GCAD TRAINING USE CASE | DATA STORYTELLING USING EXCEL & POWERPOINT (ADVANCED) | 90 MINUTES

Dealing Room Trade Exceptions

WBRS | From data to a data story

CAUTION All data in this use case is fictional. Names, IDs and amounts are for training only.

1. Background

Treasury & Markets has five dealing desks: Equities Dealing, Fixed Income, FX Spot, Money Market and Derivatives. The trade surveillance team reports three types of trade exceptions each month.

Exception type	Meaning
After-Hours	Trade booked after the 18:00 cut-off without approval
Off-Premise	Trade done outside the dealing room or a bank site
Backdated	Trade booked 2 or more days after the trade date

Dealing Room Policy: all trades must be on a recorded line. Trades must be booked before 18:00 unless the desk head approves.

Three events in the period

- **1 January 2026:** a new booking system went live for Money Market.
- **31 March 2026:** Fixed Income reported its 2025 audit action plan on backdated trades as complete.
- **1 May 2026:** a work-from-home pilot started for the FX Spot desk (12 dealers). Condition: dealers must use the bank-issued recorded mobile line. Management plans to extend the pilot to all five desks on **1 January 2027**.

2. Your task

You are a GCAD auditor. Use the data to answer: **Did the pilot change the trade exception risk? Is it safe to extend it to all desks?**

1. **Discover:** use the 5-step process to find three insights.
2. **Develop:** select the insight for the Story Space. Write the story with 3C: Crowd, Content (S.T.O.R.Y) and Core.
3. **Design:** choose the data story type and the chart. Write a hybrid title.
4. **Drive:** build a clean chart, ready for the meeting.

3. The meeting

On 20 October 2026, the Chief Internal Auditor meets the **Head of Treasury & Markets**, who approves the rollout. The **Chief Compliance Officer** also attends. The Head of Treasury & Markets supports the pilot. Dealers like it, and it helps to keep good staff. The meeting is 10 minutes. The Head of Treasury & Markets prefers one page and one chart.

4. Data file: WBRS Trade Exceptions Data.xlsx

Sheet	Content	Size
Read_Me	Definitions, policy and events	-
Exceptions_Report	Exceptions by desk, type and month, Oct 2025 to Sep 2026. Crosstab format.	15 rows x 12 months
Trade_Volume	Trades by desk and month. Flat table.	60 rows
FX_Exception_Detail	One row for each FX Spot exception: dealer, location, recorded line, notional	354 rows

5. Worksheet

Discover: context

Business question

Audience and decision

Discover: sub-question tracker

No.	Sub-question	Data needed / transformation (before Step 3)	Answer and source (after the PivotTables)
1			
2			
3			
4			
5			
6			
7			

Discover: SCAN

	What you found (with numbers)
S	
C	
A	
N	

Discover: insights (WHAT + WHY + WHAT TO DO)

	Insight
1	
2	
3	

Develop: Story Space

Insight	Complexity (easy / hard)	Value (low / mid / high)	Story Space? (yes / no)
1			
2			
3			

Develop: Crowd

Who and what they care about	Decision and possible objection

Develop: S.T.O.R.Y

	Script
S Situation	
T Take Off	
O Opportunity	
R Resolution	
Y Yield	

Develop: Core

Problem	Stakes	Steps	Call to Action

Design: hybrid title

Part	Your text
Data story type and chart	
Headline (insight)	
Call to action	
Legend words and colours	