Compliance Monitoring Case Report

# Case 1

Message: Transaction was processed without notifying the compliance officer.

Source: Email

Timestamp: 2025-05-11 15:29:49

Risk Level: High

Recommended Action: Immediate Review

Case Status: Escalated

Rationale: Rule-based flag; ML flagged with 0.92 confidence

Named Entities: None

# Case 2

Message: Audit report was completed and emailed to the external auditor.

Source: Chat

Timestamp: 2025-05-11 21:29:49

Risk Level: None

Recommended Action: Archive

Case Status: Closed

Rationale:

Named Entities: Audit (PROPER\_NOUN)

# Case 3

Message: The request was executed while the internal review was still pending.

Source: Log

Timestamp: 2025-05-12 03:29:49

Risk Level: High

Recommended Action: Immediate Review

Case Status: Pending

Rationale: Rule-based flag; ML flagged with 0.87 confidence

Named Entities: None

# Case 4

Message: Policy update was approved by Director John Smith on March 5th.

Source: Memo

Timestamp: 2025-05-12 09:29:49

Risk Level: None

Recommended Action: Archive

Case Status: Closed

Rationale:

Named Entities: Director (PROPER\_NOUN), John (PROPER\_NOUN), Smith (PROPER\_NOUN), March (PROPER\_NOUN)

# Case 5

Message: Customer complaint was not logged due to verbal communication.

Source: Email

Timestamp: 2025-05-12 15:29:49

Risk Level: High

Recommended Action: Immediate Review

Case Status: Escalated

Rationale: Rule-based flag; ML flagged with 0.90 confidence

Named Entities: Customer (PROPER\_NOUN)

# Case 6

Message: All cash deposits above threshold were reported as required.

Source: Log

Timestamp: 2025-05-12 21:29:49

Risk Level: None

Recommended Action: Archive

Case Status: Reviewed

Rationale:

Named Entities: None

# Case 7

Message: Account access was granted to an unauthorized third party.

Source: Chat

Timestamp: 2025-05-13 03:29:49

Risk Level: High

Recommended Action: Immediate Review

Case Status: Escalated

Rationale: Rule-based flag; ML flagged with 0.95 confidence

Named Entities: Account (PROPER\_NOUN)

# Case 8

Message: Client data backup was delayed without proper documentation.

Source: Email

Timestamp: 2025-05-13 09:29:49

Risk Level: High

Recommended Action: Immediate Review

Case Status: Pending

Rationale: Rule-based flag; ML flagged with 0.89 confidence

Named Entities: Client (PROPER\_NOUN)

# Case 9

Message: Risk control policy was acknowledged and filed.

Source: Log

Timestamp: 2025-05-13 15:29:49

Risk Level: None

Recommended Action: Archive

Case Status: Closed

Rationale:

Named Entities: Risk (PROPER\_NOUN)

# Case 10

Message: Funds were transferred after hours with no approval.

Source: Chat

Timestamp: 2025-05-13 21:29:49

Risk Level: High

Recommended Action: Immediate Review

Case Status: Pending

Rationale: Rule-based flag; ML flagged with 0.93 confidence

Named Entities: None