

Technologische Revolution

Im Risiko- und Compliance-Management durch
Generative KI



Daniel Purnomo



AGENDA HEUTE

1. Risk & Compliance
2. Generative KI
3. Use Cases
4. Zukunftsaussicht



Risikomanagement

- Risikoidentifikation
- Risikoanalyse und -bewertung
- Risikosteuerung und -behandlung
- Risikoüberwachung und -berichterstattung

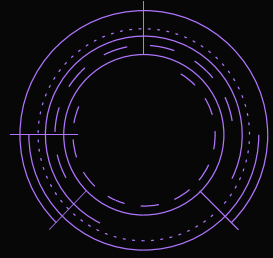


Compliance

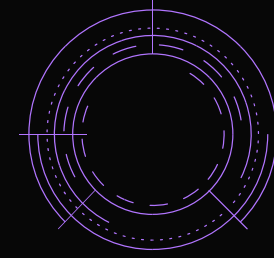
- Identifikation relevanter Gesetze, Vorschriften und Standards
- Implementierung von Compliance-Kontrollen und Maßnahmen
- Compliance-Monitoring und -Prüfungen
- Meldewesen und Berichterstattung



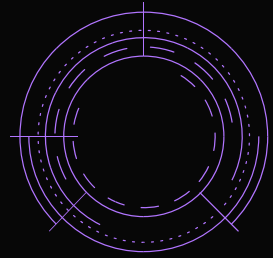
RISK & COMPLIANCE
HERAUSFORDERUNGEN



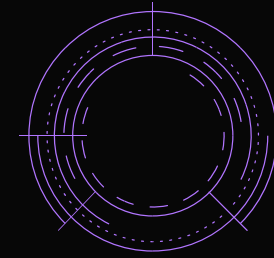
SCHNELLE IT- UND
GESCHÄFTSENTWICKLUNG



EFFIZIENZEN



RESSOURCENBEWERTUNG



RISIKOÜBERWACHUNG

Herausforderungen im Kreditprozess

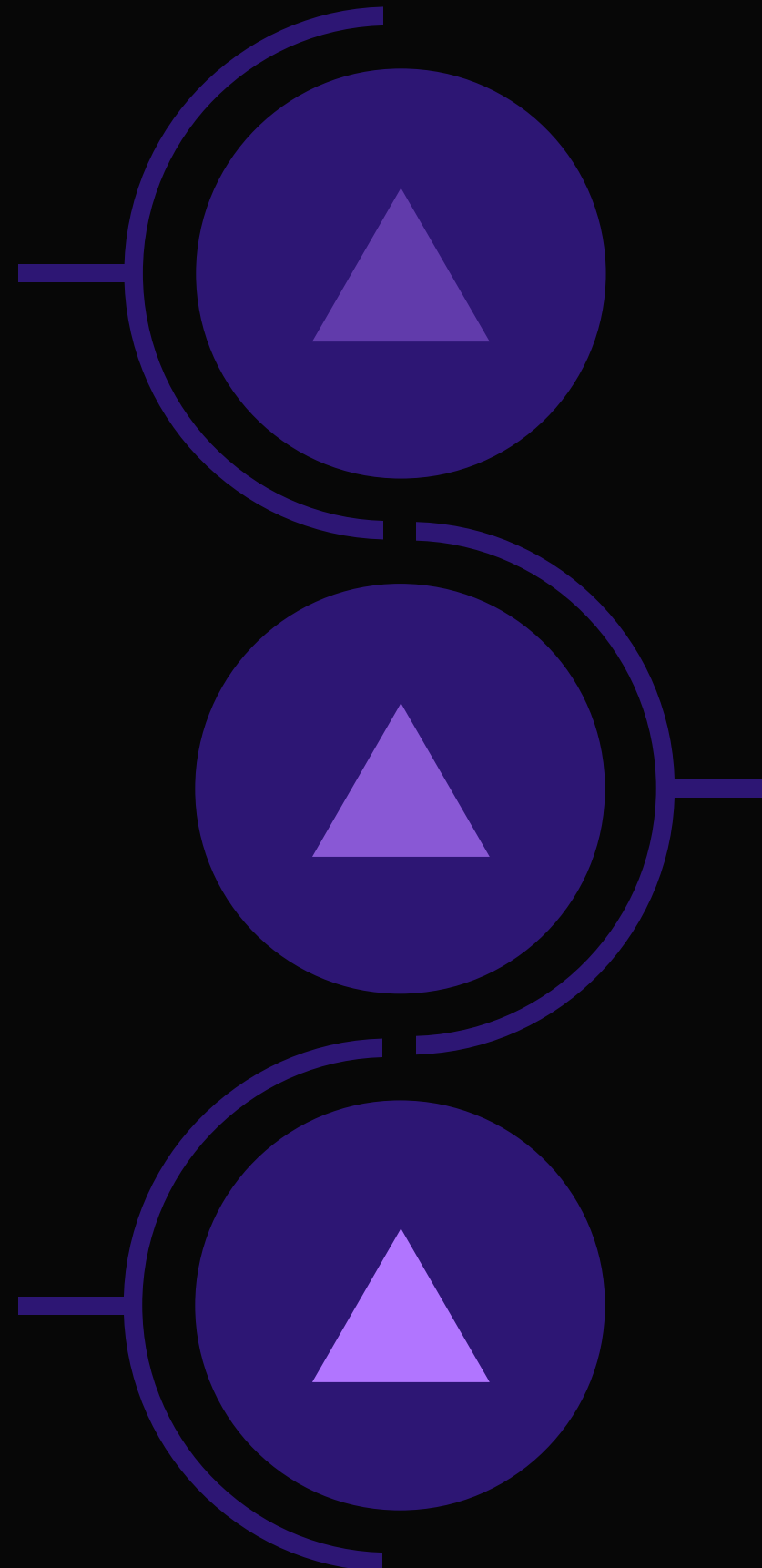
- manuelle, papierbasierte Genehmigungsverfahren
- langsam zu entscheiden (für Kunden)
- Datenmanagementprobleme
- Tabellenkalkulationsprogrammen umständlich



TRADITIONELLE
KI - ANSÄTZE UND
IHRE GRENZEN

HEUTE?

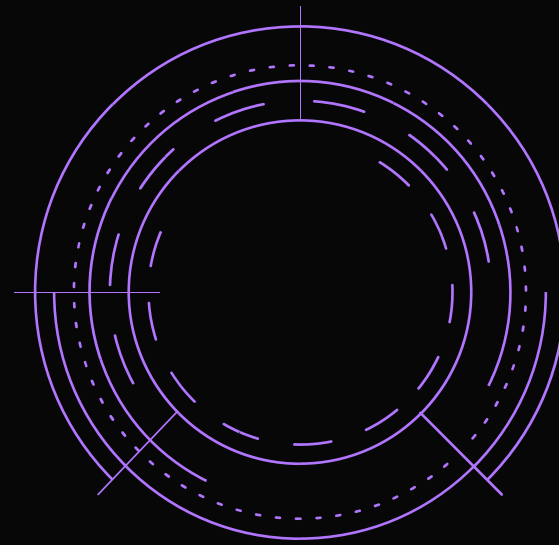
REGELBASIERTE
SYSTEME UND MASCHINEN
LERNUNG



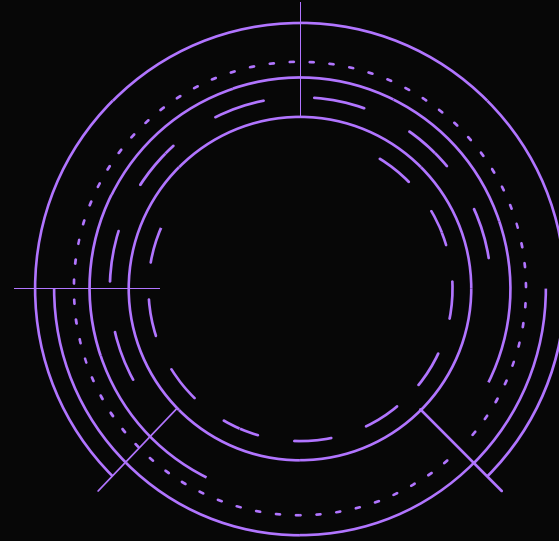
GRENZEN BEI
UNSTRUKTURIERTEN
DATEN

KOMPLEXE
IMPLEMENTIERUNG

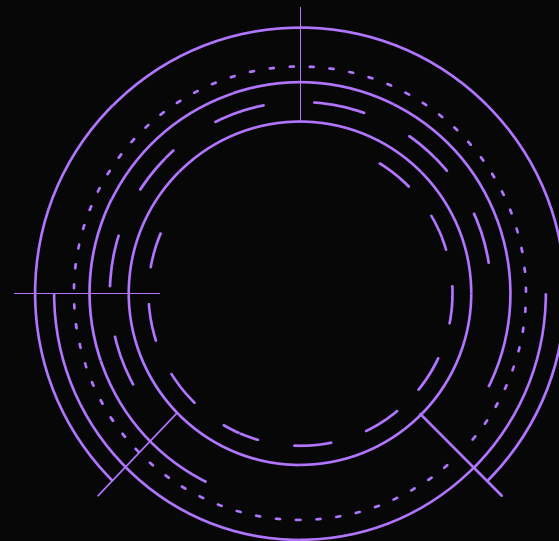
GENERATIVE KI ALS GAMECHANGER



Automatisierte
Analyse und
Extraktion



Erstellung von
Richtlinien und
Berichten in
natürlicher Sprache



Überwachung von
Transaktionen und
Prozessen

Data From External Sources



Industry-specific Data



Historical Compliance Data



Corporate Documents

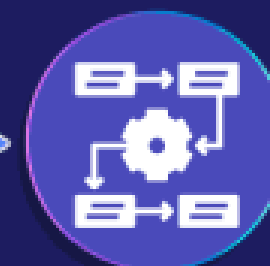


Regulatory Documents

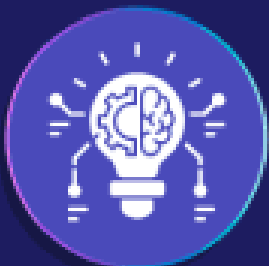
Generative AI Model Training



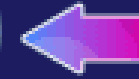
Collect Data



Preprocess Data



Data Training



Model Training

Output



Automated Document Generation



AML & KYC Compliance



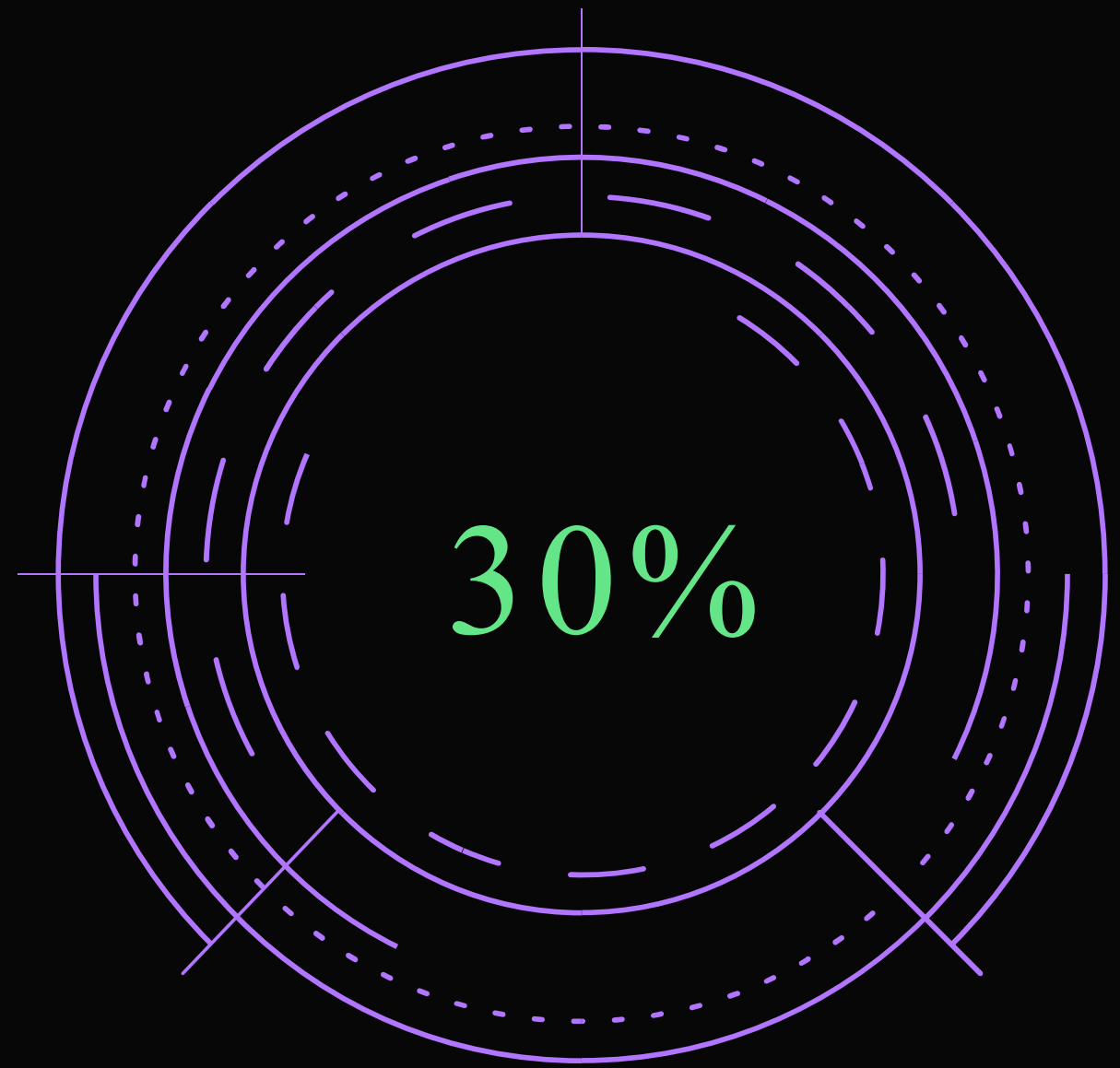
Regulatory Document Analysis



Automated Compliance Audits



EFFIZIENZSTEIGERUNG



**POTENZIELLE
ZEITERSPARNIS**

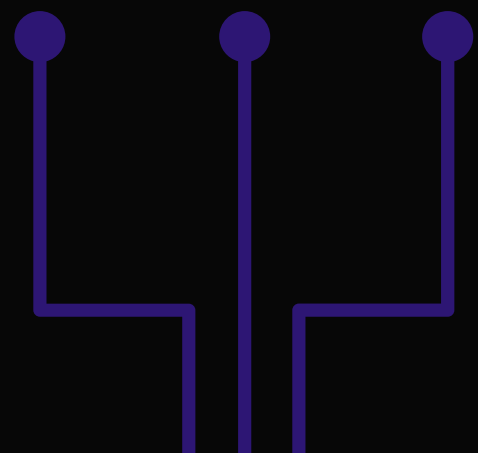
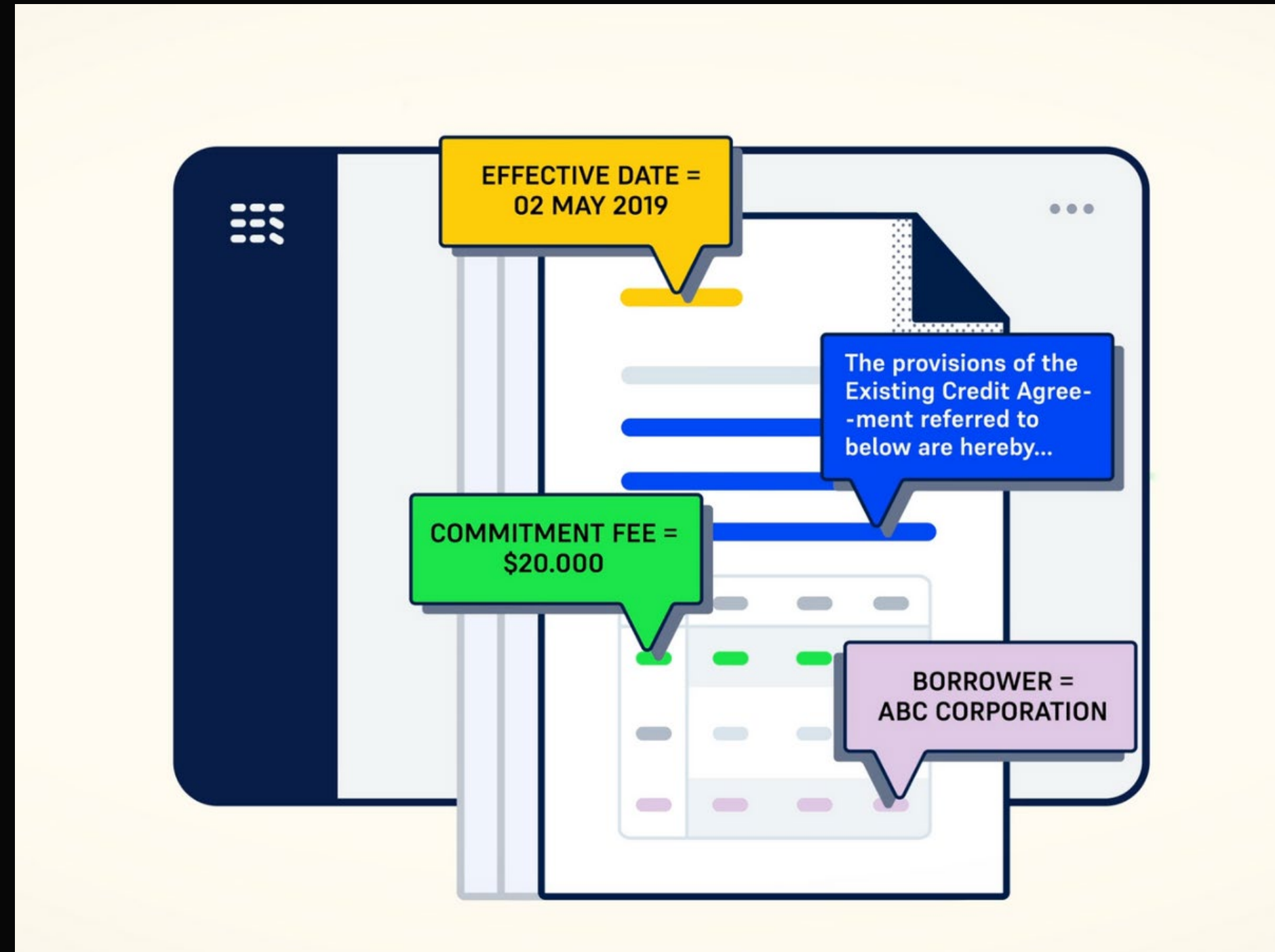
USE CASES

KREDI TPROZESSE
DI GI TALI SI EREN

CHATBOTS

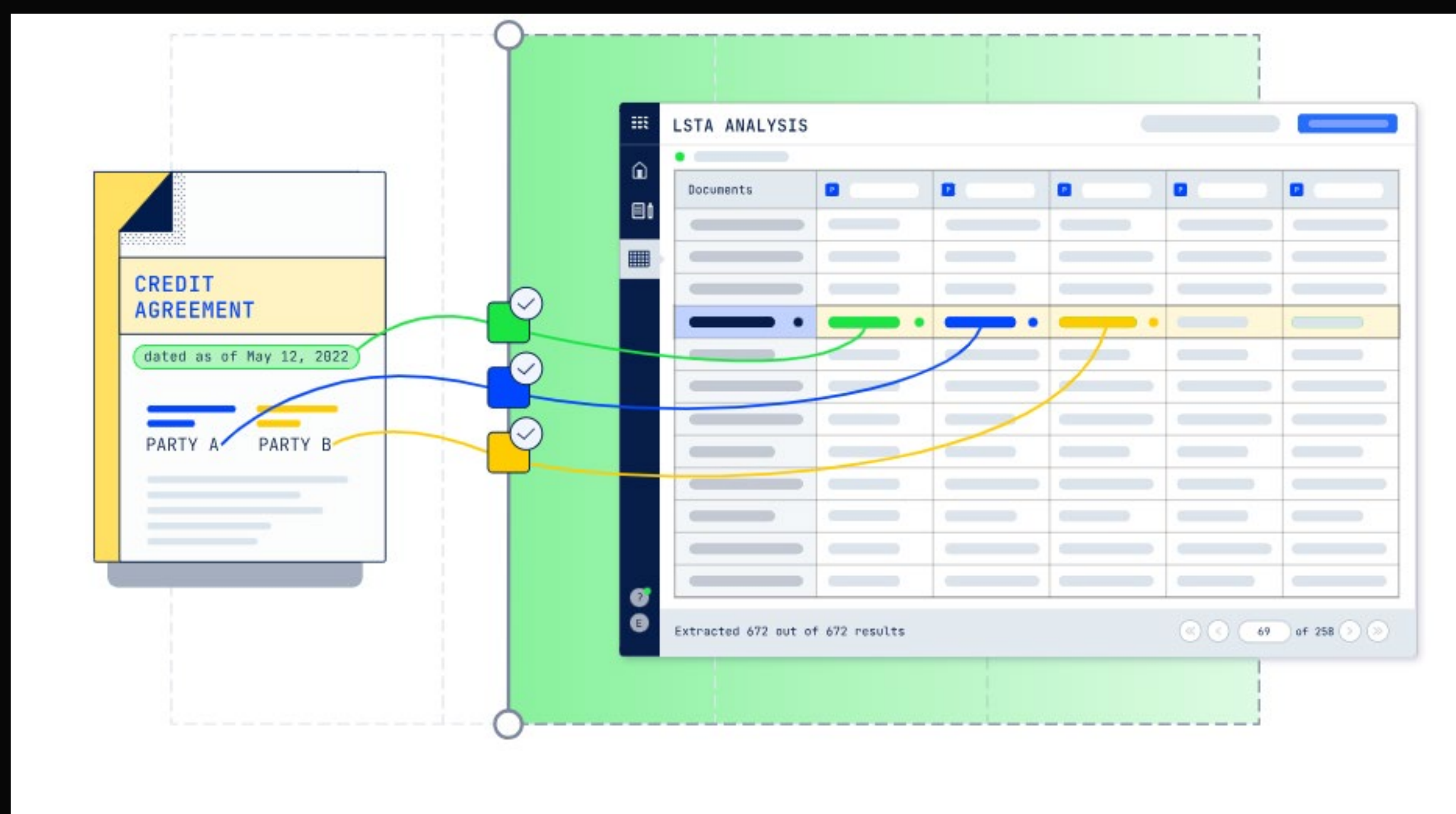
ECHTZEI T- SCANNI NG

KREDI TBEWERTUNG



ERFASSUNG &
INTEGRATION VON
KREDITVERTRÄGEN

AUTOMATISCHE
KLASSIFIZIERUNG NACH
TYP



CONFIDENTIAL

INVOICE

23 4567 St
New York, NY, 10001

23 4567 St,
Redmond WA, 98052

BILL TO:
23 Bill St,
Redmond WA, 98052

SHIP TO:
23 Bill St,
Redmond WA, 98052

INVOICE: 123456789
INVOICE DATE: 2021-09-30
DUE DATE: 2021-10-31
CUSTOMER NAME: Microsoft
SERVICE PERIOD: 2021-09-01 - 2021-09-30
CUSTOMER ID: 123456789

SERVICE ADDRESS:
23 Service St,
Redmond WA, 98052

SALESPERSON	P.O. NUMBER	REQUISITIONER	SHIPPED VIA	F.O.B. POINT	TERMS
	123456789				

DATE	ITEM CODE	DESCRIPTION	QTY	UM	PRICE	TAX	AMOUNT
2021-09-01	12345	Microsoft License	1	UNIT	10000	0.00	10000
2021-09-01	67890	Microsoft Support	1	UNIT	5000	0.00	5000
2021-09-01	11111	Microsoft Cloud	1	UNIT	5000	0.00	5000

SUBTOTAL	15000
SALES TAX	0
TOTAL	15000
PREVIOUS UNPAID BALANCE	10000



Values Result Code

AmountDue #1 97.30%
610

BillingAddress #1 94.70%
123 Bill St, Redmond WA, 98052

BillingAddressRecipient #1 95.70%
Microsoft Finance

CustomerAddress #1 94.70%
123 Other St, Redmond WA, 98052

CustomerAddressRecipient #1 95.60%

Zukunftsaussichten

- Großes Potenzial x10 unsere Produktivität
 - Langfristige Anwendungen
- Ethische und technische Herausforderungen existieren

Open Source Plattform Hugging Face -> Potenzial

The screenshot displays the Hugging Face Open Source Platform interface. On the left sidebar, there are sections for Tasks, Libraries, Datasets, Languages, and Licenses. The main area shows a grid of model cards, each representing a different pre-trained model available on the platform.

Tasks: Fill-Mask, Question Answering, Summarization, Table Question Answering, Text Classification, Text Generation, Text2Text Generation, Token Classification, Translation, Zero-Shot Classification (+8)

Libraries: PyTorch, TensorFlow, JAX (+14)

Datasets: common_voice, wikipedia, dcep europarl jrc-acquis, squad, bookcorpus, c4, CLUECorpusSmall, parsinlu (+336)

Languages: en, es, fr, de, sv, fi, multilingual, zh (+372)

Licenses: apache-2.0, mit, cc-by-nc-4.0 (+18)

Models (9,943): Search Models. Sort: Most Downloads

- bert-base-uncased** (Fill-Mask) · Updated May 18 · 7,918k
- distilbert-base-uncased** (Fill-Mask) · Updated Dec 11, 2020 · 2,835k
- bert-base-cased** (Fill-Mask) · Updated May 18 · 1,411k
- distilroberta-base** (Fill-Mask) · Updated May 21 · 1,101k
- bert-base-multilingual-cased** (Fill-Mask) · Updated May 18 · 790k
- nlptown/bert-base-multilingual-uncased-sentiment** (Text Classification) · Updated May 20 · 674k
- sentence-transformers/paraphrase-xlm-r-multiling...** · Updated Jan 11 · 652k
- finiteautomata/beto-sentiment-analysis** (Text Classification) · Updated May 24 · 562k
- roberta-large-mnli** (Text Classification) · Updated May 20 · 432k
- deepset/roberta-base-squad2** (Question Answering) · Updated May 20 · 326k
- bert-base-multilingual-uncased** (Fill-Mask) · Updated May 18 · 316k
- xlm-roberta-base** (Fill-Mask) · Updated Dec 11, 2020 · 2,883k
- roberta-base** (Fill-Mask) · Updated Dec 11, 2020 · 2,030k
- distilbert-base-uncased-finetuned-sst-2-english** (Text Classification) · Updated Feb 9 · 1,196k
- roberta-large** (Fill-Mask) · Updated May 21 · 940k
- distilbert-base-cased** · Updated Dec 11, 2020 · 712k
- gpt2** (Text Generation) · Updated May 19 · 654k
- t5-small** (Translation) · Updated Mar 18 · 578k
- deepset/gbert-base** (Fill-Mask) · Updated Apr 30 · 436k
- bert-large-uncased** (Fill-Mask) · Updated May 18 · 414k
- microsoft/DialogGPT-large** (Conversational) · Updated May 23 · 323k
- bert-base-chinese** (Fill-Mask) · Updated May 18 · 311k



Vielen Dank für Ihre
Aufmerksamkeit!

DANIEL PURNOMO