



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 Login Id Password	1234 1234 ECA4E7
Forgot Your Password	Enter Captcha	EC44F7 Login 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. (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	v	
(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. (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. (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. (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. (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 * 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. (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 □ 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. (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. (Please attach screenshots of communications to clients) *	Select 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. (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. (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. (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	- 0 -	A 🗘 🛱 🏟
BSE The Power of Vibrance	Login Id Member Kame Date	e details have been successfully submitted. You will receive a 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 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 " 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 uploading client limit file from	ible to login and place order 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. (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>

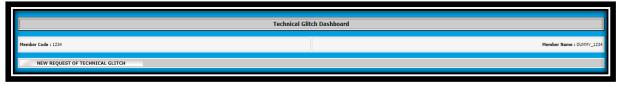
		BEFS
BSE The Power of Vibrance	Member Code Login Id Password Enter Captcha	1234 1234 EC44F7 C EC44F7 Please login to BEFS
BSE Electronic	Filing System	

- 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 System And Networks	Impacted System Trading System And Backoffice System	Start Date And Time Of Technical Glitch Occurrence 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 □ 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		v				
Intimation to clients about the Technical Glitch. (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? *	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 Markan Adal Rayard einsenen för Appresel einsenen för Appresel satson för Adattional Segment ovar GAT Enchnligen Product. Ein Adattionen för Adattionen för för Monden Inpersonation Se för Adattionen Segmentation Se för Adattionen Segmentation i ESE Einsteina Semer Trader – ISESE Film Och Markan – ISESE Film Och Markan – 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	,	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 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 Segment Registration ository May Of Deckrage, Statutory & Regulatory Levies emination (bard 10 5 5 V Warning Message 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 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 - I N D - S T R Reporting		14.40.00 Million 20	
- I N D - S T R Reporting	Incident duration (in Minutes) *		
· Declaration 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 (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 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 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 spliance On Bank Guarantees		Do you have a back-up vendor for the said services? * No
mpisance un bank Guarantees ber Incident Report		@ v#5 () v0
er incident report 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? *	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.

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 → C ¹ uat.bseindia.in/befs/CheckLogi 		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? *	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. * Number of client orders 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? *	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				
 a datusenularitybers/checkboginas 				
	μ.			
The Power of Vibrance 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 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? *	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 A - E
B E F S Allerts	,			^
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 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
	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 System And Networks	Impacted System Trading System And Backoffice System	Start Date And Time Of Technical Glitch Occurrence 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. (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 (Please provide details of claims of impacted clients) *	Number of Complaints Received Number of Complaints Settled * Number of pending complaints 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 verified by an independent auditor 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 verified by an independent auditor 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? * Any other impact on Busines	*						
	Number of Complaints Receiv Number of Complaints Settle							
Details of Client Complaints Received (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 verified by an independent auditor 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 Any P&L impact? *	sd *						
	Any P&L impact? " Any other impact on Business?							
	Number of Complaints Received							
Details of Client Complaints Received	Number of Complaints Received							
Details of Client Complaints Received (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? *	O YES 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							
If the incident is more than 45 minutes, then RCA shall be verified by an independent auditor within 45 days from the date of the incident. *	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 * 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 (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 varified by an independent auditor 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 varified by an independent auditor 10 Details of claims of incident. * 10 Datex Time of submission *	Number of clients impacted ' Number of client orders impu Any P&L impact? * Any other impact on Busines	acted *		
Details of Clart Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Receiv Number of Complaints Settle Number of pending complain Total amount claimed by con	ed * 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 verified by an independent auditor 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 * Number of client orders impacts Any P&L impact? * Any other impact on Business?				
Details of Client Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Received Number of Complaints Settled ³ Number of pending complaints 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 verified by an independent auditor 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 (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 (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 verified by an independent auditor 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 the third-party vendor or se		Network					
	Time taken (in Minutes) by 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 verified by an independent auditor within 45 days from the date of the incident. *	● YES ○ NO							
Date-Time of submission *	22/10/2024 16:53:08							
Root Cause Analysis *	DRAFT		Choose File	NO FILE CHOSEN	1. BSE notice 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 * Number of client orders impac Any P&L impact? * Any other impact on Business?				
Details of Clent Complaints Received (Please provide details of claims of impacted clients) *	Number of Complaints Receive Number of Complaints Settled Number of pending complaints 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 verified by an independent auditor 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 the third-party vendor or servi		Network		
	Time taken (in Minutes) by thi 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 verified by an independent auditor within 45 days from the date of the incident. [®]	• 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 verified by an independent auditor 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 verified by an independent auditor within 45 days from the date of the incident. *	● YES ○ NO						
Date-Time of submission *	22/10/2024 16:53:08						
Root Cause Analysis *	DRAFT	Choose File NO FILE CHOSEN 1. BSE notice 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 the third-party vendo	ing provided by r or service provider? *	Network		
	Time taken (in Minute vendor or service pro	es) by third-party 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 verified by an independent auditor within 45 days from the date of the incident. *	● yes ○ no				
Date-Time of submission *	22/10/2024 16:53:08				
Root Cause Analysis *	DRAFT		Choose File	NO FILE CHOSEN	1. BSE notice 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 the third-party vendor or servi		Network					
	Time taken (in Minutes) by this 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 verified by an independent auditor 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.

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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 (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 verified by an independent auditor 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 verified by an independent auditor 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 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 - 🛋 :
	uat bseindia in says The details have been successfully submitted. You will receive an Acknowledgement email shortly.	
	Search 📻 🛱 🏚 🕰 🏹 🐢 🕸 🧕 🖷	▲ ENG [] 40) 1653 N (1 40) 22-10-2024

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