

MEMBER: National Stock Exchange of India Ltd.
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SEBI Registration No. F & O: INF 231130130 CLG. No. TM- 11301
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MEMBER: MCX Stock Exchange Ltd.,
SEBI Registration No. : CM: INB 261130133 Code No. 12540
SEBI Registration No. : F & O : INF 261130133 TM: 12540



RRS SHARES & STOCK BROKERS PVT LTD.

Policy on Technical Glitch / Standard Operating Procedure (SOP)

as per NSE Circular No. 10/2021 dated 15th Dec 2021

(Download Ref No. NSE/COMP/50610)



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Guidelines for prevention of Business Disruption due to technical glitches & Standard Operating Procedures (SOP) to be adopted upon incident of Technical Glitches.

I. Objective

The objective of this guideline is to outline the technology infrastructure and system requirements that a member should put in place to prevent any incident of business disruption resulting from technical glitches. These guidelines also prescribe the Standard Operating Procedures (SOP) for reporting of technical glitches by RRS, handling business disruption, management of such business disruption, including declaration of disaster and framing of provisions for disciplinary action in case of non-compliance in reporting/inadequate management of business disruption.

II. Definition

a) **“Technical Glitch”** shall mean any malfunction of the RRS’s systems including malfunction in its hardware or software or any products/services provided by the Member, whether on account of any inadequacy or non-availability of infrastructure/ network/ other systems or otherwise, which may lead to business disruption.

b) **“Business Disruption”** shall mean either stoppage or variance in the normal functions /operations of systems of the RRS, due to a technical glitch, w.r.t login, order placement (including modification & cancellation), order execution, order confirmation, order status, margin updates, risk management, for a continuous period of more than 15 minutes in any segment of the Exchange.



III. Preventive Measures

a) The member should have robust systems and technical infrastructure in place in order to provide essential facilities, perform systemically critical functions relating to securities market and provide seamless service to their clients.

b) Exchange and SEBI have, from time to time, prescribed various guidelines and advisory to Members to build resiliency/redundancy in their systems to ensure continuity of services to their clients. Further, Exchange also provides various redundancy options to us for connectivity, enabling them to create network resilience, which the member have been advised to deploy to ensure continuity of their business operations. The members are required to ensure due compliance to the same.

c) Further, we shall be required to comply with the system requirements prescribed under the Stockbroker System Audit Framework as well as the framework for Cyber Security & Cyber Resilience prescribed by SEBI vide its Circular CIR/MRD/DMS/34/2013 dated November 06, 2013, and SEBI/HO/MIRSD/CIR/PB/2018/147 dated Dec 03, 2018, respectively and any other circulars/regulations & guidelines issued by SEBI/Exchange in this regard from time to time.

d) Additionally, the member will also ensure the following:

i. System Controls & Network Integrity

1. Sufficient level of redundancy should be deployed and available at primary site for all critical systems including network and data center infrastructure.

