

Artificial intelligence and compliance processes

Periodic Client Review, AML Transaction Monitoring, Name and Negative News Screening

- > Introduction to the AI techniques which are relevant and useful for compliance work
- > Become able to explain what the AI tools are doing
- > Understand what internal experts and tool providers are talking about, be able to interact with them

Dr. Dimosthenis Pasadakis,

Università della Svizzera Italiana (USI) and Panua Technologies, Lugano

Dr. Madan Sathe,

Partner, Forensics, Deloitte AG, Zurich

Dr. Karl Ruloff,

Director, Forensics, Deloitte AG, Zurich

Introduction to Artificial Intelligence Presentation of the AI techniques that are relevant for AML compliance work

9.00 What is AI, and why is there a need for it?

- The principles of artificial intelligence.
- Popular use cases and examples.
- Its importance in finance and compliance.

9.30 What are the prerequisites for using AI?

- Required data types, and available technologies.
- Identify patterns, similarities, regularities and recurrent structures.
- Limitations and scenarios where AI may fall short.

10.00 Graph data science and machine learning

- Estimating graphs from data.
- Supervised learning: classification and regression (prediction)
- Unsupervised learning: comparison with supervised learning; clustering techniques (client segmentation, anomalies detection)

10.30 Deep learning and Large Language Models

- Why and when neural networks?
- Application of deep learning to text: Large Language Models (LLMs) and Natural Language Processing (NLP).
- Application of deep learning to images: image recognition and classification.

11.00 Coffee break

Use Cases in Compliance and how AI can help

11.20 Periodic Client Review

- Introduction into Periodic Client Review
- Market view and current challenges in the Periodic Client Review process
- How can AI help to improve efficiency and effectiveness?
- Case studies

12.00 Lunch

13.30 AML Transaction Monitoring

- Introduction into AML Transaction Monitoring
- Market view and current challenges in AML Transaction Monitoring
- How can AI help to improve efficiency and effectiveness?
- Case studies

14.15 Name and Negative News Screening

- Introduction into Name and Negative News Screening
- Market view and current challenges in the screening process
- How can AI help to improve efficiency and effectiveness?
- Case studies

15.00 Coffee break

AI regulation and governance

15.20 AI Risk Management

- EU AI Act and the impact on Switzerland
- Auditing AI systems
 - Introduction
 - Governance
 - Trustworthy AI: Bias, Fairness, Explainability
- Regulatory aspects

16.20 Future of AI and the impact on Compliance

- Current and future technical developments
- Potential scenarios for the future with AI
- Potential challenges and impact on Compliance

17.00 End of the conference

Artificial intelligence and compliance processes

PRACTICAL INFORMATION

Venue
Hotel Président Wilson
47 quai Wilson, Geneva

Visio conference on Zoom
The Zoom link and the documentation will be sent to the participants on 25 November in the afternoon. Academy & Finance provides technical assistance during the conference.

How to register
by phone: +41 (0) 22 849 01 11
by fax: +41 (0) 22 849 01 10
by e-mail: info@academyfinance.ch
by post: Academy & Finance SA
3 rue Neuve-du-Molard, CH-1204 Geneva
www.academyfinance.ch

Fees
880 CHF (+ VAT 8.1%)
Additional registrations from the same company:
- 50%

Registration and payment
Payment is made by bank transfer or by credit card. Credit card payments will be debited immediately upon receipt of card details. In any case, we will send you an invoice by email.

Substitution & cancellation policy
Substitutions from the same company are accepted at any time. Cancellation requests must be received in writing, by fax or by post up to the following dates end of business :
• 19 November refund of 90%
• after 19 November no refund will be made for cancellation.

REGISTRATION FORM

I register for the seminar "Artificial intelligence and compliance processes" on 26 November 2024.

I will attend in the conference room I will attend online on Zoom

FIRST PARTICIPANT

Full name.....
Position.....
E-mail.....

SECOND PARTICIPANT (-50%)

Full name.....
Position.....
E-mail.....
Company.....
Address.....
Postcode..... City.....
Tel Mobile.....

Person to which the invoice must be sent for payment:

Name..... Email.....
Bank transfer Mastercard VISA
Credit card No : ____/____/____/____ Expiry date : ____/____
Cardholder.....
Date Signature.....