

Annexure C

Root Cause Analysis report (RCA) (on the letterhead of stock broker)	
1. Name of the Member Member Code:	
2. Reporting Officer details	
Name: Designation: E-mail: Mobile:	
3. Date and time of technical glitch incident Date of incident Time of Incident	
4. Date and Time of recovery Date of recovery Time of Recovery Duration of the Incident	
5. Incident Description & chronology of events (please use additional sheets if required)	
6. Category of incident (hardware, software application, server, network, bandwidth, vendor related, other-please specify)	
7. Business Impact: Number and percentage of clients affected (duly certified by Auditor) No. of complaints received No. of complaints resolved till RCA date Amount of claim made by complainant Amount of claim paid to complainant	
8. Immediate action taken (please give full details. Use additional sheets if required)	
9. Root Cause Summary (PI attach the detailed Report separately)	
10. Action taken to prevent such incident in future	
Name and Signature of Compliance Officer/CTO Date:	