

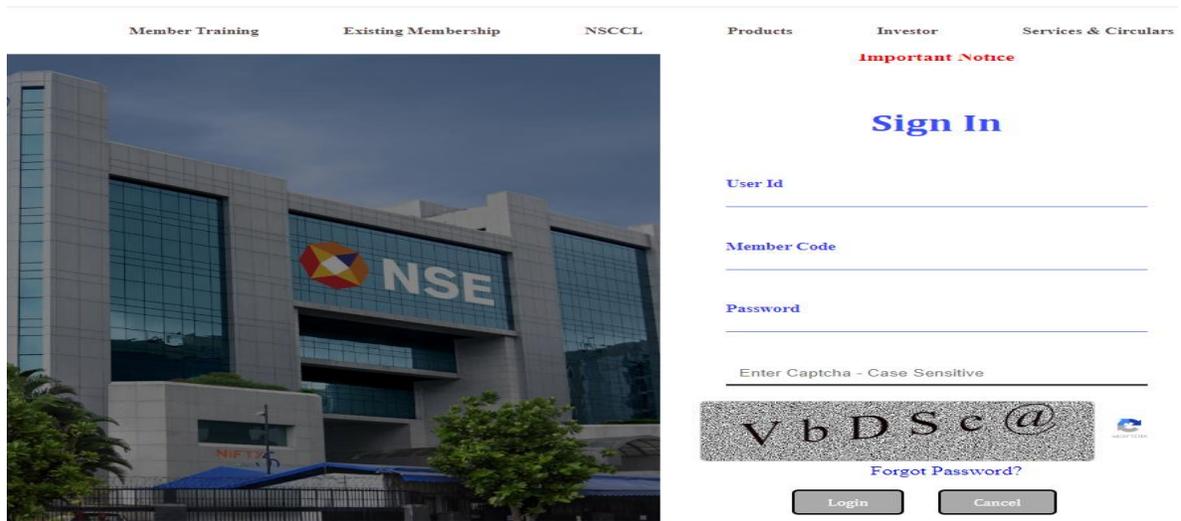
National Stock Exchange of India

User Manual - Technical Glitch Reporting

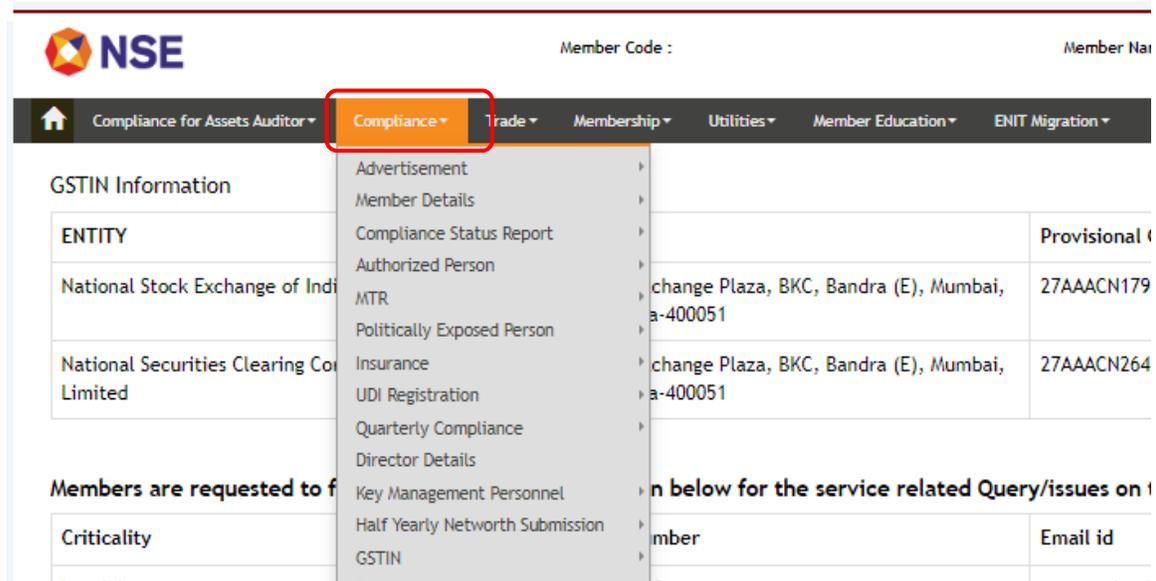
Steps for Reporting Technical Glitches

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

<https://enit.nseindia.com/MemberPortal/redirectlogin>



2. After Successful login, Select Compliance option in Menu.



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3. In Compliance, at the bottom of the list you will find the option of Technical Glitches.

Compliance > Technical Glitches > Technical Glitches Submission.

Level 1	Surrender ML and AI	3	nse.servicedesk@sifycorp.com nse.sifynoc@sifycorp.com	H
Level 2	Margin Trading Approval Withdrawal Client Code Modification		senthil.saravanan@sifycorp.com	S n
Level 3	FATF Internal Risk Assessment Sub Broker		shankar.yadav@sifycorp.com	S G
Level 4	Annual Returns Inventory of Assets		pillai.pramod@sifycorp.com	p C
Level 5	Registered Address Change in Name NSEIL CDS Instrument		joseph.abraham@sifycorp.com	J C
Alerts	Algorithmic Trading Associate And Subsidiary BO Facility Details E-Voting Facility Membership Certificate STPI Maintenance of Website Qualified Stock Brokers Technical Glitches Voluntary Disablement Base Minimum Capital			
				Reminders

4. Reporting for Intimation of Incident (T – Day Submission)

- Fill in all the required information for Intimation T – Day submission and click on submit.
- Note – You need to first report the incident through email as per the NSE circular NSE/COMP/54876 dated December 16, 2022.

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MIS Report

Reporting of Technical Glitch(es)

Intimation of Incident (T-day, within 1 hour of the Incident)

Member Code: 90370 Name of the Member: TEST MEMBER

Letter/Report Subject * Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients) *

Additional Intimation File 1 Additional Intimation File 2 Additional Intimation File 3 Additional Intimation File 4

Upload Email Intimation Copy * Date on Email Sent * Email Time*

Designated Officer (Reporting Officer details) **Compliance Officer**

Name * Mobile * Email ID * Name * Mobile * Email ID *

Exchanges on which Technical Glitch was encountered (NSE B... Date of Incident * Start Time* End Time

Network Connectivity Issues / Hardware Issues / Software Issues / Human Error / Other (Please Specify (if more than one, please separate... Additional Details about the Technical Glitch, if Any.

Submit Reset

- After submission you will receive a notification of successful submission along with timeline for next submission and exchange remarks.
- You will also receive a confirmation mail from NSE to the Designated Officer and Compliance Officer along with a Request Reference Number.

Submit Reset

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

Only docx / pdf / jpeg / png File is Accepted, (Required) Max 5 Mb of File Size

✓

Your request for Reporting Technical Glitch on T Day has been Successfully submitted to the Exchange.

Request Reference Number- 90370/TECH_GLITCH/1219

Exchange Remark- -

Expected T Day Submission Date and Time- 21-Feb-2024 11:45

Expected T+1 Day Submission Date- 22-Feb-2024 23:59

Expected T+14 Day Submission Date- 06-Mar-2024 23:59

OK

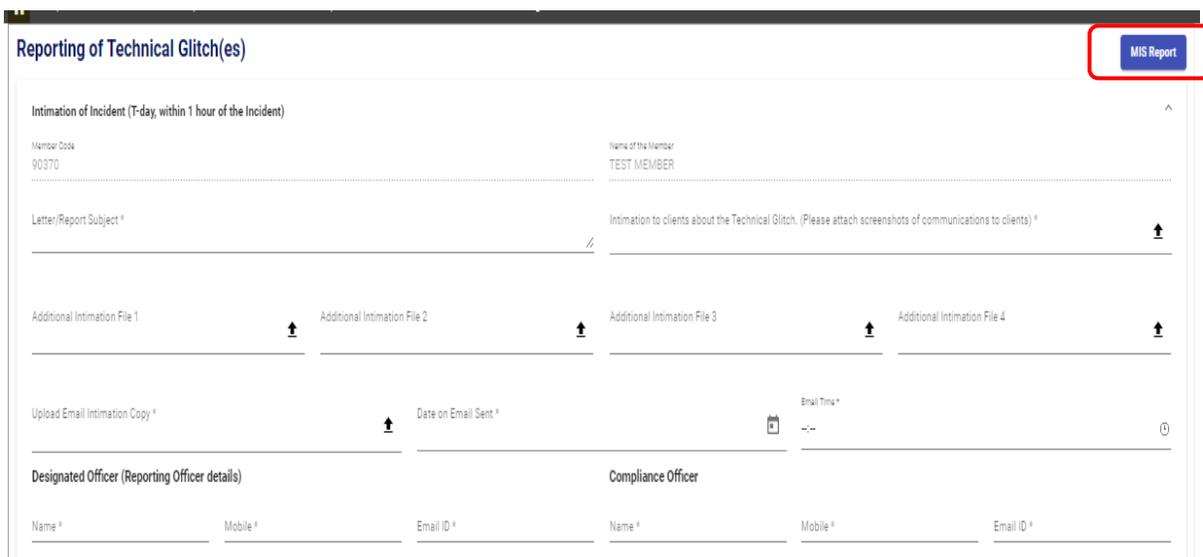
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5. Reporting for Preliminary Incident Report (T + 1 Day Submission) and RCA (T+14 Day Submission)

- In Compliance, at the bottom of the list you will find the option of Technical Glitches and Technical Glitches MIS
 Compliance > Technical Glitches > Technical Glitches MIS



Alternately, you can also find MIS Report option on the top left corner of Technical Glitches Submission.


 A screenshot of the 'Reporting of Technical Glitch(es)' form. The form contains several fields: 'Intimation of Incident (T-day, within 1 hour of the Incident)' with sub-fields for 'Member Code' (90370) and 'Name of the Member' (TEST MEMBER); 'Letter/Report Subject *' and a text area for 'Intimation to clients about the Technical Glitch, (Please attach screenshots of communications to clients) *'; four 'Additional Intimation File' upload fields; 'Upload Email Intimation Copy *', 'Date on Email Sent *', and 'Email Time *' fields; and a 'Designated Officer (Reporting Officer details)' section with sub-fields for 'Name *', 'Mobile *', and 'Email ID *' for both the Reporting Officer and the Compliance Officer. A blue 'MIS Report' button is located in the top right corner, highlighted with a red box.

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- In Technical Glitch MIS, Search the Incident submission based on **Request Ref No.** and **Date of submission.**

Note – Refer Intimation of Incident confirmation mail shared for Request Ref Number.

Reporting of Technical Glitch(es)

Member Name TEST MEMBER	Member Code 90370	Request Ref. no.
From date * DD-MM-YYYY	To date * DD-MM-YYYY	Status SELECT
		<input type="button" value="Search"/> <input type="button" value="Reset"/>

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Reference Number	Member Name	Member Code	Current Submission Status	T Day			T+1 Day			T+14 Days		
				Expected Submission Date	Submission Date	Exchange Remarks	Expected Submission Date	Submission Date	Exchange Remarks	Expected Submission Date	Submission Date	Exchange Remarks

- Once Incident is searched you will find the details of the incident submitted and the status of the submission.
- Further click on **Reference Number** to proceed for T+1 and T+14 Day submission.

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Reporting of Technical Glitch(es)

Member Name: TEST MEMBER | Member Code: 90370 | Request Ref. no.: 90370/TECH_GLITCH/1219

From date: 19-Feb-2024 | To date: 21-Feb-2024 | Status: SELECT

DD-MMM-YYYY

Search **Reset**

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Reference Number	Member Name	Member Code	Current Submission Status	T Day			T+1 Day			T+14 Days		
				Expected Submission Date	Submission Date	Exchange Remarks	Expected Submission Date	Submission Date	Exchange Remarks	Expected Submission Date	Submission Date	Exchange Remarks
90370/TECH_GLITCH/1219	TEST MEMBER	90370	Intimation of Incident (T-Day)	21-Feb-2024 11:45	21-Feb-2024 15:38:18	-	22-Feb-2024 23:59			06-Mar-2024 23:59		

- Select Preliminary Incident Report (T+1 Day), fill in all the required details and click on the submit button.

Reporting of Technical Glitch(es)

Intimation of Incident (T-day, within 1 hour of the Incident)

Preliminary Incident Report (T + 1 Day)

Member Code: 90370 | Member Name: TEST MEMBER

Date of Incident: 21-Feb-2024 | Start Time: 10:45 | End Time: --- | Incident duration (In Minutes): *

Incident Description * | Immediate action taken (provide brief details) *

Business Impact

Number of Clients Impacted * | Any other impact *

Were alternate trading channels available for clients? Y N | Was there a spike in traffic on the alternative channels available to clients? Y N

Was the issue caused or encountered by a third-party vendor or service provider? Y N

Was the issue encountered on the Exchange-provided environment? Y N | Did you move operations to the Disaster Recover (DR) site? Y N

Submit **Reset**

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- Similarly follow the above steps after selecting Reference Number in Technical Glitch MIS for RCA (T+14 Days) Submission.

Reporting of Technical Glitch(es)

Intimation of Incident (T-day, within 1 hour of the Incident)

Preliminary Incident Report (T + 1 Day)

RCA of Technical Glitch Incident (T + 14 days)

90370 TEST MEMBER

Date of Incident: 21-Feb-2024 Start Time: 10:45 End Time: --:-- Recovery & Incident duration (In Minutes) *

Incident Description & Chronology of events

Incident Description & Chronology of events (Please provide brief details) *

Business Impact (Please provide details on the points below)

Number of Clients Impacted * Number of client orders impacted * Any P&L impact * Any other impact on Business *

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

Number of Complaints Received * Number of Complaints Settled * Number of pending complaints * Total amount claimed by complainants *

RCA Detailed Report

Root Cause Summary (Please attach the de... Upload Root Cause Detailed Report * Additional File 1 Additional File 2

- After every submission you will receive a notification of successful submission along with the confirmation email.

RCA of Technical Glitch Incident (T + 14 days)

Member Code

Date of Incident Start Time End Time Recovery & Incident duration (In Minutes)

Incident Description & Chronology of events

Incident Description & Chronology of events (Please provide brief details) *

Business Impact (Please provide details on the points below)

Number of Clients Impacted Number of client orders impacted Any P&L impact Any other impact on Business *

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

Number of Complaints Received Number of Complaints Settled Number of pending complaints Total amount claimed by complainants *

RCA Detailed Report

Root Cause Summary (Please attach the de... Upload Root Cause Detailed Report * Additional File 1 Additional File 2

✓

Your request for Reporting Technical Glitch on T + 14 Days has been Successfully submitted to the Exchange.

Request Reference Number- 90370/TECH_GLITCH/1219

Exchange Remark:-

Expected T Day Submission Date and Time- 21-Feb-2024 11:45

Expected T+1 Day Submission Date- 22-Feb-2024 23:59

Expected T+14 Day Submission Date- 06-Mar-2024 23:59

OK