

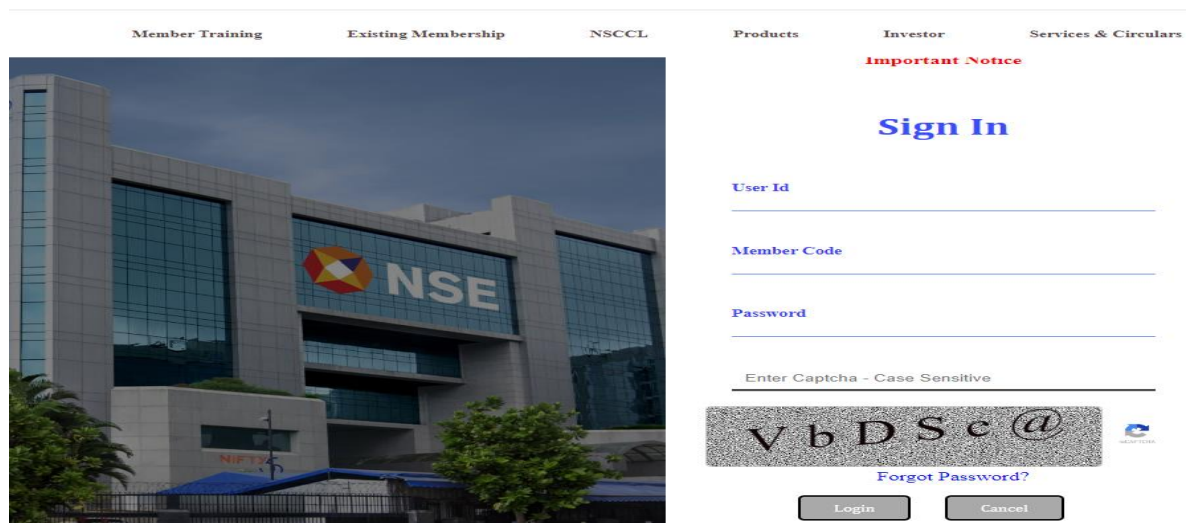
National Stock Exchange of India

User Manual - Technical Glitch Reporting

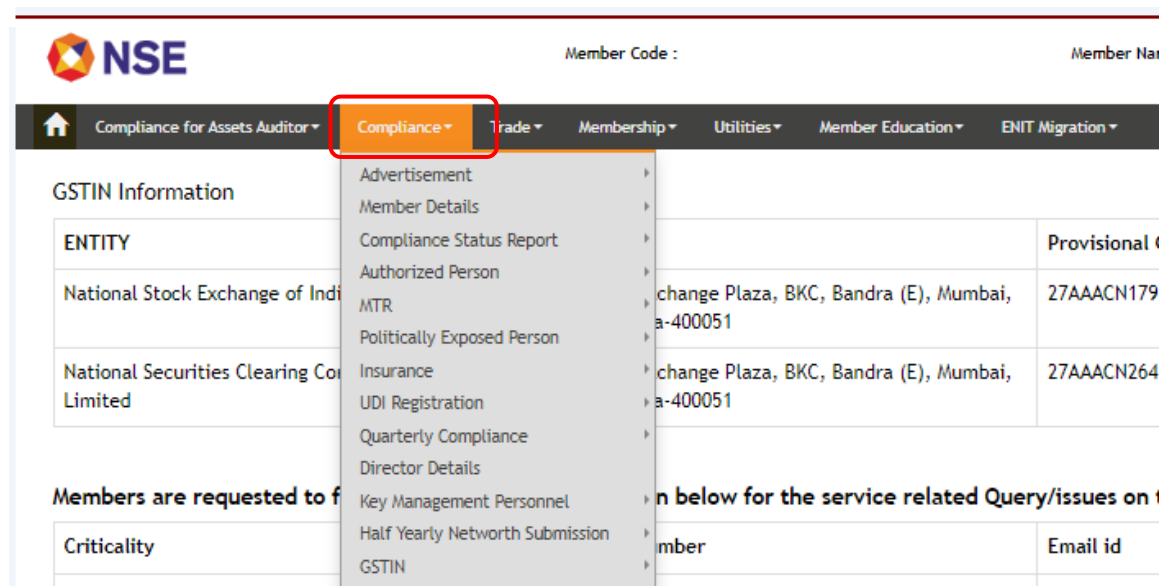
Steps for Reporting Technical Glitches

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	3	nse.servicedesk@sifycorp.com nse.sifynoc@sifycorp.com	H
Level 2	ML and AI			
Level 2	Margin Trading Approval Withdrawal		senthil.saravanan@sifycorp.com	S
	Client Code Modification			n
Level 3	FATF			
	Internal Risk Assessment		shankar.yadav@sifycorp.com	S
	Sub Broker			G
Level 4	Annual Returns			
	Inventory of Assets		pillai.pramod@sifycorp.com	p
	Registered Address			C
Level 5	Change in Name		joseph.abraham@sifycorp.com	J
	NSEIL CDS Instrument			C
	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			

Alerts

Reminders

Technical Glitches Submission

Technical Glitches MIS

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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Reporting of Technical Glitch(es)

MIS Report

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.

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

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

✓

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

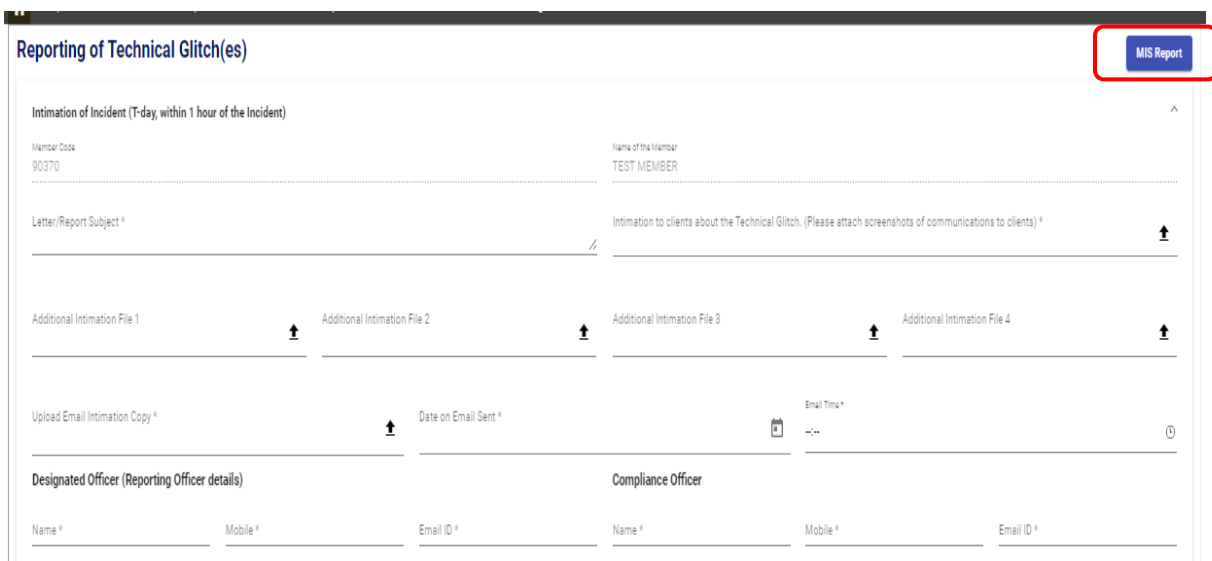
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5. Reporting for Preliminary Incident Report (T + 1 Day Submission) and RCA (T+14 Day Submission)

- 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 is titled 'Reporting of Technical Glitch(es)' and has a blue 'MIS Report' button in the top right corner, which is highlighted with a red box. The form contains several sections: 'Intimation of Incident (T-day, within 1 hour of the Incident)' with fields for 'Member Code' (90370) and 'Name of the Member' (TEST MEMBER); 'Letter/Report Subject *' and 'Intimation to clients about the Technical Glitch. (Please attach screenshots of communications to clients) *'; 'Additional Intimation File 1' through 'Additional Intimation File 4'; 'Upload Email Intimation Copy *' and 'Date on Email Sent *'; and 'Designated Officer (Reporting Officer details)' and 'Compliance Officer' with fields for Name, Mobile, and Email ID.


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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

Export:  Items per page: 10 0 of 0 < >												
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 DD-MMM-YYYY	To date * 21-Feb-2024 DD-MMM-YYYY	Status SELECT

Search Reset

Export: 

Items per page: 10

1 - 1 of 1

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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)

Member Code: 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

Notification:

✓

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