Session Title: Trade Allocation & Position Transfer

Blended delivery notes: Live practice & debrief

Session Framework:

Audience	Ops/processing staff handling allocation/position transfer requests, including near-cutoff
Delivery	Virtual (Zoom/Teams), approximately 45 minutes
Purpose	Reinforce the Storyline module by (1) debriefing the scenario decisions and (2) practicing exception handling as a group using the control steps
Prework	Complete the self-paced module (scenario + knowledge check) before attending

Facilitator Materials

- Screen-share: module scenario decisions + workflow diagram + job aid
- Case Study Sheet
- Built in polls or questions entered in chat pod

Success criteria (for this session)

- Learners can explain what makes something an exception (failed required validation) vs “urgent/near cutoff.”
- Learners can apply: Pause > Validate > Route > Document > Notify to a case.
- Learners can draft a factual audit note (what happened, impact, actions, who notified + timestamp, reference/ticket ID).

Time blocking

0–5 minutes	Welcome + outcomes
5-15 minutes	Scenario debrief (module decisions)
15-30 minutes	Group practice: 2 mini-cases
30-40 minutes	What good looks like (common exceptions + audit note)
40-45 minutes	Wrap + job aid + next steps

Agenda

Welcome + outcomes (5 minutes)

- "Today is about doing the workflow out loud—fast, consistent, and audit-ready."
- Quick check-in question (chat): "Which step is easiest to skip when things are urgent?"

Scenario debrief (module decisions) (10 minutes)

Run as a quick "what did you choose and why":

- Decision 1: What must be validated first? (poll/chat)
  - What's the first thing you validate and why?
  - What makes something an exception vs just "urgent"?
- Decision 2: Put the control steps in order (poll/chat)
  - What makes something an exception vs just "urgent"?
  - What's the risk if we skip a control check?
- Decision 3: What's the key indicator of an exception? (poll/chat)
  - What's the first thing you validate and why?
  - What's the risk if we skip a control check?

Facilitator note: keep it moving—1 minute vote + 2 minutes "why."

Group practice: 2 mini-cases (talk-through) (15 minutes)

- Put the steps on screen (via the Case Study Sheet: Pause → Validate → Route → Document → Notify)
- Case A - whole-group talk-through (7 min)
  - (Near cutoff, missing field)
  - A request arrives marked "urgent/near cutoff." The account and series look right, but quantity doesn't match and the requester is asking you to "push it through."
  - **Prompt**: Walk through Pause → Validate → Route → Document → Notify. What do you validate? Who do you route to? What do you document?
  - **Answer**: Treat it as an exception because a required check failed (quantity mismatch), even if it's urgent.
    - **Pause**: Don't process it "as-is."
    - **Validate**: Re-check account, series/contract, and confirm the correct quantity from an approved source.
    - **Route**: Escalate to the appropriate control/SME/supervisor queue per procedure.
    - **Document**: Record the mismatch and what you verified (what was wrong, what source you used, what you did).
    - **Notify**: Let the requester know it's paused due to a validation failure and that it's been routed for resolution.

- Case B (7 min): small group (or chat-only) then share-out
    - (Authorization issue)
    - The request is complete and near cutoff, but it comes from an unfamiliar sender and you can't confirm authorization.
    - **Prompt**: Same steps. What's the "stop sign" moment? What does a good audit note include?
    - **Answer**: Treat it as an exception because authorization can't be confirmed (a required control check failed). Stop sign moment: The point you realize you can't verify the sender/requester is authorized.
        - **Pause**: Don't act on the request until authorization is confirmed.
        - **Validate**: Confirm requester identity/authorization via the approved channel/process (not just email reply).
        - **Route**: Send to the correct team/owner to verify authorization (or follow the official escalation path).
        - **Document**: Note "authorization not confirmed," what steps you took to verify, and any reference/ticket ID.
        - **Notify**: Notify the requester (and/or internal stakeholders) that processing is paused pending authorization verification.
- **Debrief** (1 min): "Where do people tend to jump ahead?"

What good looks like (common exceptions + audit note) (10 minutes)
- Facilitator prompt:
    - "What belongs in an audit note?"
- Common mistakes to watch for:
    - Treating "urgent/near cutoff" as a reason to skip required checks
    - Routing before completing basic validation
    - Documenting opinions instead of facts (missing timestamps/reference ID)
    - Not confirming authorization via an approved channel
- Show the exception examples ("Spot the exception") and ask: "What failed validation?"
- Micro-practice (if enough time): in breakout groups, write a 2–3 sentence audit trail note. Use the required elements: facts, impact, actions, notifications + timestamps, reference/ticket ID.

Wrap + job aid + next steps (5 minutes)
- "Your default under pressure: validate first; if anything fails, run the control steps."
- Point to job aid + where escalation/help lives.