

Trade Fail Report

Date: July 2, 2025

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Client Name: Client A and Client B

1. Summary of Identified Issues

Issue 1: Pending Transactions for Client A: Four transactions (TXN001, TXN003, TXN006, TXN008) are pending, with issues including awaiting funds transfer, compliance review, approval, and insufficient funds. These delays could hinder timely fund availability for the purchase.

Issue 2: Technical Issue for Client B: Transaction TXN004 is pending due to a technical issue, risking delays in fund settlement.

Issue 3: Awaiting Documentation for Client A: Transaction TXN010 is pending due to missing documentation, potentially delaying fund availability.

2. Actions Taken

Action for Issue 1: - Coordinated with Trading Desk to expedite funds transfer and compliance reviews for TXN001, TXN003, TXN006, and TXN008.

Action for Issue 2: Engaged IT Department to diagnose and resolve the technical issue affecting TXN004.

Action for Issue 3: Contacted Client A to request immediate submission of required documentation for TXN010.

3. Teams Involved

Team for Issue 1: Trading Desk and Compliance Team.

Team for Issue 2: IT Department.

Team for Issue 3: Client Relationship Management Team.

4. Risk Assessment

Risk for Issue 1: Potential financial loss and client dissatisfaction due to delayed fund availability, with possible regulatory scrutiny for compliance delays.

Risk for Issue 2: Technical failures could lead to transaction errors, impacting client trust and operational efficiency.

Risk for Issue 3: Incomplete documentation may result in regulatory non-compliance, delaying the transaction and affecting client satisfaction

5. Mitigation Strategies

Mitigation for Issue 1: Implement real-time monitoring of transaction statuses and prioritize compliance reviews to ensure timely fund availability.

Mitigation for Issue 2: Conduct system diagnostics and apply patches to prevent future technical issues, with backup processing systems in place.

Mitigation for Issue 3: Establish automated reminders for clients to submit documentation and streamline verification processes.

6. Follow-Up Actions

Follow-Up for Issue 1: Monitor transaction progress daily and escalate unresolved issues to senior management within 48 hours.

Follow-Up for Issue 2: Verify resolution of technical issue and perform post-resolution testing by July 5, 2025.

Follow-Up for Issue 3: Confirm receipt of documentation by July 4, 2025, and expedite compliance checks.

7. Recommendations

Recommendation for Future Improvements: Enhance transaction monitoring systems with automated alerts for pending statuses, invest in robust IT infrastructure to minimize technical failures, and implement client portal for real-time documentation submission to improve efficiency and compliance.