15:22:42   |   |  |   |            |
| Impacted System *  | Trading System  |   | v  |   |            |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) *  | Choose File NO FILE CHOS  | SEN   |  | Screenshot.(7).png                            |            |
| Member Code :     123       Impacted Exchange *     *       Technical Glitch Classification *     *       Designanced / Reporting Officer *     *       Email Of Designanced Officer *     *       Start Date and time of Technical Glitch *     *       End Date and time of Technical Glitch *     *       Duration of Technical Glitch (in Minutes)     *       Technical Glitch (in Start) *     *       Descripte of Reporting *     *       Impacted System *     *       Initiation to Gletts about the Technical Glitch.     *       Places attach spresensions of communications to clients.) *     * |   | UPDAT   | /E   |   | NEXT       |



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

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

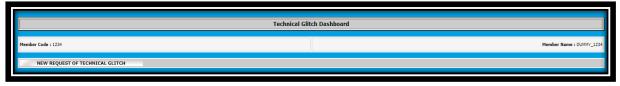
|                              |  | BEFS   |
|------------------------------|--|--|
| BSE<br>The Power of Vibrance | Member Code<br>Login Id<br>Password<br>Enter Captcha | 1234<br>1234<br>EC44F7 C<br>EC44F7<br>Please login to BEFS |
| BSE Electronic               | Filing System  |  |

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

| Technical Glitch     | ۲ | 07th June 2022 Sebi Adherence Status Submission    |
|----------------------|---|--|
| Technology Services  | × | 3rd Nov 2020 Sebi / Cert-in Saas Circular Reportin |
| Trader Id Automation | • | 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 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."

| Technical Glitch Dashboard                  |                        |  |   |  |           |  |  |  |
|---|------------------------|--|---|--|-----------|--|--|--|
| Member Code : 1234 Member Name : DUMM/_1234 |                        |  |   |  |           |  |  |  |
| NEW REQUEST OF TECHNICAL GLITCH             |                        |  |   |  |           |  |  |  |
|   |                        |  |   |  |           |  |  |  |
| Select                                      | Member Name            | Technical Glitch Classification                        | Impacted System   | Start Date And Time Of Technical Glitch Occurrence                     | Stauts    |  |  |  |
| Select                                      | Member Name DUMMY_1234 | Technical Glitch Classification<br>System And Networks | Impacted System<br>Trading System And Backoffice System | Start Date And Time Of Technical Glitch Occurrence<br>27/05/2024 00:40 | SAVE SAVE |  |  |  |
| Select                                      |                        |  |   |  |           |  |  |  |

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.

| Technical Glitch Dashboard                  |        |             |  |   |  |        |  |  |
|---|--------|-------------|--|---|--|--------|--|--|
| Member Code : 1234 Member Name : DUMMV_1234 |        |             |  |   |  |        |  |  |
| NEW REQUEST OF TECHNICAL GLITCH             |        |             |  |   |  |        |  |  |
|   | Select | Member Name | Technical Glitch Classification                            | Impacted System                                 | Start Date And Time Of Technical Glitch Occurrence | Stauts |  |  |
|   |        | DUMMY_1234  | System And Networks  | Trading System And Backoffice System            | 27/05/2024 00:40                                   | SAVE   |  |  |
|   |        | DUMMY_1234  | System And Networks And Application And Database And Power | Trading System And Backoffice System And Others | 01/10/2024 15:09                                   | REJECT |  |  |
|   |        | DUMMY_1234  | System And Networks And Application And Database And Power | Trading System And Backoffice System And Others | 25/10/2024 09:10                                   | SAVE   |  |  |
|   |        |             | I  |   | 1  |        |  |  |



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.

| Technical Glitch Intimation   |                     |                            |            |  |   |            |  |
|---|---------------------|----------------------------|------------|--|---|------------|--|
| Member Code :   | 1234                |                            |            | Member Name :  |   | DUMMY_1234 |  |
| Impacted Exchange *   | BSE NSE             | MCX ONCOEX MSEI            |            |  |   |            |  |
| Technical Glitch Classification *   | NETWORK CONNE       | CTIVITY ISSUES SOFTWARE IS | SUES OTHER | □ HARDWARE ISSUES □ HUMAN ERROR<br>□ SOFTWARE ISSUES □ OTHER |   |            |  |
| Designated / Reporting Officer *  | XCVV                |                            |            |  |   |            |  |
| 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 *  | fødføfø             |                            |            |  | 4 |            |  |
| Date-time of Reporting *  | 13/11/2024 15:46:07 |                            |            |  |   |            |  |
| Impacted System *   | Backoffice System   |                            | <b>v</b>   |  |   |            |  |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FILE | CHOSEN                     |            |  |   |            |  |
| ВАСК  |                     |                            | UPDATE     |  |   | NEXT       |  |
|   |                     |                            |            |  |   |            |  |

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

| Preliminary Technical Glitch Report  |                                     |      |                          |  |  |  |  |
|--|-------------------------------------|------|--------------------------|--|--|--|--|
| Member Code : 1234   |                                     |      | Member Name : DUMMY_1234 |  |  |  |  |
| Chronology of Events *   |                                     |      |                          |  |  |  |  |
| Circlindidgy of Events   |                                     |      |                          |  |  |  |  |
| Business Impact *  | Number of clients impacted. *       |      |                          |  |  |  |  |
|  | Number of client orders impacted. * |      |                          |  |  |  |  |
|  | Any P&L impact? *                   |      |                          |  |  |  |  |
|  | Any other impact on Business? *     |      |                          |  |  |  |  |
| Were alternative channels available for the clients? *   | Oves O No                           |      |                          |  |  |  |  |
| Was the issue caused or encountered by third party or a service provider? $\ensuremath{^{st}}$ | O VES O NO                          |      |                          |  |  |  |  |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{st}}$           | O YES O NO                          |      |                          |  |  |  |  |
| Did you move operations to the Disaster Recovery (DR) Site? *                                  | O VES O 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                 |      |                          |  |  |  |  |
| ВАСК   |                                     | SAVE |                          |  |  |  |  |

(\*) 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 *  |                            |          |          |      |                          |  |
| Business Impact *   | Number of clients impacted |          |          |      |                          |  |
| Were alternative channels available for the clients? *                      | Oves O No                  |          |          |      |                          |  |
| Was the issue caused or encountered by third party or a service provider? * | O YES O NO                 |          |          |      |                          |  |
| Was the issue encountered on the Exchange-provided environment? *           | O YES O NO                 |          |          |      |                          |  |
| Did you move operations to the Disaster Recovery (DR) Site? *               | Oves ON0                   |          |          |      |                          |  |
| 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        |          |          |      |                          |  |
| ВАСК  |                            |          |          | SAVE |                          |  |

#### ii. Mention the Business impacted details with correct data.

| 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 P&L impact? * Any other impact on Business? * |          |          |      |  |                          |  |
| Were alternative channels available for the clients? *                                 | Oves O NO   |          |          |      |  |                          |  |
| Was the issue caused or encountered by third party or a service provider? $^{\ast}$    | O VES O NO  |          |          |      |  |                          |  |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{\ast}}$ | Oves ON0  |          |          |      |  |                          |  |
| Did you move operations to the Disaster Recovery (DR) Site? *                          | Oves ON0  |          |          |      |  |                          |  |
| 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   |          |          |      |  |                          |  |
| васк   |   |          |          | SAVE |  |                          |  |



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

| Preliminary Technical Glitch Report  |                                 |          |          |      |                   |         |  |
|--|---------------------------------|----------|----------|------|-------------------|---------|--|
| Member Code : 1234   |                                 |          |          |      | Member Name : DUM | MY_1234 |  |
| Chronology of Events *   |                                 |          |          |      |                   |         |  |
| 27   | Number of clients impacted. "   |          |          |      |                   |         |  |
| Business Impact *  | Number of clients impacted.     |          |          |      |                   |         |  |
|  | Any P&L impact? *               |          |          |      |                   |         |  |
|  | Any other impact on Business? * |          |          |      |                   |         |  |
| Were alternative channels available for the clients? *                               | O YES O NO                      |          |          |      |                   |         |  |
| Was the issue caused or encountered by third party or a service provider? $^{st}$    | O VES O NO                      |          |          |      |                   |         |  |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{st}}$ | Oves O No                       |          |          |      |                   |         |  |
| Did you move operations to the Disaster Recovery (DR) Site? *                        | Oves ON0                        |          |          |      |                   |         |  |
| 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             |          |          |      |                   |         |  |
| васк   |                                 |          |          | SAVE |                   |         |  |

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

| → C S uat.bseindia.in/befs/Ch  | eckLogin.aspx   |  |  |
|--|---|--|--|
| wer of Vibrance  |   |  |  |
| Note Naco<br>Markan Adal Rayard<br>einsenen för Appresel<br>einsenen för Appresel<br>satson för Adattional Segment<br>ovar GAT Enchnligen Product.<br>Ein Adattionen för Adattionen för<br>för Monden Inpersonation Se<br>för Adattionen Segmentation Se<br>för Adattionen Segmentation<br>i ESE Einsteina Semer Trader<br>– ISESE Film Och Markan<br>– ISESE Film Och Markan<br>– Inger Monden Chalan |   |  |  |
| ystem Audit Report   | •   |  |  |
| vertisement For Approval   |   | Preliminary Technical Glitch Report  |  |
| Registration   | •   |  |  |
| Realization For Additional Segment   | Member Code : 1231  |  | Member Name I DUMM   |
| proval Of Technology Product   |   |  |  |
| ficial Intelligence ( A I ) & Machine Learning   | Chronology of Events *  | Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS team report  | ted an issue that new activated clients(Activated on 30th July/23) were unable to          |
| R For Member Impersonation   | <b>,</b>  | Number of clients impacted. *  | 14   |
| F S Alerta   |   |  |  |
| S Dashboard  | Business Impact *   | Number of client orders impacted. *  | 15   |
| N - DSE Electronic Smart Frader  |   | Any PBL impact? *  | No   |
| k / Block Deporting  |   | Any other impact on Business? *  | No   |
| s cock reporting   | Were alternative channels available for the clients? *                      | ● YES ○ NO   |  |
| anturing Member Details  | were atemative channels available for the clients?                          | VES UND  |  |
| stral Kyc Records Registry   |   | List the alternative channels *  | 2  |
| ange In Directors  |   | Was there a spike in traffic on the alternate channels available to clients? *   | • ves O No   |
| inge Password  |   |  |  |
| nt Code Modification   | •   | Provide Details *  | Name, Name   |
| t Funding Reporting  | Was the issue caused or encountered by third party or a service provider? * | ● ves ○ ng   |  |
| ction Of Documents   | •   |  |  |
| ation Services   | •   | Name of the third-party vendor or<br>service provider and a brief description of the issue.* Name_Name   |  |
| plaint Management  | •   | Do you have a back-up vendor for the said services? * No   |  |
| pliance On Bank Guarantees   | •   | Do you have a back-up vendor for the said services? . No   |  |
| r Incident Report  | Was the issue encountered on the Exchange-provided environment?*            | ● VES ◯ NO   |  |
| er Security & Cyber Resilience Audit   | •   | Kindly provide details of intimation   |  |
| Segment Registration   | •   | and communication sent to the Exchange. *  | App team had discontinued the database replication to prevent the issue from recurring.Ins |
| saitory  | •   |  |  |
| lay Of Brokerage, Statutory & Regulatory Levies  | Did you move operations to the Disaster Recovery (DR) Site? *               | ● VES ○ NO   |  |
| emination Board  | •   | What was the Recovery Time? *  | 14:20:00 HH:HM:SS  |
| or Security & Cyber Resilience Audit<br>Segment Registration<br>ository<br>May Of Deckrage, Statutory & Regulatory Levies<br>emination (bard<br>10 5 5<br>V Warning Message<br>and Sapervision   | Immediate Action Taken *  | And share the design of a family law data to the balance of the second sec | Record stars left with a New York stars of a Remon New Solution distance is                |
| y Warning Messages   |   | Conclusive I- Duplication of primary key due to violation of primary key constraint in   | i swarej client into table. IJ Appream observed a intmary Key violation during th          |
| ance Supervision<br>sution of Order  | Date - Time of Incident *   | 18/10/2024 HH:HM:SS  |  |
|  | Date - Time of Recovery *   | 18/10/2024 14:45:00 HH:MM:SS   |  |
| ution Of Order New<br>- I N D - S T R Reporting  |   | 14.40.00 Million 20  |  |
| - I N D - S T R Reporting  | Incident duration (in Minutes) *  |  |  |
| · Declaration<br>ncial Result  | Technical Gitch Details *   | Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS  |  |
| ectavelee  | Whether Disruption due to Network Issues *                                  | NO   |  |
| ec invoice<br>( I N Registration   | Architecture Diagram  | Choose Fie 1. BSE NOTL. 40712-3.PDF  |  |
| ng Statement   |   |  |  |
|  | Date Time of Reporting *  | 18/10/2024 16:06:57  |  |
| L<br>slidation   |   |  |  |

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

|   | Pi                                  | reliminary Technical Gl | itch Report |     |
|---|-------------------------------------|-------------------------|-------------|-----|
| Member Code : 1234  |                                     |                         |             | Mer |
| Chronology of Events *  |                                     |                         |             |     |
|   | Number of clients impacted          | ed. *                   |             |     |
| Business Impact *   | Number of client orders impacted. * |                         |             |     |
| Business impact   | Any P&L impact? *                   |                         |             |     |
|   | Any other impact on Busin           | 1ess? *                 |             |     |
| Were alternative channels available for the clients? *  | O YES O NO                          |                         |             |     |
| Was the issue caused or encountered by third party or a service provider? $\ensuremath{^\circ}$ | O YES O NO                          |                         |             |     |
| Was the issue encountered on the Exchange-provided environment? $^{\circ}$                      | O YES O NO                          |                         |             |     |
| Did you move operations to the Disaster Recovery (DR) Site? *                                   | Oves ON0                            |                         |             |     |
| 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 the technical glitch was happed by third party vendor, then choose "Yes." After choosing the "Yes" option fill up with correct inputs.

| wer of Vibrance  |   |  |
|--|---|--|
| Hide Menu  |   |  |
| ystem Audit Report   | •   |  |
| vertisement For Approval                                   | •   | Preliminary Technical Glitch Report  |
| Registration   | •   |  |
| plication For Additional Segment                           | Member Code : 1231  | Member Name : DURNI_1231   |
| proval Of Technology Product                               | •   |  |
| ficial Intelligence ( A I ) & Machine Learning             | Chronology of Events *  | Clients were unable to login to TT web and TT Noble. Chronology: 1) CS team reported an issue that new activated clients(Activated on 30th July/23) were unable to     |
| R For Member Impersonation 🥮                               | •   |  |
| E F S Alerta   | •   | Number of clients impacted.  14 14   |
| FS Dashboard   | Business Impact *   | Number of client orders impacted. " 15   |
| ST - BSE Electronic Smart Trader                           | business arrives  | Any PBL Impact? " No   |
| W - BOLTPlus On Web  | •   | Any other impact on Business? * No   |
| lk / Block Reporting                                       | • • • • • • • • • • • • • • • • • • •                                       |  |
|  | Were alternative channels available for the clients? *                      | (€ ves ⊖ no  |
| pluring Member Details                                     |   | List the alternative channels * 2  |
| tral Kyc Records Registry                                  |   |  |
| inge In Directors  | • • • • • • • • • • • • • • • • • • •                                       | Was there a spike in traffic on the alternate channels available to clients? * 🐵 vgs 🔿 NO  |
| ange Password  |   | Provide Details * Name   |
| nt Code Modification                                       |   |  |
| ent Funding Reporting                                      | Was the issue caused or encountered by third party or a service provider? * | le γes O tio   |
| lection Of Documents<br>location Services                  |   | Name of the third-party vendor or  |
| location Services mplaint Management                       |   | service provider and a brief description of the issue.* Name_Name  |
| iplaint Management<br>spliance On Bank Guarantees          |   | Do you have a back-up vendor for the said services? * No   |
| mpisance un bank Guarantees<br>ber Incident Report         |   | @ v#5 () v0  |
| er incident report<br>er Security & Cyber Resilience Audit | Was the issue encountered on the Exchange-provided environment? *           | © ves ⊖ no   |
| bt Segment Registration                                    |   | Kindly provide datalis of intimation App team had discontinued the database replication to prevent the issue from recurring. Int                                       |
| nosilary   |   | and communication sent to the Exchange. * App team ned obcommuned the disclose resistance resistance for prevent the data from recurring into                          |
| splay Of Brokerage, Statutory & Regulatory Levies          | Did you move operations to the Disaster Recovery (DR) Site? *               | ® ves ⊖ no   |
| semination Board   | •   |  |
|  | •   | what was the Recovery Time? * 14 20:00 HIMMINSS  |
| rly Warning Messages                                       | Immediate Action Taken *  | Conclusive I- Duplication of primary key due to violation of primary key constraint in Swaraj client info table. I) AppTeam observed a Primary Key violation during th |
| hance Supervision  | Date - Time of Incident *   | 18/10/2024 III 14:20:00 HIMMINGS   |
| ecution of Order   | •   |  |
| ecution Of Order New                                       | Date - Time of Recovery *   | 18/10/2024 III 14:45:00 HHRMRISS   |
| U - I N D - S T R Reporting                                | Incident duration (in Minutes) *  |  |
| F Declaration  | Technical Glitch Details *  | Clients were unable to login to TT web and TT Mobile. Chronology: 1) CE  |
| ncial Result   | •   |  |
|  | Whether Disruption due to Network Issues *                                  | NO V   |
| IN Registration  | Architecture Diagram  | Choose File 1. 85E NOTI40722-3.PDF   |
| ng Statement   | Date Time of Reporting *  | 18/10/2024 14-06-57  |
|  | >   |  |
| lidation   | >   |  |
|  |   |  |

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

|   | Р                          | reliminary Technical Gl | itch Report |   |
|---|----------------------------|-------------------------|-------------|---|
| Member Code : 1234  |                            |                         |             | M |
| Chronology of Events *  |                            |                         |             |   |
|   | Number of clients impacte  | ed. *                   |             |   |
| Business Impact *   | Number of client orders in | npacted. *              |             |   |
|   | Any P&L impact? *          |                         |             |   |
|   | Any other impact on Busin  | 1ess? *                 |             |   |
| Were alternative channels available for the clients? *                            | Oves ON0                   |                         |             |   |
| Was the issue caused or encountered by third party or a service provider? $^{st}$ | Oves ON0                   |                         |             |   |
| Was the issue encountered on the Exchange-provided environment? *                 |                            |                         |             |   |
| Did you move operations to the Disaster Recovery (DR) Site? *                     |                            |                         |             |   |
| 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 the technical glitch was happed on Exchange-provided environment, then choose "Yes." After choosing the "Yes" option fill up with correct inputs.

| Image: state | n.aspx  |  | * £  |  |  |  |
|--|---|--|--|--|--|--|
| er of Vibrance   |   |  |  |  |  |  |
| Hide Menu  |   |  |  |  |  |  |
| em Audit Report  |   |  |  |  |  |  |
| isement For Approval   |   | Preliminary Technical Glitch Report  |  |  |  |  |
| istration •  |   |  |  |  |  |  |
| ition For Additional Segment   | Member Code : 1231  |  | Member Name / DUMNY_1231   |  |  |  |
| al Of Technology Product   |   |  |  |  |  |  |
| Intelligence (A1) & Machine Learning   | Chronology of Events *  | Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS team reported                | d an issue that new activated clients(Activated on 30th July/23) were unable to            |  |  |  |
| r Member Impersonation 🗢 🔹 🖡   |   | Number of clients impacted. *  | 14   |  |  |  |
| Alerts   |   | Number of client orders impacted. *  | 15   |  |  |  |
| BSE Electronic Smart Trader  | Business Impact *   |  |  |  |  |  |
| BOLTPlus On Web  |   | Any PBL impact? *  | No   |  |  |  |
| BOLI Plus On Web Stock Reporting   |   | Any other impact on Business? *  | No   |  |  |  |
|  | Were alternative channels available for the clients? *                      | ● ves ◯ no   |  |  |  |  |
| ing Member Details   | nes accordine crannes evenage for the crents?                               | - HE - UND   |  |  |  |  |
| Kyc Records Registry   |   | List the alternative channels *  | 2  |  |  |  |
| In Directors   |   | Was there a spike in traffic on the alternate channels available to clients? *                       | ● ves ○ no   |  |  |  |
| e Password   |   |  |  |  |  |  |
| Code Modification  |   | Provide Details *  | Name, Name   |  |  |  |
| unding Reporting   | Was the issue caused or encountered by third party or a service provider? * | ● VES ◯ NO   |  |  |  |  |
| ion Of Documents   |   |  |  |  |  |  |
| tion Services  |   | Name of the third-party vendor or service provider and a brief description of the issue. * Name_Name |  |  |  |  |
| aint Management  |   | Do you have a back-up vendor for the said services? * No   |  |  |  |  |
| ance On Bank Guarantees  |   |  |  |  |  |  |
| ncident Report   | Was the issue encountered on the Exchange-provided environment? *           | ● VES ○ NO   |  |  |  |  |
| Security & Cyber Resilience Audit  |   | Kindly provide details of intimation   |  |  |  |  |
| egment Registration  |   | and communication sent to the Exchange. *  | App team had discontinued the database replication to prevent the issue from recurring.Inc |  |  |  |
| tory   | Did you move operations to the Disaster Recovery (DR) Site? *               | ● VES ◯ NO   |  |  |  |  |
| of Brokerage, Statutory & Regulatory Levies  | ww you muve operations to the phaster recovery (pri) siter                  | © HED ∪ NO   |  |  |  |  |
| ination Board  |   | What was the Recovery Time? *  | 14:20:00 HH:HM:SS  |  |  |  |
| S S Fring Messages   | Immediate Action Taken *  | Conclusive 1- Duplication of primary key due to violation of primary key constraint in S             | Luarat class info table () Ann/Ram observed a Brimany Key violation during th              |  |  |  |
| arming Mossages  |   |  | meng shers mini seven iy ngy fititim batterinta a minitery key melabah aunog an            |  |  |  |
| in al Onlar  | Date - Time of Incident *   | 18/10/2024 14:20:00 HH.HM.SS   |  |  |  |  |
| ion Of Order New   | Date - Time of Recovery *   | 18/10/2024 14:45:00 HH:MM:SS   |  |  |  |  |
| N D - S T R Reporting  | Incident duration (in Minutes)  |  |  |  |  |  |
| eclaration   |   |  |  |  |  |  |
| al Result  | Technical Gitch Details *   | Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS                              |  |  |  |  |
| woice  | Whether Disruption due to Network Issues *                                  | N0 V   |  |  |  |  |
| Registration   | Architecture Diagram  | Choose File 1. BSE NOTI40712-3.FDF   |  |  |  |  |
| latement   |   |  |  |  |  |  |
| •  | Date Time of Reporting *  | 18/10/2024 16:06:57  |  |  |  |  |
| n 🔸  |   |  | No. 1  |  |  |  |

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

|   | Pi                         | reliminary Technical Glit | itch Report |    |
|---|----------------------------|---------------------------|-------------|----|
| Member Code : 1234  |                            |                           |             | Ме |
| Chranology of Events *  |                            |                           |             |    |
|   | Number of clients impacted | d. *                      |             |    |
| Business Impact *   | Number of client orders im | pacted. *                 |             |    |
| Comess Amper  | Any P&L impact? *          |                           |             |    |
|   | Any other impact on Busine | ess? *                    |             |    |
| Were alternative channels available for the clients? *                      | Oves ON0                   |                           |             |    |
| Was the issue caused or encountered by third party or a service provider? * | O YES O NO                 |                           |             |    |
| Was the issue encountered on the Exchange-provided environment? $^{\ast}$   | O YES O NO                 |                           |             |    |
| Did you move operations to the Disaster Recovery (DR) Site? *               | O YES O 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.

| 🧏 Cymmetri X 🕲 uat.bss   | sindia.in/befs/Checkl.ogi × +   |  |
|--|---|--|
| <ul> <li>         →          C         <sup>1</sup>         uat.bseindia.in/befs/CheckLogi     </li> </ul> |   | x 11 4   |
| ower of Vibrance   |   |  |
| Hide Menu  |   |  |
| stem Audit Report  |   |  |
| rtisement For Approval   |   | Preliminary Technical Glitch Report  |
| egistration  |   |  |
| cation For Additional Segment  | Member Code : 1231  | Member Name : DURMY_1231   |
| wal Of Technology Product  |   |  |
| ial Intelligence ( A I ) & Machine Learning  | 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 |
| or Member Impersonation 🤗 🔹 🕨  |   |  |
| S Alerts   |   | Number of clients impacted. * 14   |
| Deshboard •  | Business Impact*  | Number of client orders impacted. * 15   |
| - BSE Electronic Smart Trader  | business simplex  | Any P6L impact? * No   |
| - BOLTPlus On Web  |   | Any other impact on Business? * No   |
| Block Reporting  |   |  |
| •  | Were alternative channels available for the clients? *                      | ® yes ○ no   |
| ring Member Details  |   | List the alternative channels * 2  |
| al Kyc Records Registry  |   |  |
| e In Directors   |   | Was there a spike in traffic on the alternate channels available to clients? * 🔹 VES 🔿 NO  |
| ge Password  |   | Provide Details * Name   |
| Code Modification  |   |  |
| t Funding Reporting  tion Of Documents   | Was the issue caused or encountered by third party or a service provider? " | ● YES ○ NO   |
| ation Services   |   | Name of the third-party vendor or Name, Name   |
| plaint Management  |   | service provider and a brief description of the issue. * Name_vame   |
| plant Management   |   | Do you have a back-up vendor for the said services? * No   |
| r Incident Report  | Was the issue encountered on the Exchange-provided environment? *           | (0. yps. () yp   |
| r Security & Cyber Resilience Audit  | was the issue encountered on the Exchange-provided environment?             | ● Ves ⊖ No   |
| Segment Registration   |   | Kindy provide details of networks in the database replication to prevent the issue from recurring. Inc   |
| sitory   |   | and communication sent to the Bichange.* App team had addressing decisions to prevent the issue from recurring into  |
| ay Of Brokerage, Statutory & Regulatory Levies   | Did you move operations to the Disaster Recovery (DR) Site? *               | ● yes ○ no   |
| mination Board   |   |  |
| DSS D  |   | What was the Recovery Time? * 14:20:00 HIE-MINLSS  |
| Warning Messages   | Immediate Action Taken *  | Conclusive Duplication of primary key due to violation of primary key constraint in Swarej client info table. () AppTeam observed a Primary Key violation during th  |
| ce Supervision   | Date - Time of Incident *   | 14/20/024  |
| tion of Order  |   |  |
| ition Of Order New   | Date - Time of Recovery *   | 16/10/2024 III 14:45:00 HHAMM-SS   |
| - I N D - S T R Reporting  | Incident duration (in Minutes) =  |  |
| Declaration  | Technical Gitch Details *   | Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS  |
| ial Result 🕨 🕨   |   |  |
| invoice 🕨  | Whether Disruption due to Network Issues *                                  | N0 ¥   |
| N Registration   | Architecture Diagram  | Choose File 1. BSE NOTL 40712-3.PDF  |
| Statement  | Date Time of Reporting *  | 18/10/2024 16-06-57  |
| •  |   |  |
| idation 🕨  |   |  |
|  |   |  |
|  | Q Search  | - 📼 💷 😥 🚰 🗱 🥵 💕 💽 📲  |

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   |                                     | Mer |  |
| Chronology of Events *   |                                     |     |  |
|  | Number of clients impacted. *       |     |  |
| Business Impact *  | Number of client orders impacted. * |     |  |
| Dusiness Impact  | Any P&L impact? *                   |     |  |
|  | Any other impact on Business? *     |     |  |
| Were alternative channels available for the clients? *                               | O YES O NO                          |     |  |
| Was the issue caused or encountered by third party or a service provider? $^{\ast}$  | Oves Ong                            |     |  |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{st}}$ | ⊖ ves ⊖ ng                          |     |  |
| Did you move operations to the Disaster Recovery (DR) Site? *                        | O YES O 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                 |     |  |

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

|  | Preli   | minary Technical Glit | ch Report |      |                          |
|--|---|-----------------------|-----------|------|--------------------------|
| Member Code : 1234   |   |                       |           |      | Member Name : DUMMY_1234 |
| Chronology of Events *   |   |                       |           |      |                          |
| Business Impact "  | Number of clients impacted. *<br>Number of client orders impact<br>Any P&L impact? *<br>Any other impact on Business? |                       |           |      |                          |
| Were alternative channels available for the clients? *                               | O YES O NO  |                       |           |      |                          |
| Was the issue caused or encountered by third party or a service provider? $^{\ast}$  | O YES O NO  |                       |           |      |                          |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{st}}$ | O YES O NO  |                       |           |      |                          |
| Did you move operations to the Disaster Recovery (DR) Site? $^{st}$                  | O YES O 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   |                       |           |      |                          |
| ВАСК   |   |                       |           | SAVE |                          |

ix. Describe why the Technical Glitch Happened.

|   |                         | Preliminary Technical Glit | tch Report |                          |
|---|-------------------------|----------------------------|------------|--------------------------|
| Member Code : 1234  |                         |                            |            | Member Name : DUMMY_1234 |
| Chronology of Events *  |                         |                            |            |                          |
|   | Number of clients impa  | acted. *                   |            |                          |
| Business Impact *   | Number of client orders | s impacted. *              |            |                          |
| ousiness impact   | Any P&L impact? *       |                            |            |                          |
|   | Any other impact on Bu  | usiness? *                 |            |                          |
| Were alternative channels available for the clients? *  | O YES O NO              |                            |            |                          |
| Was the issue caused or encountered by third party or a service provider? $\ensuremath{^\circ}$ | O YES O NO              |                            |            |                          |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{st}}$            | O YES O NO              |                            |            |                          |
| Did you move operations to the Disaster Recovery (DR) Site? *                                   | O YES O 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                  |                            | V          |                          |
| Architecture Diagram  |                         |                            |            |                          |
| Date Time of Reporting *  | 13/11/2024 15:43:37     |                            |            |                          |
| BACK  |                         |                            | SAVE       |                          |

x. If the Technical Glitch happed due to Network issue, Choose "Yes" from the dropdown.

|  | Pre                          | liminary Technical Gli | tch Report |      |                          |
|--|------------------------------|------------------------|------------|------|--------------------------|
| Member Code : 1234   |                              |                        |            |      | Member Name : DUMMY_1234 |
| Chronology of Events *   |                              |                        |            |      |                          |
|  | Number of clients impacted.  | •                      |            |      |                          |
| Business Impact *  | Number of client orders impa | cted. *                |            |      |                          |
|  | Any P&L impact? *            |                        |            |      |                          |
|  | Any other impact on Business | s? *                   |            |      |                          |
| Were alternative channels available for the clients? *   | Oves O NO                    |                        |            |      |                          |
| Was the issue caused or encountered by third party or a service provider? *  | Oves O NO                    |                        |            |      |                          |
| Was the issue encountered on the Exchange-provided environment? *  | Oves ON0                     |                        |            |      |                          |
| Did you move operations to the Disaster Recovery (DR) Site? *  | Oves ON0                     |                        |            |      |                          |
| 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   | Select                       |                        |            |      |                          |
| Date Time of Reporting *   | VES NO                       |                        |            |      |                          |
| Nember Code : 1234         Chronology of Events *         Business Impact *         Ware alternative channels available for the clients? *         Ware alternative channels available for the clients? *         Was the issue caused or encountered by third party or a service provider? *         Was the issue countered on the Exchange-provided environment? *         Did you move operations to the Disaster Recovery (DR) Site? *         Immediate Action Taken *         Date - Time of Incident *         Date - Time of Recovery *         Incident duration (in Minutes) *         Technical Glich Details *         Whether Diaruption due to Network Issues *         Architescure Diagram         Date Time of Reporting * |                              |                        |            | SAVE |                          |
|  |                              |                        |            |      |                          |

And upload the Network Architecture Diagram.

| ✓ B Cymmetri × ⊗ uatbseindia     ← → ♂ II: uat.bseindiain/befs/CheckLogin.asp | sin/befs/CheckLogi × +  |   |  |                   |
|---|---|---|--|-------------------|
| ← → ♂ 🐮 uat.bseindia.in/befs/CheckLogin.as                                    |   |   |  |                   |
| <ul> <li>a datusenularitybers/checkboginas</li> </ul>                         |   |   |  |                   |
|   | μ.  |   |  |                   |
| The Power of Vibrance<br>Hide Mensa   |   |   |  |                   |
| A System Audit Report   |   |   |  |                   |
| Advertisement For Approval  |   | Preliminary Technical Glitch Report   |  |                   |
| AP Registration Application For Additional Segment                            | Hember Code : 1231  |   |  | Member Nam        |
| Approval Of Technology Product  | Member Code i 1231  |   |  | Nember Nam        |
| Artificial Intelligence ( A 1 ) & Machine Learning                            | Chronology of Events *  | Clients were unable to login to TT web and TT Mobile. Chronology: 1) CS team rep  | rted an issue that new arrivated clients/Arrivated on 30th 10/233 were unable to   |                   |
| ATR For Member Impersonation 🗢 🔹 🕨  |   |   |  |                   |
| B E F S Alerts  |   | Number of clients impacted. *   | 14   |                   |
| DEFS Dashboard  | Business Impact *   | Number of client orders impacted. *   | 15   |                   |
| BEST - BSE Electronic Smart Trader  |   | Any P&L Impact? *   | No   |                   |
| Bulk / Block Reporting  |   | Any other impact on Business? *   | No   |                   |
| CFS >   | Were alternative channels available for the clients? *                      | ● VES ○ NO  |  |                   |
| Capturing Member Details  |   | trade describe describe   | 2  |                   |
| Central Kyc Records Registry  |   | List the alternative channels *   |  |                   |
| Change In Directors   |   | Was there a spike in traffic on the alternate channels available to clients? *    | ● ves ○ no   |                   |
| Change Password Client Code Modification                                      |   | Provide Details *   | Name, Name   |                   |
| Client Funding Reporting  | Was the issue caused or encountered by third party or a service provider? * | € YES ◯ NO  |  |                   |
| Collection Of Documents   |   | Name of the third-party vendor or   |  |                   |
| Colocation Services   |   | service provider and a brief description of the issue. * Name_Name                |  |                   |
| Complaint Management  |   | Do you have a back-up vendor for the said services? * No                          |  |                   |
| Compliance On Bank Guarantees   | Was the issue encountered on the Exchange-provided environment? *           | € ves ◯ no  |  |                   |
| Cyber Security & Cyber Resilience Audit                                       | was the issue encountered on the exchange provided environment?             |   |  |                   |
| Debt Segment Registration   |   | Kindly provide details of intimation<br>and communication sent to the Exchange. * | App team had discontinued the database replication to prevent the issue fi         | rom recurring.3ns |
| Depository •  |   |   |  |                   |
| Display Of Brokerage, Statutory & Regulatory Levies                           | Did you move operations to the Disaster Recovery (DR) Site? *               | ● ves ○ no  |  |                   |
| Dissemination Board   |   | What was the Recovery Time? *   | 14:20:00 HH:HM:SS  |                   |
| Early Warning Messages  | Immediate Action Taken *  | Conclusive Duplication of primary key due to violation of primary key constraint  | in Swaraj client info table. I) AppTeam observed a Primary Key violation during th |                   |
| Enhance Supervision   | Date - Time of Incident *   | 18/10/2024  |  |                   |
| Execution of Order  |   | _   |  |                   |
| Execution Of Order New  | Date - Time of Recovery *   | 18/10/2024 III 14:45:00 HH.1001:50  |  |                   |
| FIU-IND-STR Reporting FATF Declaration  | Incident duration (in Minutes) *  |   |  |                   |
| Financial Result  | Technical Glitch Details *  | Clients were unable to login to TT web and TT Nobile. Chronology: 1) CE           |  |                   |
| G - Sec Invoice   | Whether Disruption due to Network Issues *                                  | NO ¥  |  |                   |
| G S T I N Registration  | Architecture Diagram  | Choose File 1. BSE NOTI. 40712-3.PDF  |  |                   |
| Holding Statement   |   |   |  |                   |

xi.

After filling up the correct data, review once. And click on the "Save" Button.

|  | Pre                           | eliminary Technical Glito | .ch Report |      |                          |  |  |
|--|-------------------------------|---------------------------|------------|------|--------------------------|--|--|
| Member Code : 1234   |                               |                           |            |      | Member Name : DUMMY_1234 |  |  |
| Chronology of Events *   |                               |                           |            |      |                          |  |  |
|  | Number of clients impacted. * | •                         |            |      |                          |  |  |
| Business Impact *  | Number of client orders impac | acted. *                  |            |      |                          |  |  |
| Business anipata   | Any P&L impact? *             |                           |            |      |                          |  |  |
|  | Any other impact on Business  | s? *                      |            |      |                          |  |  |
| Were alternative channels available for the clients? *                               | Oves ON0                      | Oves Ong                  |            |      |                          |  |  |
| Was the issue caused or encountered by third party or a service provider? $^{\ast}$  | Oves ON0                      | Oves Ono                  |            |      |                          |  |  |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{st}}$ | Oves ON0                      |                           |            |      |                          |  |  |
| Did you move operations to the Disaster Recovery (DR) Site? *                        | Oves ON0                      |                           |            |      |                          |  |  |
| 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           |                           |            |      |                          |  |  |
| ВАСК   |                               |                           |            | SAVE |                          |  |  |

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

|   |                        | Preliminary Technical G | itch Report |      |                         |  |
|---|------------------------|-------------------------|-------------|------|-------------------------|--|
| Member Code : 1234  |                        |                         |             |      | Member Name : DUMMY_123 |  |
| Chronology of Events *  | Chronological Events 1 | Test                    |             |      |                         |  |
|   | Number of clients imp  | acted. *                |             | 50   |                         |  |
| Business Impact *   | Number of client orde  | rs impacted. *          |             | 5000 |                         |  |
|   | Any P&L impact? *      |                         |             | No   |                         |  |
|   | Any other impact on E  | Business? *             |             | No   |                         |  |
| Were alternative channels available for the clients? *                                      | ⊖ yes ⊛ no             |                         |             |      |                         |  |
| Was the issue caused or encountered by third party or a service provider? $\ensuremath{^*}$ | ⊖ yes ⊛ no             |                         |             |      |                         |  |
| Was the issue encountered on the Exchange-provided environment? $\ensuremath{^{st}}$        | ⊖ yes ● NO             |                         |             |      |                         |  |
| Did you move operations to the Disaster Recovery (DR) Site? *                               | ⊖ yes ⊛ no             |                         |             |      |                         |  |
| Immediate Action Taken *  | What immediate action  | n taken you did.        |             |      |                         |  |
| Date - Time of Incident *   | 25/10/2024             | 09:10:00                | HH:MM:SS    |      |                         |  |
| Date - Time of Recovery *   | 25/10/2024             | 09:45:00                | HH:MM:SS    |      |                         |  |
| Incident duration (in Minutes) *  | 35                     |                         |             |      |                         |  |
| Technical Glitch Details *  | Technical Glitch Happe | ens                     |             |      |                         |  |
| Whether Disruption due to Network Issues *  | NO                     |                         | *           |      |                         |  |
| Architecture Diagram  |                        |                         |             |      |                         |  |
| Date Time of Reporting *  | 25/10/2024 18:25:02    |                         |             |      |                         |  |
| BACK  |                        | UPDATE                  |             |      | NEX                     |  |

BSE

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

| ← → ♂ 😫 uat.bseindia.in/befs/Ch                     | eckLogin.aspx |   | * D     | 1 <b>A</b> - E     |
|---|---------------|---|---------|--------------------|
| B E F S Allerts                                     | ,             |   |         | <b>^</b>           |
| BEFS Dashboard                                      | •             | uat.bseindia.in says  |         |                    |
| BEST - BSE Electronic Smart Trader                  | •             | The details have been successfully submitted. You will receive an |         |                    |
| BOW - BOLTPlus On Web                               | •             | Adknowledgement email shortly.                                    |         |                    |
| Bulk / Block Reporting                              | •             | Acatowecagement email shorty.                                     |         |                    |
| OFS   | •             |   |         |                    |
| Capturing Member Details                            | •             | ОК  |         |                    |
| Central Kyc Records Registry                        | •             |   |         |                    |
| Change In Directors                                 | •             |   |         |                    |
| Change Password                                     |               |   |         |                    |
| Client Code Modification                            | •             |   |         |                    |
| Client Funding Reporting                            | •             |   |         |                    |
| Collection Of Documents                             | •             |   |         |                    |
| Colocation Services                                 | •             |   |         |                    |
| Complaint Management                                | •             |   |         |                    |
| Compliance On Bank Guarantees                       | •             |   |         |                    |
| Cyber Incident Report                               | •             |   |         |                    |
| Cyber Security & Cyber Resilience Audit             | •             |   |         |                    |
| Debt Segment Registration                           | •             |   |         |                    |
| Depository  | •             |   |         |                    |
| Display Of Brokerage, Statutory & Regulatory Levies | •             |   |         |                    |
| Dissemination Board                                 | •             |   |         |                    |
| - B O S S   | •             |   |         |                    |
| Early Warning Messages                              | •             |   |         |                    |
| Enhance Supervision                                 | •             |   |         |                    |
| Execution Of Order New                              | •             |   |         |                    |
| IU-IND-STR Reporting                                | •             |   |         |                    |
| ATF Declaration                                     | •             |   |         |                    |
| Financial Result                                    | •             |   |         |                    |
| G S T I N Registration                              | •             |   |         |                    |
| loiding Statement                                   | •             |   |         |                    |
| CCL   | •             |   |         |                    |
| P Validation  | •             |   |         |                    |
| bt/stwt/sor Trade Conf                              | •             |   |         |                    |
| Inspection By B S E                                 | •             |   |         |                    |
| Internal Audit Report                               | •             |   |         |                    |
| internal Risk Assessment                            | •             |   |         |                    |
| revestor Awareness                                  | •             |   |         |                    |
| nward Submission                                    | •             |   |         |                    |
| ssuance Of Status Report                            | •             |   |         |                    |
| K R A Undertaking 🥮                                 | •             |   |         |                    |
| KEY MANAGEMENT PERSONNEL DETAILS                    | •             |   |         |                    |
| Maintenance Of A Website By Stockbrokers            | •             |   |         |                    |
| Margin Trading                                      | •             |   |         |                    |
|   |               |   |         |                    |
|   |               |   |         |                    |
| •   | Q Sear        | n 📧 🗖 🛱 🥺 👯 🖞 🕹 🕸 👰 📲 🔷 🔺 🦷                                       | ĸC¦a⇒); | 16:36<br>2-10-2024 |

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

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

|                      |               | BEFS               |
|----------------------|---------------|--------------------|
| <b></b>              | Member Code   | 1234               |
|                      | Login Id      | 1234               |
|                      | Password      | In Ta Chuawru      |
|                      |               | ECAAFT             |
|                      | Enter Captcha | EC44F7             |
| Forgot Your Password |               | Login              |
|                      |               | Please login to BE |

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

| Technical Glitch     |  |
|----------------------|--|
| Technology Services  | 3rd Nov 2020 Sebi / Cert-in Saas Circular Reportin |
| Trader Id Automation | 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 |                        |  |   | Me   | mber Name : DUM |
|                    |                        |  |   |  |                 |
| NEW REQU           | ST OF TECHNICAL GLITCH |  |   |  |                 |
|                    |                        |  |   |  |                 |
| Select             | Member Name            | Technical Glitch Classification                        | Impacted System   | Start Date And Time Of Technical Glitch Occurrence                     | Staut           |
| Select             | Member Name            | Technical Glitch Classification<br>System And Networks | Impacted System<br>Trading System And Backoffice System | Start Date And Time Of Technical Glitch Occurrence<br>27/05/2024 00:40 | SAVE            |
| Select             |                        |  |   |  |                 |

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 |        |  |
| _   |        |             |  |   |  | Stauts |  |
|   |        | DUMMY_1234  | System And Networks  | Trading System And Backoffice System            | 27/05/2024 00:40                                   | SAVE   |  |
| <u> </u>                                    |        | DUMMY_1234  | System And Networks And Application And Database And Power | Trading System And Backoffice System And Others | 01/10/2024 15:09                                   | REJECT |  |
|   |        |             |  |   |  |        |  |
|   |        | 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 O NCDEX MSEI          |          |   |            |  |  |  |
| Technical Glitch Classification *   | NETWORK CONN        | ECTIVITY ISSUES SOFTWARE IS |          | HARDWARE ISSUES     HUMAN ERROR     SOFTWARE ISSUES     OTHER |            |  |  |  |
| Designated / Reporting Officer *  | xew                 |                             |          |   |            |  |  |  |
| Email Of Designated Officer *   | xbgdfg@cv.cok       | xbgdfg@cv.cok               |          |   |            |  |  |  |
| Mobile No Of Designated Officer *   | 9999999999          | 999999999                   |          |   |            |  |  |  |
| 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 *  | fgdfgfg             |                             |          |   | <i>i</i> , |  |  |  |
| Date-time of Reporting *  | 13/11/2024 15:46:07 | 1                           |          |   |            |  |  |  |
| Impacted System *   | Backoffice System   |                             | ~        |   |            |  |  |  |
| Intimation to clients about the Technical Glitch.<br>(Please attach screenshots of communications to clients) * | Choose File NO FIL  | E CHOSEN                    |          |   |            |  |  |  |
| ВАСК  |                     |                             | 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 Test       |                                     |          |    |  |                          |  |
|   | Number of clients impacted. *   |                                     |          | 50 |  |                          |  |
| Business Impact *   | Number of client orders impacte | Number of client orders impacted. * |          |    |  |                          |  |
|   | Any P&L impact? *               |                                     |          | No |  |                          |  |
|   | Any other impact on Business?   | •                                   |          | No |  |                          |  |
| Were alternative channels available for the clients? *  | Oves ® No                       |                                     |          |    |  |                          |  |
| Was the issue caused or encountered by third party or a service provider? $\ensuremath{^\circ}$ | O ves @ NO                      |                                     |          |    |  |                          |  |
| Was the issue encountered on the Exchange-provided environment? *                               | ⊖ yes . ● NO                    |                                     |          |    |  |                          |  |
| Did you move operations to the Disaster Recovery (DR) Site? *                                   | O YES IN NO                     |                                     |          |    |  |                          |  |
| Immediate Action Taken *  | What immediate action taken yo  | ou did.                             |          |    |  |                          |  |
| Date - Time of Incident *   | 25/10/2024                      | 09:10:00                            | HH:MM:SS |    |  |                          |  |
| Date - Time of Recovery *   | 25/10/2024                      | 09:45:00                            | HH:MM:SS |    |  |                          |  |
| Incident duration (in Minutes) *  | 35                              |                                     |          |    |  |                          |  |
| Technical Glitch Details *  | Technical Glitch Happens        |                                     |          |    |  |                          |  |
| Whether Disruption due to Network Issues *  | NO                              | ~                                   |          |    |  |                          |  |
| Architecture Diagram  |                                 |                                     |          |    |  |                          |  |
| Date Time of Reporting *  | 25/10/2024 18:25:02             |                                     |          |    |  |                          |  |
| BACK  |                                 | UPDATE                              |          |    |  | NEXT                     |  |

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   | 00:00:00 | HH:MM:55                |               |            |  |  |  |
| Date - Time of Recovery *   | 25/10/2024   |          |                         |               |            |  |  |  |
| Incident duration (in Minutes) *  |  |          |                         |               |            |  |  |  |
| Incident caused by: *   | O Broker O 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<br>(Please provide details of claims of impacted clients) *   | Number of Complaints Received<br>Number of Complaints Settled *<br>Number of pending complaints<br>Total amount claimed by compla  | *        |                         |               |            |  |  |  |
| 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? *  | O VES O NO   |          |                         |               |            |  |  |  |
| Were all operations shifted to DR Site? *   | O YES ○ NO   |          |                         |               |            |  |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | O ves O no   |          |                         |               |            |  |  |  |
| Date-Time of submission *   | 14/11/2024 12:06:29  |          |                         |               |            |  |  |  |
| Root Cause Analysis *   |  |          | Choose File NO FILE CHO | ISEN          |            |  |  |  |
| Backup Measures *   |  |          | Choose File NO FILE CHO | ISEN          |            |  |  |  |
| Long Term Action *  |  |          | Choose File NO FILE CHO | ISEN          |            |  |  |  |
| Preventive measures taken *   |  |          | Choose File NO FILE CHO | ISEN          |            |  |  |  |
| ВАСК  |  |          | SA                      | VE            |            |  |  |  |

(\*) 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: *   | ⊖ Broker ⊖ Vendor                  |            |                         |               |            |  |  |
| Incident Description and Chronology of the Events: *  |                                    |            |                         |               |            |  |  |
| Categorization of the Glitch *  | Software Hardware                  | Other      |                         |               |            |  |  |
|   | Number of clients impacted *       |            |                         |               |            |  |  |
| Business Impact *   | Number of client orders impacted * |            |                         |               |            |  |  |
| business impact   | Any P&L impact? *                  |            |                         |               |            |  |  |
|   | Any other impact on Business? *    |            |                         |               |            |  |  |
|   | Number of Complaints Received *    |            |                         |               |            |  |  |
| Details of Client Complaints Received   | Number of Complaints Settled *     |            |                         |               |            |  |  |
| (Please provide details of claims of impacted clients) *  | Number of pending complaints *     |            |                         |               |            |  |  |
|   | Total amount claimed by compl      | ainants. * |                         |               |            |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? $\space{-1.5}$   | O YES O NO                         |            |                         |               |            |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{st}$  | Over ONO                           |            |                         |               |            |  |  |
| Were all operations shifted to DR Site? *   | O YES O NO                         |            |                         |               |            |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | Oves ON0                           |            |                         |               |            |  |  |
| Date-Time of submission *   | 14/11/2024 12:06:29                |            |                         |               |            |  |  |
| Root Cause Analysis *   |                                    |            | Choose File NO FILE CHO | ISEN          |            |  |  |
| Backup Measures *   |                                    |            | Choose File NO FILE CHO | ISEN          |            |  |  |
| Long Term Action *  |                                    |            | Choose File NO FILE CHO | ISEN          |            |  |  |
| Preventive measures taken *   |                                    |            | Choose File NO FILE CHO | ISEN          |            |  |  |
| ВАСК  |                                    |            | SA                      | VE            |            |  |  |

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

| Root Cause Analysis Report  |  |          |                  |               |            |  |  |  |
|---|--|----------|------------------|---------------|------------|--|--|--|
| Member Code : 123   | 34   |          |                  | 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: *   | O Broker O Vendor  |          |                  |               |            |  |  |  |
| Incident Description and Chronology of the Events: *  |  |          |                  |               |            |  |  |  |
| Categorization of the Glitch *  | Software Hardware Other                                    |          |                  |               |            |  |  |  |
|   | Number of clients impacted                                 |          |                  |               |            |  |  |  |
| Business Impact *   | Number of client orders impa                               | acted *  |                  |               |            |  |  |  |
|   | Any P&L impact? *<br>Any other impact on Busines           | *        |                  |               |            |  |  |  |
|   |  |          |                  |               |            |  |  |  |
|   | Number of Complaints Receiv<br>Number of Complaints Settle |          |                  |               |            |  |  |  |
| Details of Client Complaints Received<br>(Please provide details of claims of impacted clients) *   | Number of pending complaint                                |          |                  |               |            |  |  |  |
|   | Total amount claimed by complainants. *                    |          |                  |               |            |  |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? *  |  |          |                  |               |            |  |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? *  |  |          |                  |               |            |  |  |  |
| Were all operations shifted to DR Site? *   |  |          |                  |               |            |  |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. • | O YES O ND   |          |                  |               |            |  |  |  |
| Date-Time of submission *   | 14/11/2024 12:06:29  |          |                  |               |            |  |  |  |
| Root Cause Analysis *   |  |          | Choose File NO F | FILE CHOSEN   |            |  |  |  |
| Backup Measures *   |  |          | Choose File NO F | FILE CHOSEN   |            |  |  |  |
| Long Term Action *  |  |          | Choose File NO F | FILE CHOSEN   |            |  |  |  |
| Preventive measures taken *   |  |          | Choose File NO F | FILE CHOSEN   |            |  |  |  |
| BACK  |  |          |                  | SAVE          |            |  |  |  |
|   |  |          |                  |               |            |  |  |  |

iii. Fill the Chronological event that happed 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_1 |  |  |  |  |
| 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: *   | O Broker O Vendor                                    |          |               |                       |  |  |  |  |
| Incident Description and Chronology of the Events: *  |  |          |               |                       |  |  |  |  |
| Categorization of the Glitch *  | Software Hardware                                    | Other    |               |                       |  |  |  |  |
|   | Number of clients impacted *                         |          |               |                       |  |  |  |  |
| Business Impact *   | Number of client orders impacts<br>Any P&L impact? * | sd *     |               |                       |  |  |  |  |
|   | Any P&L impact? "<br>Any other impact on Business?   |          |               |                       |  |  |  |  |
|   | Number of Complaints Received                        |          |               |                       |  |  |  |  |
| Details of Client Complaints Received   | Number of Complaints Received                        |          |               |                       |  |  |  |  |
| Details of Client Complaints Received<br>(Please provide details of claims of impacted clients) *   | Number of pending complaints                         |          |               |                       |  |  |  |  |
|   | Total amount claimed by compla                       |          |               |                       |  |  |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? $^{\ast}$  | O YES O NO   |          |               |                       |  |  |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{\ast}$  | O YES O NO   |          |               |                       |  |  |  |  |
| Were all operations shifted to DR Site? *   | O YES O NO   |          |               |                       |  |  |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | Oves ON0   |          |               |                       |  |  |  |  |
| Date-Time of submission *   | 14/11/2024 12:06:29                                  |          |               |                       |  |  |  |  |
| Root Cause Analysis *   |  |          | Choose File N | NO FILE CHOSEN        |  |  |  |  |
| Backup Measures *   |  |          | Choose File N | NO FILE CHOSEN        |  |  |  |  |
| Long Term Action *  |  |          | Choose File N | NO FILE CHOSEN        |  |  |  |  |
| Preventive measures taken *   |  |          | Choose File N | NO FILE CHOSEN        |  |  |  |  |
| BACK  |  |          |               | SAVE                  |  |  |  |  |

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 : 123  | :4  |                     | Member Name :              | DUMMY_1234 |
| Date and Time of Incident *<br>Date - Time of Recovery *   | 25/10/2024  | 00:00:00            | HH:MM:SS                   |            |
| Incident duration (in Minutes) *   | 25/10/2024  | 00.00.00            | HH:MM:SS                   |            |
| Incident caused by: *  | O Broker O Vendor   |                     |                            |            |
| Incident Description and Chronology of the Events: *   |   |                     |                            |            |
| Categorization of the Glitch *   | Software Hardware   | Other               |                            |            |
| Hember Code :     123       Date and Time of Encloret *     123       Date and Time of Encloret *     10       Date and Time of Recovery *     10       Incident Duration (in Minutes) *     10       Incident Duration (in Minutes) *     10       Incident Duration of the Blitch *     10       Business Impact *     10       Details of Client Complaints Received<br>(Please provide details of claims of Impacted clients) *     10       Was the issue caused or encountered by a blind-party vendor or service provider? *     10       Has a similar issue been encountered prior to the submission of blis RCA Report? *     10       Were all operations shifted to DR Site? *     11       If the incident is more than 45 minutes; then RCA shall be<br>varified by an independent auditor<br>within 43 days from the data of the incident. *     10       Details of claims of incident. *     10       Details of claims of incident. *     10       Details of claims of incident. *     10       Details of claims shifted to DR Site? *     11       If the incident is more than 45 minutes; then RCA shall be<br>varified by an independent auditor     10       Details of claims of incident. *     10       Datex Time of submission * | Number of clients impacted '<br>Number of client orders impu<br>Any P&L impact? *<br>Any other impact on Busines        | acted *             |                            |            |
| Details of Clart Complaints Received<br>(Please provide details of claims of impacted clients) *   | Number of Complaints Receiv<br>Number of Complaints Settle<br>Number of pending complain<br>Total amount claimed by con | ed *<br>1ts *       |                            |            |
| Was the issue caused or encountered by a third-party vendor or service provider? *   | Oves ON0  |                     |                            |            |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{st}$   | Over OND  |                     |                            |            |
| Were all operations shifted to DR Site? *  | O YES O NO  |                     |                            |            |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. •  | O ves O 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 |            |
| BACK   |   |                     | SAVE                       |            |

iv. Mention the Business impacted details with correct data.

### 

|   | R  | 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: *   | O Broker O Vendor  |                     |                         |               |            |
| Incident Description and Chronology of the Events: *  |  |                     |                         |               |            |
| Categorization of the Glitch *  | Software Hardware  | Other               |                         |               |            |
| Business Impact "   | Number of clients impacted *<br>Number of client orders impacts<br>Any P&L impact? *<br>Any other impact on Business?                        |                     |                         |               |            |
| Details of Client Complaints Received<br>(Please provide details of claims of impacted clients) *   | Number of Complaints Received<br>Number of Complaints Settled <sup>3</sup><br>Number of pending complaints<br>Total amount claimed by compla | *                   |                         |               |            |
| Was the issue caused or encountered by a third-party vendor or service provider? *  | Oves ON0   |                     |                         |               |            |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{st}$  | O YES O NO   |                     |                         |               |            |
| Were all operations shifted to DR Site? *   | Oves ON0   |                     |                         |               |            |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | O YES O NO   |                     |                         |               |            |
| Date-Time of submission *   | 14/11/2024 12:06:29  |                     |                         |               |            |
| Root Cause Analysis *   |  |                     | Choose File NO FILE CHO | DSEN          |            |
| Backup Measures *   |  |                     | Choose File NO FILE CHO | DSEN          |            |
| Long Term Action *  |  |                     | Choose File NO FILE CHO | DSEN          |            |
| Preventive measures taken *   |  |                     | Choose File NO FILE CHO | DSEN          |            |
| ВАСК  |  |                     | SI                      | AVE           |            |

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

| Root Cause Analysis Report  |  |             |                |               |            |  |  |  |
|---|--|-------------|----------------|---------------|------------|--|--|--|
| Member Code : 123   | 4  |             |                | 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: *   | O Broker O Vendor  |             |                |               |            |  |  |  |
| Incident Description and Chronology of the Events: *  |  |             |                |               |            |  |  |  |
| Categorization of the Glitch *  | Software Hardware Other  |             |                |               |            |  |  |  |
|   | Number of clients impacted *   |             |                |               |            |  |  |  |
| Business Impact *   | Number of client orders impa   | cted *      |                |               |            |  |  |  |
|   | Any P&L impact? *  |             |                |               |            |  |  |  |
|   | Any other impact on Business   | s? *        |                |               |            |  |  |  |
|   | Number of Complaints Receiv  |             |                |               |            |  |  |  |
| Details of Client Complaints Received<br>(Please provide details of claims of impacted clients) * | Number of Complaints Settle  |             |                |               |            |  |  |  |
| (viease provide decails of claims of impacted clients)  | Number of pending compleints * Total amount cleined by compleinants, * |             |                |               |            |  |  |  |
|   |  | (contentar) |                |               |            |  |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? *                | O VES O NO   |             |                |               |            |  |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report?                  | O YES O NO   |             |                |               |            |  |  |  |
| Were all operations shifted to DR Site? *   | O YES O NO   |             |                |               |            |  |  |  |
| Member Code :     122       Date and Time of Incident *   | Oves OND   |             |                |               |            |  |  |  |
| 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          |            |  |  |  |

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



| Root Cause Analysis Report  |   |          |             |                |     |            |  |  |
|---|---|----------|-------------|----------------|-----|------------|--|--|
| Member Code : 1234  |   |          |             | Member Nam     | a : | 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: *   | O Broker O 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 * Amy RAL impact? * Any other impact on Busines? *                    |          |             |                |     |            |  |  |
| Details of Client Complaints Received<br>(Please provide details of claims of impacted clients) *   | Number of Complaints Received * Number of Complaints Settled * Number of pending complaints * Total amount calumed by complaints. * |          |             |                |     |            |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? *  | O YES O NO  |          |             |                |     |            |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{st}$  | O YES O NO  |          |             |                |     |            |  |  |
| Were all operations shifted to DR Site? *   | O YES O NO  |          |             |                |     |            |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | O YES O 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 |     |            |  |  |
| ВАСК  |   |          |             | 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 : 123   | 4   |                           |                        | Membe                   | tr Name : DUMMV_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 NETWOR | K WHILE DOING ONLINE L | IMIT UPLOAD WHICH CAUSE | ED THIS DELAY                                     |  |  |  |
| Categorization of the Glitch *  | Software 🗹 Hardware   | e 🗹 Other                 |                        |                         |   |  |  |  |
|   | NETWORK   |                           |                        |                         |   |  |  |  |
|   | Number of clients impacted                                  | •                         |                        | 50                      |   |  |  |  |
| Business Impact *   | Number of client orders imp                                 | pacted *                  |                        | 250000                  |   |  |  |  |
| Business Impect   | Any P&L impact? *   |                           |                        | NO                      |   |  |  |  |
|   | Any other impact on Busine                                  | ss? *                     |                        | NO                      |   |  |  |  |
|   | Number of Complaints Rece                                   | eived *                   |                        | 5                       |   |  |  |  |
| Details of Client Complaints Received   | Number of Complaints Sett                                   | led *                     |                        | 3                       |   |  |  |  |
| (Please provide details of claims of impacted clients) *  | Number of pending compla                                    |                           |                        | 2                       |   |  |  |  |
|   | Total amount claimed by co                                  | mplainants. *             |                        | 50000                   |   |  |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? $\ensuremath{^{\circ}}$  | ● YES ○ NO  |                           |                        |                         |   |  |  |  |
|   | What services are being pro<br>the third-party vendor or se |                           | Network                |                         |   |  |  |  |
|   | Time taken (in Minutes) by<br>vendor or service provider    |                           | 00:05:00               |                         |   |  |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? $\space{-1.5}$   | ● 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 RTO? (Specif                                   | y in minutes) *           | 00:05:00               | HH:MM:SS                |   |  |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>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 20240712-3.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 20240712-3.pdf                      |  |  |  |
| Preventive measures taken *   | DRAFT   |                           | Choose File            | NO FILE CHOSEN          | 2. SEBI CSCRF Circular Implementation Status xisx |  |  |  |

vii. If the technical glitch was not happened 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: *   | O Broker O Vendor  |                     |                       |               |            |
| Incident Description and Chronology of the Events: *  |  |                     |                       |               |            |
| Categorization of the Glitch *  | Software Hardware  | Other               |                       |               |            |
| Business Impact *   | Number of clients impacted *<br>Number of client orders impac<br>Any P&L impact? *<br>Any other impact on Business?          |                     |                       |               |            |
| Details of Clent Complaints Received<br>(Please provide details of claims of impacted clients) *  | Number of Complaints Receive<br>Number of Complaints Settled<br>Number of pending complaints<br>Total amount claimed by comp | *                   |                       |               |            |
| Was the issue caused or encountered by a third-party vendor or service provider? $^{st}$  | O YES O NO   |                     |                       |               |            |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{st}$  | O YES O NO   |                     |                       |               |            |
| Were all operations shifted to DR Site? *   | O YES O NO   |                     |                       |               |            |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | Oves Ono   |                     |                       |               |            |
| Date-Time of submission *   | 14/11/2024 12:06:29  |                     |                       |               |            |
| Root Cause Analysis *   |  |                     | Choose File NO FILE C | HOSEN         |            |
| Backup Measures *   |  |                     | Choose File NO FILE O | HOSEN         |            |
| Long Term Action *  |  |                     | Choose File NO FILE C | HOSEN         |            |
| Preventive measures taken *   |  |                     | Choose File NO FILE C | HOSEN         |            |
| ВАСК  |  |                     |                       | 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.

|  | I   | Root Cause Analysis     | Report                  |                      |  |
|--|---|-------------------------|-------------------------|----------------------|--|
| Member Code : 123  | 4   |                         |                         | Memi                 | ber 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: *  | O Broker 💿 Vendor   |                         |                         |                      |  |
| Incident Description and Chronology of the Events: *   | WE WERE SENDING SOME UNI  | WANTED DATA OVER NETWOR | K WHILE DOING ONLINE LI | MIT UPLOAD WHICH CAU | SED THIS DELAY                                     |
| Categorization of the Glitch *   | Software Hardware   | 🗸 Other                 |                         |                      |  |
|  | NETWORK   |                         |                         |                      |  |
|  | Number of clients impacted *                                      |                         |                         | 50                   |  |
|  | Number of client orders impact                                    | ted *                   |                         | 250000               |  |
| Business Impact *  | Any P&L impact? *   |                         |                         | NO                   |  |
|  | Any other impact on Business?                                     | *                       |                         | NO                   |  |
|  | Number of Complaints Receive                                      | ed *                    |                         | 5                    |  |
| Details of Client Complaints Received  | Number of Complaints Settled *                                    |                         |                         |                      |  |
| (Please provide details of claims of impacted clients) *   | Number of pending complaints                                      | •                       |                         | 2                    |  |
|  | Total amount claimed by comp                                      | lainants. *             |                         | 50000                |  |
| Was the issue caused or encountered by a third-party vendor or service provider? *   | ● YES ○ NO  |                         |                         |                      |  |
|  | What services are being provid<br>the third-party vendor or servi |                         | Network                 |                      |  |
|  | Time taken (in Minutes) by thi<br>vendor or service provider to r |                         | 00:05:00                |                      |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? *   | ● YES ○ ND  |                         |                         |                      |  |
|  | Mention Date and Time: *  |                         | 01/10/2024              | 15:30:0              | DO HH:MM:SS  |
| Were all operations shifted to DR Site? *  | ● YES ○ NO  |                         |                         |                      |  |
|  | What was the RTO? (Specify in                                     | n minutes) *            | 00:05:00                | HH:MM:SS             |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. <sup>®</sup> | • YES ONO   |                         |                         |                      |  |
| 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 CSCRF 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 SCRF Circular Implementation Status xisx |

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



|   | F                              | Root Cause Analysis R | eport       | 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: *   | O Broker O Vendor              |                       |             |                            |            |  |  |  |  |  |  |  |
| Incident Description and Chronology of the Events: *  |                                |                       |             |                            |            |  |  |  |  |  |  |  |
| Categorization of the Glitch *  | Software Hardware              | Other                 |             |                            |            |  |  |  |  |  |  |  |
|   | Number of clients impacted *   |                       |             |                            |            |  |  |  |  |  |  |  |
|   | Number of client orders impact | ted *                 |             |                            |            |  |  |  |  |  |  |  |
| Business Impact *   | Any P&L impact? *              |                       |             |                            |            |  |  |  |  |  |  |  |
|   | Any other impact on Business?  | •                     |             |                            |            |  |  |  |  |  |  |  |
|   | Number of Complaints Receive   | d *                   |             |                            |            |  |  |  |  |  |  |  |
| Details of Client Complaints Received   | Number of Complaints Settled   |                       |             |                            |            |  |  |  |  |  |  |  |
| (Please provide details of claims of impacted clients) *  | Number of pending complaints   |                       |             |                            |            |  |  |  |  |  |  |  |
|   | Total amount claimed by comp   | lainants. *           |             |                            |            |  |  |  |  |  |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? $\ensuremath{^*}$  | O VES O NO                     |                       |             |                            |            |  |  |  |  |  |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? "  | Oves OND                       |                       |             |                            |            |  |  |  |  |  |  |  |
| Were all operations shifted to DR Site? *   | O YES O NO                     |                       |             |                            |            |  |  |  |  |  |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | Oves Ono                       |                       |             |                            |            |  |  |  |  |  |  |  |
| 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 Analysi   | 5 Report   |               |  |  |  |  |
|---|--|--|---------------|--|--|--|--|
| Member Code :   | 1234   | Member Name :  | DUMMY_123     |  |  |  |  |
| Date and Time of Incident *   | 01/10/2024   | HH:MM:SS   |               |  |  |  |  |
| Date - Time of Recovery *   | 01/10/2024 15:45:00  | 01/10/2024 IS:45:00 HH:MM:SS   |               |  |  |  |  |
| Incident duration (in Minutes) *  | 36   |  |               |  |  |  |  |
| Incident caused by: *   | O Broker 🖲 Vendor  |  |               |  |  |  |  |
| Incident Description and Chronology of the Events: *  | WE WERE SENDING SOME UNWANTED DATA OVER NETWO  | RK WHILE DOING ONLINE LIMIT UPLOAD WHICH CAUSED THIS DELAY               |               |  |  |  |  |
| Categorization of the Glitch *  | Software 🗹 Hardware 🗹 Other  |  |               |  |  |  |  |
|   | NETWORK  |  |               |  |  |  |  |
|   | Number of clients impacted *   | 50   |               |  |  |  |  |
|   | Number of client orders impacted *   | 250000   |               |  |  |  |  |
| Business Impact *   | Any P&L impact? *  | NO   |               |  |  |  |  |
|   | Any other impact on Business? *  | NO   |               |  |  |  |  |
|   | Number of Complaints Received *  | 5  |               |  |  |  |  |
| Details of Client Complaints Received   | Number of Complaints Settled *   | 3  |               |  |  |  |  |
| (Please provide details of claims of impacted clients) *  | 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? $\ensuremath{^\circ}$  | ● 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. $\ensuremath{^\ast}$ | 00:05:00 HH:MM:SS  |               |  |  |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{st}$  | ● YES ○ NO   |  |               |  |  |  |  |
|   | Mention Date and Time: *   | 01/10/2024 IS:30:00 HH:MM:SS   |               |  |  |  |  |
| Were all operations shifted to DR Site? *   | ● YES ○ NO   |  |               |  |  |  |  |
|   | What was the RTO? (Specify in minutes) *   | 00:05:00 HH:MM:SS  |               |  |  |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>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 20240712-3.pdf                  |               |  |  |  |  |
| Backup Measures *   | DRAFT  | Choose File NO FILE CHOSEN 2. SEBI CSCRF Circular Implementation Status  | . <u>xisx</u> |  |  |  |  |
| 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 SCRF Circular Implementation Status | xisx          |  |  |  |  |

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                                 | s Report                  |                     |   |
|---|--|---|---------------------------|---------------------|---|
| Member Code :   | 1234   |   |                           | Mem                 | ber Name :  |
| 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: *   | O Broker 💿 Vend                                | or  |                           |                     |   |
| Incident Description and Chronology of the Events: *  | WE WERE SENDING S                              | OME UNWANTED DATA OVER NETWO                        | RK WHILE DOING ONLINE LIN | IT UPLOAD WHICH CAU | SED THIS DELAY                                    |
| Categorization of the Glitch *  | Software V Ha                                  | rdware 🔽 Other                                      |                           |                     |   |
|   | NETWORK  |   |                           |                     |   |
|   | Number of clients im;                          | pacted *  |                           | 50                  |   |
|   | Number of client orde                          |   |                           | 250000              |   |
| Business Impact *   | Any P&L impact? *                              |   | NO                        |                     |   |
|   | Any other impact on                            | Business? *   | NO                        | NO                  |   |
|   | Number of Complaint                            | s Received *  |                           | 5                   |   |
| Details of Client Complaints Received   | Number of Complaint                            | s Settled *   |                           | 3                   |   |
| (Please provide details of claims of impacted clients) *  | Number of pending o                            |   | 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 be<br>the third-party vendo  | ing provided by<br>r or service provider? *         | Network                   |                     |   |
|   | Time taken (in Minute<br>vendor or service pro | es) by third-party<br>vider 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 Tin                           | 1e: *   | 01/10/2024                | 15:30:              | DO HH:MM:SS                                       |
| Were all operations shifted to DR Site? *   | ● ves ○ no                                     |   |                           |                     |   |
|   | What was the RTO? (                            | Specify in minutes) *                               | 00:05:00                  | HH:MM:SS            |   |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>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 20240712-3.pdf                      |
| Backup Measures *   | DRAFT  |   | Choose File               | NO FILE CHOSEN      | 2. SEBI CSCRF Circular Implementation Status.xisx |
| Long Term Action *  | DRAFT  |   | Choose File               | NO FILE CHOSEN      | 1. BSE notice 20240712-3.pdf                      |

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  |  |                             |                      | Membe                  | r Name : DUMMV                                    | Y_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 UNV   | VANTED DATA OVER NETWORK WH | TILE DOING ONLINE LI | MIT UPLOAD WHICH CAUSE | D THIS DELAY                                      |        |  |  |
| Categorization of the Glitch *  | Software Hardware  | Other                       |                      |                        |   |        |  |  |
|   | NETWORK  |                             |                      |                        |   |        |  |  |
|   | Number of clients impacted *                                       |                             |                      | 50                     |   |        |  |  |
| Business Impact *   | Number of client orders impact                                     | ed *                        |                      | 250000                 |   |        |  |  |
| Business Impact   | Any P&L impact? *  |                             |                      | NO                     |   |        |  |  |
|   | Any other impact on Business?                                      | *                           |                      | NO                     |   |        |  |  |
|   | Number of Complaints Receive                                       |                             |                      | 5                      |   |        |  |  |
| Details of Client Complaints Received   | Number of Complaints Settled                                       |                             |                      | 3                      |   |        |  |  |
| (Please provide details of claims of impacted clients) *  | Number of pending complaints                                       |                             |                      | 2                      |   |        |  |  |
|   | Total amount claimed by comp                                       | lainants. *                 |                      | 50000                  |   |        |  |  |
| Was the issue caused or encountered by a third-party vendor or service provider? *  | ● YES ○ NO   |                             |                      |                        |   |        |  |  |
|   | What services are being provid<br>the third-party vendor or servi  |                             | Network              |                        |   |        |  |  |
|   | Time taken (in Minutes) by this<br>vendor or service provider to n |                             | 00:05:00             | HH:MM:SS               | I: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 RTO? (Specify in                                      | minutes) *                  | 00:05:00             | HH:MM:SS               |   |        |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | ● ves ○ no   |                             |                      |                        |   |        |  |  |
| 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 CSCRF Circular Implementation Status xisx |        |  |  |
| 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 CSCRF Circular Implementation Status xisx |        |  |  |

xi. After reviewing the form, click on the "save" button.

### BSE SE

| Root Cause Analysis Report  |   |                                    |                         |               |          |  |  |  |
|---|---|------------------------------------|-------------------------|---------------|----------|--|--|--|
| Member Code :   | 1234                                    |                                    |                         | Member Name : | DUMNY_12 |  |  |  |
| 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: *   | O Broker O Vendo                        | O Broker O Vendor                  |                         |               |          |  |  |  |
| Incident Description and Chronology of the Events: *  |   |                                    |                         |               |          |  |  |  |
| Categorization of the Glitch *  | Software Har                            | Software Hardware Other            |                         |               |          |  |  |  |
|   | Number of clients imp                   | acted *                            |                         |               |          |  |  |  |
|   | Number of client order                  | Number of client orders impacted * |                         |               |          |  |  |  |
| Business Impact *   | Any P&L impact? *                       |                                    |                         |               |          |  |  |  |
|   | Any other impact on Business? *         |                                    |                         |               |          |  |  |  |
| Details of Client Complaints Received<br>(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? $\space{-1.5}$   | O VES O NO                              |                                    |                         |               |          |  |  |  |
| Has a similar issue been encountered prior to the submission of this RCA Report? $^{st}$  | Oves Ono                                |                                    |                         |               |          |  |  |  |
| Were all operations shifted to DR Site? *   | O VES O NO                              |                                    |                         |               |          |  |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. * | Oves Ong                                |                                    |                         |               |          |  |  |  |
| Date-Time of submission *   | 14/11/2024 12:06:29                     |                                    |                         |               |          |  |  |  |
| Root Cause Analysis *   |   |                                    | Choose File NO FILE CHO | SEN           |          |  |  |  |
| Backup Measures *   |   |                                    | Choose File NO FILE CHO | SEN           |          |  |  |  |
| Long Term Action *  |   |                                    | Choose File NO FILE CHO | SEN           |          |  |  |  |
| Preventive measures taken *   |   |                                    | Choose File NO FILE CHO | SEN           |          |  |  |  |
| BACK  |   |                                    | SA                      | VE            |          |  |  |  |

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

| Root Cause Analysis Report   |  |                          |                              |                      |  |            |  |  |
|--|--|--------------------------|------------------------------|----------------------|--|------------|--|--|
| Member Code : 123  | 4  |                          |                              | Mem                  | ber 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: *  | O Broker   Vendor  |                          |                              |                      |  |            |  |  |
| Incident Description and Chronology of the Events: *   | WE WERE SENDING SOME UNI   | WANTED DATA OVER NETWORK | WHILE DOING ONLINE LI        | MIT UPLOAD WHICH CAU | JSED THIS DELAY                                    |            |  |  |
| Categorization of the Glitch *   | Software Hardware Other  |                          |                              |                      |  |            |  |  |
|  |  |                          |                              |                      |  |            |  |  |
|  | Number of clients impacted *   |                          |                              | 50                   |  |            |  |  |
|  | Number of client orders impacted *   |                          |                              | 250000               |  |            |  |  |
| Business Impact *  | Any P&L impact? *  |                          |                              | NO                   |  |            |  |  |
|  | Any other impact on Business? *  |                          |                              | NO                   |  |            |  |  |
|  | Number of Complaints Receive   | id *                     |                              | 5                    |  |            |  |  |
| Details of Client Complaints Received  | Number of Complaints Settled *   |                          |                              | 3                    |  |            |  |  |
| (Please provide details of claims of impacted clients) *   | 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? $st$  | ● 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 IS:30:00 HH:MM:SS |                      |  |            |  |  |
| Were all operations shifted to DR Site? *  | ● ves O no   |                          |                              |                      |  |            |  |  |
|  | What was the RTO? (Specify in  | n minutes) *             | 00:05:00                     | HH:MM:SS             |  |            |  |  |
| If the incident is more than 45 minutes, then RCA shall be<br>verified by an independent auditor<br>within 45 days from the date of the incident. <sup>#</sup> | ® ves ⊖ no   |                          |                              |                      |  |            |  |  |
| 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 SCRF 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 CSCRF Circular Implementation Status.xisx  |            |  |  |
| васк   |  |                          |                              | UPDATE               |  |            |  |  |

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

| .ogin.aspx |   | 중 호 년 - 🛋 :                              |
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|            | uat bseindia in says<br>The details have been successfully submitted. You will receive an<br>Acknowledgement email shortly. |  |
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\*\*\*\*\*\*\*End of The Document\*\*\*\*\*\*\*