Compliance Monitoring NLP Report

# Clause 1:

Text: The institution shall maintain client data for a minimum of 3 years, unless otherwise mandated by the jurisdiction.

Preprocessed Tokens: ['institution', 'shall', 'maintain', 'client', 'data', 'minimum', 'year', 'unless', 'otherwise', 'mandated', 'jurisdiction']

Named Entities: None

Red Flag Phrase Detected: 'unless'

No strong match found in regulatory requirements. Review recommended.

# Clause 2:

Text: All transactions above $10,000 must be reported to the compliance officer within 24 hours.

Preprocessed Tokens: ['transaction', 'must', 'reported', 'compliance', 'officer', 'within', 'hour']

Named Entities: None

No red flag phrases detected.

Matches Regulation (Similarity: 0.68): All cash transactions above $10,000 must be reported immediately.

# Clause 3:

Text: Sensitive employee information may be disclosed only upon executive approval.

Preprocessed Tokens: ['sensitive', 'employee', 'information', 'may', 'disclosed', 'upon', 'executive', 'approval']

Named Entities: None

Red Flag Phrase Detected: 'only upon'

No strong match found in regulatory requirements. Review recommended.

# Clause 4:

Text: No monitoring is required for accounts inactive for more than 12 months.

Preprocessed Tokens: ['monitoring', 'required', 'account', 'inactive', 'month']

Named Entities: None

Red Flag Phrase Detected: 'no monitoring'

No strong match found in regulatory requirements. Review recommended.

# Clause 5:

Text: Customer complaints will not be logged if received verbally without supporting documentation.

Preprocessed Tokens: ['customer', 'complaint', 'logged', 'received', 'verbally', 'without', 'supporting', 'documentation']

Named Entities: Customer (GPE)

Red Flag Phrase Detected: 'not be logged'

Matches Regulation (Similarity: 0.60): Customer complaints must be logged and responded to regardless of format.