# Trade Fail Report

**Date:** 25-July-2025

**Analyst Name:** Abarna Annadurai

**Client Name:** Client A

## 1. Summary of Identified Issues

**Issue 1:** TXN001 – Funds transfer is pending for a £10,00,000 buy order (01-07-2024). This may delay the purchase if not resolved promptly.  
**Issue 2:** TXN003 – £15,00,000 buy transaction is pending due to compliance review.  
**Issue 3:** TXN006 – £25,00,000 buy order is pending approval, which is critical for ensuring liquidity.

## 2. Actions Taken

**Action for Issue 1:** Verified internal fund transfer systems and followed up with the Trading Desk and Asset Transfer teams to confirm the expected release date.  
**Action for Issue 2:** Escalated to Compliance for expedited review. Requested prioritization given the client’s urgent need.  
**Action for Issue 3:** Coordinated with the Relationship Manager and Authorization team to fast-track approval processes.

## 3. Teams Involved

**Team for Issue 1:** Asset Transfer and Authorization  
**Team for Issue 2:** Compliance and Risk Management  
**Team for Issue 3:** PWM Relationship Manager + Trading Desk + Authorization

## 4. Risk Assessment

**Risk for Issue 1:** Delay in funds availability could jeopardize the time-sensitive art purchase, leading to client dissatisfaction.  
**Risk for Issue 2:** Non-compliance-related delay could damage the firm’s reputation and client trust.  
**Risk for Issue 3:** Internal approval bottlenecks may result in lost transaction opportunity and impact service perception.

## 5. Mitigation Strategies

**Mitigation for Issue 1:** Set priority flag for transaction and confirm manual override availability if system holds persist.  
**Mitigation for Issue 2:** Leverage high-priority client status to accelerate compliance review; ensure all KYC/AML documents are pre-cleared.  
**Mitigation for Issue 3:** Implement dual-track approval—simultaneously push through hierarchy and system queue.

## 6. Follow-Up Actions

**Follow-Up for Issue 1:** Confirm fund receipt with Asset Transfer team by [26-07-2025].  
**Follow-Up for Issue 2:** Compliance to provide case closure ETA; schedule escalation if unresolved within 24 hours.  
**Follow-Up for Issue 3:** Daily check-ins with Authorization team; notify client once approval is granted.

## 7. Recommendations

**Recommendations for Future Improvements**

* Implement automatic flagging of UHNW time-sensitive transactions for priority processing.
* Enhance cross-team workflow transparency via shared dashboards.
* Establish SLA (Service Level Agreement) standards for compliance and authorization review cycles, especially for high-value trades.