# Trade Fail Report

Date: 2025-07-08

Analyst Name: Aayush Yadav

Client Name: Client A

## 1. Summary of Identified Issues

Issue 1: Transaction TXN001 is pending due to "Awaiting funds transfer", involving $1,000,000. This may delay the client's access to funds for the art purchase.

Issue 2: Transaction TXN003 is under compliance review, involving $1,500,000. This could significantly delay fund settlement.

Issue 3: Transaction TXN004 shows a "Technical issue detected" which could signal broader system issues affecting transaction processing.

## 2. Actions Taken

Action for Issue 1: Coordinated with the Trading Desk to verify fund availability and request expedited transfer confirmation.

Action for Issue 2: Engaged Compliance team to escalate and prioritize the regulatory review.

Action for Issue 3: Alerted IT Department to investigate system-wide issues and ensure minimal client impact.

## 3. Teams Involved

Team for Issue 1: Trading Desk and Treasury Operations

Team for Issue 2: Compliance and Risk Management

Team for Issue 3: IT Department

## 4. Risk Assessment

Risk for Issue 1: Delay in fund transfer could prevent timely completion of the purchase, leading to client dissatisfaction.

Risk for Issue 2: Regulatory bottlenecks could affect client trust and raise internal compliance concerns.

Risk for Issue 3: Technical issues may affect multiple transactions, compounding delays and operational risk.

## 5. Mitigation Strategies

Mitigation for Issue 1: Verified funding path and requested priority processing for fund release.

Mitigation for Issue 2: Escalated to senior compliance personnel for immediate resolution.

Mitigation for Issue 3: Immediate diagnostics initiated to contain system impact and isolate issue.

## 6. Follow-Up Actions

Follow-Up for Issue 1: Monitor transaction status until settlement confirmed and notify client team.

Follow-Up for Issue 2: Daily check-ins with Compliance to ensure timely closure.

Follow-Up for Issue 3: Review IT resolution report and confirm with QA team for clearance.

## 7. Recommendations

Recommendation for Future Improvements: Establish a pre-trade compliance check, implement UHNW client transaction prioritization, and increase technical resilience through regular system testing.