# Trade Fail Report

Date: 2025-04-10

Analyst Name: Saurabh

Client Name: Client A

## 1. Summary of Identified Issues

Issue 1: Transaction TXN001 is still pending due to 'Awaiting funds transfer', which may delay the painting purchase.

Issue 2: Transaction TXN003 is flagged for compliance review, which may block fund availability.

Issue 3: Transaction TXN004 for Client B shows a technical issue, suggesting potential systemic risk.

## 2. Actions Taken

Action for Issue 1: Coordinated with Trading Desk to verify liquidity and expedite fund transfer process.

Action for Issue 2: Escalated to Compliance for urgent clearance on regulatory checks.

Action for Issue 3: Logged issue with IT team for immediate technical diagnostics and resolution.

## 3. Teams Involved

Team for Issue 1: Trading Desk

Team for Issue 2: Compliance and Risk Management

Team for Issue 3: IT Department

## 4. Risk Assessment

Risk for Issue 1: Potential delay in art purchase due to insufficient liquid funds.

Risk for Issue 2: Regulatory non-compliance if due diligence is not completed in time.

Risk for Issue 3: Transaction bottlenecks or delays due to systemic technical faults.

## 5. Mitigation Strategies

Mitigation for Issue 1: Use standby cash reserves if needed while accelerating fund transfer.

Mitigation for Issue 2: Request provisional approval while completing secondary reviews.

Mitigation for Issue 3: Perform parallel processing while resolving technical error.

## 6. Follow-Up Actions

Follow-Up for Issue 1: Confirm fund receipt within 24 hours.

Follow-Up for Issue 2: Daily status check with compliance until clearance is obtained.

Follow-Up for Issue 3: Monitor IT resolution ticket and test transaction once fixed.

## 7. Recommendations

Recommendation for Future Improvements: Implement automated alerts for pending fund transfers, establish fast-track compliance workflows, and enhance system monitoring for early detection of technical faults.